ENVIRONMENTAL MANAGEMENT SYSTEM (EMS) TEMPLATE FOR THE DIE CASTING INDUSTRY

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ENVIRONMENTAL MANAGEMENT SYSTEM (EMS) TEMPLATE FOR THE METALCASTING INDUSTRY

Introduction

An Environmental Management System (EMS) is an organizational tool composed of planning, implementation, checking, and management review elements that a facility uses to ensure that it meets its environmental performance goals. It does so while taking into consideration its legal and other requirements, its significant environmental aspects, its technological options and its financial, operational, and business requirements, and the views of interested parties.

This EMS template for the Die Casting Industry has been assembled from the best and most recent guidance, examples, tools, and forms included in several U.S. Environmental Protection Agency (EPA)-sponsored EMS source documents (see annotated list below). It also reflects an EMS that is consistent with the emphasis of EPA's National Environmental Performance Track Program on sustained compliance, preventing pollution, continuous improvement in environmental performance, and sharing information with the community.[1]

Using information collected from Die Casting publications, facility site visits, and telephone interviews, the template has been customized to address industry conditions. It is meant to assist Die Casting facilities in those areas that will have the most immediate impact on improving environmental performance and associated economic performance. It is largely the case that Die Casting facilities have many components of an EMS already in place. In using this EMS template, the theme throughout should be to identify those already existing components and build on them rather than to adopt an overwhelming impression that much is missing.

Though there are other types of EMS's that one could adopt, and EPA does not specifically endorse any individual EMS standard, the ISO 14001 EMS is the one most widely recognized across the world and the one that companies are beginning to require their suppliers to adopt. Therefore, moving in the direction of implementation and maintenance of an EMS based on the ISO 14001 Standard may be a wise business decision. The choice to build an EMS that, if desired, could be certified in the future, seems to make sense from an efficiency and cost-effectiveness point of view. Facilities implementing the requirements of an effective EMS that meets the requirements of the ISO 14001 Standard can either seek third-party registration or self-declare conformance.

To facilitate your implementation process, the template groups its modules, each corresponding to an EMS element, into the four activities that correspond generally to the plan-do-check-act model that most management systems follow:

- Laying the groundwork and obtaining top management commitment
- Developing policy and planning elements
- Developing implementation elements
- Developing corrective and preventive action, management review, and continuous improvement elements

There is logical sequence in working through the modules in their numbered order for the first two activities. Once an initial round of EMS planning is complete the various implementation

[1] More information on the Performance Track program is provided in Appendix A.

modules can be approached in a somewhat parallel fashion. Similarly for checking and review, the material in the modules can be created and implemented somewhat concurrently. Example 1-1 in Module 1 demonstrates one organization's schedule for addressing the modules.

There are four different types of material provide in the EMS template. Definitions of each are provided below:

- *Guidance.* Guidance refers to information that describes what an EMS element represents and what you will need to develop and maintain to fully satisfy EPA's definition of a complete EMS
- *Tools.* Tools refer to worksheets or questionnaires that assist you in thinking through how to efficiently and comprehensively create a particular EMS element. Tools are important to the process of defining what in your systems will later be documented, recorded, monitored, measured, audited, reviewed by top management, etc. Sample procedures that you can adopt for your own system are also considered tools.
- *Forms.* Forms are different from tools in that they actually do become part of your documented system, for instance serving as records, or information that might be measured, monitored, audited, reviewed by top management, etc.
- *Examples.* These are examples of how one might use a tool or complete a form. Many of the examples were developed during a pilot program with the die casting industry, which tested this template.

Brief descriptions of the EPA-sponsored EMS source documents used to develop the template are provided below:

- Integrated Environmental Management Systems Implementation Guide, US EPA, Office of Pollution Prevention and Toxics, EPA 744-R-00-011, October 2000. This document represents efforts by EPA to show how Design for the Environment (DfE) technical work can be used to support the development of an EMS. It unites the EMS plan-do-check-act model with DfE approaches such as the EPA Cleaner Technologies Substitutes Assessment Methodology. It contains useful EMS guidance, tools, forms, and examples and has material especially relevant to chemical use-intensive facilities.
- Integrated Environmental Management Systems, A Company Manual Template for Small Business, US EPA, Office of Pollution Prevention and Toxics, EPA 744-R-00-012, December 2000. This document represents an EMS manual template, including cover page, table of contents, and complete documentation, for a fictional corporation. It contains procedures and associated forms for an EMS that is designed according to the principles of the implementation guide described above.
- Environmental Management Systems: An Implementation Guide for Small and Medium-Sized Organizations, NSF International, Second Edition, January, 2001. This document was designed to explain EMS concepts, using the ISO 14001 standard guidance, tools, forms and examples that are broadly applicable to many different types of businesses.
- Implementation Guide For The Code of Environmental Management Principles for Federal Agencies (CEMP), US EPA, Office of Enforcement and Compliance Assurance, EPA 315-B-97-001, March 1997. This document was developed by EPA to help federal agencies move toward responsible and proactive environmental management. It describes five broad principles that are meant to foster environmental performance objectives that are proactive, flexible, cost-effective, integrated, and sustainable.

- Environmental Management Review (EMR) National Report: Lessons Learned in Conducting EMRs at Federal Facilities, US EPA, Office of Enforcement and Compliance Assurance, EPA 315-R-99-003, November 1999. Supplementary EMR Checklists are also included. These documents present lessons learned by EPA from their review of individual facility environmental protection programs and management systems. The programs are intended to ensure compliance and progress towards environmental excellence.

- The US EPA Environmental Management System Pilot Program for Local Government Entities, Prepared by Global Environment & Technology Foundation, Assistance Agreement No. X 825557-01-0, January 28, 2000. This document represents a final report to EPA on a multi-year pilot program to implement EMS for local government entities. It presents EMS lessons learned and examples that can be useful to businesses and other organizations.

- Improving Environmental Performance and Compliance, 10 Elements of Effective Environmental Management Systems, Guidance Document, Enforcement Cooperation Program of the Commission for Environmental Cooperation, June 2000. This document sets out what the three North American governments have agreed is important to address in implementing EMSs. It is intended to assist EMS users make responsible decisions and take actions to achieve better environmental performance through maintaining compliance with environmental laws and moving beyond compliance. It provides a list of ten elements to help ensure that what needs to be done is being done to meet environmental goals. It is intended as guidance for those organizations in the public and private sectors that seek to apply EMS in a way that will work effectively and build better relationships with customers, suppliers, lenders, investors, the local community, and the government.

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Definitions

Environmental aspect (EA): An element of a company's activities, products, or services that can or does interact with the environment (create an environmental impact)

Environmental impact: Any change to the environment, whether adverse or beneficial, resulting from a company's activities, products, or services

Significant environmental aspect (SEA): An environmental aspect deemed by a company as having, or potentially having, a significant impact on the environment

Alternatives evaluation: Process by which alternative methods for completing a particular function are evaluated using business and environmental criteria

Non-conformity: Discrepancy between a company's actual EMS activities and the procedures laid out in their EMS manual and associated documentation (that is, where the actual activities do not follow the procedures)

Indicator: A measurable parameter or predictor of performance (in this case, of environmental performance).

Root cause analysis: Systematic process to uncover underlying causes of a particular issue or problem. If a drum is not labeled, you would ask what happened that resulted in the unlabeled drum (for example, a new employee did not know the procedure, which would indicate that entry training might be a root cause of the issue).

Module 1: Laying the Groundwork for EMS

GUIDANCE

EMS Planning – Getting Started

Section 4.4.1 of the ISO 14001 Standard outlines requirements for Structure and Responsibility within an Environmental Management System. Identifying primary roles and responsibilities is covered more thoroughly in Module 7 of this manual. However, in order to begin building an Environmental Management System, a few key individuals must be identified, so this section provides a few tips on getting started.

A primary role is the EMS Management Representative who will be responsible for managing the day-to-day EMS tasks at the facility. This assignment should be documented in a position description that defines the responsibilities and duties associated with the role and on relevant organization charts.

Next facilities typically identify a team of individuals (Cross Functional Team) that will help implement the EMS. There are no requirements for how many people should be on the team or what types of people should be assigned to the Team. The following are some general guidelines for successful team building:

- The Management Representative typically chairs the team meetings. Appoint someone to record meeting minutes.
- Team members should be selected from different areas, functions and levels within the plant (Quality, Operations (including different casting areas, if applicable), Shipping/Receiving, Engineering, Maintenance, Finance, Human Resources, etc.). One of the most valuable components of building the EMS is providing the time for these individuals to discuss environmental issues together.
- Assign only those who are interested and can spend the time (at least 40 hours) during implementation.
- Document designation of Cross Functional Team members either with a memo from the Facility Manager or on an Organizational Chart. Post these on bulletin boards to raise general awareness.
- Try to limit Cross Functional Team meetings to 4 hours or less. Weekly meetings for shorter periods tend to be more successful than longer meetings held only once a month.

Exhibits 1-1 and 1-2 will assist you in organizing and structuring your team.

EMS Planning - Gap Analysis

The facility should conduct an initial review or "gap analysis" to understand what is already being done and to evaluate ways to improve and build on existing programs and activities. This is an important part of laying the groundwork for your EMS.

A gap analysis is designed to answer the following questions:

- How well are the organization and its environmental programs performing?
- What standards of environmental performance does the organization hope to achieve?
- What parts of the ISO 14001 EMS do we already have in place, even partially?
- Where are there gaps between objectives and performance?
- What existing programs and activities can serve as the best foundation for improved environmental performance?

Through this process, many organizations will probably find ways to address some of the EMS components at little or no cost.

Prior to beginning the gap analysis, it is helpful to pull together materials you will be referencing. **Exhibit 1-3** is a list of materials which can be useful in conducting a gap analysis. Not all of these will be applicable to your specific facility and not all of them are necessary to conduct a gap analysis. The list is, however, a good reference to consult as you prepare for your gap analysis.

Exhibit 1-4 is a gap analysis tool/self-assessment checklist that can be used to assess current programs and specific needs of a facility. **Example 1-1** shows a typical EMS implementation schedule. Plan to spend 9-12 months, on average, developing your system.

TOOLS

Exhibit 1-1: Sample Worksheet for EMS Development: Participants, Resources, and Schedule

EMS Element	Participants	Resources	Schedule
Making the Commitment: Creating a Policy Statement and Determining the Scope			
Intermediate steps: (As appropriate)			
Conduct Gap Analysis/Self-Assessment			
Planning the Process: Decision Points, Leadership & Participants, Schedule & Plan			
Intermediate steps: (As appropriate)			
Determining Significant Aspects: Prioritizing Concerns and Setting Objectives			
Intermediate steps: (As appropriate)			
Developing Operational Controls			

EMS Element	Participants	Resources	Schedule
Intermediate steps: (As appropriate)			
Making Improvements: Evaluating Alternatives and Setting Targets			
Intermediate steps: (As appropriate)			
Implementation: Building Organizational Support for Your EMS			
Intermediate steps: (As appropriate)			
Setting Up Environmental Management Programs; Measuring and Achieving Success			
Intermediate steps: (As appropriate)			
Establishing Continuing Improvement			
Intermediate steps: (As appropriate)			
Contact Person:	Date Completed:		

Exhibit 1-2: Sample Worksheet for Persons Responsible for EMS Development

Roles	Individual(s) Responsible	% of Time Designated	Budget
"Environmental Management Representative (EMR)" having responsibility for implementing the EMS (in small businesses, this could be the owner).			
EMS Coordinator			
EMS Team Participants			
Conducting Gap Analysis			
Identifying and determining significance of environmental aspects.			
Identifying and determining applicability of legal and other requirements.			
Competency-based training.			
Operational controls.			
Emergency preparedness and response.			
Monitoring and measurement of "key characteristics" of operations and activities that can have significant environmental impacts (i.e., the "significant environmental aspects.").			
Periodic evaluations of environmental compliance.			
Handling and investigating non-conformance with the EMS.			
Records management.			
Internal EMS audits.			
Contact Person:		Date Completed:	

Note:
Most of these blocks will be filled in as development of the EMS progresses. This worksheet will help track progress and serve to remind the team and management of necessary assignments.

Exhibit 1-3: Documents/Information to Have Available for ISO 14001 Gap Analysis

1. General
   - 1.1. ISO 9000 or QS 9000 program manual and procedures
   - 1.2. General facility policies and procedures
   - 1.3. Facility process flow diagrams
   - 1.4. Current facility corrective actions plans
     - 1.4.1. From audits
     - 1.4.2. From inspections
     - 1.4.3. From risk assessments
   - 1.5. Facility audit results
   - 1.6. Facility regulatory inspection results
2. Environmental Policy
   - 2.1. Draft or final Environmental Policy or Health, Safety and Environmental Policy
3. Environmental Aspects
   - 3.1. Lists of prioritized environmental issues/activities
   - 3.2. Procedures for developing lists of prioritized activities
   - 3.3. HAZOP Studies
   - 3.4. Incident Investigations
4. Legal & Other Requirements
   - 4.1. Environmental compliance files
   - 4.2. Written guide to compliance files
   - 4.3. Title V Air Operating Permit (usually identifies applicable regulatory requirements)
   - 4.4. Mechanism for tracking permits/rules
     - 4.4.1. Subscriptions to regulatory services
     - 4.4.2. Contracts for regulatory updates
     - 4.4.3. Procedures for periodic rule checking
5. Objectives & Targets
   - 5.1. Plant-wide environmental goals or objectives
   - 5.2. Major Capital Projects
   - 5.3. Procedure for establishing goals and objectives
6. Environmental Management Programs
   - 6.1. Management of Change Procedure
7. Structure & Responsibility
   - 7.1. Organizational chart
   - 7.2. Job descriptions related to environmental activities
   - 7.3. Mechanisms for making job/task assignments
   - 7.4. List of regular environmental meetings
     - 7.4.1. Within Environmental Department
     - 7.4.2. With top management

8. Training, Awareness & Competence
    - 8.1. Descriptions of existing environmental training at the facility
    - 8.2. Training Matrix
    - 8.3. Training tracking records
    - 8.4. Craft Progression Process or Competency Requirements
    - 8.5. Contractor Management/Training Programs
9. Communication
    - 9.1. Existing mechanisms for communicating with employees
        - 9.1.1. Bulletin boards
        - 9.1.2. Newsletters
        - 9.1.3. Staff meetings (safety meetings, "tool-box" meetings, all staff meetings, etc.)
    - 9.2. Procedures for updating/posting information
    - 9.3. Procedures for responding to outside communications (calls, letters, inquiries, etc.)
    - 9.4. Training for top management on media handling
10. EMS Documentation
    - 10.1. Examples of other maintained documents (written plans, web-site, procedures)
    - 10.2. Environmental procedures/policy manual or file
11. Document Control
    - 11.1. Document control policy and procedures
    - 11.2. Scope of current document control program
    - 11.3. Record retention policy/procedures
    - 11.4. Procedure format
12. Operational Control
    - 12.1. Preventive maintenance schedules and procedures
    - 12.2. Waste minimization/pollution prevention plans
    - 12.3. Process Safety Management Procedures
    - 12.4. Contractor Management/Training Program
    - 12.5. Standard Operating Procedures
13. Emergency Preparedness & Response
    - 13.1. Copies of emergency plans
        - 13.1.1. SPCC Plan
        - 13.1.2. Storm Water Pollution Prevention Plan
        - 13.1.3. Incident Response Plan
        - 13.1.4. Evacuation Plan
        - 13.1.5. Other emergency plans
    - 13.2. Schedule and procedures for drills (fire, evacuation, spill, etc.)
14. Monitoring & Measurement
    - 14.1. Examples of current process and environmental measurements
    - 14.2. Calibration procedures and records for monitoring equipment (Preventive Maintenance Program)
    - 14.3. Facility internal inspection/audit procedures and schedules

15. Non-conformance & Preventive Action
    - 15.1. Reports on non-conformances from ISO or QS 90000 audits
    - 15.2. Facility corrective action tracking program
    - 15.3. Incident Investigation Procedure
16. EMS Audits
    - 16.1. Description of ISO or QS 9000 audit program
    - 16.2. Example ISO or QS 9000 audit report and corrective action list
    - 16.3. ISO or QS 9000 audit team membership
17. Management Review
    - 17.1. Management directives on environmental activities
        - 17.1.1. Policies
        - 17.1.2. Mandates
        - 17.1.3. Goals
    - 17.2. List of regular management meetings

Exhibit 1-4: Gap Analysis Tool/Self-Assessment Checklist

Facility Name:_____ Date:_____ Assessor(s):_____

EMS Requirement	Yes	No	N/A	Findings/Remarks	Closed
Module 2: Environmental Policy					
Does your facility have an environmental policy?					
Policy is specific to facility and signed by top management.					
Policy is appropriate to the nature and scale and environmental impacts of its activities, products or services.					
Policy includes a commitment to continuous improvement in environmental performance and prevention of pollution.					
Policy includes a commitment to sharing information on EMS performance with the community.					
Policy includes a commitment to comply with relevant environmental laws, regulations and other requirements applicable to the facility.					
Policy provides a framework for setting and reviewing environmental objectives and targets.					
Policy is documented, implemented and maintained.					
Policy is communicated to all employees.					
Policy is made available to the public through display in reception area or by other means.					
Module 3: Environmental Aspects					
Facility has a procedure to identify the activities, products or services that can interact with the environment (i.e., environmental aspects) that it can control in order to determine those which have or can have significant impacts.					
Facility has considered on-site contractor activities in its significant aspect determination.					
Aspects associated with significant environmental impacts are considered when setting facility's environmental objectives.					
Module 4: Legal & Other Requirements					
Facility has a procedure to identify and have access to legal and other requirements.					

EMS Requirement	Yes	No	N/A	Findings/Remarks	Closed
Facility maintains access to all current federal, state, and local regulations and ordinances through the computer or by some other means.					
Module 5: Objectives and Targets					
Facility has identified environmental objectives and targets.					
Facility has considered technological options, financial, operational and business requirements in establishing its objectives and targets.					
Facility has considered legal and other requirements in establishing objectives and targets.					
Facility has considered the views of interested parties in establishing objectives and targets.					
Facility objectives and targets are consistent with environmental policy.					
Module 6: Environmental Management Programs					
Facility has established and maintained programs for achieving objectives and targets.					
New activities, products or services are reviewed for potential environmental programs plans and controls.					
Facility has identified the means and time-frame for achieving objectives and targets.					
Facility has defined roles and responsibilities for achieving objectives and targets at each relevant function and level within organization.					
Module 7: Structure & Responsibility					
Facility has defined the roles, responsibilities and authorities to facilitate implementation of the EMS.					
Facility management has appointed a management representative with defined roles to implement the EMS.					
Facility environmental management representative reports on the performance of the EMS to top management for review and continuous improvement.					
Module 8: Training, Awareness & Competence					
The organization has performed an environmental training needs analysis.					

EMS Requirement	Yes	No	N/A	Findings/Remarks	Closed
Personnel whose work may create a significant impact or is associated with a significant aspect have received appropriate training, education and/or experience to ensure job competence.					
Facility has a procedure to make its employees aware of the importance of conformance with policy and procedures and the requirements of the EMS.					
Facility has a procedure to make its employees aware of the significant impacts associated with their work, and their roles and responsibilities as they pertain to conformance with the environmental policy and the EMS.					
Facility has a procedure to make its employees aware of the potential consequences of departure from operating procedures.					
Module 9: Communication					
Facility has a procedure for internal communication between the various levels and functions.					
Facility has a procedure for receiving, documenting and responding to relevant communication from external parties.					
Facility has considered a process for external communication relative to significant aspects and recorded decision on how to proceed.					
Module 10: EMS Documentation and Document Control					
Facility has information in paper or electronic form to describe the core elements of the management system and their interactions.					
Facility has information in paper or electronic form to provide directions on how to find appropriate documents.					
Facility has a procedure for controlling all documents required by the EMS.					
Documents and forms are reviewed for adequacy by authorized personnel prior to use or release.					
Relevant documents are accessible for the areas to which they apply.					
Obsolete documents are promptly removed from all points of use or otherwise assured against unintended use.					
Obsolete documents retained for legal or preservation purposes are properly identified.					

EMS Requirement	Yes	No	N/A	Findings/Remarks	Closed
Facility has a procedure for defining responsibility concerning the creation and modification of documents.					
Documentation is legible, dated and readily identifiable, maintained in an orderly manner and retained for a specified period.					
Module 11: Operational Control					
Facility has identified operations associated with significant environmental aspects.					
Facility has planned maintenance in order to ensure that they are carried out under specified conditions.					
Operations associated with significant aspects have documented procedures to cover situations where their absence could lead to deviations from the policy, objectives and/or targets.					
Procedures stipulate operating conditions.					
Facility has a procedure to identify significant aspect of goods and services used by the organization and to communicate relevant procedures and requirements to the suppliers and contractors.					
Facility has a procedure for prevention of pollution and waste minimization to accomplish goal of environmental policy.					
Module 12: Emergency Preparedness & Response					
Methods for preventing, mitigating, and responding to releases that require emergency response have been established and maintained at the facility and involve the appropriate response personnel.					
Roles and responsibilities for communications within the facility and for obtaining outside support services (e.g., police, fire) have been established and maintained at the facility.					
The emergency preparedness and response procedures are reviewed and revised as needed, in particular after an incident occurs.					
Module 13: Monitoring and Measurement					
Facility has documented procedures for monitoring and measuring key characteristics of operations associated with significant aspects.					

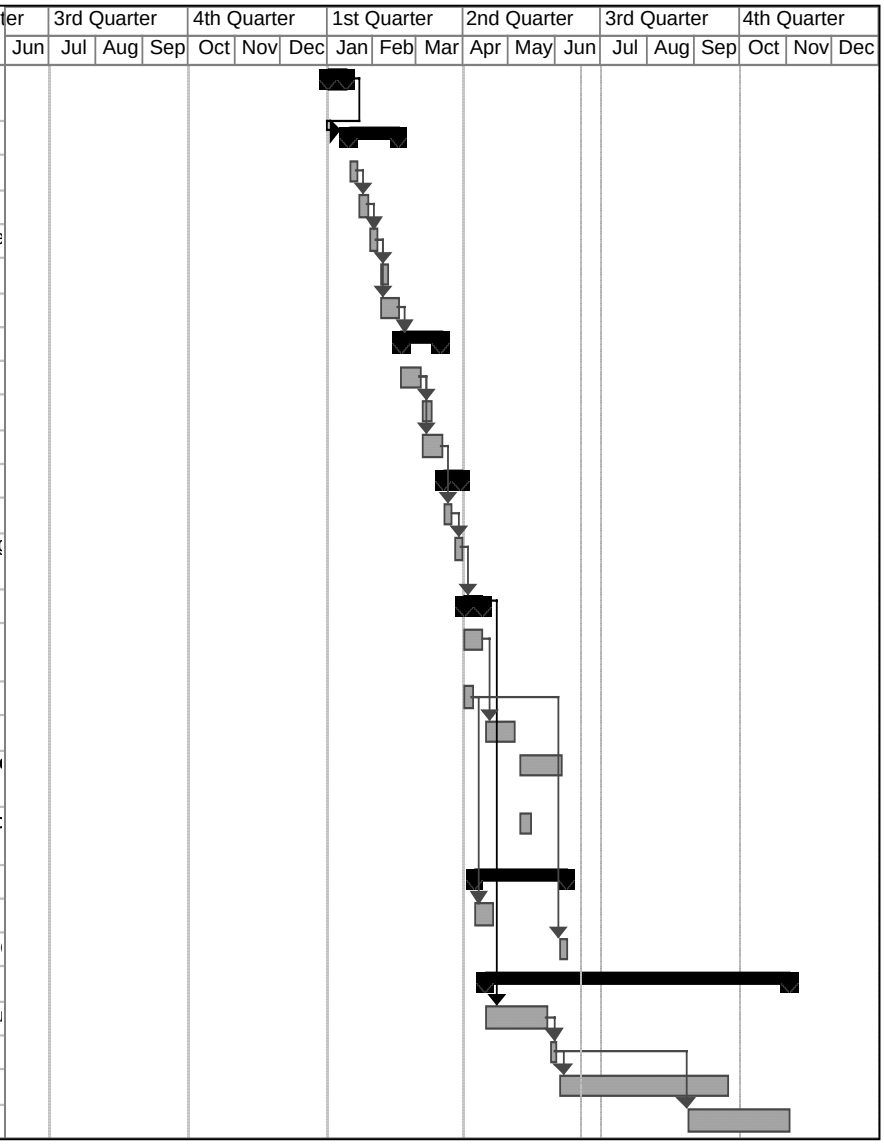
EMS Requirement	Yes	No	N/A	Findings/Remarks	Closed
Facility has established metrics to track performance, relevant operational controls, and conformance with objectives and targets.					
Monitoring and measuring equipment is calibrated and maintained as evidenced by appropriate records.					
Facility has documented procedures for periodically evaluating compliance with relevant environmental laws and regulations.					
Facility has a process for planning, scheduling, and implementing internal environmental regulatory compliance assessments, including the identification of necessary resources.					
Managers and/or supervisors are designated to ensure that control and improvement plans are established, implemented and monitored.					
Module 14: Nonconformance and Corrective and Preventive Action					
Facility has a procedure for defining responsibility and authority for handling and investigating nonconformance.					
Facility has a procedure for taking action to mitigate environmental impacts and for initiating corrective and preventative action.					
Each corrective or preventive action is appropriate in scale to the magnitude of problems and to the environmental impact.					
Facility records and makes changes in documented procedures resulting from corrective and preventive actions.					
Module 15: Records					
Facility has a procedure to identify, maintain, and dispose of environmental records.					
Each activity responsible for maintaining a record has the responsibility for establishing the method for filing and indexing the records for accessibility.					
Facility record procedure is consistent with corporate record retention procedures.					
Module 16: EMS Audits					
Facility has a program and procedure for planning, scheduling and implementing periodic internal EMS audits.					

EMS Requirement	Yes	No	N/A	Findings/Remarks	Closed
An audit schedule exists for each activity to be audited. Audit frequency is based on priority basis that accounts for previous audit results, the relative importance of the activity, and is not be less than once per year for each activity.					
A facility audit team has established a checklist of questions relating to the EMS, which are reviewed and amended as necessary based on audit findings and other factors.					
The facility has a process for audit results to be provided to management for review.					.
Module 17: Management Review					
Management reviews of the EMS are conducted at set intervals.					
The management review addresses the possible need for changes to policy, objectives, process and/or other elements of the EMS.					

EXAMPLES

Example 1-1: Example Schedule for EMS Implementation

ID	Task Name
1	Making the Commitment: Creating a Policy Stament and Determining the Scope
2	**Cross Functional/Implementation Team**
3	Form the team
4	ISO 14001 Implementation Training
5	Conduct GAP Analysis / Self Assessme
6	Develop schedule
7	Define Role and Responsibilities
8	**Aspects & Significant Aspects**
9	Identify Aspects
10	Legal & Other Requirements
11	Determine Significant Aspects
12	**Objectives & Targets**
13	Develop Objectives & Targets
14	Submit Aspects, O&T, and Policy for Mg Review
15	**EMPs**
16	Identify EMP tasks, responsibilities, & completion dates
17	Submit EMPs for management review
18	**Develop operational controls**
19	**Develop monitoring & measurement pro**
20	**Determine roles, responsibilities & autho**
21	**Training Programs**
22	Develop training needs
23	Revise training needs & program proce
24	**Internal Auditing**
25	Develop procedure, checklist, & schedu
26	Internal Audit Training
27	Conduct audits
28	Corrective & preventive actions



Module 2: Environmental Policy

GUIDANCE

Your EMS should be based upon a documented and clearly communicated environmental policy. This policy serves as the foundation for your EMS, and provides a unifying vision of environmental principles that will guide the actions of employees and management. This policy statement serves as the framework for setting environmental objectives and targets, and will be brought to life in your plans and business activities. Note that the scope of your environmental policy statement also will influence the scope of your EMS.

In order to meet the requirements of ISO 14001, your policy must include the following elements:

- Commitment to continued improvement and pollution prevention;
- Commitment to comply with environmental laws and regulations and other requirements to which your organization subscribes;
- Framework for setting and reviewing environmental objectives and targets.

In addition, your environmental policy must be:

- Appropriate in nature, scale, and environmental impacts of your facility's activities, products, or services;
- Documented, maintained, and communicated to all employees; and
- Available to the public.

Hints:

- Apply existing company policies, written or implied. If your current policy is implied, such as a dedication to meet environmental laws, document the concepts in writing.
- Keep your policy simple and understandable, yet explicit. Be direct – the wording in your policy should avoid general statements such as "We are committed to excellence and leadership in protecting the environment" unless you can demonstrate how such a commitment is being met.
- The environmental policy can be a stand-alone document or it can be **integrated** with your health & safety, quality, or other organizational policies.
- Consider involving a **wide range of people** from your organization to develop your policy. This approach should increase commitment and ownership.

- Make sure that your employees **understand** the policy. Options for communicating your policy internally include posting it in the shop floor communication center, breakrooms and bathrooms; using paycheck stuffers; incorporating the policy into training classes and materials; and referring to the policy at staff or all-hands meetings. **Test awareness** and understanding before your audits by asking employees what the policy means to them and how it affects their work.
- The policy also should be communicated **externally**. You can meet this requirement by posting a copy of your policy in the reception area of your plant. More aggressive strategies include placing the policy on business cards, in newspaper advertisements, and in annual reports. How you communicate your policy should be factored into your overall strategy for external communication (see later discussion under "Communications").
- Consider how you would **demonstrate** that you are living by the commitments laid out in the policy.

Exhibit 2-1 is a generic example of an environmental policy. In addition, **Examples 2-1 through 2-4** are examples of actual die casters' policies in use.

REMEMBER: Top management must commit to the environmental policy statement, with the company president or casting division manager signing and dating it.

TOOLS

Exhibit 2-1: Generalized Environmental Policy Template – be sure to adapt to your facility.

[YOUR FACILITY'S NAME] ENVIRONMENTAL POLICY

[Facility Name] is committed to managing environmental matters as an integral part of our business planning and decisions. Manufacturing and environmental protection must continue to be compatible goals. To obtain these goals, we will adhere to the following principles:

COMPLIANCE
We will comply with applicable laws and regulations and will implement programs and procedures to ensure compliance. [Facility Name] shall promote a workplace in which all employees are properly trained to comply with environmental requirements and procedures, to meet environmental program goals, and to take personal responsibility for implementation of the program.

POLLUTION PREVENTION AND RESOURCE MANAGEMENT
We are committed to pollution prevention and the continual improvement of our environmental performance.

We will employ management systems and procedures designed to prevent activities and/or conditions that pose a threat to human health, safety, or the environment, and we will work to minimize our impact on the environment.

COMMUNICATION
We will communicate our commitment to environmental quality and to our company's environmental performance to our employees, vendors, customers, and external stakeholders.

CONTINUOUS IMPROVEMENT
We will measure our progress as best we can and report on our efforts on an annual basis. We will continuously seek opportunities to improve our adherence to these principles and to improve our environmental performance.

Management at all levels of [Your Facility's Name] are responsible for ensuring that this policy is communicated and adhered to by all employees and subcontractors, and that it is made available to interested members of the public.

{Signature} President _____ Date _____

EXAMPLES

Example 2-1: Example Die Caster Environmental Policy

YELLOW DIE CASTING COMPANY
ENVIRONMENTAL MANAGEMENT POLICY

Yellow Die Casting Company intends to meet its customers' needs in a manner protective of God's creation. It will achieve this in the following ways:

1. Develop annual safety and environmental goals and plans.

2. Assess business decisions' impacts on the environment.

3. Conserve energy and reduce waste by recycling or reusing the product.

4. Ensure the entire plant meets or exceeds the standards of current local, state and federal laws, environmental regulations and other requirements.

5. Actively pursue ways to continually improve the manner in which it protects the environment and prevents pollution.

6. Continually train employees to carry out this policy.

7. Measure and report performance to shareholders, employees and the public.

President

Example 2-2: Example Die Caster Environmental Policy

Blue Diecast Corporation
Environmental Management System Policy

Blue Diecast Corporation believes the health and safety of its employees and the protection of the natural environment are critical concerns in the operation of its business.

Therefore, it is the policy of Blue Diecast Corporation to:

- Actively pursue process innovation in order to reduce and eliminate waste from its operations and prevent environmental pollution.

- Routinely review and assess its operations for the purpose of making continual improvements in areas of health, safety and environmental concern, beyond those legally required, where such improvements provide significant benefits.

- Comply with all applicable laws, regulations and standards in its product development, manufacturing, marketing and distribution activities.

Using its established EMS policy, this facility will develop annual safety and environmental goals, and implement action plans in accordance with corporate performance standards to ensure that its operations comply with this policy.

Blue Diecast Corporation will provide the support and resources necessary, as its commitment to these goals and objectives.

All employees have been informed of this policy and are expected to incorporate sound health, safety and environmental practices in the conduct of their jobs.

Example 2-3: Example Die Caster Environmental Policy

Red Die Casting
Environmental Policy Statement

Red Die Casting Co., Inc. is committed to achieving the highest worldwide environmental standard. We are concerned for the well being of our employees and our environment. This policy is designed to address Red's environmental concerns and then insure a continuous commitment to environmental awareness and excellence.

It is the policy of Red Die Casting Co., Inc. to:

* Comply with all applicable federal, state, and local environmental regulations while also complying with other voluntary initiatives to reduce our Environmental Impacts.

* Pursue waste minimization and pollution prevention strategies via the implementing and tracking of targets and objectives that we evaluate quarterly.

* Strive to continually improve our Environmental Management System to become more efficient and environmentally conscious in our operations.

* Routinely train our employees and communicate with our neighbors the applicable aspects of Red's Environmental Management System.

In following our Environmental Policy, Red Die Casting Co., Inc., will become a safer and more environmentally sound company for our employees, customers, suppliers and our community.

_____ _____

President Facility Manager

Example 2-4: Example Die Caster Environmental Policy

ENVIRONMENTAL POLICY
OF
GREEN DIE CASTINGS INCORPORATED

Green Die Castings, Inc. is committed to continually striving to protect its employees and the environment by being responsive and responsible. In achieving that goal we are committed to the prevention of pollution and to the continuing effort of improving the processes and procedures of our facility to be as compatible with our surrounding environment as possible.

To that end, Green Die Castings, Inc. sets out the following Environmental Policy objectives:

1. To comply with any and all applicable laws, regulations, and other applicable requirements to ensure that our organization is a diligent community partner;
2. To establish procedures by which we can continually set and review our environmental objectives and goals to evaluate our compliance and conformance;
3. To develop processes to document, implement and maintain our efforts associated with improving our environmental performance;
4. To create a procedure for effectively communicating this information to the employees of Green Die Castings, Inc.; and
5. To make information about our environmental management system available to the public.

In following this policy, Green Die Castings, Inc. will become a safer and more environmentally sound company for our employees, customers, suppliers and our community.

_____
President

Module 3: Environmental Aspects

GUIDANCE

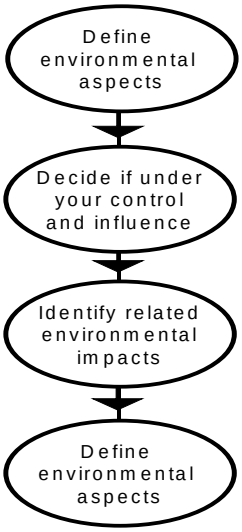
To plan for and control its environmental impacts, an organization must know what these impacts are. But knowing **what** the impacts are is only part of the challenge — you also should know **where these impacts come from** and **which impacts are significant**. Stated another way, *how does your organization (i.e., your products, services, and activities) interact with the environment?*

Environmental aspect (EA): An element of a company's activities, products, or services that can or does interact with the environment (create an environmental impact)

Environmental impact: Any change to the environment, whether adverse or beneficial, resulting from a company's activities, products, or services

You will need to identify environmental **aspects** that the organization:

- can **control,** and
- over which it can **have an influence**.



Your organization **is not expected** to manage issues outside its sphere of influence or control. For example, while your organization probably has control over how much electricity it buys from a supplier, it likely does **not** control or influence the way in which that electricity is generated. Similarly, if your organization manufactures a product that is subsequently incorporated into another product (for example, a bumper that becomes part of an automobile), your organization does not control the environmental aspects of that finished product (the automobile). Thus, your focus should be on the environmental aspects of **your** products or services.

The relationship between aspects and impacts is often one of **cause and effect**. Aspects can be either **positive** (such as making a product out of recycled materials) or **negative** (such as discharging toxic materials to a stream).

Once you have identified the environmental aspects of your products, activities, and services, you should determine which aspects could have significant **impacts** on the environment. Aspects that have one or more significant impacts should be considered **significant environmental aspects**. These significant aspects should be considered when you establish environmental **objectives**, define **operational controls,** perform **monitoring and measurement**, and consider other actions, as discussed later.

Various techniques can be used to identify environmental aspects and evaluate their aspects. For the die casting industry, common methods are by mapping the processes involved in a die casting operation or by looking at materials flow throughout the facility. Process mapping is described below and in **Example 3-3**. Using materials flow to define aspects is described in **Exhibit 3-1** and in **Examples 3-4 and 3-5**. An additional method is by looking at your environmental footprint, a measure of the burden or impact that a product, operation or corporation places on the environment. Life cycle assessment, which is used to assess the full range of impacts of a product, from raw material procurement through product disposal, can be used to determine the environmental footprint. This is a resource-intensive methodology and is described further in ISO 14040-14048.

Getting Started

- Start by assembling your Cross Functional Team (CFT) and reviewing Section 4.3.1 of the ISO 14001 Standard and the associated guidance in Annex A of the Standard. This section of the standard requires that an organization identify the environmental aspects of their activities, products and services.
- To identify your environmental aspects you will need a detailed understanding of all the processes and support activities that allow you to generate products and services. To assist in this process, assemble the following materials:
    - Process flow diagrams
    - Plant diagrams
    - Environmental cost data (waste disposal, permit fees, energy and water use, consultant fees, training, etc.)
    - Material Safety Data Sheets (MSDSs)
    - Incident reports (spills, complaints, fires, etc.)
    - List of legal and other requirements (see Module 4)
- Discuss with the team members the definition of aspects and impacts, and develop a set of impacts to reference - this will help make your list more consistent. For impacts, consider (actual or potential):
    - Waste (scrap metal, waste paper, etc.)
    - Unusable product
    - Natural resource use (water, chemicals, landfill space…)
    - Energy use
    - Air emissions
    - Impact to surface water or sewer system

  - Impact to soil and groundwater (spills/releases)
  - Noise
  - Odors
  - Others (light, radiation, vibration, etc.)

- Determine the categories of activities at your facility (e.g., receiving, melting, casting, parts, trim, machining, inspection, assembly, packaging, and shipping)
- Pick one category and sketch a simple flow chart, noting inputs (chemicals, materials, energy, natural resources…) and outputs (product, emissions, wastes…). Look at the various activities (or aspects) associated with the inputs and the impacts (actual or potential) associated with the outputs. Record the identified aspects and impacts (see example in **Exhibit 3-2**).
- Remember to look at **services** as well as products. While the need to examine on-site operations might be obvious, you also should consider the potential impacts of what you might do **"off-site"** (such as servicing equipment at customer sites). Similarly, the environmental aspects of the products, vendors, and contractors **you use** may be less obvious, but should still be considered. You will also want to consider **normal operating conditions, shut-down** and **start-up situations,** as well as **reasonably foreseeable emergency situations.**
- Section 4.3.1 of the ISO 14001 Standard requires that organizations consider their significant impacts when setting objectives and targets. But which impacts are significant? ISO 14001 does not define the word "significant". Instead, each organization must determine which of its impacts are significant. Your team therefore will define the **criteria** that will be used to determine significance.
  - One criterion may be whether or not the associated aspect is subject to environmental regulation or the subject of already established company policy.
  - Another criterion might be tied to the views of interested parties. One of the commitments of your EMS policy must be good communication with external stakeholders. Thus, the aspects that they consider important, perhaps ones they have lodged complaints about, could be significant in your EMS.
  - Other criteria often include the magnitude, frequency, and duration of the impact.
- Some organizations use a numerical scoring system (see **Examples 3-4 and 3-5**); others simply use a criteria based approach.
- You may choose to use the **procedures** and **forms** in the tools provided at the end of this section to capture some of your ideas. Using these worksheets will give you a "jump start" on implementing this EMS element. You may also refer to **Exhibit 3-1** for a Sample Procedure for Environmental Aspects Identification and Significant Aspects Determination.
- Once you have identified environmental aspects, impacts, and significant environmental aspects you will use this information as a basis for setting your objectives and targets which will be discussed in Module 5. You must effectively manage and control all

aspects that are significant as a result of being subject to environmental regulations. **This does not mean that you need to improve your performance on all of your significant aspects at once**. There may be good reasons (such as cost, availability of technology, or scientific uncertainty) for making environmental improvements regarding some significant aspects now while deferring action on others.

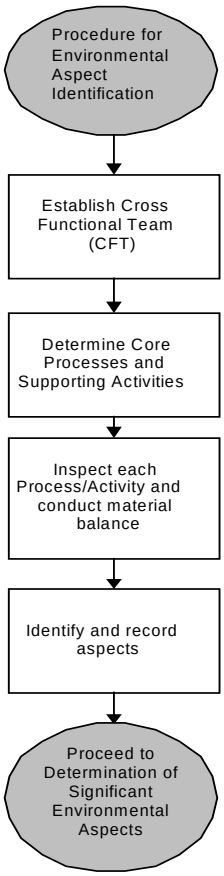
TOOLS

Exhibit 3-1: Sample Procedure for Identification of Environmental Aspects and Determination of Significant Aspects

Purpose

This procedure defines the method for the identification of environmental aspects of the [Your Facility's Name] operations and determination of significance for aspects that have actual or potential significant impacts on the environment.

Procedure for Environmental Aspect Identification



Responsibilities of the CFT

The facility Cross Functional Team (CFT) led by the Environmental Management Representative (EMR) or his designee is responsible for completing the form for each core process and supporting activity within a facility. If possible, members of the CFT must conduct a physical inspection when completing this form. The completed form is a material balance of a process or activity and is used to identify Environmental Aspects.

At a minimum, the CFT will review and revise the completed forms, by means of physical inspection, as necessary at issuance, annually, prior to and immediately following implementation of new or modified processes/activities.

All environmental aspects are evaluated for significance as defined in the Procedure for Determination of Significant Environmental Aspects section.

Conducting a Material Balance

The following procedure is used to fill out the Aspect Identification portion of **Exhibit 3-2**, **Identification and Significance Determination of Environmental Aspects.**

The material balance consists of identifying all raw materials, chemicals, and utilities used as inputs along with their relative usage rates, and all output as product and by-products produced.

The latter is all wastes produced, all recycled materials, water discharges, and air emissions known for the process(es), and any available rates of production.

For inputs and outputs, identify the category of aspects, the mode of operation under which the aspect is conducted (normal, startup, shutdown, or emergency), and the quantity or volume used per month.

Inputs

- Supplies: Enter the major, non-chemical supplies used in the process.
- Chemical: Enter any chemical materials used in the process.
- Energy Use: Enter energy type and usage. (Levels are relative to the facility.)
- Water Use: Enter water type (e.g. city, well, storm, process, chilled) and usage. (Levels are relative to the facility.)
- Other Input: Enter inputs that are not covered clearly in other categories.

Outputs

- Products: List all products produced by the process specifically produced for sale. Recyclable and Chemical By-Product (e.g., Rebond) outputs are entered in the waste section.
- Air Emissions: List all air emissions whether they are drawn directly through a stack or are discharged into the room and escape as fugitive emissions.
- Noise/Odor/Radiation: Include noise and odor as an air emission if potentially noticeable outside the facility and list any potential radiation emitted from the facility.
- Water Discharges: Enter all wastewater streams that discharge directly to storm or sanitary sewer systems or surface waters. Containerized wastewater should be included in the waste section.
- Solid / Residual Wastes: Wastes are any materials intended to be discarded or disposed of, whether regulated or not, and include liquids, solids, and gases. Also include recycled materials, returnable containers, and chemical by-products under this category
- Storm Water Discharges: List all storm water discharges from all process areas
- Spills: Enter all potential spills that might occur in all process areas.

Procedure for Determination of Significant Environmental Aspects

Where appropriate, individual aspects can be grouped. (For example, if consumption of energy is listed as an environmental aspect in several areas, the CFT could choose to group these listings such that consumption of energy appears just once on a facility-wide form.)

Using the Significance Determination portion of **Exhibit 3-2**, the CFT or a subset thereof shall evaluate, using its best judgment, each identified aspect and determine whether or not it is significant. The environmental aspects of [Your Facility's Name] may be considered by the CFT to be "significant" where the aspect has an impact on the environment and meets one or more of the following criteria:

1. Subject to specifically relevant legislation, regulation and/or permit requirements that address significant impacts to the environment. This will likely include aspects associated with processes and activities if (1) environmental regulations specify controls and conditions, (2) information must be provided to the authorities, and/or (3) there are or may be periodic inspections or enforcements by the authorities. Potential aspects that are subject to environmental regulations in the event of incidents will be recognized as significant when such as event occurs.
2. Subject to or associated with environmentally-related company goals, directives, policies or subject to or associated with voluntary covenants to which the company had committed.
3. Subject to or associated with community concerns, such as those previously expressed in the form of complaints or critical inquiry. This criterion only shall be reviewed when an aspect is not significant because criteria 1 or 2 apply.
4. Based on technical and business conditions, has a high potential for pollution prevention or resource-use reduction. This criterion only shall be reviewed when an aspect is not significant because criteria 1 or 2 apply.
5. Associated with potential release to the environment from the high environmental loading due to one or more of the following:
    a. Toxicity (compositional characterization of materials and wastes)
    b. Amounts (volumes and masses of release)
    c. Amounts (consumption of renewable and non-renewable resources)
    d. Frequency of episodes
    e. Severity of actual or potential impacts

    This criterion only shall be reviewed when an aspect is not significant because criteria 1 or 2 apply.

Frequency

This procedure is to be repeated at least annually, if not more frequently. More frequent updates apply especially to new project or processes that effect the list of the facility's significant aspects.

Records

Exhibit 3-2 is maintained by the Environmental Management Representative (EMR) or his designee.

Exhibit 3-2: Sample Form for Identification and Significance Determination of Environmental Aspects

Person Completing Form: _____ Area/Process: _____ Date: _____

ASPECT IDENTIFICATION			SIGNIFICANCE DETERMINATION							OBJECTIVES AND TARGETS	
Category/ Aspect	**Mode** SD=shutdown, ST=startup, NM=normal, E = emergency	**Quantity or Volume (e.g. lbs/month)**	**Legal Requirements**	**Company goal or policy**	**Community Concern**	**Potential Release to the Environment**	**Pollution Prevention Potential**	**I or S**	**Rationale for Significance (S) or Insignificance (I)**	**Objective & Type** C = control or maintain S = study or investigate I = improve	**Target**
Supplies:											
Chemicals:											
Energy Use:											
Water Use:											
Products:											
Air Emissions:											
Noise/Odor/Radiation:											

ASPECT IDENTIFICATION			SIGNIFICANCE DETERMINATION							OBJECTIVES AND TARGETS	
Category/ Aspect	**Mode** SD=shutdown, ST=startup, NM=normal, E = emergency	**Quantity or Volume (e.g. lbs/month)**	**Legal Requirements**	**Company goal or policy**	**Community Concern**	**Potential Release to the Environment**	**Pollution Prevention Potential**	**I or S**	**Rationale for Significance (S) or Insignificance (I)**	**Objective & Type** C = control or maintain S = study or investigate I = improve	**Target**
Water Discharges:											
Solid Wastes:											
Storm Water Discharges:											
Spills:											
Other inputs and outputs:											

EXAMPLES

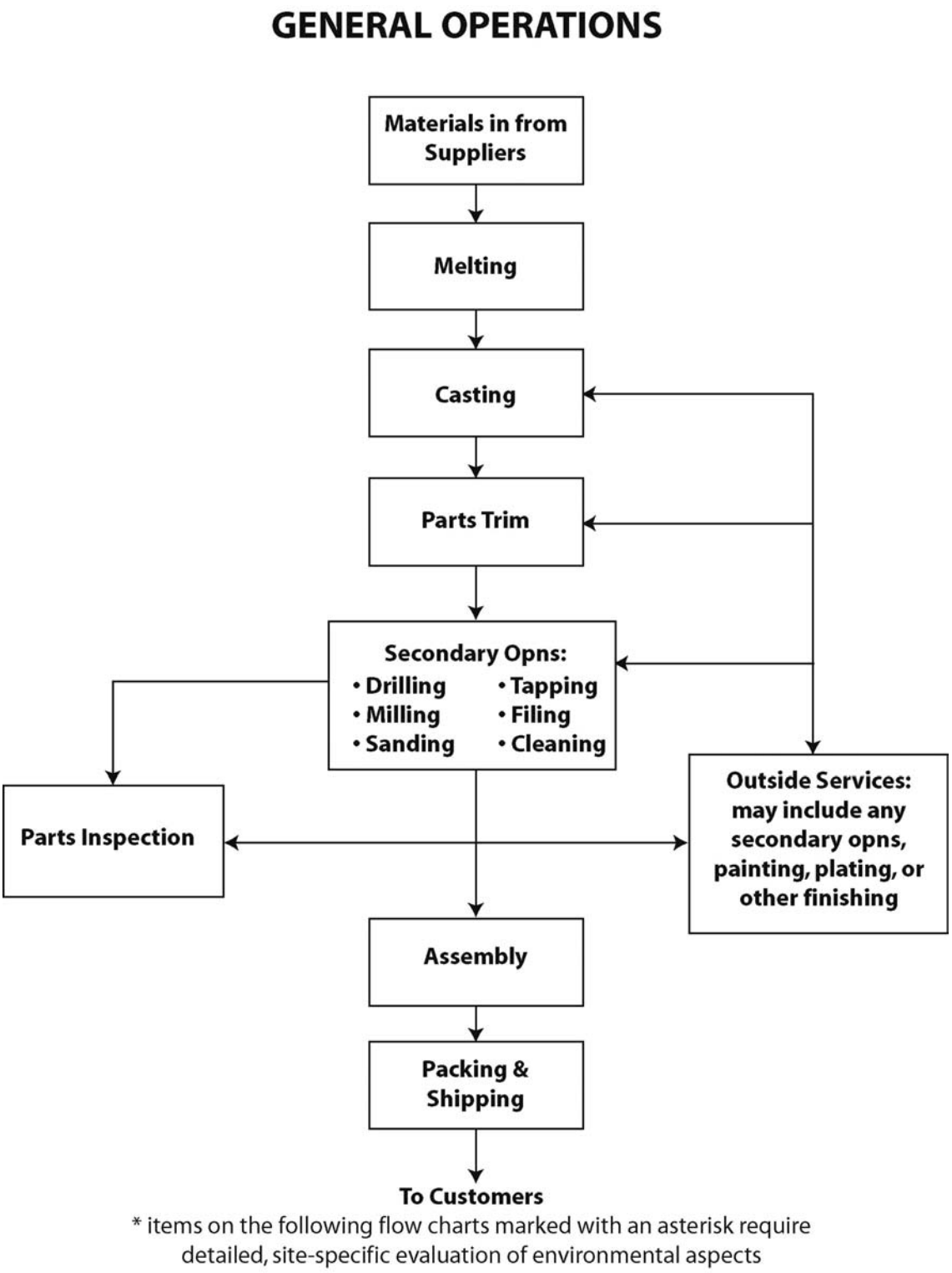
The following examples provide step-by-step guidance on identifying environmental aspects and determining significance of environmental aspects in the Die Casting Industry.

- **Example 3-1** provides examples of links between aspects and impacts.
- **Example 3-2** provides several flow diagrams of the main levels (or components) of die casting activities. A General Operations flow chart is shown, and then specific activities (aluminum casting and assembly/shipping) are displayed. These charts are from the NADCA "Blueprint to ISO 14001."
- **Example 3-3** provides an example of the typical environmental aspects associated with an aluminum die caster. This die caster identified aspects and impacts by looking at the processes involved in their operation.
- **Example 3-4** is an example of a numerical scoring system approach used by one die caster. Both the criteria used (**Example 3-4a**) and the implementation of the system for two processes (**Example 3-4b**) are shown.
- **Example 3-5** demonstrates a different scoring system used by another die caster.

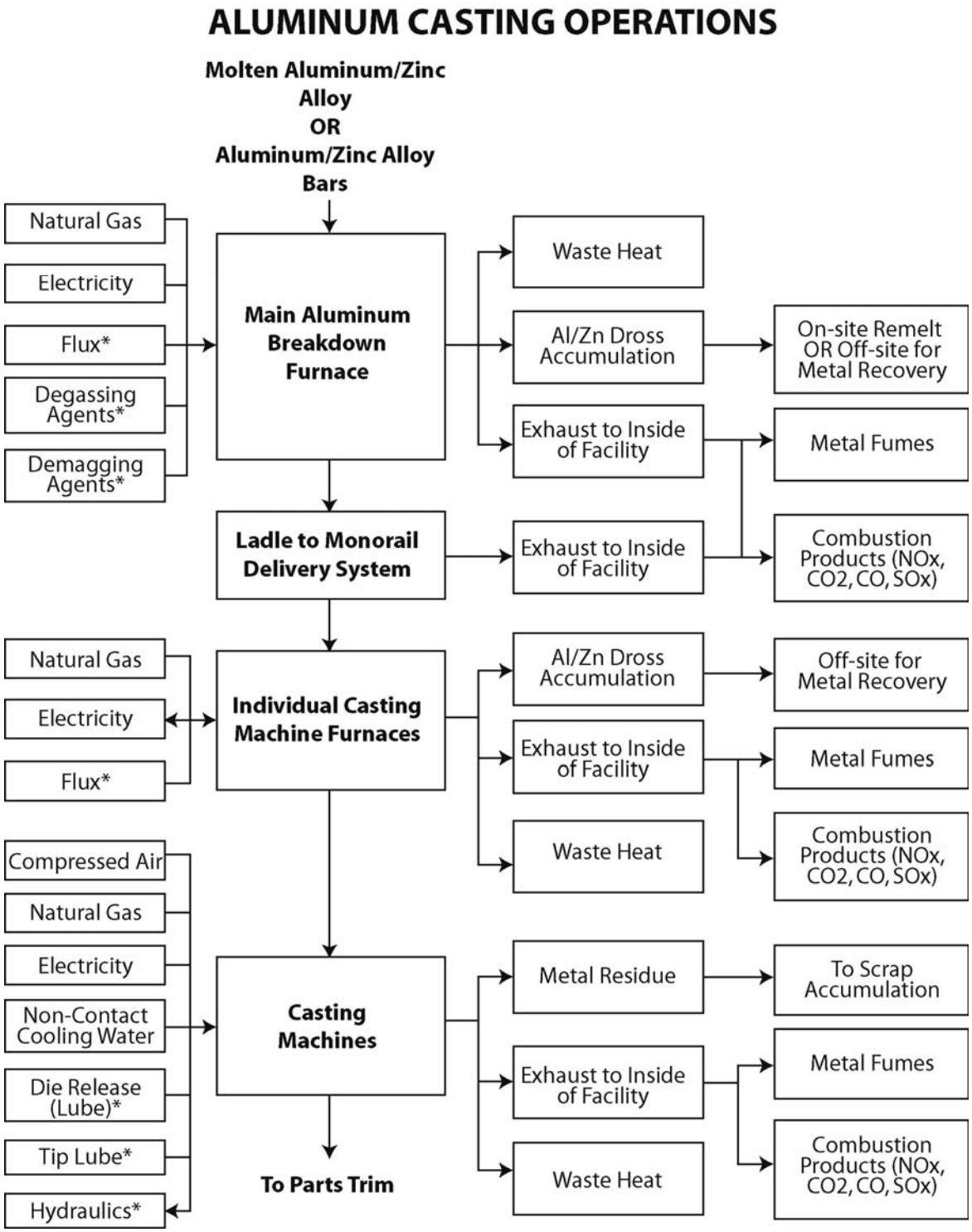
Example 3-1: The Link Between Aspects and Impacts

Aspects	Potential Impacts
Emissions of fugitive dust	Decreased visibility at ground level
Discharges to sanitary sewer	Upsets and disruptions at local Publicly-Owned Treatment Works (POTW)
Spills and leaks	Soil and groundwater contamination
Electricity use	Air pollution, global warming
Use of recycled paper	Conservation of natural resources

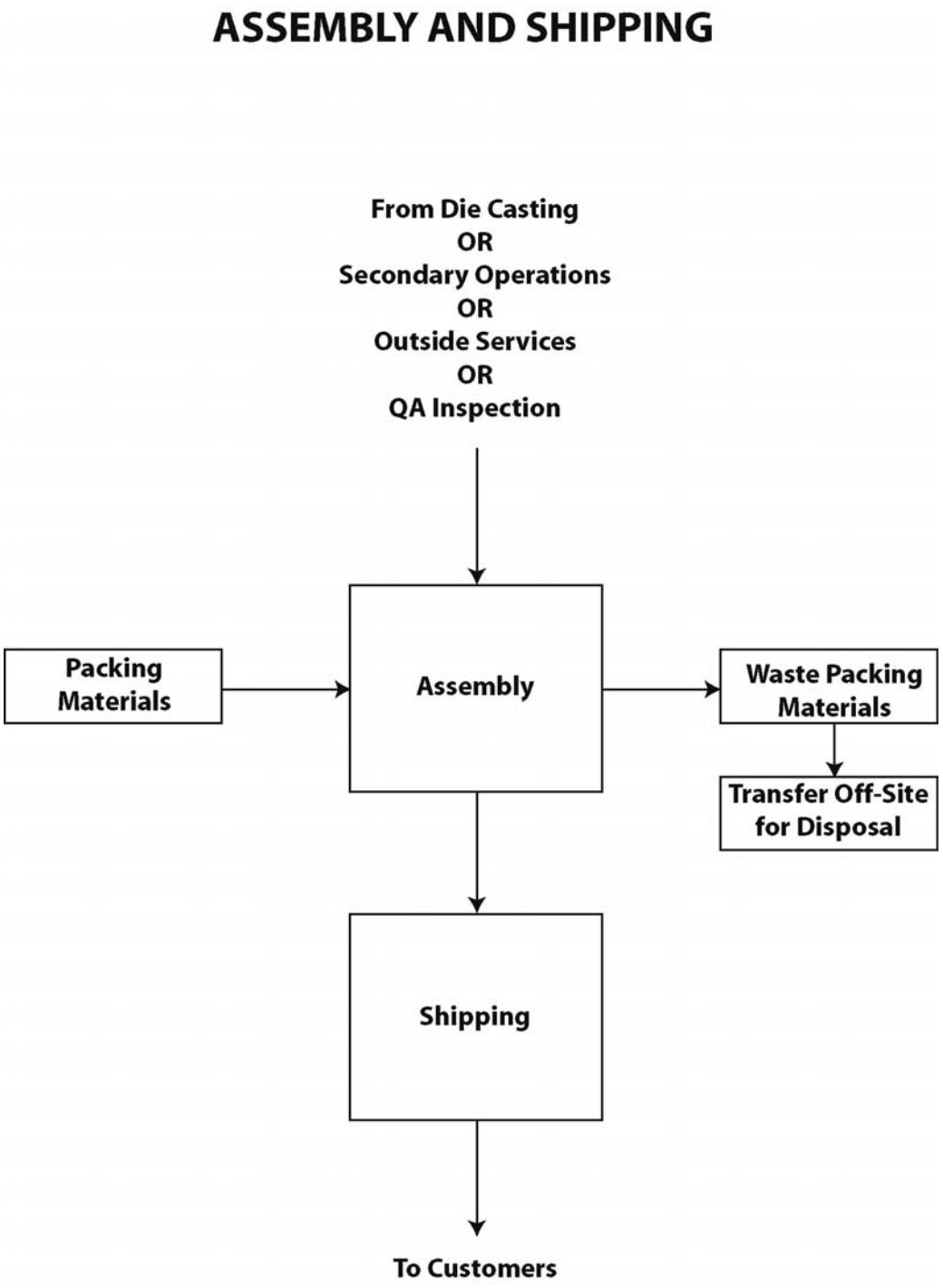
Example 3-2: Flow Diagrams of Typical Die Casting Processes



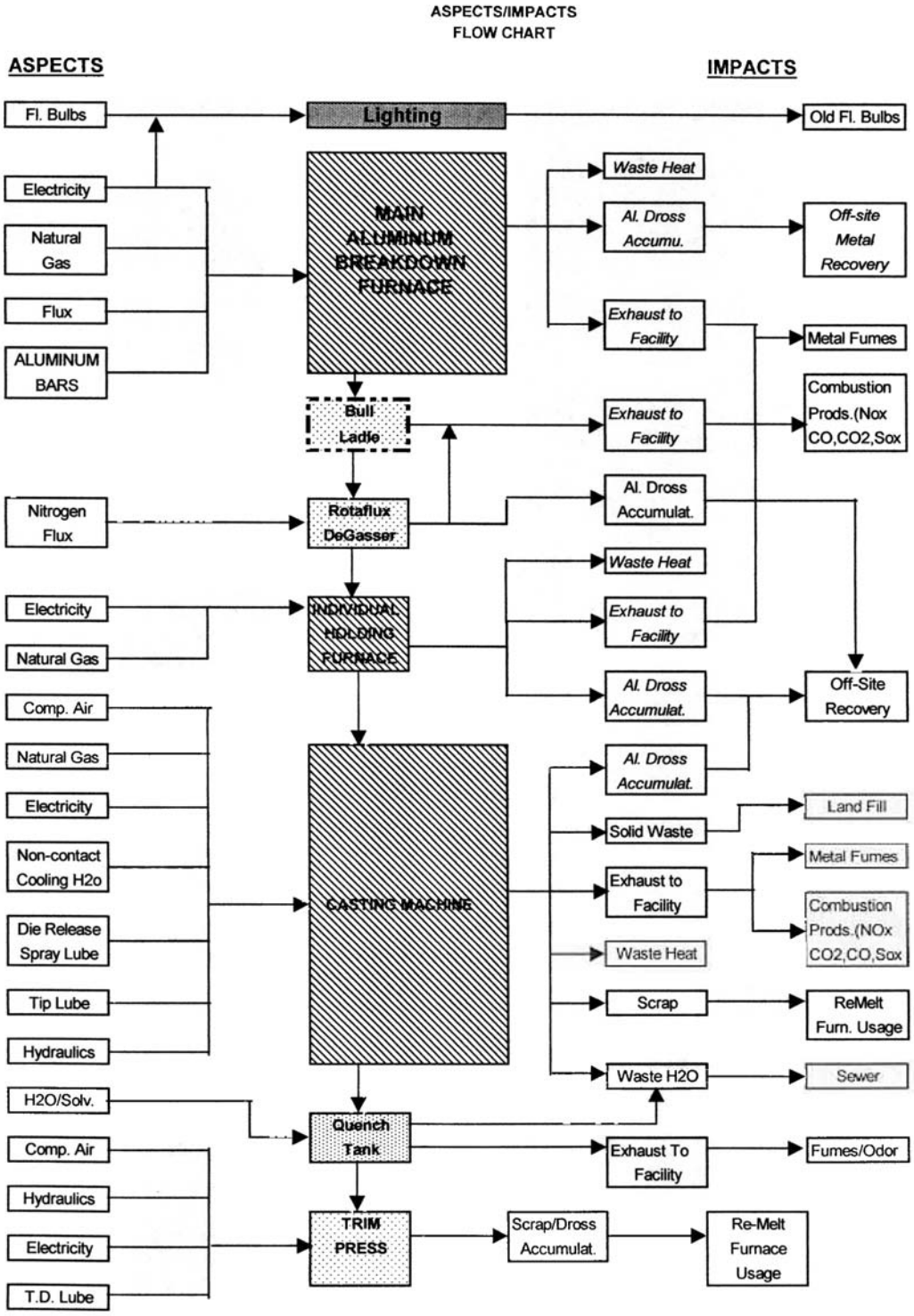
Example 3-2: Flow Diagrams of Typical Die Casting Processes (continued)



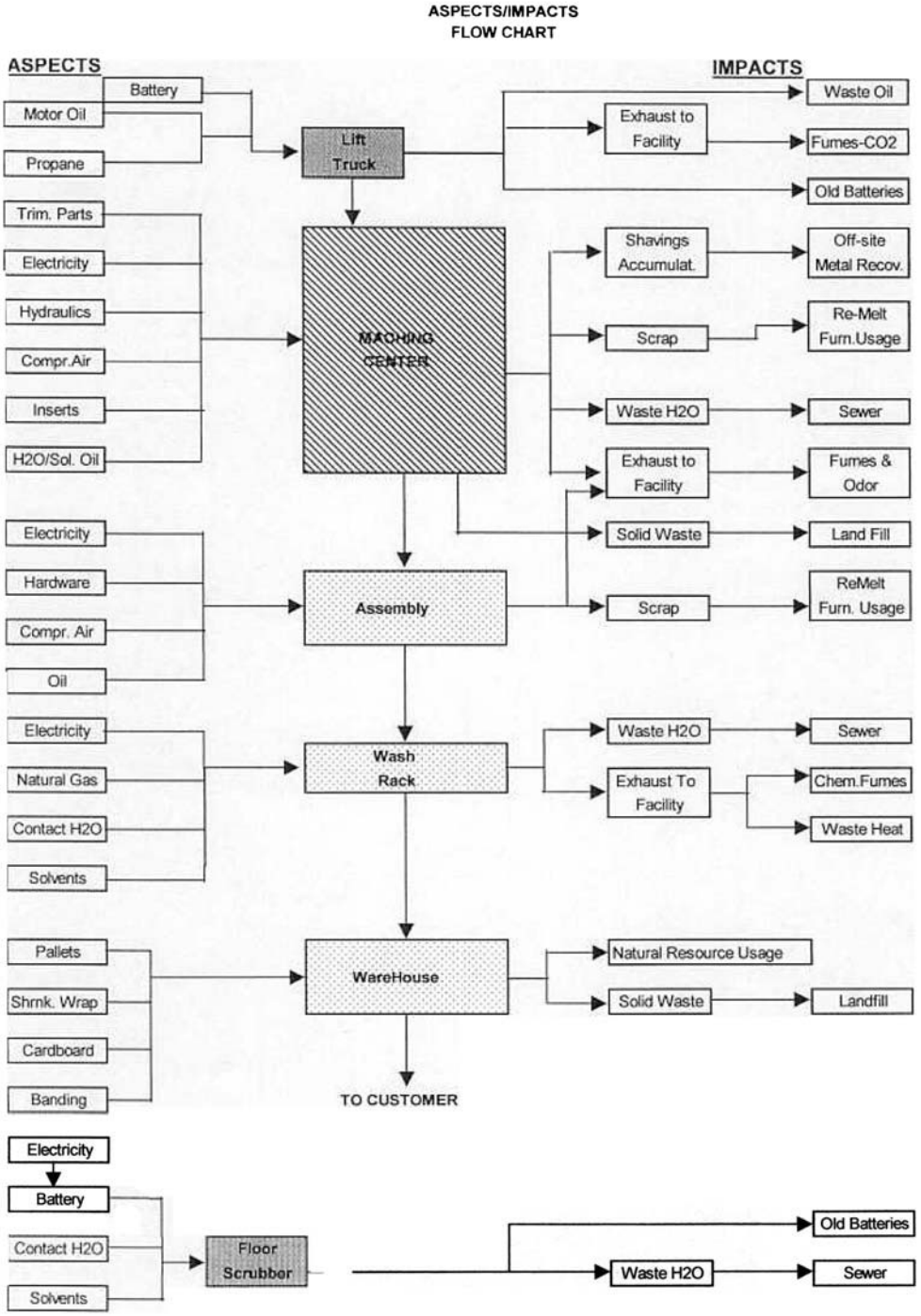
Example 3-2: Flow Diagrams of Typical Die Casting Processes (continued)



Example 3-3: Identification of Environmental Aspects of a Die Casting Operation



Example 3-3: Identification of Environmental Aspects of a Die Casting Operation (continued)



Example 3-4a: A Numerical Scoring System Approach (Definitions)

Criteria	None = 1	Low = 2	Medium = 3	High = 4
Public Health	no public health impacts; no awareness or inquiry	A possibility of minor public health impacts; localized public inquiry or complaints	a possibility of moderate adverse public health impacts or multiple complaints	possibility of fatalities or widespread human health effects
Environment	Environmental impacts not expected; no natural resource damage.	Environmental impacts limited to a relatively small area.	Local environmental impacts with degradation of sensitive habitat or potential impact to natural resources.	Regional or greater environmental impacts with severe impacts to habitat or extensive impact to natural resources.
Legal	No regulatory or legal obligation	a low possibility that a law would be broken or low regulatory action would be generally expected	a moderate possibility that an environmental law could be broken and that the company would be served with a notice of violation (NOV).	the company would be likely to be served with one or more NOVs, fines, and/or (a) major legal action(s).
Reputation	No possible impact to reputation	Low possibility of damage to Premier's reputation or transitory effects only	Moderate potential for local media coverage with short term impacts to Premier's reputation.	the environmental event could jeopardize Premier's license to operate, receive national media attention, or have long term (beyond 3 months) impacts to Premier's reputation.
Business Interruption (Impact on Customer)	No potential to shut down operations.	Premier's operation shutdown without impact to customer.	Shutdown of Premier's plant and Shutdown of customer.	Shut down of Premier's plant and shutdown the assembly plant.
Economic Operational & Maintenance Costs	Little or no impact on O&M	Small impact on O&M (< $1000)	Moderate impact on O&M ($1000 - $10000)	Large impact on O&M (>$10000)
Criteria	**Low = 1**	**Medium = 2**	**High = 3**	**Very High = 4**
Frequency	Under normal operational mode activity, product or service (APS) occurs less frequently than once a year	Under normal operational mode APS occurs monthly to annually	Under normal operational mode APS occurs weekly to monthly	Under normal operational mode APS occurs weekly or more frequently
Criteria	**Very High = 1**	**High = 2**	**Medium = 3**	**Low = 4**
Control	Existing controls are considered to be adequately protective of the public health, environment, and are certain to protect against impact or legal violations	Operational controls are in place, and are likely to protect against impact or legal violations	Limited operational controls are in place and there is some uncertainty regarding the adequacy of existing controls	No operational controls are in place or existing controls are known to be inadequate.

Example 3-4b: A Numerical Scoring System Approach (Implementation)

	Process/Activity =	Die Cast		Aspect Score (1-4)									
	Aspects	**Impacts**	**Comments**	**Public health**	**Environment**	**Legal**	**Reputation**	**Business Interruption**	**Economic O&M Cost**	**Combine Rank**	**Frequency**	**Control**	**Score**
Inputs													
	Aluminum ingots	Natural resource consumption		1	1	2	1	2	4	11	4	1	44
	Scrap (Aluminum)	Natural resource management	Recycle scrap	1	1	2	1	1	4	10	4	1	40
	Cardboard	Natural resource consumption	Check on cost of cardboard & disposal	1	2	1	1	1	3	9	3	1	27
	Skids	Natural resource consumption	Check on cost of skids purchased and recycled	1	2	1	1	1	3	9	2	1	18
	Steel bands	Natural resource management		1	1	1	1	1	1	6	3	1	18
	Plastic bags	Natural resource consumption		1	1	1	1	1	1	6	3	1	18
	Gas	Natural resource consumption		1	2	1	1	4	3	12	4	2	96
	Flux	Natural resource consumption		1	2	2	2	2	2	11	4	2	88
	Refractory	Natural resource consumption		1	1	1	1	1	2	7	4	1	28
	Cer Wool	Natural resource consumption		1	1	1	1	1	2	7	3	1	21
	Cones	Natural resource consumption		1	1	1	1	2	2	8	4	1	32
	Natural gas	Natural resource consumption		2	2	2	2	3	4	15	4	1	60
	Air filters	Natural resource consumption		1	1	1	1	1	2	7	2	1	14
	Oil filters	Natural resource consumption		1	1	1	1	1	2	7	2	1	14
	Ladel lauder elements			1	1	1	1	2	3	9	4	1	36
	Tip lube	Natural resource consumption		1	2	1	1	1	2	8	3	1	24
	Shot beads			1	1	1	1	2	2	8	4	1	32
	Die lube	Natural resource consumption		1	2	1	1	1	2	8	4	1	32
	Anti-solder wax	Natural resource consumption		1	2	1	1	1	1	7	4	1	28

Example 3-4b: A Numerical Scoring System Approach (Implementation)													
	Process/Activity =	**Die Cast**		Aspect Score (1-4)									
	WD 40	Natural resource consumption		1	2	1	1	1	2	8	4	1	32
	Beeswax	Natural resource consumption		1	1	1	1	1	1	6	3	1	18
	Die grease	Natural resource consumption		1	1	1	1	1	2	7	4	1	28
	Water	Natural resource consumption		1	1	1	2	2	4	11	4	1	44
	Hot oil	Natural resource consumption		1	1	1	1	1	3	8	4	1	32
	Water glycol	Natural resource consumption		1	1	1	1	2	3	9	4	1	36
	Linkage lube	Natural resource consumption		1	1	1	1	1	2	7	4	1	28
	Quench water	Natural resource consumption		2	2	2	2	1	2	11	4	1	44
	Quench lube	Natural resource consumption		2	2	2	2	1	2	11	4	1	44
	Tapping fluid	Natural resource consumption		1	2	1	1	1	2	8	4	1	32
	Hydraulic fluid	Natural resource consumption		1	2	1	1	2	3	10	4	1	40
	Dies	Natural resource consumption		1	1	1	1	3	4	11	4	1	44
	Mold savers			1	1	1	1	2	1	7	4	1	28
	Compressed air		Redundant system	1	1	1	1	1	3	8	4	1	32
	Nitrogen	Natural resource consumption		1	1	2	2	1	2	9	4	1	36
	Oxyacetylene			1	1	1	1	1	2	7	4	1	28
	Culligan water chemicals			1	2	1	2	1	2	9	3	1	27
	Fire extinguishers			1	1	1	1	1	1	6	1	1	6
Outputs													
	Scrap shrink wrap	Landfill space reduction		1	1	1	1	1	1	6	4	2	48
	Steel bands	Landfill space reduction		1	1	1	1	1	1	6	4	2	48
	Flue gases (air emissions)	Air quality degradation	Contains vaporized flux, oil, and other additives	3	3	2	2	1	1	12	4	2	96
	Heat (energy)	Natural resource consumption		1	1	2	1	2	1	8	4	2	64
	Dross		Contract for reclaim	1	1	1	1	1	1	6	4	1	24
	Castings	Natural resource consumption		1	1	1	1	2	1	7	4	2	56
	Scrap (Aluminum)	Natural resource management	Recycle (Re-melt)	1	1	2	1	1	3	9	4	1	36
	Water + additives	Water quality	See Grounds							0			0
	Ladel Lauder elements	Landfill space reduction		1	1	1	1	1	2	7	3	1	21
	Cardboard	Landfill space reduction		1	1	1	1	2	3	9	4	1	36
	Skids	Natural resource management	Reuse / Contract to recycle	1	2	1	1	3	3	11	4	1	44

Example 3-4b: A Numerical Scoring System Approach (Implementation)												
	Process/Activity =	**Die Cast**		Aspect Score (1-4)									
	Used oil filters	Landfill space reduction		1	2	1	2	1	2	9	2	1	18
	Used air filters	Landfill space reduction		1	2	1	2	1	2	9	2	1	18
	Used extinguishers	Chemical reclaim	Contract to outside service	1	1	1	1	1	1	6	2	1	12

Example 3-4b: A Numerical Scoring System Approach (Implementation)

	Process/Activity =	**Tool Room**		Aspect Score (1-4)									
	Aspects	**Impacts**	**Comments**	**Public health**	**Environment**	**Legal**	**Reputation**	**Business Interruption**	**Economic O&M Cost**	**Combine Rank**	**Frequency**	**Control**	**Score**
Inputs													
	Dies		Production & new	1	1	1	1	2	2	8	4	1	32
	Steel			1	1	1	1	1	2	7	4	1	28
	Electrodes		Carbon	1	1	1	1	2	1	7	3	1	21
	Welding supplies		Tig, wire & stick	2	2	1	1	2	2	10	4	1	40
	Cutting fluids			2	2	1	1	1	2	9	4	1	36
	Caustic soda		Neutralized, waste pond	2	2	2	2	1	1	10	2	2	40
	Solvent (stoddard)		Cleaning only	2	2	1	1	1	2	9	3	1	27
	Kerosene			1	2	1	1	1	2	8	4	1	32
	Blueing			1	1	1	1	1	2	7	4	1	28
	Grinding stones			1	1	1	1	1	2	7	4	1	28
	Carbide cutting tools			1	1	1	1	1	3	8	4	1	32
	Sanding discs			1	1	1	1	1	2	7	4	1	28
	Hot oil		Working Dies	1	2	2	2	1	1	9	4	1	36
	Water		Working Dies	1	2	2	2	1	1	9	4	1	36
	BeCu Tips			1	1	1	1	3	1	8	4	1	32
Outputs													
	Steel chips	Conservation reprocessed	Waste handler / Recycling	1	1	1	2	1	2	8	4	1	32

Example 3-4b: A Numerical Scoring System Approach (Implementation)													
	Process/Activity =	**Tool Room**		Aspect Score (1-4)									
	Scrap metal	Conservation reprocessed	Waste handler / Recycling	1	1	1	2	1	2	8	4	1	32
	Grinding dust (steel)	Conservation reprocessed	Waste handler / Recycling	2	2	1	2	1	2	10	4	1	40
	Scrap cutting tools	Conservation reprocessed	Sold for recycling	1	1	1	1	1	1	6	3	1	18
	BeCu tips	Conservation reprocessed	Reused / Sold for recycling	1	1	1	1	1	1	6	3	1	18
	BeCu chips	Conservation reprocessed	Sold for recycling	1	1	1	1	1	1	6	3	1	18
	Caustic soda		Neutralized to waste tank	2	1	3	2	1	2	11	1	3	33
	Waste Water		See Grounds							0			0
	Waste Oils		See Grounds							0			0
	Shop Rags	Conservation	Contract Cleaning Service	1	1	1	1	1	2	7	4	1	28

Example 3-5: A Second Numerical Scoring System Approach

ISO14001 ASPECTS, IMPACTS, AND SIGNIFICANCE REGISTER

1 - ASPECT IDENTIFICATION					2 - SIGNIFICANCE DETERMINATION								3 - OBJECTIVES & TARGETS	
CATEGORY	ASPECTS / SOURCE	ANNUAL USAGE	SOURCE	POSSIBLE IMPACT	LEGAL REQUIREMENTS	COMPANY GOALS/POLICY	PUBLIC CONCERNS	POTENTIAL RELEASE TO THE ENVIRONMENT	POLLUTION PREVENTION POTENTIAL	FREQUENCY PROBABILITY	RANKING NUMBER	SIGNIFICANCE DETERMINATION	OBJECTIVE & TYPE M = MAINTAIN OR CONTROL S = STUDY OR INVESTIGATE I = IMPROVE	TARGET
INPUTS:														
SUPPLIES:	ALUMINUM	1137T	MELT	USE OF NATURAL RESOURCE	0	3	0	1	0	2	6	S	Increase net production yield (S,I)	
	HARDWARE		ASSEMBLY	USE OF NATURAL RESOURCE	0	1	0	1	0	1	3	I	(M)	
	INSERTS		DIE CAST	USE OF NATURAL RESOURCE	0	0	0	1	0	1	2	I	(M)	
	CARDBOARD		CARTONING	USE OF NATURAL RESOURCE	0	2	0	1	0	2	5	I	(M)	
	SHRINK WRAP		SHIPPING	USE OF NATURAL RESOURCE	0	2	0	1	0	2	5	I	(M)	
	BANDING, PLASTIC		SHIPPING	USE OF NATURAL RESOURCE	0	1	0	1	0	2	4	I	(M)	
	PALLETS		CARTONING	USE OF NATURAL RESOURCE	0	2	0	1	0	2	5	I	(M)	
CHEMICALS:	FLUX		MELT OF METAL	SOIL & GROUNDWATER CONTAMINATION	1	0	0	1	1	1	4	I	M	
	NITROGEN		DEGAS ALUMINUM	AIR EMISSIONS	2	0	0	1	1	1	5	I	(M)	
	TRIM SOLUTION		LUBRICANT	SOIL & GROUNDWATER CONTAMINATION	1	1	0	1	1	1	5	I	(M)	
	DIE LUBE		LUBRICANT	SOIL & GROUNDWATER CONTAMINATION	2	1	0	1	1	1	6	I	(M)	
	ANTI SOLDER WAX		LUBRICANT	SOIL & GROUNDWATER CONTAMINATION	1	0	0	1	0	1	3	I	(M)	
	WD-40		LUBRICANT	SOIL & GROUNDWATER CONTAMINATION	1	0	0	1	0	0	2	I	(M)	
	CLEANERS		PARTS WASHER	SOIL & GROUNDWATER CONTAMINATION	2	1	0	1	0	1	5	I	(M)	
	MORPHOLENE		DC MACHINE	SOIL & GROUNDWATER CONTAMINATION	2	2	0	0	0	1	5	S	Control usage (S,M)	
ENERGY	NATURAL GAS		FURNACES	USE OF NATURAL RESOURCE	1	3	0	1	1	3	9	S	Reduce usage (S,I)	

ISO14001 ASPECTS, IMPACTS, AND SIGNIFICANCE REGISTER

1 - ASPECT IDENTIFICATION					2 - SIGNIFICANCE DETERMINATION								3 - OBJECTIVES & TARGETS	
CATEGORY	**ASPECTS / SOURCE**	**ANNUAL USAGE**	**SOURCE**	**POSSIBLE IMPACT**	**LEGAL REQUIREMENTS**	**COMPANY GOALS/POLICY**	**PUBLIC CONCERNS**	**POTENTIAL RELEASE TO THE ENVIRONMENT**	**POLLUTION PREVENTION POTENTIAL**	**FREQUENCY PROBABILITY**	**RANKING NUMBER**	**SIGNIFICANCE DETERMINATION**	**OBJECTIVE & TYPE M = MAINTAIN OR CONTROL S = STUDY OR INVESTIGATE I = IMPROVE**	**TARGET**
USE:														
	ELECTRICITY		PLANT-WIDE USAGE	AIR POLLUTION, GLOBAL WARMING	1	3	0	1	1	3	9	S	Reduce usage (S,I)	
	PROPANE		LIFT TRUCKS	USE OF NATURAL RESOURCE	1	1	0	1	2	2	7	S	Reduce usage (S,I)	
	GASOLINE		LIFT TRUCKS	SOIL & GROUNDWATER CONTAMINATION	1	0	0	1	1	2	5	S	Prevent any spills or leaks (S,M)	
WATER USE:	CITY WELL		USAGE	USE OF NATURAL RESOURCE	1	3	0	2	1	1	8.0	S	Reduce usage (S,I)	

Module 4: Legal and Other Requirements

GUIDANCE

Setting the legal framework for your EMS

Section 5.4.3 of ISO 14001 requires organizations to define and have access to their legal and other requirements. Compliance with these legal requirements is one of the main pillars upon which your environmental policy should be based. The potential costs of non-compliance (possible damage to the environment, revenue loss and impact on public image, for example) can be very high.

An effective EMS will build on what you already have and should include processes to:

- identify and communicate applicable legal and other requirements and
- **ensure** that these requirements are factored into the organization's management efforts.

New or revised legal requirements might require modification of your environmental objectives or other EMS elements. By **anticipating new requirements** and making changes to your operations, you might avoid some future compliance obligations and their costs.

Getting Started

Your EMS should include a procedure for **identifying, having access to, and analyzing** applicable legal and other requirements. "Other requirements" might include industry codes of practice or similar requirements to which your organization might subscribe.

Legal requirements include, but are not limited to:

- Federal Requirements
- State and Local Requirements
- Permit Conditions

Other requirements might include:

- Customer needs (such as maintaining an ISO 14001 system, packaging, labeling, etc.)
- Parent Company or Corporate requirements
- Industry or trade group codes of practice
- EMS Requirement (like reviewing the legal and other requirements list annually)
- Neighborhood or community associations

Exhibit 4-1 will help you get started on evaluating your legal requirements. Identifying applicable regulations, interpreting them, and determining their impacts on your operations can be a time-consuming task. Fortunately, there are many sources for obtaining information about applicable laws or regulations. These sources include:

- commercial services (with updates offered on-line, on CD-ROM, or in paper form);
- regulatory agencies (federal, state, and local);
- North American Die Casting Association;
- the Internet;
- consultants and attorneys; and
- customers, vendors and other companies.

Exhibit 4-2 provides a more comprehensive list. See **Example 4-1** for a comprehensive list of environmental laws applicable to a die casting facility.

Once the applicable environmental requirements have been identified and adopted into the appropriate operations, **communicate** these requirements (and plans for complying with them) to employees, on-site contractors and others, as needed. Communicating "other applicable requirements" (as well as their influence on the organization) is an important but often overlooked step. Keep in mind that different people may have different information needs.

As with many EMS elements, this is **not a "one time" activity**. Because legal and other requirements change over time, your process should ensure that you are working with up-to-date information. The list of Legal and Other Requirements for your facility should be reviewed and updated:

- When changes in the plant affect legal status;
- When the regulations change;
- When permits are renewed or modified;
- When customer requirements change (packaging, materials, reporting, etc.); or
- Annually.

TOOLS

To begin the process of identifying applicable regulations and help determine their impacts on your operations, it will be helpful to keep a list of answers to the questions in this tool for current use and future reference.

Exhibit 4-1: Worksheet for Evaluation of Legal and Other Requirements

Do we have an **existing process** for identifying applicable legal and other requirements? If yes, does that process need to be revised? In what way?	
Who needs to be involved in this process within our organization? What should their responsibilities be?	
What **sources of information** do we use to identify applicable legal and other requirements? Are these sources adequate and effective? How **often do we review** these sources for possible changes?	
How do we ensure that we have **access** to legal and other requirements? (List any methods used, such as on-site library, use of web sites, commercial services, etc.)	
How do we **communicate information** on legal and other requirements to people within the organization who need such information?	
Who is **responsible** for analyzing new or modified legal requirements to determine how we might be affected?	
How will we keep information on legal and other requirements **up-to-date**?	
Our next step on legal and other requirements is to …	

Exhibit 4-2 describes a variety of commercial and non-commercial sources of information on federal and state environmental laws and regulations. This list is not intended to be comprehensive. Appearance on this list should not be construed as an endorsement by EPA of any commercial products listed here.

Exhibit 4-2: Information Resources for Legal Requirements

Source	Description
USEPA Web Site	Provides a variety of information on environmental laws and regulations as well as tools and compliance guidance. (http://www.epa.gov).
USEPA Small Business Ombudsman (1-800-368-5888)	Regulatory explanations and guidance, research, case studies, contacts for additional information. Variety of hotlines available for particular statutes (such as RCRA). Internet access also available (http://www.epa.gov).
Small Business Assistance Programs (various states) and Other State Agencies	Guidance on regulations and compliance issues. Initially focused on Clean Air Act requirements, but expanding into other environmental media.
US Small Business Administration	Various services available to small businesses in the US (http://www.sba.gov).
US Government Printing Office (202-512-1800)	Federal Register published daily with all federal proposed and final rules. (Also available on line via *GPO Access* at http://www.gpoaccess.gov)
Trade and Professional Associations • North American Die Casting Association (NADCA) (847) 292-3600	Trade associations provide a variety of services related to environmental laws and regulations, including regulatory updates and training. Regulatory explanations and guidance, research, contacts for additional information. (http://www.diecasting.org)
Counterpoint Publishing (1-800-998-4515)	CD-ROM and Internet dial-up access to legal / regulatory information for federal government and all 50 states, updated daily.
Bureau of National Affairs (1-800-372-1033)	Information on EHS laws, regulations and activities at international, national and state level. Paper and electronic access available.
Thompson Publishing Group (1-800-677-3789)	Manuals on a variety of federal and state environmental programs with monthly updates and newsletters.
Business & Legal Reports, Inc. (1-800-727-5257)	Access to federal and state regulations with monthly, updates on available on CD-ROM.
Aspen Law and Business (1-800-638-8437)	Publishes compliance manuals with regular update service for RCRA and Clean Air Act.

The following is a sample procedure for environmental legal and other requirements that incorporates the principles presented in the guidance.

Exhibit 4-3: Sample Procedure for Identification of Legal and other Requirements

Exhibit 4-4 demonstrates the form used for this procedure.

Purpose

[Your Facility's Name] is committed to complying with all applicable environmental regulations. This procedure describes how [Your Facility's Name] identifies applicable regulations and other requirements.

Procedure

1. The Environmental Management Representative (EMR) is responsible for tracking applicable environmental laws and regulations and evaluating their potential impact on the facility's operations. He or she employs several techniques to track, identify, and evaluate applicable laws and regulations. These techniques include commercial databases, information from the trade association, direct communication with national and state regulatory agencies, and periodic refresher training on environmental laws.

2. As necessary, the EMR may call upon off-site resources such as consultants or attorneys.

3. The EMR compiles and maintains updated copies of applicable environmental laws and regulations and other requirements.

4. The EMR, working with the EMS coordinator and cross functional team (CFT), correlates these regulations to the business activities and environmental aspects associated with them using **Exhibit 4-4.**

Frequency

Periodic: Depends on information source.

Records

Exhibit 4-4 is maintained by the EMS coordinator. The EMR maintains access to the applicable regulations.

Exhibit 4-4: Die Casting Industry Operations: Sample Form for Environmental and other Legal Requirements

Identification			Production Process					Facility Support							
Category/ Aspect	Legal and Other Requirement	Description	Melting	Casting	Welding	Parts Trim	Secondary Operations	Purchase of Raw Material	Facility Plant Maintenance	Tank Farm and Fuel Transfer	Chemical and Waste Storage	Administration	Generation of Power, Compressed Air, Steam, and Process Water	Medical Facilities for Employees	All*

* Applicable to all components of the facility.

See **Example 4-1** on how to fill out this tool.

Exhibit 4-5: Sample Worksheet for Identifying Legal Requirements

MEDIA/ PROGRAM	PLANS/ PERMITS	SOURCES/ DISCHARGES	KNOWLEDGE OF REGULATIONS	MGMT. PROCEDURES
CAA				
SDWA UIC				
FIFRA				
NPDES				
WETLANDS				
RCRA Generator Status:				
TSCA/PCBS				
UST				

EXAMPLES

Example 4-1: Regulatory Checklist for Die Casting Facilities

Identification			Production Process					Facility Support							
Category	Legal Requirement	Description	Melting	Casting	Parts Trim	Secondary Operations	Assembly	Purchase of Raw Material	Facility Plant Maintenance	Tank Farm and Fuel Transfer	Chemical and Waste Storage	Administration	Generation of Power, Compressed Air, Steam, and Process Water	Medical Facilities for Employees	All*
Air Emissions	40CFR Part 50	NAAQS national Primary and Secondary Air Quality Standards	X	X	X	X									
Air Emissions	40CFR Part 51	Emission of Hazardous Air Pollutants	X	X	X	X									
Air Emissions	40CFR Part 52	Emission of Hazardous Air Pollutants	X	X	X	X									

Example 4-1: Regulatory Checklist for Die Casting Facilities

Identification			Production Process					Facility Support							
Category	Legal Requirement	Description	Melting	Casting	Parts Trim	Secondary Operations	Assembly	Purchase of Raw Material	Facility Plant Maintenance	Tank Farm and Fuel Transfer	Chemical and Waste Storage	Administration	Generation of Power, Compressed Air, Steam, and Process Water	Medical Facilities for Employees	All*
Air Emissions	40CFR Part 60 40CFR 60.42c and 60.43c (Boiler emission standards for sulfur dioxide and PM)	Verification of VOC Emissions	X	X	X	X									
Air Emissions	40CFR Part 63	National Emissions Standards for Hazardous Air Pollutants for Source Categories				X				X	X		X		
Air Emissions	40CFR Part 68	Chemical Accident Prevention Provisions											X		
Air Emissions	40CFR Part 72	Permits (Title V)											X		
Solid/Liquid Waste	40CFR Part 261-265	Hazardous Waste – RCRA	X	X	X	X	X		X	X					

Example 4-1: Regulatory Checklist for Die Casting Facilities

Identification			Production Process					Facility Support							
Category	Legal Requirement	Description	Melting	Casting	Parts Trim	Secondary Operations	Assembly	Purchase of Raw Material	Facility Plant Maintenance	Tank Farm and Fuel Transfer	Chemical and Waste Storage	Administration	Generation of Power, Compressed Air, Steam, and Process Water	Medical Facilities for Employees	All*
Solid/Liquid Waste	40CFR Part 279	Standards for the Management of Used Oil							X	X			X		
Solid/Liquid Waste	40CFR part 265,280	Underground Storage Tanks (USTs)									X	X			
Solid/Liquid Waste	40CFR Part 300	Hazardous Ranking System (HRS)	X	X	X	X	X	X	X	X		X			
Solid/Liquid Waste	40CFR part 302	Hazardous Substances and Reportable Quantities	X	X	X	X	X	X	X	X					
Solid/Liquid Waste	40CFRpart 311	Hazardous Materials Management/Worker Protection	X												
Solid/Liquid Waste	40CFR Part 355	Extremely Hazardous Substances (EHS)	X	X	X	X	X	X	X	X					
Solid/Liquid Waste	40CFR part 265,280	Underground Storage Tanks (USTs)									X	X			

Example 4-1: Regulatory Checklist for Die Casting Facilities

Identification			Production Process					Facility Support							
Category	Legal Requirement	Description	Melting	Casting	Parts Trim	Secondary Operations	Assembly	Purchase of Raw Material	Facility Plant Maintenance	Tank Farm and Fuel Transfer	Chemical and Waste Storage	Administration	Generation of Power, Compressed Air, Steam, and Process Water	Medical Facilities for Employees	All*
Solid/Liquid Waste	40CFR 710	Toxic Substances Control Act (TSCA)						X			X				
Solid/Liquid Waste	CERCLA 103	Hazardous Waste Storage	X	X	X	X	X		X	X	X				
Waste Water Discharge	NPDES State Permit	Stormwater discharge permits		X	X	X	X		X	X	X		X		
Waste Water Discharge	40CFR Part 121-125	NPDES 122 Stormwater discharge permits	X	X	X	X	X		X	X					
Waste Water Discharge	40CFR parts 400-409	Effluent Guidelines and Standards	X	X	X	X	X		X	X			X		
Spills	40CFR 112	Oil Spill Prevention (SPCC)				X	X		X	X	X				

Example 4-1: Regulatory Checklist for Die Casting Facilities

Identification			Production Process					Facility Support							
Category	Legal Requirement	Description	Melting	Casting	Parts Trim	Secondary Operations	Assembly	Purchase of Raw Material	Facility Plant Maintenance	Tank Farm and Fuel Transfer	Chemical and Waste Storage	Administration	Generation of Power, Compressed Air, Steam, and Process Water	Medical Facilities for Employees	All*
Emergency Planning and Community Right to Know	29CFR part 1910.1200 and 40CFR Part 370	MSDSs on chemicals required by OSHA	X	X	X	X	X	X	X	X					
Emergency Planning and Community Right to Know	40CFR Part 372	Form R (TRI) Toxic substances processed or used in excess quantities	X	X		X	X	X	X	X	X			X	
PCBs	40CFR Part 761	PCB Regulations											X		

* Applicable to all components of the facility

Module 5: Objectives and Targets

GUIDANCE

Section 4.3.3 of the ISO 14001 Standard requires organizations to establish environmental objectives and targets. Objectives and targets help an organization translate purpose into action.

Objectives are defined as overall environmental goals arising from the Environmental Policy that the facility determines to achieve, which are quantifiable where practicable.

Targets are defined as detailed performance requirements (quantified wherever practicable) based on an Environmental Objective. The Target needs to be set and met in order for the Environmental Objective to be achieved.

You determine what objectives and targets are appropriate for your organization. These goals can be applied organization-wide or to individual units, departments, or functions -- depending on where the implementing actions will be needed.

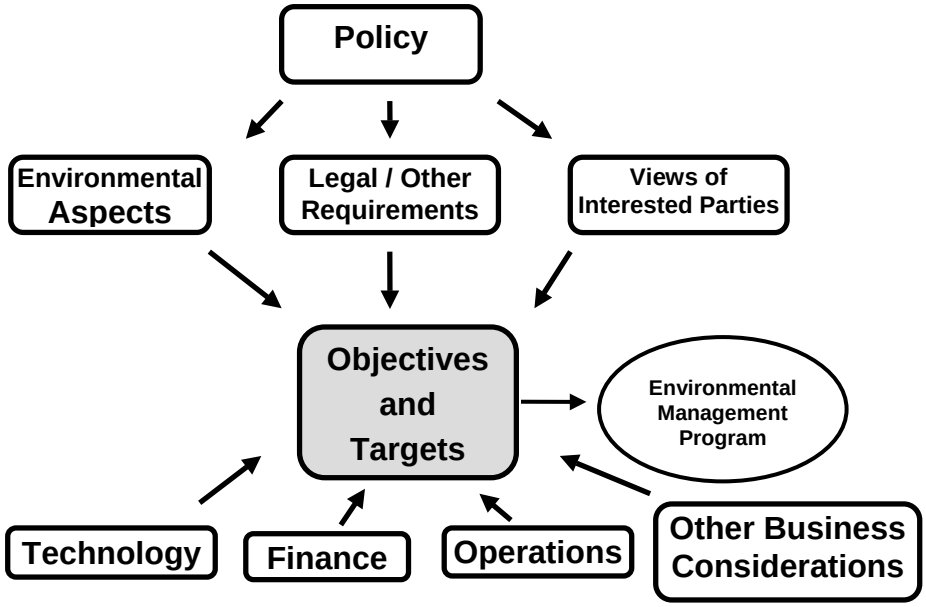
In setting objectives, keep in mind your environmental **policy,** including its "pillars." You should also consider your significant environmental **aspects**, applicable **legal and other requirements**, the **views of interested parties**, your **technological options**, and **financial, operational,** and **other organizational considerations**. **Figure 5-1** summarizes correlations of the considerations mentioned above.

There are no "standard" environmental objectives that make sense for all organizations. Your objectives and targets should reflect what your organization does, how well it is performing, and what it wants to achieve.

Hints

- Setting objectives and targets should involve **people in the relevant functional area(s)**. These people should be well positioned to establish, plan for, and achieve these goals. **Involving people** helps to **build commitment.**
- Get **top management buy-in** for your objectives. This should help to ensure that adequate resources are applied and that the objectives are integrated with other organizational goals.
- In **communicating objectives to employees,** try to link the objectives to the **actual environmental improvements** being sought. This should give people something tangible to work towards.

Figure 5-1. Considerations for Developing Objectives and Targets



- Objectives should be **consistent** with your overall mission and plan and the key commitments established in your **policy** (pollution prevention, continual improvement, and compliance). Targets should be sufficiently clear to answer the question: "Did we achieve our objectives?"
- Be **flexible** in your objectives. Define a desired result, then let the people responsible determine **how** to achieve the result.
- Objectives can be established to **maintain** current levels of performance as well as to **improve** performance. For some environmental aspects you might have both maintenance and improvement objectives.
- Communicate your **progress** in achieving objectives and targets across the organization. Consider a regular report on this progress at staff meetings.
- To obtain the **views of interested parties**, consider holding an open house or establishing a focus group with people in the community. These activities can have other payoffs as well.
- It is best to start with a limited number of objectives (three to five) and then expand the list over time. **Keep your objectives simple** initially, gain some early successes, and then build on them.
- Make sure your objectives and targets are **realistic.** Determine how you will **measure progress** towards achieving them.

- Keep in mind that your **suppliers** (of service or materials) can help you in meeting your objectives and targets (e.g., by providing more "environmentally friendly" products).
- If an environmental aspect is not significant then it does not need an objective and target.

TOOLS

Exhibit 5-1: Objectives and Targets Worksheet

Do we have an **existing process** for setting and reviewing environmental objectives and targets? If so, does that process need to be revised? In what way(s)?	
Who needs to be involved in this process within our organization? Should any outside parties be involved?	
When is the **best time** for us to implement this process? Can it be **linked** to another existing organizational process (like our annual or strategic planning process?)	
What are our **existing environmental goals**? How were these developed? Who was involved? What **factors** were considered in setting these goals?	
Who are our **interested parties**? How do we **obtain their views**? **How effective** has our process been?	
How can we effectively and efficiently **track our progress** and **communicate the results**? **Who** is in the best position to do this?	
Our next step on environmental objectives and targets is to …	

Exhibit 5-2: Sample Procedure for Identification of Objectives and Targets

Purpose

[Your Facility's Name] sets objectives for environmental improvement and develops targets and action plans to meet those objectives. These objectives are directly related to the company's significant environmental aspects and follow from its environmental policy commitments.

Procedure

1. Top plant management sets environmental objectives for [Your Facility's Name] such that the plant has one or more environmental objectives at any one time. The environmental objectives and targets are recorded using **Exhibit 3-2.** For every significant environmental aspect, an appropriate objective and target will be established

2. The Cross-Functional Team is responsible for developing and recommending potential new environmental objectives to top plant management. In identifying potential new objectives, the committee considers the following:

    - Environmental policy
    - The Significant Environmental Aspects of the company.
    - Applicable laws and regulations and potential future laws and regulations
    - Practical business criteria, such as the potential costs and benefits of pursuing a particular environmental objective
    - The views of employees and other interested parties

3. Once environmental objectives are established by top plant management, the Environmental Management Representative (EMR) assigns responsibility (to the manager of the operations in question, where appropriate) for developing targets and action plans to realize the objectives. Sometimes, this may require an alternatives evaluation as the first target (or action item). This will be developed in Module 6, Environmental Management Programs.

Frequency

Environmental objectives are reviewed on a yearly basis. The targets and action plans are developed and revised as needed by the committee.

Records

Environmental objectives are recorded using **Exhibit 3-2** and the targets and Environmental Management Programs (EMPs) that correspond to each objective are recorded using the procedure in **Exhibit 6-2**. The EMR or designee is responsible for maintaining these records.

EXAMPLES

Example 5-1: Possible Objectives and Targets Organized by Category

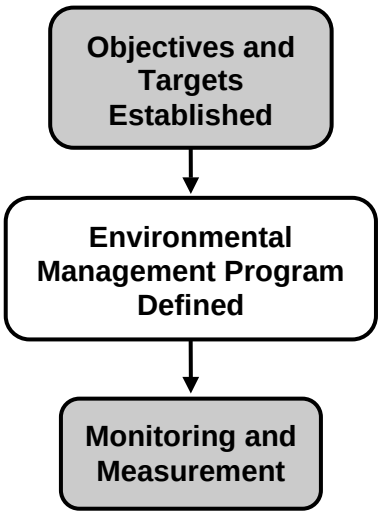
Objectives	Targets
Supplies	
Increase use of non hazardous chemicals by suppliers	• Increase use of suppliers that provide alternative chemicals by 15% by January 2005 (based on 2003 production rates)
Reduce amount of supplies used	• Increase recycle of supplies (abrasive media, oil, wood, plastic, laser cartridges, metal, paint booth water) respectively by January 2004 • Implement reuse program by January 2004
Chemicals	
Reduce usage of hazardous chemicals	• Increase use of water soluble cutting fluids by 15% by January 2004 (based on 2002 usage rates) • Eliminate chlorinated spray degreasers (e.g., Brakekleen) by January 2004
Energy Use	
Reduce energy usage	• Reduce electricity use by 10% by January 2004 (based on 2002 usage rates) • Reduce natural gas use by 15% by January 2004 (based on 2002 usage rates)
Water Use	
Reduce water use	• Reduce water use by 10% by January 2005 (based on 2003 usage rates)
Air Emissions	
Reduce air emissions	• Evaluate paving roadways to reduce fugitive road dust
Noise/Odor/Radiation	
Reduce odor releases	• Conduct study to identify odor sources by 3rd quarter 2004

Objectives	Targets
Water Discharges	
Improve process wastewater quality	• Create water balance through sampling project by 3rd quarter 2004
Improve storm water discharge quality	• Establish water filtering greenbelt along storm water ditches by summer 2005
Solid/Liquid Wastes	
Paint waste reduction	• Modify purchasing procedures to eliminate bulk paint purchases when no immediate use is identified
Hazardous waste reduction	• Reduce hazardous waste 15% by January 2004 (based on 2002 production rates)
Spills	
Reduce occurrence of spills	• Reduce spill occurrence by 10% by January 2004

Module 6: Environmental Management Programs

GUIDANCE

Environmental Management Programs (EMPs)



Section 4.3.4 of the ISO 14001 Standard requires an organization to establish and maintain programs for achieving its objectives and targets. These are referred to as Environmental Management Programs (EMPs). EMPs consist of action plans that are necessary to achieve environmental objectives and targets. Therefore, your EMPs should be linked directly to your objectives and targets — that is, they form the bridge between concept and application. Progress toward objectives and targets should be measurable (see Module 13, Monitoring and Measurement).

To ensure its effectiveness, your environmental management programs should define:

- the responsibilities for achieving targets (who will do it?)
- the steps for achieving targets (how will they do it and what specifically will be done?)
- the time frame for achieving those targets (when?)

If you don't have enough information to create a quantifiable target, then one of the steps of the program should be to collect data or evaluate the program in order to establish a measurable target later.

Keep in mind that your EMPs should be dynamic. For example, consider modifying your programs when:

- objectives and targets are modified or added;
- relevant legal requirements are introduced or changed;
- substantial progress in achieving your objectives and targets has been made (or has not been made); or
- your products, services, processes, or facilities change or other issues arise.

Your action plan need not be compiled into a single document. A "road map" to several action plans is an acceptable alternative, as long as the key responsibilities, tactical steps, resource needs, and schedules are defined adequately in these other documents.

Hints:

- Build on the plans and programs you have now for compliance, health & safety, or quality management.
- **Involve your employees early** in establishing and carrying out the program.
- **Clearly communicate** the expectations and responsibilities defined in the EMP to those who need to know.
- **Re-evaluate your EMP** when you are considering changes to your products, processes, facilities or materials. Make this re-evaluation part of your change management process.
- **Keep it simple** and focus on continual improvement of the program over time.

In some cases, your environmental management program may encompass a number of existing operating procedures or work instructions for particular operations or activities. In other cases, new operating procedures or work instructions might be required to implement the program. There may be real opportunities here! Coordinating your environmental program with your overall plans and strategies may position your organization to exploit some significant cost-saving opportunities.

Environmental Review for New Products, Processes, and Activities

Change is an important part of business survival for most companies. Products, technologies, and ways of doing things are updated regularly. To avoid creating new "significant environmental aspects" that must be addressed later, it is helpful to integrate new processes, products, and activities into the environmental management program that you are developing for the rest of your company. You can do so by setting up a procedure for reviewing new processes, products, or activities while they are in the planning stage (see **Exhibit 6-3**: Sample Procedure for Environmental Review for New Purchases, Processes, and Products). One way to accomplish this is to create a sign-off form to be circulated among the people responsible for, or affected by, the new process or product, including those responsible for the area of the company where the new process or activity will be implemented.

TOOLS

This section provides worksheets and tools to develop an effective environmental management programs and EMS tracking systems for an environmental review process for **new processes, purchases, and products.**

Exhibit 6-1: Environmental Management Program Worksheet

Do we have an **existing process** for establishing environmental management programs? If yes, does that process need to be revised? In what way?	
What environmental management programs do we have **in place now**?	
What is the **basis** for our environmental management programs (for example, do they consider our environmental objectives, our environmental policy commitments and other organizational priorities)?	
Who needs to be involved in the design and implementation of these programs within our organization?	
When is the **best time** for us to establish and review such programs? Can this effort be **linked** to an existing organization process (such as our budget, planning or auditing cycles?)	
How do we ensure that **changes to products, processes, equipment and infrastructure** are considered in our programs?	
How will we otherwise keep our programs **up-to-date**?	
Our next step on environmental management programs is to …	

Exhibit 6-2: Sample Form for Environmental Management Programs

Area/Department(s): _____

Process: _____

Significant Aspect: _____

Legal & Regulatory Requirement: _____

Objective: _____

Target: _____

Category : ☐ Improve ☐ Control ☐ Investigate

Action Plan: _____

Task/Action Items	Responsible Party	Responsibilities	Resources Needed	Project Start Date	Project Completion Date	Comments/Deliverables

See **Example 6-1** and **6-2** on how to fill out this form.

Exhibit 6-3: Sample Procedure for Environmental Review for New Purchases, Processes, and Products

[Note: This procedure will almost certainly need to be substantially modified in order to fit the situation of your company. Smaller companies may not have a formal new product design or facilities engineering group, for example. The key is to find a way (that can be documented and verified, if possible) of ensuring that when new chemicals are being purchased, when new products are being developed, or when a facility is being substantially modified, environmental considerations are taken into account.

Purpose

When purchasing new chemical supplies, modifying its processes, and making new products, [Your Facility's Name] strives to ensure that environmental considerations, particularly those related to significant environmental aspects (SEAs), are taken into account.

Procedure

1. When processing an order for a new chemical or other potentially harmful input, the purchasing manager clears the purchase with a member of the Cross Functional Team (CFT). The CFT member initials the box marked "environmental approval" in the New Purchase Approval Form to signify his or her approval of the purchase.

2. [Your Facility's Name] has a product development group and facilities engineering group. The product development group develops potential new products that [Your Facility's Name] could offer (sometimes these are identified by the sales and marketing group, sometimes they are identified internally). The facilities engineering group is responsible for reconfiguring (or, in some cases, expanding) the facility's production lines to produce new products.

3. The product development group notifies a member of the CFT before final approval of a new product design. The CFT member reviews the design in light of the facility's SEAs and environmental objectives and targets. When the committee member is satisfied that the new design is in accordance with the plant's environmental goals, he initials the appropriate box in the Design Approval Form that is sent to the president for approval.

4. The facilities engineering group is responsible for notifying a member of the CFT before final approval of any Facility Modification or Expansion Plan. (The Facility Modification or Expansion Plan is required for any facilities engineering job that costs more than $20,000.) The CFT member reviews the plan in light of the facility's SEAs and environmental objectives and targets. When the committee member is satisfied that the new design is in accordance with the plant's environmental management goals, he initials the appropriate box in the Facility Modification or Expansion Plan form that is sent to the operations manager for ultimate approval.

Frequency

As new chemicals are purchased, new products are developed, and/or production lines are modified.

Records

The New Purchase Approval Forms [Exhibit 6-4] are maintained by the purchasing manager. The Design Approval Forms are maintained by the product development group. The Facility Modification or Expansion Plans are maintained by the facilities engineering group.

Exhibit 6-4: Sample New Purchase Approval Form for Environmental Review of New Processes, Products, and Activities

This worksheet is an example of a sign-off form that can be used for such reviews. The worksheet is a model that should be modified to reflect your company's activities and environmental policy.

Area Company	New Process, Product, or Activity	Environmental Review by Manager/Date	Environmental Effects	Pollution Prevention Opportunities
Contact for form:			Date Completed:	

EXAMPLES

Example 6-1: Environmental Management Program for Non-abated Emissions of VOCs and HAPs

Area/Department(s): Painting
Process: New Construction Indoor Painting
Significant Aspect: Non-abated emissions of VOCs and HAPs
Legal & Regulatory Requirement: None

Objective: Reduce VOC and HAPs emissions

Target: 10% Reduction by June 2002 (relative to year 2001 baseline)

Category: [ ] Control/Maintain [X] Improve [ ] Investigate

No. 1 Action Plan: Substitution of Raw Materials

Task/Action Items	Responsible Party	Resources Needed	Project Start Date	Project Completion Date	Comments (C)/Deliverables (D)
Identify list of suitable vendors that supply low VOCs paint	John Smith, Environmental Manager	MSDS Paint Manufacturer Association	August 1, 2001	October 1, 2001	D – List of potential vendors of low-VOC paint

Task/Action Items	Responsible Party	Resources Needed	Project Start Date	Project Completion Date	Comments (C)/Deliverables (D)
Develop evaluation on technical feasibility and cost effectiveness of select paint products.	Cross Functional Team		October 1, 2001	December 1, 2001	D – Comparative cost analysis of select low-VOC paint application D – Technical feasibility analysis of select low-VOC paint application

No. 2 Action Plan: Process Modification

Task/Action Items	Responsible Party	Resources Needed	Project Start Date	Project Completion Date	Comments (C)/Deliverables (D)
Identify process modification that can be done to reduce emissions of VOC and HAPs	John Smith, Environmental Manager		August 1, 2001	August 31, 2001	D – List of potential process modification
Develop preliminary evaluation on technical feasibility and cost effectiveness of process modification alternatives	John Smith, Environmental Manager		September 1, 2001	September 30, 2001	D – Technical feasibility report of process modification alternatives D – Comparative cost analysis of process modification alternatives
Conduct pilot test of the preferred alternative of process modification	Kim Weinstein, Environmental Department		October 1, 2001	January 1, 2002	D – Workplan of the pilot test D – Weekly progress report of the pilot test D – Final report and recommendation
Full scale implementation	John Smith (Environmental Department) and Will Gibson (Paint Department)		February 2002		D – Quarterly progress and performance report

Example 6-2: Environmental Management Program for Solid Waste from the Unmasking Process

Area/Department(s): Painting
Process: Block painting process
Significant Aspect: Solid Waste from the Unmasking Process
Legal & Regulatory Requirement: Yes (40CFR, State rules and regulations, company directive)

Objective: Study waste reduction

Target: Complete study by January 2002 (relative to year 2001 baseline)

Category: [ ] Control/Maintain [ ] Improve [X] Investigate

No. 1 Action Plan: Study of Potential Waste Reduction

Task/Action Items	Responsible Party	Resources Needed	Project Start Date	Project Completion Date	Comments (C)/Deliverables (D)
Identify potential waste reduction initiative	John Smith, Environmental Manger		August 1, 2001	October 1, 2001	D – List of steps to be taken to fulfill initiative and responsibilities
Identify list of suitable technology to achieve volume reduction	Cross-Functional Team		October 1, 2001	October 31, 2001	D – List of potential technology
Identify list of suitable vendors that supply technology available to achieve volume reduction	Cross-Functional Team		November 1, 2001	November 31, 2001	D – List of potential vendors of compactors and waste compaction technology

Task/Action Items	Responsible Party	Resources Needed	Project Start Date	Project Completion Date	Comments (C)/Deliverables (D)
Develop evaluation on technical feasibility and cost effectiveness of select compacting products	Cross-Functional Team		December 1, 2001	February 1, 2001	D – Comparative cost analysis of compactor technology D – Technical feasibility analysis of select compactor technology
Present recommendation to management for waste reduction	Cross-Functional Team		March 1, 2001	March 31, 2001	D – List of evaluations and recommendations for waste reduction

Module 7: Structure and Responsibility

GUIDANCE

Assigning Responsible Persons

As discussed in Module 1, it is important to designate, as soon as possible, the Environmental Management Representative (EMR), the EMS Coordinator, and a Cross Functional Team (CFT) who will be responsible for promoting and developing your EMS. It is also important to designate who will be responsible for other environmental activities. **Exhibit 7-1** is a set of questions for you to consider in establishing the structure and responsibility element of your EMS. **Exhibit 7-2** provides an example description of roles and responsibilities associated with an EMS that can be placed in your facility's EMS Manual. When complete, **Exhibit 7-3** can provide documentation of who in your facility will fill key EMS roles.

Throughout the process of assigning responsible persons in the EMS, it is important to take into consideration the job functions and skills that would make a strong contribution to the EMS team. **Exhibit 7-4** provides a list to help identify these skills. However, the list does not suggest that a company would need all of these skills.

One use of this information is to create a responsibility matrix that shows which employees are responsible for which aspects of the EMS. This will help to clarify roles. An sample form for a die casting facility is shown in **Example 7-1**.

TOOLS

Exhibit 7-1: Structure & Responsibility Worksheet

How do we **define roles, responsibilities, and authorities** for environmental management now? Is this process **effective?**	
Who is / should be our EMS **Management Representative**? Does this individual have the necessary authority to carry out the responsibilities of this job?	
Are our key roles and responsibilities for environmental management **documented** in some manner? If so, how (e.g., job descriptions, organizational charts, responsibility matrix, etc.)?	
How are EMS roles and responsibilities **communicated** within our organization?	
How do we ensure that **adequate resources** have been allocated for environmental management? How is this process **integrated** with our overall budgeting process? How are environmental expenditures **tracked**?	
How will we keep this information **up-to-date**?	
Our next step on structure and responsibility is to …	

Exhibit 7-2: Sample EMS Responsibilities Descriptions

[Your Facility's Name] has established an Environmental Management Representative (EMR), an EMS Coordinator, and a Cross Functional Team (CFT) with the following responsibilities:

- *Environmental Management Representative.* The EMR is the member of [Your Facility's Name] top plant management group responsible for the functioning of the EMS. It is his or her job to ensure that all tasks relating to the EMS are identified and completed in a timely manner. He or she is also responsible for reporting periodically to the top plant management group on the progress and results of the EMS.

- *EMS Coordinator.* The EMS coordinator's responsibility is to identify, assign, schedule, provide the necessary support for, and ensure completion of all tasks relating to the EMS. The coordinator works closely with the management representative and with the committee. The EMS coordinator is also responsible for maintaining this manual, under the leadership of the management representative. *The functions of coordinator and EMR may be filled by the same person.*

- *Cross Functional Team.* The CFT (which also serves as the plant's safety committee) is composed of 6-8 supervisors and employees from major groups or areas within the plant. The CFT is responsible for ensuring that EMS activities in their areas are carried out and for reporting the results of these activities to the committee as a whole. In addition, the CFT itself undertakes certain EMS activities such as the selection of significant environmental aspects. The CFT meets to discuss the EMS on at least a monthly basis.

Records

The EMS coordinator maintains an updated list of EMR, EMS coordinator, and CFT members using **Exhibit 7-2**, EMS Responsibilities Form.

Exhibit 7-3: Sample EMS Responsibilities Form

The following table lists [Your Facility's Name] Environmental Management Representative, EMS Coordinator, and Cross Functional Team:

EMS Function	Name	Regular Position
Environmental Management Representative		
EMS Coordinator		
Cross Functional Team		

Figure 7-4: Functions to Include in Your EMS Team and Possible Roles

Company Function	Expertise Brought to Project Team	How They Can Help (Possible Roles)
Production	Management of environmental aspects of production	Help identify aspects; provide input to objectives and targets; participate in environmental management programs; serve as trainers and internal auditors; help carryout corrective and preventive action
Maintenance	Management of environmental aspects of equipment maintenance	Implement preventive maintenance program for key equipment; support identification of environmental aspects
Facilities Engineering	Management of environmental aspects of new construction and installation/ modification of equipment	Consider environmental impacts of new or modified products and processes; identify pollution prevention opportunities
Storage/Inventory	Management of environmental aspects of raw material and product storage and in-facility transportation	Help identify aspects; provide input to objectives and targets; participate in environmental management programs; serve as trainers and internal auditors; help carryout corrective and preventive action
Shipping, Receiving, Transportation, Logistics	Management of environmental aspects of shipping, receiving, and transportation	Help identify aspects; provide input to objectives and targets; participate in environmental management programs; serve as trainers and internal auditors; help carryout corrective and preventive action
Product Design	System for examining environmental aspects of new designs	Participating in product-related objectives, targets, and EMPs
Quality	Quality management system, including document control procedures	Support document control, records management, and employee training efforts; support integration of environmental and quality management systems

Company Function	Expertise Brought to Project Team	How They Can Help (Possible Roles)
Human Resources	Training on environmental issues Inclusion of environmental incentives in performance measurement system	Define competency requirements and job descriptions for various EMS roles; train temporary workers and contractors; maintain training records; integrate environmental management into reward, discipline, and appraisal systems
Environmental	System for complying with environmental regulations Management of environmental records	Provide an organizational and functionary role in establishing and maintaining the EMS.
Purchasing	System for procurement (including screening of suppliers, material composition of components)	Develop and implement controls for chemical / other material purchases and for communicating requirements to contractors and suppliers
Sales/Marketing	Environment-related commitments to customers	Assist communications with external stakeholders
Public Relations	System for communicating with public on environmental issues	Assist communications with external stakeholders
Accounting/Finance	System for tracking environmental costs of operations	Track data on environmental-related costs (such as resource, material, and energy costs, waste disposal costs, etc.); prepare budgets for environmental management program; evaluate economic feasibility of environmental projects
Line Workers	Thorough knowledge of processes and operations	Provide first-hand knowledge of environmental aspects of their operations; support training for new employees
Top Management	Capability for ensuring continual improvement	Communicate importance of EMS throughout organization; provide necessary resources; track and review EMS performance

EXAMPLES

Example 7-1: Responsibility Matrix

Legend: L=Lead Role
S=Supporting Role

	Plant Manager	EHS Manager	HR Manager	Maintenance	Purchasing/ Materials	Engineering	Production Supervisor(s)	Finance	EMS Manager Rep.	Employees
Communicate importance of environmental management	L	S					S			
Coordinate auditing efforts		L		S			S			
Track/analyze new regulations (and maintain library)		L								
Obtain permits and develop compliance plans		L				S				
Prepare reports required by regulations		L								
Coordinate communications with interested parties			L							
Train employees		S					L			
Integrate environmental into recruiting practices			L							
Integrate environmental into performance appraisal process			L							
Communicate with contractors on environmental expectations					L					
Comply with applicable regulatory requirements	L	L	S	S	S	S	S	S	S	S
Conform with organization's EMS requirements	L	L	S	S	S	S	S	S	S	S
Maintain equipment / tools to control environmental impact				L						
Monitor key processes		S					L			
Coordinate emergency response efforts	L	S								
Identify environmental aspects of products, activities, or services	S	L	S	S	S	S	S	S	S	

	Plant Manager	EHS Manager	HR Manager	Maintenance	Purchasing/ Materials	Engineering	Production Supervisor(s)	Finance	EMS Manager Rep.	Employees
Establish environmental objectives and targets	L	S					S			
Develop budget for environmental management		S						L		
Maintain EMS records (training, etc.)		L								
Coordinate EMS document control efforts					S				L	

Module 8: Training, Awareness, and Competence

GUIDANCE

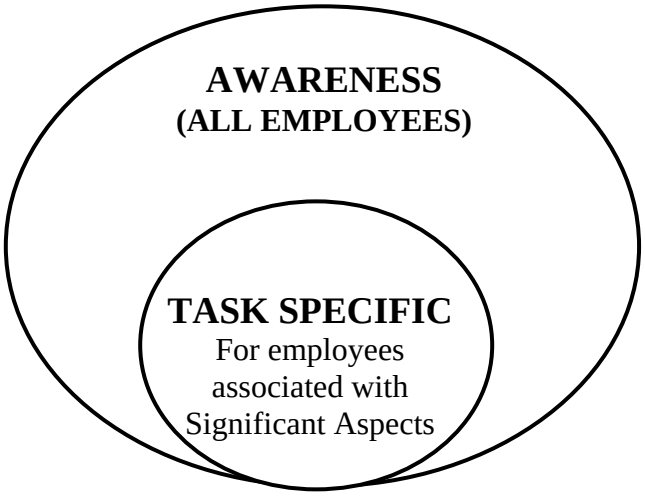
Section 4.4.2 of ISO 14001 requires organizations to identify training needs and to establish training procedures. It requires that all personnel whose work may create a significant impact on the environment receive appropriate training. Personnel performing the tasks which can cause significant environmental impacts must be competent on the basis of appropriate education, training, and/or experience.

Every employee should be aware of the environmental policy, the significant environmental impacts of their work activities, the key EMS roles and responsibilities, the procedures that apply to their work, and the importance of conformance with EMS requirements. Employees also should understand the **potential consequences** of not following EMS requirements (such as spills, releases, and fines or other penalties).

Training should be **tailored** to the different needs of various levels or functions in the organization. However, training is just one element of establishing **competence,** which is typically based on a combination of education, training, and experience. For certain jobs (particularly tasks that can cause significant environmental impacts), you should establish criteria to measure the competence of individuals performing those tasks.

Training is needed both in technical work and for general awareness on the part of all employees.

Figure 8-1. Two Areas of EMS Training



The following are some examples of areas where training is needed:

- legal requirements,
- ability to recognize new problems,
- technical skills needed to solve problems,
- procedures to implement operational controls,
- any new procedures or needs related to significant environmental aspects, and
- awareness of the company's environmental policy and the EMS and its objectives

Hint

- *Don't overlook the need for on-going training when experiencing employee turnover. Be sure that new employees are trained soon after they arrive.*

Go through the Action Steps listed below and use **Exhibit 8-1** to help you identify, plan for, and track the training needed to assist in developing and putting your EMS in place. You will probably be able to identify some general training needs now, but will need to return to this module to add specific technical training needs that may be identified as you proceed with the EMS. **Exhibit 8-2** is a sample Training Needs Analysis Form.

Action Steps

- Identify all job functions that affect the environment. Small companies may wish to identify individuals. Identify who is responsible for employee health and safety.
- Identify the training and type of training these people currently receive that relates to environmental and health and safety concerns.
- Determine if EMS education could be included in this training or whether there should be special EMS training, at least in the beginning.
- Identify training materials or programs available outside your company. Some places to check include:
    - Trade Associations
    - Small Business Administration
    - EPA materials
    - State Departments of Environmental Protection
    - Suppliers
    - Certified Contractors

TOOLS

Exhibit 8-1: Training, Awareness & Competence Worksheet

Do we have an **existing process** for environmental training? If so, does that process need to be revised? In what way(s)?	
What types of training do we provide now (e.g., new employee orientation, contractor training, safety training)? How would EMS-related training fit with our existing training program?	
Who is responsible for training now? Who else might need to be involved within our organization?	
How do we determine **training needs** now? (List methods used) Are these processes effective?	
Who is **responsible** for ensuring that employees receive appropriate training? How do we **track training** to ensure we are on target?	
How do we **evaluate training effectiveness?** (List methods used, such as course evaluation, post-training testing, behavior observation)	
How do we **establish competency**, where needed? (List methods used, such as professional certifications) What are the **key job functions and activities** where we need to ensure environmental competency?	
Our next step on training, awareness & competence is to …	

Exhibit 8-2: Sample Training Needs Analysis Form

Jobs Affecting Environment	Training Needs	How to Train	When/ Length	Budget	Completion Date	Who is Responsible
Contact Person:			Date Completed:			

See **Example 8-1** on how to fill out this form.

EXAMPLES

Example 8-1: Training Needs Analysis Form

Jobs Affecting Environment	Training Needs	How to Train	When/ Length	Budget	Completion Date	Who is Responsible
Staff EH&S Person	Environmental Policy	Staff Training Session	Once/ Two hrs.	?	?	?
Production Employees	Emergency Preparedness & Response					
Contact Person:			Date Completed:			

Module 9: Communication

GUIDANCE

Section 4.4.3 of the ISO 14001 Standard requires organizations to establish procedures for internal and external communication of environmental activities. This communication should:

- Demonstrate management's commitment to the environment;
- Make others aware of the organization's environmental policy and commitment to the environment;
- Address concerns about the organization's environmental activities by external parties; and
- Establish a line of communication that clearly defines emergency responsibilities.

Identifying Stakeholders

Stakeholders include anyone who has a stake in your company's environmental performance. This group can play an important role in helping your company develop an EMS. Employees have strong stakeholder interest in your company and can provide substantial support for EMS development. Customers, suppliers, and neighbors can provide useful inputs. In addition, establishing partnerships with trade associations, suppliers, professional associations, and community colleges can be very helpful in developing parts of your EMS.

The following list provides types of stakeholders:

Internal Stakeholders

- Employees
- Shareholders
- Customers
- Suppliers
- Investors & Insurers
- Trading Partners

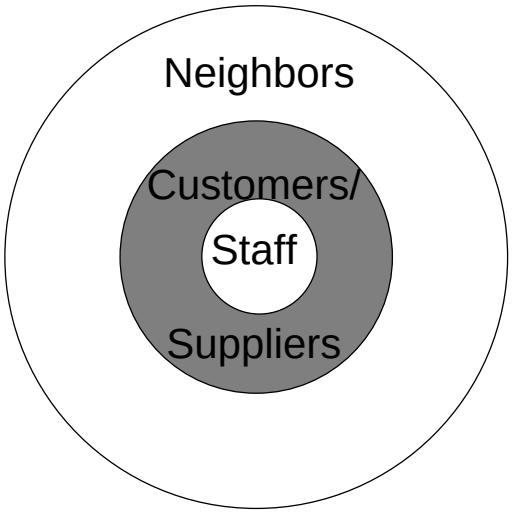
External Stakeholders

- Neighbors
- Community Organizations
- Environmental Groups
- Larger Companies
- The Media
- The General Public

How to Work With Your Stakeholders

The next stage of the process is to establish dialogue with stakeholders. You may view this as an opportunity to further refine your understanding of the various interests of the groups. You might think about the different kinds of stakeholders as forming ever-broader circles around your business (see **Figure 9-1**). Begin with the innermost circle and work outward.

Figure 9-1. Levels of Stakeholder Interest



Communications

When working with either internal or external stakeholders, including your Cross Functional Team (CFT), effective communication will facilitate a smooth implementation of your EMS. You will want to follow these effective rules of communication:

1. **Begin early in the process.** Let people know what you are doing. In most cases, you will need the cooperation of several people within your company to gather information and develop an EMS that will work. In small and large organizations alike, early communication will pay off in greater acceptance of the resulting system.

2. **Set your communication objectives.** Decide what you want to achieve in your communication. Setting this goal will help you get the right message across without overwhelming people with too much information, spending too much time, or missing the mark. It is helpful to create an EMS communication procedure for your company. The procedure should outline what kinds of information will be communicated to external stakeholders, and how the company will document and respond to communications from external stakeholders. The procedure should include who reports what, to whom, and when.

3. **Communicate regularly and integrate EMS communication.** To build support for the EMS, try to communicate on a regular basis. Some simple means of regular communication can usually be accomplished without straining resources – for example, a bulletin board posting, email messages, or articles in the organization newsletter. Don't forget to consider direct word-of-mouth communication, particularly in smaller organizations. Talking directly with key individuals at regular intervals may be the best mechanism for ensuring good communication. Use existing channels of communication to get the message out on your EMS activities.

   Consider various methods of communication when informing stakeholders about your company and what you are doing, or plan to do, to protect the environment. Methods may include:

   - discussion in company meetings;
   - updating the company website;
   - scheduling tours of your facility;
   - producing a fact sheet about your facility's activities, the EMS program, and why and how your company would like to include stakeholders; and
   - holding public meetings when you feel it is appropriate.

4. **Track communication from stakeholders to your company and the response made to that communication.** A procedure for documenting and responding to stakeholder

communication should be established and a person appointed to be responsible for carrying it out.

Note: Section 4.4.3 of the Standard states that "*the organization shall consider processes for external communication on its significant environmental aspects and record its decision.*" You may choose to review requests for information on an individual basis and communicate and record your decision. Typically a facility will do its best to respond in kind to all good-faith communications from stakeholders about environmental issues, including complaints, comments, and information requests. However, your facility may not choose to respond in all cases, particularly if the request is made in bad faith or if sensitive information is requested.

Exhibit 9-1: Communications Worksheet is a set of questions to help you structure your communications approach and lead to improvements. **Exhibits 9-2 and 9-3** provide a sample procedure and form for tracking communication with stakeholders.

TOOLS

Exhibit 9-1: Communications Worksheet

Who are **our key external stakeholders**? How were these stakeholders **identified**?	
With regard to our organization, what are the **key concerns of these stakeholders**? **How do we know** this?	
What **community outreach efforts** are we making now (or have we made in the recent past)? How **successful** have these efforts been?	
What **methods** do we use for external communications? Which appear to be the most **effective**? Who has primary **responsibility** for external communications?	
How do we **gather and analyze information** to be communicated? Who has **responsibility** for this?	
How do we **communicate internally** (as well as with our suppliers and contractors)? What processes do we have to **respond to internal inquiries**, concerns and suggestions? **How effective** are these methods?	
Our next step on communication is to …	

Exhibit 9-2: Sample Procedure for Communication with Stakeholders

Purpose

To ensure that interested external stakeholders receive appropriate information about the facility's environmental activities.

Procedure

1. The Cross Functional Team (CFT) identifies stakeholders and their potential interests in the environmental performance of our Facility using Exhibit 9-3, Stakeholders and Environmental Issues. If the CFT decides that proactive communication on environmental issues is necessary with any group, that decision is recorded on Exhibit 9-4 and responsibility is designated.

2. When any form of communication is received regarding the corporation's environmental performance or management from a stakeholder, that communication is immediately forwarded to the Environmental Management Representative (EMR).

3. The EMR considers the nature of the communication and makes a decision on whether and how to respond to it based on the guidance in Exhibit 9-3. The EMR is responsible for maintaining records of each such communication and response using Exhibit 9-4, Stakeholder Communication Record. Where internal actions are necessary to address the communication, this is noted on Exhibit 9-4 and a Corrective Action Form (Exhibit 14-3) is initiated.

Frequency

As per environmental communication.

Records

Records of environmental communications from stakeholders and your corporation's responses are kept by the EMR and are tracked using Exhibit 9-4. An updated version of Exhibit 9-3, Stakeholders and Environmental Issues, is kept in this manual.

Exhibit 9-3: Sample Form for Stakeholders and Environmental Issues

Stakeholder	Potential Environmental Interest	Proactive Communication Plan (if desired)	Person Responsible

Contact Person: _____ Date Completed: _____

Exhibit 9-4: Sample Form for Stakeholder Communication Record

Date Communication Received	
Type of Communication	
Received From	
Address/Telephone Number/ E-Mail	
Content of Communication (attach copy if possible)	
Will [Your Facility's Name] Respond?	YES NO
Date of Response	
Person Responding	
Position	
Nature of Response (attach copy if possible)	
Are Internal Actions Necessary?(If Yes, fill out a Corrective Action Form.)	

Contact Person: _____ Date Completed: _____

Module 10: EMS Documentation and Document Control

GUIDANCE

Requirements for system documentation are presented in several sections of ISO 14001, including Section 4.4.4 Environmental Management System Documentation and Section 4.4.5 Document Control.

Documentation is important to the success of your EMS for several reasons:

- Word-of-mouth information is not as reliable as written documentation.
- Creating documentation helps you assess the progress of your EMS and evaluate results.
- Documentation is vital to maintaining consistency in an EMS over time and from department to department. In most companies, change is a fact of life; new products are developed, the company grows, and employees change positions or leave the company. Accurate documentation will make it much easier to maintain an effective and flexible EMS during these changes.

The EMS Manual

An EMS manual provides a place to identify all relevant environmentally significant procedures and practices in a single source. The EMS manual typically does not house the complete EMS documentation but is rather used as a road map to other associated documents. It should describe what the EMS consists of, where other related documents are located, and where records of performance can be found. It should be a "one-stop-shopping" outline of all other sources of EMS paperwork. For most companies this will be a simple binder, for others it may be a web site.

Other EMS Documentation

In addition to the EMS manual, your organization should maintain other documentation of its EMS. First, you should document the processes used to meet the EMS criteria. (For example, "How do we identify environmental aspects?" "How do we implement corrective actions?") This documentation generally takes the form of system **procedures**. In addition, you might maintain area-or activity-specific documentation (such as **work instructions**) that instructs employees on how to carry out certain operations or activities.

EMS documentation is related to (but not the same as) EMS **records**. EMS **documentation describes** what your system consists of (i.e., what you do and how you do it), while EMS **records demonstrate** that you are doing what the documentation said you would do. Document control and records management are discussed later in this Module.

How to Develop Your Documentation

Step 1: Determine how EMS documentation can be integrated into existing documents.

Before you dive into your documentation, learn how deep the water is. Find out what documentation already exists, what its purpose is, and whether it works. The goal of this search is to locate materials you can use to begin your EMS implementation and documentation. Many facilities use the same format for all their documents. An example of existing documentation might be a quality plan or tracking report. See **Exhibit 10-1** through **Exhibit 10-4** to assist you in developing EMS documentation while following these steps.

Hints

- Keep EMS documentation **simple**. Choose a format that works best for your organization. Your manual does **not** need to describe every detail of your EMS. Instead, the manual can **provide references** to other documents or procedures.
- Use the **results of your preliminary assessment** to prepare your EMS documentation. In the course of conducting this assessment, you should have collected or prepared useful material on how your organization satisfies the selected EMS criteria. The box on the next page illustrates what constitutes EMS documentation.
- The usefulness of your EMS manual can be improved by including the facility's mission statement and vision or guiding principles (if these exist). These will improve understanding of the organization and **how the EMS supports** its overall goals.
- An EMS manual can be a useful tool for explaining your EMS to new employees, customers, and others.

EMS documentation should be updated as needed, based on any system improvements you put in place. However, if you put too much detail in an EMS manual, you might need to update the manual frequently.

Step 2: Tailor the documentation to your organization's individual needs.

Here are some questions to help you determine what fits your needs:

- How can you incorporate documents that already exist rather than creating new ones?
- Does your business operate in a single location or many? This will affect who creates some of the documents and where they are located. It may also affect how many versions of a document might be necessary to cover different circumstances.
- What is your current computer capability? Many companies use an electronic system to maintain documents.
- What security precautions do you need? As a computer system becomes larger and can be accessed by more people, electronic information can more likely be edited and destroyed. Security, or at least restrictions on who can change data, can be a critical issue for many companies.

Step 3: Determine a standard format for all documents.

Before developing your EMS documents, plan the format (document and page appearance). If a company standard exists, use it. If not, the need for EMS documentation provides an opportunity to create a standard company format. Consider whether pages are single- or double-sided and why; choose margins, header, footer, typefaces, text, headings, etc. Include plans for bulleted and numbered lists, tables, and even paragraph spacing. Once you have a consistent format for documents, anyone who writes one will use the established electronic format and fill in the necessary text. All documents will look like part of an organized, integrated system. Most important, documents will be easier to read and understand!

What Constitutes EMS Documentation?

Consider the following:

- your environmental policy
- your organizational structure and key responsibilities
- a description or summary of **how** your organization satisfies EMS requirements (e.g., "How do we identify environmental aspects?" "How do we control documents?" "How do we comply with legal requirements?")
- system-level procedures (e.g., procedure for corrective action)
- activity- or process-specific procedures/work instructions
- other EMS-related documents (such as emergency response plans, training plans, etc.)

Step 4: Controlling Documents

To ensure that everyone is working with the proper EMS documents, your organization should have a procedure that describes how such documents are controlled. Implementation of this procedure will ensure the following:

- EMS documents can be located (we know where to find them),
- they are periodically reviewed (we check to make sure they are still valid),
- current versions are available where needed (we make sure the right people have access to them), and
- obsolete documents are removed *(people won't use the wrong documents by mistake).*

Your procedure should designate responsibility and authority for preparing documents, making changes to them and keeping them up-to-date. In other words, you need to make it clear who can actually generate and change documents and the process for doing so.

Hints

- Don't make your procedure more complicated than it needs to be. While larger organizations often have complex processes for document control, smaller organizations can use simpler processes.
- Limiting distribution can make the job easier. Could everyone have access to one or a few copies? Determine how many copies you really need and where they should be maintained for ease of access.
- Consider using a paperless system through a local area network or the organization's internal web site. There also are a number of commercial software packages that can simplify the document control effort.
- Prepare a document control index that shows all of your EMS documents and the history of their revision (see **Exhibits 10-7** and **10-8**). Include this index in your manual. Also, if multiple paper copies of documents are available at the facility, prepare a distribution list, showing who has each copy and where the copies are located.
- As your procedures or other documents are revised, highlight the changes (by underlining, boldface, etc.). This will make it easier for readers to find the changes.

TOOLS

This section provides tools to develop EMS documentation.

Exhibit 10-1: EMS Documentation Worksheet

Do we have **existing documentation of our EMS**? If yes, how is this EMS documentation **maintained?** (Electronically? In paper form?)	
Who is responsible for maintaining EMS documentation within our organization?	
Do we have an **EMS manual** or other summary document that describes the key elements of the EMS? If so, does this document describe the **linkages** among system elements?	
What does our EMS documentation consist of? (List components such as environmental policy, EMS manual, activity-level procedures or work instructions, emergency plans, etc.)	
Is our EMS documentation **integrated with other organizational documentation** (such as human resource plans or quality procedures)? If so, how do we ensure proper **coordination** between environmental and these other functions?	
How will we keep our EMS documentation **up-to-date**?	
Our next step on EMS documentation is to …	

Exhibit 10-2: Sample Worksheet for Development of EMS Documentation

List Existing Documents	Determine Format: Who/ Date Completed	Develop Prototype (Content): Who/ Date Completed	Assign Writing: Who/ Date	Review Writing/ Compare to Prototype: Who/ Date	Added to Document List/ Date	Who Has Access	Where Located
	/	/	/	/	/		
	/	/	/	/	/		
	/	/	/	/	/		
	/	/	/	/	/		
List Documents to be Created							
	/	/	/	/	/		
	/	/	/	/	/		
	/	/	/	/	/		
	/	/	/	/	/		
Contact Person:				Date Completed:			

Exhibit 10-3: Sample Outline for EMS Manual and Other EMS Documents

Basic EMS Manual

- **Index/Revision History/Distribution List**
- **Environmental Policy**
- **Description of How Our EMS Addresses Each of the EMS Elements (and linkages among these elements)**
  - How We Identify Significant Environmental Aspects
  - How We Access and Analyze Legal and Other Requirements
  - How We Establish and Maintain Objectives and Targets
  - How the Organizational Structure Supports EMS (organization charts, key responsibilities)
  - How We Train our Employees and Ensure Competence
  - How We Communicate (internally and externally)
  - How We Control EMS Documents
  - How We Identify Key Processes and Develop Controls for them
  - How We Prepare for and Respond to Emergencies
  - How We Monitor Key Characteristics of Operations and Activities
  - How We Identify, Investigate, and Correct Nonconformance
  - etc.

Environmental Management Program Description

- **Annual Objectives and Targets**
- **Action Plans (to achieve objectives and targets)**
- **Tracking and Measuring Progress**

EMS Procedures

- **Index/Revision History/Distribution List**
- **Organization-wide Procedures (for some EMS elements there might be more than one procedure)**
  - Environmental Aspects Identification
  - Access to Legal and Other Requirements
  - Training, Awareness, and Competence
  - Internal Communication
  - External Communication
  - Document Control
  - Change Management Process(es)
  - Management of Suppliers / Vendors
  - Emergency Preparedness and Response
  - Monitoring and Measurement
  - Calibration and Maintenance of Monitoring Equipment
  - Compliance Evaluation
  - Corrective and Preventive Action
  - Records Management
  - EMS Auditing
  - Management Review
- **Procedures/Work Instructions for Specific Operations or Activities**
  - Waste Management
  - Wastewater Treatment
  - Operation of the Paint Line

(These are examples only)

Other EMS Documentation (Emergency Response Plans, etc.)

Exhibit 10-4: Sample Procedure for Documentation

Purpose

To ensure effective operation of the EMS, [Your Facility's Name] documents the procedures of its EMS and keeps records of the outcomes of EMS processes, and of the important environmental issues facing the plant. This EMS manual comprises this documentation.

Procedure

1. The Environmental Management Representative (EMR) documents the procedures that define [Your Facility's Name] EMS in this manual. The Cross Functional Team (CFT) formally reviews and, if necessary, revises this manual on an annual basis. Revised manuals are assigned a new revision number (a minor set of revisions would change the number from, say, 1.1 to 1.2; a major revision would change the number from, say, 1.1 to 2.0). Finally, the EMS Coordinator ensures that no employees or managers use outdated revisions of this manual.

Frequency

Manual review and revision on an annual basis.

Records

Maintained as outlined in the procedure.

Exhibit 10-5 provides you with the beginning framework for document control by presenting you with important questions that need to be addressed. **Exhibit 10-6** provides an example of a procedure for document control, and **Exhibit 10-7** and **Exhibit 10-8** will help you manage your documents once they have been created.

Exhibit 10-5: Document Control Worksheet

Do we have an **existing process** for controlling EMS documents? If yes, does that process need to be revised? In what way?	
Who needs to be involved in this process within our organization?	
Who needs **access** to controlled copies of EMS documents? How do we ensure that they have access?	
How do we ensure that EMS documents are **periodically reviewed and updated** as necessary?	
Who has authority to **generate** new documents or **modify** existing ones? How is this process managed?	
How are **users alerted** to the existence of new EMS documents or revisions to existing ones?	
How do we ensure that **obsolete** documents are not used?	
Is our EMS document control process **integrated with other organizational functions** (such as quality)? If so, how do we ensure proper **coordination** between environmental and other functions?	
Our next step on document control is to …	

Exhibit 10-6: Sample Procedure for Document Control

Purpose

To ensure effective operation of the EMS, [Your Facility's Name] will ensure that documents are easy to find and are kept up-to-date.

Procedure

1. The EMS Coordinator maintains updated records of the following outcomes, or results, of the functioning of the EMS environmental policy
    - Environmental aspects (Module 3)
    - Applicability of legal requirements to Environmental Aspects (Module 4); note that copies of the regulations themselves are maintained by the Environmental Management Representative (EMR).
    - Significant environmental aspects
    - Objectives, targets, and action plans for environmental management programs (Module 5)
    - List of operational control procedures related to SEAs (Module 12)
    - Results of internal audits (Module 17)
    - Corrective actions taken (Module 15)
    - Management reviews (Module 18)

2. The EMS Coordinator is not responsible for maintaining records of environmental training and emergency response preparations; the operational control procedures themselves; or the New Purchase Approval Forms, the Design Approval Forms, or the Facility Expansion or Modification Plans. These records are maintained by the appropriate person or group.

3. The EMR or his designee will control all EMS documents and records from items 1 and 2 using **Exhibit 10-7**, Document Control Form and **Exhibit 10-8**, Document Index Form.

Frequency

Manual review and revision on an annual basis.

Records

Maintained as outlined in the procedure.

Exhibit 10-7: Sample Document Control Form

Document	Who Will Use It	Permanent Location	Periodic Review Schedule/ Who	When Can Be Destroyed
			/	
			/	
			/	
			/	
			/	
			/	
			/	
			/	
			/	
			/	
Contact Person:			Date Completed:	

Exhibit 10-8: Sample Document Index Form

(Columns to be filled out with information such as the name of individual that revised document, his/her position/department, and dates(s) of revision.)

Document	Revision Number					
	1	2	3	4	5	6
Environmental Policy						
Environmental Manual						
Procedure 1: Environmental Aspects Identification						
Procedure 2: Access to Laws and Regulations						
Procedure 3: Setting Objectives & Targets						
Procedure 4: Environmental Training						
Procedure 5: External Communications						
Procedure 6: Internal Communications						
Procedure 7: Document Control						
Procedure 8: Emergency Preparedness						
Procedure 9: Corrective Action						
Procedure 10: Records Management						
Procedure 11: EMS Audits						
Procedure 12: Management Reviews						
Procedures 13-X (list individually)						
EMS Audit Checklist						
Other plans & documents related to above procedures (list separately, e.g. SPCC Plan, Emergency Response Plan, etc.).						
Other forms and checklists (list)						

Module 11: Operational Control

GUIDANCE

Section 4.4.6 of the ISO 14001 Standard requires organizations to identify operations associated with significant environmental aspects and to plan these activities to ensure they are controlled. Where operations or activities are complex and/or the potential environmental impacts are significant, controls should include documented procedures. Procedures can help your organization to manage its significant environmental aspects (SEAs), ensure regulatory compliance, and achieve environmental objectives. Procedures can also play a prominent role in employee training.

Documented procedures should be established where the absence of procedures could lead to deviations from the environmental policy or from your objectives and targets. Determining which operations should be covered by documented procedures and how those operations should be controlled is a critical step in designing an effective EMS. Keep in mind that you might need operational controls to manage significant aspects or legal requirements, regardless of whether you established objectives and targets for each of them.

For every environmental aspect your company determines to be significant, one of two actions are taken:

- Evaluating alternatives to current processes in order to reduce the potential for impact, or
- Writing operational control procedures for activities or steps in a production process where the potential impact may be well controlled.

The following are some examples of the kinds of activities that might be improved with operational controls:

- management/disposal of wastes
- approvals for using new chemicals
- storage and handling of raw materials and chemicals
- wastewater treatment
- building and vehicle maintenance
- transport
- operation and maintenance of equipment
- management of contractors
- marketing and advertising
- acquisition or construction of property and facilities

The process of setting targets and ensuring their attainment has several steps that are discussed in more detail below:

1. **Determine the possible causes of potential impact**
   For all of your significant environmental aspects, you should determine the cause of the impact. In some cases, the cause might seem obvious. However, sometimes the root cause of the problem is not the most obvious cause. Use the "root cause" analysis described in Module 14 to help your EMS team get to the cause of the impact prior to developing your operational controls.

2. **Set targets and measurements for environmental performance**
   As discussed in Module 5, you need to set a target for each objective and establish measurements for environmental performance indicators. The targets should reflect correction of the root cause identified above. Measurement indicators should document changes in the causes identified above. Using the indicators, you can determine if your operational controls are helping you meet your objectives.

3. **Draft operational controls**
   Next, for each significant aspect that you have decided to address with procedures, draft operational controls. Review each of the causes identified in your root cause analysis that would contribute to the environmental impact of a significant aspect. Address the causes by drafting operational controls.

   Operational controls may already exist for some of the activities associated with a significant aspect. Identify which aspects have written procedures that describe operational controls, and which aspects will need to have procedures developed. In some cases the procedures that you have in place to comply with environmental and health and safety regulations may be useful to meet your EMS objectives. **Table 11-1: Partial List of Typical Operational Controls for Activities at a Die Casting Facility** might help your facility address some of the controls that might be important.

   Also, it is important to involve the people who will implement the procedures in drafting them. You can accomplish this in several ways:

   - Meet with workers and have them describe current procedures. Discuss the environmental objective desired, and how to write operational controls (procedures) to ensure that the objectives will be met.
   - Interview the workers to identify undocumented procedures; then draft (or revise) operational controls. Have the workers and a manager review the draft.
   - Keep the written operational controls simple and concise. They should include the appropriate actions, precautions, and notifications required. Focus on activities that may lead to significant impacts and avoid getting overwhelmed by trying to control every activity and process.

Table 11-1: Partial List of Typical Operational Controls for Activities at a Die Casting Facility

Category of Activity	Operational Control
Purchase of Raw Materials	• Subcontractor Requirements
Storage Facility for Chemicals and Hazardous Wastes	• Hazardous Waste Area Inspection • Bulk Storage and Containment • Containerized Material Storage • Drum Handling – Satellite and Warehouse Storage • Hazardous Waste Operations Procedure • Control of Discharge and Disposal • Waste Manifest/Chain of Custody • Bulk Cargo Transfer Inspection
Shops and Facility Plant Maintenance	• Environmental Checklist • Procedure for Pressure Washing Near Water • Maintenance and Machine Shop Checklist • Disposition of Fluorescent Bulbs, Batteries, and Mercury Items

This EMS template provides you with **Exhibit 11-2: Sample Worksheet for Determining Which Operations Require Operational Controls** to help guide the process of establishing necessary operational controls.

4. Designate responsibility for maintaining and reviewing controls

Designate those people responsible both for maintaining the controls and for reviewing them to ensure that procedures are followed and deviations corrected. Generally, the workers responsible for the significant aspect under consideration will be responsible for implementing the operational controls. The immediate line manager would most likely be responsible for regular review of the controls. It is helpful to list those people responsible for each set of procedures. **Exhibit 11-3** helps the process of assigning operational-control responsibilities.

5. Develop training

Achieving success in meeting environmental objectives for each significant aspect depends upon making sure that each person responsible for maintaining or reviewing controls has received adequate training. After operational controls are drafted, develop a training program that ensures everyone understands both the controls and their own role in ensuring that they are followed. Training can include on-the-job training. **Exhibit 11-4** is provided to help your facility to determine training needs associated with operational controls. It helps you to identify, plan for, and track the training needs of your employees. This information should be combined with general environmental

training when creating an integrated training needs analysis for your EMS (See Module 8).

6. **Take corrective action when objectives are not met**
   Take action to correct failures in operational controls as quickly as possible to meet environmental objectives.

A sample operational control procedure is provided as **Example 11-1**: Operational Control for New Material Purchasing. Sample forms for providing documented evidence that the procedure is being implemented effectively are also included in the example.

TOOLS

Exhibit 11-1: Operational Controls Worksheet

Have we **identified operations and activities** associated with significant environmental aspects, legal requirements, and environmental objectives? If not, **how will this be accomplished**? Who should be **involved**?	
What operations and activities are associated with **significant environmental aspects**?	
What operations and activities are associated with **legal requirements**?	
What operations and activities are associated with environmental **objectives and targets**?	
How are the above operations and activities **controlled**? (list methods)	
How do we know whether these **controls are adequate** (i.e., to manage significant aspects, to ensure compliance, to achieve objectives?	
How do we **train** employees and contractors on relevant operating controls?	
If **new controls** are needed (or **existing ones need to be revised**), what is our **process** for doing so? Who needs to be **involved** in this process?	
Our next step on operational control is to …	

Exhibit 11-2: Sample Worksheet for Determining Which Operations Require Operational Controls

Operation or Activity	Procedure is needed (none exists)	Procedure exists, but is not documented	Procedure exists and is documented	No procedure is needed

Exhibit 11-3: Sample Worksheet for Training Plan for Operational Controls

Aspect	Procedures	Person Responsible for Carrying Out	Training Needs	How to Train	When/ Length	Budget	Completion Date	Person Responsible for Training

Exhibit 11-4: Sample Form for EMS Operational Control Procedures

SEA	Indicator(s)	Associated Job Functions	Existing Operational Control Procedures	Operational Control Procedures Development/ Modification Needed	Person Responsible/ Status	Location Posted

Contact Person: _____ Date Complete _____

EXAMPLES

Example 11-1: Operational Control for New Material Purchasing

Purpose/Scope:
This work instruction describes the procedures used to control the purchase and use of chemicals within the XXX plant. This procedure also aids in compliance with governmental environmental and health and safety regulations.

Responsibility:
The Purchasing Department, with assistance from the Environmental Management representative, is responsible for ensuring that only approved materials will be purchased. All employees are responsible for ensuring that only approved chemicals are used in the plant.

Procedure:
The Purchasing Department maintains a list of approved materials. **Link to List of approved materials.**

Only those materials on the list of approved chemicals can be purchased and/or brought into the facility (this includes samples).

To approve a new material:

Complete the top portion of Form XXX – Chemical Approval Form. Submit the form and a copy of the Material Safety Data Sheet (MSDS) for the material to the Environmental Manager.

The Environmental Manager will evaluate the material based on the information provided and indicate if the material is approved or not on the bottom portion of the form.

If approved, the Environmental Manager will submit the form to the Purchasing Department. The Purchasing Department will add the material to the list of approved materials and file the form.

If not approved, the Environmental Manager will return one copy the form to the requester and file one copy of the form with the MSDS along with any other rejected substances.

Upon receipt of a shipment of materials/hazardous substances, the accompanying MSDS will be forwarded to the Environmental Manager. The Environmental Manager is responsible for maintaining MSDSs for all hazardous substances in the plant.

Reference:
List of Approved Chemicals

Records:
Completed Chemical Approval Forms - Form No. XXX

Module 12: Emergency Preparedness and Response

GUIDANCE

Despite an organization's best efforts, the possibility of accidents and other emergency situations still exists. Effective **preparation and response** can reduce injuries, prevent or minimize environmental impacts, protect employees and neighbors, reduce asset losses, and minimize downtime. Section 4.4.7 of the ISO 14001 Standard requires organizations to establish and maintain procedures to identify, respond to emergency situations and to prevent and mitigate the environmental impacts that may be associated with them.

An effective emergency preparedness and response program should include provisions for:

- assessing the potential for accidents and emergencies;
- preventing incidents and their associated environmental impacts;
- plans / procedures for responding to incidents;
- periodic testing of emergency plans/procedures; and,
- mitigating **impacts** associated with these incidents.

Consistent with the focus on continual improvement, it is important to **review** your emergency response performance **after an incident** has occurred. Use this review to determine if more training is needed or if emergency plans/procedures should be revised.

USEFUL INFORMATION SOURCES:

- Material safety data sheets
- Plant layout
- Process flow diagrams
- Engineering drawings
- Design codes and standards
- Specifications on safety systems (alarms, sprinklers, etc.)

Getting Started:

- Emergency Response is another area where you should not have to start from scratch. Several environmental and health and safety **regulatory programs** require emergency plans and/or procedures. First review what you have now and assess how well it satisfies the items discussed previously.
- Make sure existing plans are controlled documents (are they dated and in accordance with your documentation procedures?)
- Whether you are creating new or reviewing existing plans, keep the following in mind. Two planning components that many organizations overlook are how they **identify the potential for accidents** and emergencies and how they **mitigate the impacts** of such incidents. A cross-functional team (CFT) (with representatives from engineering, maintenance, and environmental health & safety, for example) can identify most potential emergencies by asking a series of "what if" questions related to hazardous materials, activities, and processes employed at the site. In addition to normal operations, the team should consider start-up and shutdown of process equipment, and other abnormal operating conditions.
- Ask yourself: Does **everyone** (including new employees) know what to do in an emergency? How would contractors or site visitors know what to do in an emergency situation?
- Communicate with **local officials** (fire department, hospital, etc.) about potential emergencies at your site and how they can support your response efforts.

Hints

- **Mock drills** can be an excellent way to reinforce training and get feedback on the effectiveness of your plans / procedures.
- **Post copies** of the plan (or at least critical contact names and phone numbers) around the site and especially in areas where high hazards exist. Include phone numbers for your on-site emergency coordinator, local fire department, local police, hospital, rescue squad, and others as appropriate.
- **Revise and improve your plan** as you learn from mock drills, training, or actual emergencies.

Checklist for Emergency Preparedness and Response Plans

Does your plan describe the following:

- ❑ potential emergency situations (such as fires, explosions, spills or releases of hazardous materials, and natural disasters)?
- ❑ hazardous materials used on-site (and their locations)?
- ❑ key organizational responsibilities (including emergency coordinator)?
- ❑ arrangements with local emergency support providers?
- ❑ emergency response procedures, including emergency communication procedures?
- ❑ locations and types of emergency response equipment?
- ❑ maintenance of emergency response equipment?
- ❑ training / testing of personnel, including the on-site emergency response team (if applicable)?
- ❑ testing of alarm / public address systems?
- ❑ evacuation routes and exits (map), and assembly points?

Exhibits 12-1 and 12-2 are worksheets to help your facility guide the process of ensuring that it's emergency preparedness and response procedures are adequate and that they are well integrated into your EMS.

TOOLS

Exhibit 12-1: Emergency Preparedness and Response Worksheet

Have we **reviewed our operations and activities** for potential emergency situations? If not, **how will this be accomplished**? Who should be **involved**?	
Do our existing emergency plans describe how we will **prevent** incidents and associated environmental impacts? If not, **how will this be accomplished**? Who should be **involved**?	
Have we **trained personnel** on their roles and responsibilities during emergencies?	
What **emergency equipment** do we maintain? How do we know that this equipment is adequate for our needs?	
How do **contractors and other visitors** know what to do in an emergency situation?	
When was our last emergency **drill**? Is there a plan / schedule for conducting future drills?	
Have we established a **feedback loop** so we can learn from our experiences?	
Our next step on emergency preparedness & response is to …	

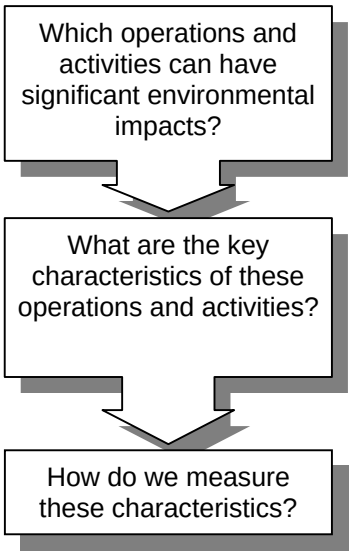
Exhibit 12-2: Emergency Preparedness and Response Requirements Matrix

Potential Emergency Scenario	Potential Environmental Impact	Action Required	Procedures Needed	Training Needed

Module 13: Monitoring and Measurement

GUIDANCE

Section 4.5.1 of the ISO 14001 Standard requires organizations to establish procedures to monitor and measure **key characteristics** of their operations and activities that can have a significant impact on the environment.



Monitoring and measurement enables an organization to:

- evaluate environmental performance;
- analyze root causes of problems;
- assess compliance with legal requirements;
- identify areas requiring corrective action; and,
- improve performance and increase efficiency.

In short, **monitoring helps you manage your organization better**. Pollution prevention and other strategic opportunities are identified more readily when current and reliable data are available.

Your organization should develop procedures to:

- **monitor key characteristics** of operations and activities that can have significant environmental impacts and/or compliance consequences;
- **track performance** (including your progress in achieving objectives and targets);
- **calibrate and maintain** monitoring equipment; and,
- through internal audits, periodically **evaluate your compliance** with applicable laws and regulations.

An illustration of how monitoring and measurement is tied to the significant aspects, objectives and targets, and operational controls of facility's EMS is presented in **Example 13-1**.

Identifying Key Characteristics

Assemble your Cross Functional Team to decide what operations need to be monitored and/or measured in order to track progress towards meeting your objectives and targets. Exhibit 13-1 can help you with this process. Record this information in the meeting minutes. Most effective environmental measurement systems use a combination of **process** and **outcome** measures.

Outcome measures look at results of a process or activity, such as the amount of waste generated or the number of spills that took place. Process measures look at "upstream" factors, such as the amount of paint used per unit of product or the number of employees trained on a topic. Select a combination of process and outcome measures that are right for your organization. Keep monitoring requirements limited to KEY process characteristics and focus on the things that you can control.

Progress on Meeting Objectives

You should measure progress on achieving objectives and targets on a regular basis and communicate the results of such measurement to top management. To measure progress in meeting objectives, select appropriate performance indicators. Performance indicators can help you to understand how well your EMS is working. Start by identifying a few performance indicators that are:

- **simple** and understandable;
- **objective**;
- **measurable**; and
- **relevant** to what your organization is trying to achieve (i.e., its objectives and targets)

Data collected on performance indicators can be quite helpful during **management reviews** (see **Module 17**). So, select indicators that will provide top management with the information it needs to make decisions about the EMS.

Calibrating Equipment

A component of monitoring and measurement is equipment calibration. Your facility should identify process equipment and activities that truly affect your environmental performance. As a starting point, look at those **key process characteristics** you identified earlier. Some organizations place critical monitoring equipment under a special calibration and preventive maintenance program, or at least insure that they are part of the facility's regular PM program. This can help to ensure accurate monitoring and make employees aware of which instruments are most critical for environmental monitoring purposes. Some organizations find it is more cost-effective to subcontract calibration and maintenance of monitoring equipment than to perform these functions internally.

An illustration of how calibration needs are tied to significant aspects, operational controls, key characteristics of the operation, and monitoring and measurement methods is presented in **Example 13-2**.

Regulatory Compliance

Determining your compliance status on a regular basis is very important. You should have a procedure to systematically **identify, correct, and prevent** violations. Effectiveness of the compliance assessment process should be considered during EMS **management review**.

Communicating Performance

People respond best to information that is meaningful to "their world." Putting environmental information in a form that is **relevant to their function** increases the likelihood they will act on the information. Be sure to link your measurement program with your **communications** program and other elements of the EMS (such as management reviews, as discussed later).

Documenting Your Monitoring and Measurement Process

Exhibit 13-2 provides a sample procedure that your facility can adopt for ensuring environmental regulatory compliance. **Exhibit 13-3** is an example of a compliance tracking form to be used in association with the procedure. **Exhibit 13-4** is an example of documenting calibration measures. Similar to the example provided by **Exhibit 13-2**, Procedure for a Compliance Assessment, your facility might want to establish written procedures for calibration of equipment to which **Exhibit 13-4** will be associated.

Hints:

- Monitoring and measuring can be a resource-intensive effort. One of the most important steps you can take is to clearly **define your needs**. While collecting meaningful information is clearly important, resist the urge to collect data "for data's sake."
- Review the kinds of monitoring you do now for **regulatory compliance** and other purposes (such as quality or health and safety management). How well might this serve your EMS purposes? What additional monitoring or measuring might be needed?
- Make measuring and monitoring reports applicable to the operational staff and meaningful for management.
- Monitoring and measurement procedures and work instructions should be incorporated into as many existing work instructions as possible. Delegate these revisions to supervisors or area managers.
- You can **start** with a **relatively simple** monitoring and measurement process, then build on it as you gain experience with your EMS.

TOOLS

Exhibit 13-1: Monitoring and Measurement Worksheet

Have we **identified operations and activities** associated with significant environmental aspects, legal requirements and environmental objectives? If, not how will this be accomplished?	
What type(s) of monitoring and measurement do we need to ensure that **operational controls** are being implemented correctly?	
What type(s) of monitoring and measurement do we need to ensure that we are **complying** with **applicable legal requirements?**	
What type(s) of monitoring and measurement do we need to ensure that we are **achieving** our environmental **objectives & targets?**	
How do we identify the **equipment** used for any of the monitoring or measurement listed above?	
How will we ensure that monitoring and measurement equipment is properly **calibrated and maintained**?	
What process do we have to periodically **evaluate compliance with legal requirements**? How effective is this process?	
Our next step on monitoring and measurement is to …	

Exhibit 13-2: Sample Procedure for a Compliance Assessment

Purpose

[Your Facility's Name] conducts a periodic compliance assessment to ensure that it complies with all applicable local, state, and federal environmental regulations.

Procedure

1. The Environmental Management Representative (EMR) maintains copies of applicable legal regulations (see Module 4, **Exhibit 4-4**). Based on these regulations, the EMR and EMS Coordinator compile a list of questions as a compliance assessment protocol. These questions are intended to be sufficient to determine the compliance status of [Your Facility's Name] with respect to applicable environmental regulations (both the paperwork and the performance-related components).

2. The EMS Coordinator and another operations manager carry out the assessment by determining and recording the answers to the compliance assessment protocol. When they are done with the compliance assessment, they note any actual or potential compliance issues on **Exhibit 13-3: Compliance Tracking Log**. Each actual and potential compliance issue is immediately referred to corrective action.

Frequency

Monthly.

Records

Compliance assessment results are recorded by the Cross Functional Team (CFT) using the compliance assessment protocol. Records are maintained by the EMS Coordinator.

Exhibit 13-3: Sample Form for Compliance Tracking

Person Responsible	Regulation	Root Cause	Compliance Check Date	Results	Corrective Action/Date (see: TCA-01)	Compliance Verified/Date

Exhibit 13-4: Calibration Log

Indicator	Measurement Method	Equipment Used	Equipment calibrated: date/method
Contact Person:		Date Completed:	

EXAMPLES

Example 13-1: Example of Links Between Aspects, Objectives and Targets, Operational Controls, and Monitoring and Measurement

Significant Aspect	Objective	Target	Operational Control	Monitoring and Measurement
Anti-corrosive paint X	C-Maintain compliance	Ongoing	• Coating and thinning NESHAP procedure • Paint application work instruction (WI) • Bulk storage WI and containment WI	• Compliance audit • Regulatory reporting • EMS audits
Solid waste from unmasking process	S-Investigate potential for reduction	Complete study by January 2002	• Solid waste reduction EMP	• Waste reduction • tracking metric • EMS audits

Example 13-2: Linking Monitoring Processes to Operational Controls

Operation with Significant Environmental Aspect	Operational Controls	Key Characteristics of Operation or Activity	Monitoring or Measurement Methods	Equipment Calibration Needs
Liquid Waste Storage *(significant aspect is potential for spills)*	• Generator procedure	• Use of proper containers • Segregation of incompatibles	• Inspections of storage area • Inspections of storage area	• None • None
	• Storage area procedure	• Availability of spill equipment	• Inspections of storage area	• None
New Chemical Purchasing *(significant aspect is waste generation)*	• Purchasing Approval procedure	• EHS Manager approval of all new chemical purchases	• Periodic review of Material Safety Data Sheets (MSDSs) • Inspections of chemical storage lockers	• None

Module 14: Nonconformance and Corrective and Preventive Action

GUIDANCE

Section 4.5.2 of the ISO 14001 Standard states that the organization shall establish and maintain procedures for defining responsibility and authority for handling and investigating nonconformance, taking corrective action to mitigate any impacts caused and for initiating and completing corrective and preventive action.

No EMS is perfect. You will probably identify problems with your system (especially in the early phases) through audits, measurement, or other activities. In addition, your EMS will need to change as your organization changes and grows. To deal with system deficiencies, your organization needs a process to ensure that:

- **Problems** (including nonconformities) are **identified** and **investigated**;
- Root **causes** are **identified**;
- Corrective and preventive **actions** are **identified** and **implemented**; and,
- **Actions** are **tracked** and their **effectiveness** is **verified**.

EMS nonconformities and other system deficiencies (such as legal noncompliance) should be analyzed to detect patterns or **trends**. Identifying trends allows you to anticipate and **prevent** future problems.

Focus on correcting **and** preventing problems. Preventing problems is generally cheaper than fixing them after they occur (or after they reoccur). Start thinking about problems as **opportunities to improve!**

Key Steps

- ☑ identify the problem
- ☑ investigate to identify the root cause
- ☑ come up with solution
- ☑ implement solution
- ☑ document solution
- ☑ communicate solution
- ☑ evaluate effectiveness of solution

Why do EMS problems occur?

Typical causes include:

- ☑ poor communication
- ☑ faulty or missing procedures
- ☑ equipment malfunction (or lack of maintenance)
- ☑ lack of training
- ☑ lack of understanding (of requirements)
- ☑ failure to enforce rules
- ☑ corrective actions fail to address root causes of problems

Determining Causes of Problems and Identifying Corrective Actions

You will need to establish a method to determine the causes of failing to meet a target. In some cases, the cause might not be difficult to understand. Other times, however, the cause might not be obvious. Make sure your actions are based on good information and analysis of causes. While many corrective actions may be "common sense," you need to **look beneath the surface** to

determine **why** problems occur. Many organizations use the term "**root cause**" in their corrective and preventive action processes. While this term can be used to describe a very formal analysis process, it can also mean something simpler – looking past the obvious or immediate reason for a nonconformance to determine why the nonconformance occurred.

Once you document a problem with respect to meeting targets, the company must be committed to resolving it. Take action as quickly as possible. First, make sure assigned responsibilities for actions and schedules are clear.

Employees in the shop may recognize the need for corrective action and provide good ideas for solving problems. Find ways to get them involved in the improvement process. It's important to determine whether a lapse is temporary or due to some flaw in the procedures or controls. For this reason, communicate any findings to employees, and provide any follow-up training for changes in the procedures that may result.

Hints

- If your organization has an ISO 9001 management system, you should already have a corrective and preventive action process for **quality** purposes. Use this as a model (or integrate with it) for EMS purposes.
- Some organizations find that they can **combine** some elements of their management review and corrective action processes. These organizations use a portion of their management review meetings to review nonconformities, discuss causes and trends, identify corrective actions, and assign responsibilities.
- The amount of planning and documentation needed for corrective & preventive actions will vary with the **severity** of the problem and its potential environmental **impacts**. Don't go overboard with bureaucracy — simple methods often work quite effectively.
- Once you document a problem, the organization must be committed to **resolving it in a timely manner**. Be sure that your corrective and preventive action process specifies **responsibilities** and **schedules** for completion. Review your **progress** regularly and follow up to ensure that actions taken are effective.
- **Rule of thumb**: Corrective actions should (1) resolve the immediate problem, (2) consider whether the same or similar problems exist elsewhere in the organization, and (3) prevent the problem from recurring. The corrective action process also should define the responsibilities and schedules associated with these three steps.
- Initially, most EMS problems may be identified by your internal auditors. However, over the long run, many problems and good ideas may be identified by the people doing the work. **This should be encouraged**. Find ways to get employees involved in the system improvement process (for example, via suggestion boxes, contests, or incentive programs).

Exhibit 14-1 is a worksheet to guide your facility in establishing and implementing a corrective and preventive action program. **Exhibit 14-2** provides a sample procedure for conducting corrective and preventive action. **Exhibit 14-3** is a sample form that can be used to document the use of your procedure. **Exhibit 14-4** can be used to track corrective and preventive actions. **Exhibit 14-3** could also be combined with the EMS Audit Findings, **Exhibit 16-7** (see **Module 16**).

TOOLS

Exhibit 14-1: Corrective & Preventive Action Worksheet

Do we have an **existing process** for corrective and preventive action? If yes, does that process need to be revised? In what way?	
Who needs to be involved in this process within our organization?	
How are **nonconformities** and other potential system deficiencies **identified**? (List methods such as audits, employee suggestions, ongoing monitoring, etc.)	
How do we **determine the causes** of nonconformities and other system deficiencies? How is this information used?	
How do we **track the status** of our corrective and preventive actions?	
How is / can **information** on nonconformities and corrective actions **be used within the EMS** (for example, in management review meetings, in employee training sessions, in review of procedures, etc.)	
How do we **ensure the effectiveness** of our corrective and preventive actions?	
Our next step on corrective and preventive action is to …	

Exhibit 14-2: Sample Procedure for Corrective and Preventive Action

Purpose

The purpose of this procedure is to establish and outline the process for identifying, documenting, analyzing, and implementing preventive and corrective actions.

Scope

Preventive or corrective actions may be initiated using this procedure for any environmental problem affecting the organization.

General

A. Corrective action is generally a reactive process used to address problems after they have occurred. Corrective action is initiated using the Corrective and Preventive Action Notice (CAPAN), **Exhibit 14-3**, as the primary vehicle for communication. Corrective action may be triggered by a variety of events, including internal audits and management reviews. Other items that might result in a CAN include neighbor complaints or results of monitoring and measurement.

B. Preventive action is generally a proactive process intended to prevent potential problems before they occur or become more severe. Preventive action also is initiated using the CAPAN, Exhibit 14-3. Preventive action focuses on identifying negative trends and addressing them before they become significant. Events that might trigger a CAPAN include monitoring and measurement, trends analysis, tracking of progress on achieving objectives and targets, response to emergencies and near misses, and customer or neighbor complaints, among other events.

C. CAPANs are prepared, managed, and tracked using the preventive and corrective action database.

D. The EMR (or designee) is responsible for reviewing issues affecting the EMS, the application and maintenance of this procedure, and any updates to EMS documents affected by the preventive and corrective actions.

E. The EMR is responsible for logging the CAPAN into the database, and tracking and recording submission of solutions in the database. The requester and recipient of the CAPAN responsible for verifying the effectiveness of the solution. The EMR is responsible for overall tracking and reporting on preventive and corrective actions.

F. Personnel receiving CAPANs are responsible for instituting the required corrective or preventive action, reporting completion of the required action to the EMR, and assuring sustained effectiveness.

G. Completed records of CAPANs are maintained in the database for at least two years after completion of the corrective or preventive action.

Procedure

1. Issuing a CAPAN

    a. Any employee may request a CAPAN. The employee requesting the CAPAN is responsible for bringing the problem to the attention of the EMR. The EMR is responsible for determining whether a CAPAN is appropriate and enters the appropriate information into the corrective and preventive action database. Responsibility for resolving the problem is assigned to a specific individual ("the recipient").

    b. The EMR, working with the recipient, determines an appropriate due date for resolving the CAPAN.

2. Determining and Implementing Corrective and Preventive Actions

    a. The CAPAN is issued to the recipient, who is responsible for investigation and resolution of the problem. The recipient is also responsible for communicating the corrective or preventive action taken.

    b. If the recipient cannot resolve the problem by the specified due date, he / she is responsible for determining an acceptable alternate due date with the EMR.

3. Tracking CAPANs

    a. Close-out of CAPANs should be tracked by the EMR or his designee using **Exhibit 14-4**. CAPANs whose resolution dates are overdue appear on the Overdue Solutions report. The EMR is responsible for issuing this report on a weekly basis to the Plant Manager and the recipients of any overdue CAPANs.

    b. Records of CAPANs are maintained in the database for at least two years after completion of the corrective or preventive action.

4. Tracking Effectiveness of Solutions

    a. The recipient of a CAPAN, in conjunction with the requester, are responsible for verifying the effectiveness of the solution. If the solution is deemed not effective, the CAPAN will be reissued to the original recipient.

Exhibit 14-3: Sample Corrective and Preventive Action Notice (CAPAN)

Issue Date:	Solution Due Date:
Requested by: Issued to:	
Problem Statement:	
Most Likely Causes:	
Suggested Solutions/Preventions:	
Action Taken:	
Measured Results:	
Corrective and Preventive Action Closed by:	Date:
Contact for Notice:	Date completed:

Exhibit 14-4: Sample Corrective and Preventive Action Tracking Log

CAPAN Number	Requested By	Issued To	Plan Due (Date)	Plan Completed (Date)	Corrective and Preventive Action Completed (Date)	Effectiveness Verified (Date)	CAPAN Closed (Date)

Module 15: Records

GUIDANCE

Section 4.5.3 of the ISO 14001 Standard requires organizations to identify and maintain necessary environmental records. The purpose of records management is fairly simple – you should be able to **demonstrate** that your organization is actually implementing the EMS as designed. While records have value internally, over time you may need to provide **evidence of EMS implementation to external parties** (such as customers, a registrar, or the public). Records management is sometimes seen as bureaucratic, but it is difficult to imagine a system **operating consistently** without accurate records.

What are "records"?

Records provide evidence that the processes that make up your EMS are being implemented as described.

The basics of records management are straightforward: you need to decide **what** records you will keep, **how** you will keep them and for **how long**. You should also think about how you will **dispose** of records once you no longer need them.

If your organization has an ISO 9001 (or other) management system, you should have a process in place for managing records. This process could be adapted for EMS purposes.

Hints:

- Start by **identifying** what **EMS records are required**. Review the procedures and work instructions you have developed for your EMS to determine **what evidence is needed to demonstrate implementation**. Also consider records that are required by various **legal requirements**.
- **Focus on records that add value –** avoid bureaucracy. If records have no value or are not specifically required, don't collect them. The records you choose to keep should be **accurate and complete**.
- You may need to generate certain **forms** in order to implement your EMS. When these forms are filled out, they become records. Forms should be **simple and understandable** for the users.
- Establish a records retention policy and stick to it. Make sure that your policy takes into account **records retention requirements specified in applicable environmental regulations**.

- If your organization uses computers extensively, consider using an electronic EMS records management system. Maintaining records electronically can provide an excellent means for rapid retrieval of records as well as controlling access to sensitive records.
- Identify which records, if any, might require additional security. Do you need to restrict access to certain records? Should a back-up copy of critical records be maintained at another location?

Types of Records You Might Maintain (Examples):

- legal, regulatory, and other code requirements
- results of environmental aspects identification
- reports of progress towards meeting objectives and targets
- permits, licenses, and other approvals
- job descriptions and performance evaluations
- training records
- EMS audit and regulatory compliance audit reports
- reports of identified nonconformities, corrective action
- plans, and corrective action tracking data
- hazardous material spill / other incident reports
- communications with customers, suppliers, contractors, and other external parties
- results of management reviews
- sampling and monitoring data
- maintenance records
- equipment calibration records

Key Questions

- ☑ what records are kept?
- ☑ who keeps them?
- ☑ where are they kept?
- ☑ how are they kept?
- ☑ how long are they kept?
- ☑ how/when are they accessed?
- ☑ how are they disposed?

Exhibit 15-1 is a worksheet to guide your facility in setting up an effective record-keeping system. **Exhibit 15-2** is a checklist of some of the key records necessary to support your EMS. There will be other records you will need to demonstrate performance of your EMS, but those in Exhibit 15-2 are specific to the system operation. Examples 15-1 and 15-2 demonstrate the implementation of a records management system.

TOOLS

Exhibit 15-1: Records Management Worksheet

Have we **identified what records** need to be maintained? Where is this defined?	
Have we determined records **retention times**? Where is this defined?	
Have we established an effective **storage and retrieval** system?	
Our next step on records is to …	

Exhibit 15-2: Sample Checklist for Records of Supporting Documentation

_____ Facility organization chart

_____ Facility environmental policy and standards

_____ Staffing and organization chart for your facility

_____ Supporting documentation for reporting and communication networks such as meeting notices, meeting minutes, memoranda, etc.

_____ Written Environmental Program performance and status reports

_____ Facility-specific environmental policies and procedures

EXAMPLES

Example 15-1: Sample of Environmental Records File Organization

Air Emissions Regulations
Air Emissions Fees
Air Emissions Inventories
Air Emissions Permits
Air Permit Applications
Air Permit(s): Historical
Annual Licenses & Fees
Compliance Reporting
Compliance Plans
Community Right-to-Know
EPCRA Regulations
EPCRA Reporting
Hazardous Waste Regulations
Hazardous Waste Permit/ID Number
Hazardous Waste Fees
Hazardous Waste Biennial Report
Hazardous Waste: Open Manifests
Hazardous Waste: Closed Manifests
Historical Data
Indoor Air Quality
Loss Prevention Information
Other Permits & Permit Applications
Pollution Prevention (P2) Regulations
Pollution Prevention Fees
Pollution Prevention Reporting
Recycling Information
Recycling Projects
Special Wastes
Solid Waste Permit
Solid Waste Fees
Spill Reports
Spill Response Actions
Storm Water Regulations
Storm Water Permit
VOC/HAPs Reporting
VOC Annual Analysis
Wastewater Regulations
Wastewater Fees
Wastewater Permit
Wastewater: Semi-Annual Reporting

Example 15-2: Sample EMS Records Management Table

Title: EMS RECORDS MANAGEMENT TABLE **Revision Date:** November 7, 2000 **Print Date:** September 30, 2003 (Uncontrolled document if printed)	**Doc. No.:** EMF-4.5.3 **Approval by:** **Page 1 of 2**

EMS Records Management Table

The following table lists records related to the Environmental Management System, in accordance with EMP-4.5.3 (Record keeping procedure).

Record Type	Person Responsible	Location	File Method	Retention Minimum
ADMINISTRATION				
Records on costs - purchasing, operations, and disposal	Office Manager	Admin. Office	Date order	3 years
Utility bills	Office Manager	Admin. Office	Date order	3 years
Record of annual waste quantity received	Office Manager	Admin. Office	Date order	Life of Company
Certificates of Insurance	Office Manager	Admin. Office	Date order	Life of Company
Waste Analysis Sheets	Office Manager	Admin. Office	Customer name	3 years
Waste Manifests - outgoing	Office Manager	Admin. Office	Date order	3 years
ENVIRONMENTAL				
Incident Reports	Env. Dept.	Env. Office	Date order	3 years
Complaint Reports	Env. Dept.	Env. Office	Date order	3 years
EMS Communications with external parties	Env. Dept.	Env. Office	Issue	3 years
Decision regarding external communication of significant environmental aspects	Env. Dept.	Env. Office	Date order	3 years

Record Type	Person Responsible	Location	File Method	Retention Minimum
Major Source Determination Records	Env. Dept.	Env. Office	Date order	Life of Company
Title V Permit Exemption	Env. Dept.	Env. Office	Date order	Life of Company
Correspondence regarding Air Notices	Env. Dept.	Env. Office	Date order	5 years
Odor Control System Permit	Env. Dept.	Env. Office	Date order	5 years or per Permit
Air Emission Reports	Env. Dept.	Env. Office	Date order	5 years
Records on waste disposal sites used	Env. Dept.	Env. Office	Site name	Life of Company
EMS Monitoring Inspection reports	Env. Dept.	Env. Office	Date order	5 years

Module 16: EMS Audits

GUIDANCE

Once your organization has established its EMS, verifying the implementation of the system will be critical. To identify and resolve EMS deficiencies you must **actively seek them out**.

In a smaller organization, periodic audits can be particularly valuable. Managers are often so close to the work performed that they may not see problems or bad habits that have developed. Periodic EMS audits will help determine whether **all** of the requirements of the EMS are being carried out **in the specified manner**.

For your EMS audit program to be effective, you should:

- develop audit **procedures** and protocols;
- determine an appropriate audit **frequency**;
- select and **train** your auditors; and
- maintain audit **records.**

Results of your EMS audits should be linked to the **corrective** and **preventive action** process, as described earlier.

While they can be time-consuming, EMS audits are critical to EMS effectiveness. Systematic identification and reporting of EMS deficiencies to management provides a great opportunity to:

- maintain **management focus** on the environment,
- **improve** the EMS and its performance, and
- ensure the system's **cost-effectiveness**.

Audit procedures should describe:

- ☑ audit planning
- ☑ audit scope (areas and activities covered)
- ☑ audit frequency
- ☑ audit methods
- ☑ key responsibilities
- ☑ reporting mechanisms
- ☑ recordkeeping

Getting Started:

How frequently do we need to audit?

To determine an appropriate frequency of your EMS audits, consider the following factors:

- the nature of your **operations** and **activities**,
- your significant environmental **aspects / impacts** (which you identified earlier),
- the results of your **monitoring** processes, and
- the results of **previous audits**.

It is recommended that all parts of the EMS should be audited **at least annually**. You can audit the entire EMS at one time or break it down into discrete elements for more frequent audits.

Regularly revisiting your environmental aspects and objectives is an essential step in developing an EMS that achieves the goal of continuous environmental improvements. The regular review of aspects can be used to change the priorities already established, or to examine activities that were set aside. The regular review can be part of a planned "phasing in" process, wherein different parts of your company's operations are reviewed until all your company's activities are included in your EMS. The regular review of aspects is the foundation for your company's continuing improvement.

What do we need to audit?

As part of your audits, it is critical that you regularly review your company's environmental aspects and objectives. Over time, you will probably add to the list of environmental aspects and you may need to re-rank the aspects as your activities change and as new information becomes available. Here are some things to check:

- New process review – have any changes introduced new environmental aspects?
- Worksheets from the most recent environmental aspect identification and ranking exercises – is there new information on chemical effects? If so, update your worksheets.
- Communication received from stakeholders – do any comments suggest a need for re-ranking your aspects?
- Environmental objectives and targets – what new ones will your company set for this time period?
- Pollution prevention program – has information become available from this effort that would add aspects or objectives?
- Audit program – have your audits turned up information on where your EMS and environmental programs could be improved? Would this information be useful in your aspect identification process or in redesigning your objectives?

Who will perform the audits?

You should select and train EMS auditors. Auditor training should be both **initial and ongoing**. Commercial EMS auditor training is available, but it might be more cost-effective to link up with businesses or other organizations in your area. Contact NADCA for assistance in this area.

Auditors should be trained in **auditing techniques** and **management system** concepts. Familiarity with environmental regulations, facility operations, and environmental science can be a big plus, and in some cases may be essential to adequately assess the EMS.

Some auditor training can be obtained **on-the-job**. Your organization's first few EMS audits can be considered part of auditor training, but make sure that an **experienced auditor** leads or takes part in those "training" audits.

Auditors should be **independent of the activities being audited**. This can be a challenge for small organizations.

If your company is registered under **ISO 9001**, consider using your internal quality auditors as EMS auditors. While some additional training might be needed for EMS auditing, many of the required skills are the same.

How should management use audit results?

Management can use EMS audit results to **identify trends or patterns** in EMS deficiencies. The organization also should ensure that identified system gaps or deficiencies are **corrected** in a timely fashion and that corrective actions are **documented**.

Hints

- Your EMS audits should focus on **objective evidence of conformance**. During an audit, auditors should resist the temptation to evaluate, for example, **why** a procedure was not followed – that step comes later.
- During an audit, auditors should **review identified deficiencies** with people who work in the relevant area(s). This will help the auditors verify that their audit findings are correct. This also can reinforce employee awareness of EMS requirements.
- If possible, train at least **two** people as internal auditors. This will allow your auditors to work as a **team**. It also allows audits to take place when one auditor has a schedule conflict, which is often unavoidable in a smaller organization!
- **Before you start** an audit, be sure to **communicate** the audit scope, criteria, schedule, and other pertinent information to the people in the affected area(s). This helps to avoid confusion and facilitate the audit process.

- Consider **integrating** your EMS and regulatory compliance audit processes, **but** keep in mind that these audit processes have different purposes. While you might want to **communicate the results** of EMS audits widely within your organization, the results of compliance audits might need to be communicated in a more limited fashion.
- Final thought: An EMS audit **is** a check on how well your system meets your established EMS requirements. An EMS audit **is not** an audit of how well employees do their jobs. In addition, audits should be judged on the **quality** of findings, rather than on the number of findings.

Figure 16-1:
Linkages Among EMS Audits, Corrective Action and Management Reviews

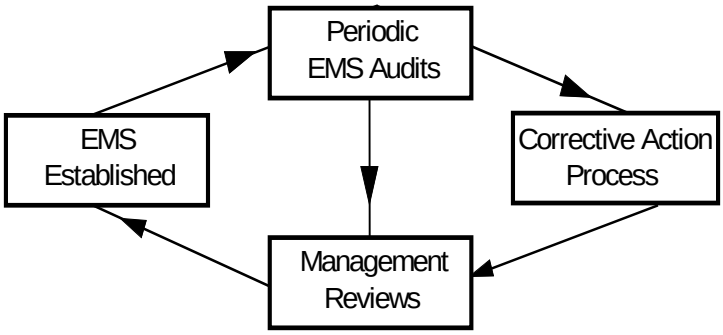


Exhibit 16-1 is a worksheet that will guide your facility in establishing and implementing an EMS audit program. **Exhibit 16-2** provides a sample procedure for conducting internal EMS audits. **Exhibits 16-3, 16-4, 16-5, 16-6, and 16-7** are sample forms that can be used to document planning, implementation, reporting, and follow-up associated with your internal EMS audits. **Examples 16-1** and **16-2** are sample questionnaires/checklists that you can customize for use in guiding the work of your internal EMS audit team.

TOOLS

Exhibit 16-1: EMS Auditing Worksheet

Have we developed an **EMS audit program**? If not, how will this be accomplished? **Who need to be involved** in the audit process?	
Is there **another audit program** with which our EMS audits could be **linked** (for example, our quality or health & safety management system audits)?	
Have we determined an appropriate **audit frequency**? What is the **basis** for the existing frequency? Should the frequency of audits be modified?	
Have we **selected** EMS auditors? What are the **qualifications** of our auditors?	
What **training** has been conducted or is planned for our EMS auditors?	
Have we **conducted EMS audits** as described in the audit program? Where are the results of such audits described?	
How are the results of EMS audits **communicated** to top management?	
How are the **records** of these audits maintained?	
Our next step on EMS auditing is to …	

Exhibit 16-2: Sample Procedure for EMS Audits

Purpose

To define the process for conducting periodic audits of the environmental management system (EMS). The procedure defines the process for scheduling, conducting, and reporting of EMS audits.

Scope

This procedure applies to all internal EMS audits conducted at the site.

The scope of EMS audits may cover all activities and processes comprising the EMS or selected elements thereof.

General

A. Internal EMS audits help to ensure the proper implementation and maintenance of the EMS by verifying that activities conform with documented procedures and that corrective actions are undertaken and are effective.

B. All audits are conducted by trained auditors. Auditor training is defined by Procedure #_____. Records of auditor training are maintained in accordance with Procedure #_____.

C. When a candidate for EMS auditor is assigned to an audit team, the Lead Auditor will prepare an evaluation of the candidate auditor's performance following the audit.

D. The EMS Management Representative (EMR) is responsible for maintaining EMS audit records, including a list of trained auditors, auditor training records, audit schedules and protocols, and audit reports.

E. EMS audits are scheduled to ensure that all EMS elements and plant functions are audited at least once each year. Exhibit 16-3 shall be used to document the facility's audit plan.

F. The EMR is responsible for notifying EMS auditors of any upcoming audits a reasonable time prior to the scheduled audit date. Plant areas and functions subject to the EMS audit will also be notified a reasonable time prior to the audit. Exhibit 16-4 shall be used to notify the facility's EMS audit team.

G. The Lead Auditor is responsible for ensuring that the audit, audit report and any feedback to the plant areas or functions covered by the audit is completed per the audit schedule. Exhibits 16-5 and 16-6 shall be submitted to the EMR in conjunction with the audit report.

H. The EMR, in conjunction with the Lead Auditor, is responsible for ensuring that EMS Audit Findings Forms, Exhibit 16-7, are prepared for audit findings, as appropriate.

Procedure

1. Audit Team Selection - One or more auditors comprise an audit team. When the team consists of more than one auditor, a Lead Auditor will be designated. The Lead Auditor is responsible for audit team orientation, coordinating the audit process, and coordinating the preparation of the audit report.

2. Audit Team Orientation - The Lead Auditor will assure that the team is adequately prepared to initiate the audit. Pertinent policies, procedures, standards, regulatory requirements and prior audit reports are made available for review by the audit team. Each auditor will have appropriate audit training, as defined by Procedure #.

3. Written Audit Plan - The Lead Auditor is responsible for ensuring the preparation of a written plan for the audit. The Internal EMS Audit Checklist may be used as a guide for this plan.

4. Prior Notification - The plant areas and / or functions to be audited are to be notified a reasonable time prior to the audit.

5. Conducting the Audit

    a. A pre-audit conference is held with appropriate personnel to review the scope, plan and schedule for the audit.

    b. Auditors are at liberty to modify the audit scope and plan if conditions warrant.

    c. Objective evidence is examined to verify conformance to EMS requirements, including operating procedures. All audit findings must be documented.

    d. Specific attention is given to corrective actions for audit findings from previous audits.

    e. A post-audit conference is held to present audit findings, clarify any misunderstandings, and summarize the audit results.

6. Reporting Audit Results

    a. The Team Leader prepares the audit report, which summarizes the audit scope, identifies the audit team, describes sources of evidence used, and summarizes the audit results.

    b. Findings requiring corrective action are entered into the corrective action database.

Procedure (cont'd.)

7. Audit Report Distribution

    a. The EMR is responsible for communicating the audit results to responsible area and / or functional management. Copies of the audit report are made available by the EMR.

    b. The EMR is responsible for ensuring availability of audit reports for purposes of the annual Management review (see Procedure #).

8. Audit Follow-up

    a. Management in the affected areas and / or functions is responsible for any follow-up actions needed as a result of the audit.

    b. The EMR is responsible for tracking the completion and effectiveness of corrective actions.

9. Record keeping

    Audit reports are retained for at least two years from the date of audit completion. The EMR is responsible for maintaining such records.

Exhibit 16-3: Sample Audit Plan Form

Area or Function to be Audited	Lead Auditor	Audit Team Members	Target Date	Special Instructions

Exhibit 16-4: Sample Form for Communications to Audit Team

ENVIRONMENTAL MANAGEMENT SYSTEM AUDIT

Lead Auditor: _____

Audit Team Members: _____

_____

Audit Area: _____ Target Due Date: _____

Listed above is the area to be audited. The due date given is the target to have the entire audit completed, including the report and follow-up meeting with the responsible area management. Listed below are the areas of environmental management systems criteria that you are to assess. If you have any questions, please call me. Special instructions, if any, are listed below. Thank you for your help. Effective audits help make an effective environmental management system.

__ Policy

__ Environmental Aspect identification

__ Environmental Management Program

__ Training, Awareness, Competence

__ EMS Documentation

__ Operational Controls

__ Monitoring and Measurement

__ Records

__ Management Review

__ Legal and Other Requirements

__ Objectives and Targets

__ Structure and Responsibility

__ Communication

__ Document Control

__ Emergency Preparedness

__ Nonconformance / Corrective Action

__ Management System Audits

Special Instructions: _____

_____

_____

EMR (signature) _____

Exhibit 16-5: Sample Form for Internal Assessment Checklist

Internal Assessment Team: _____

Date of Internal Assessment: _____

Signed: _____

EMS Procedures

Check each item assessed (includes auditing of records, where applicable):

__ Environmental policy (adherence to policy commitments)
__ Environmental objectives (progress; implementation of action plans)
__ EMS responsibilities
__ Identification of Environmental Aspects
__ Identification of Legal Requirements
__ Identification of Significant Environmental Aspects
__ Development of Objectives, Targets, and Action Plans
__ Conducting an Alternatives Evaluation
__ Development of Operational Controls
__ Environmental Training (Awareness and Task-Specific)
__ Emergency Preparedness
__ Review of New Products and Processes
__ Documentation
__ Conducting a Compliance Assessment
__ Conducting an Internal Assessment
__ Taking Corrective Action
__ Management Review

EMS Performance

__ Achieved objective #1
__ Achieved objective #2
__ Achieved objective #3

Contact Person: _____ Date Completed: _____

Exhibit 16-6: Sample EMS Audit Summary Form

EMS AUDIT SUMMARY SHEET

Organization Audited: _____

Lead Auditor: _____ **Date:** _____

ELEMENT NUMBER AND DESCRIPTION		AUDIT RESULTS	
		No. of Majors / No. of Minors	A, N, or X*
4.2	Environmental Policy		
4.3	***Planning***		
4.3.1	Environmental Aspects		
4.3.2	Legal and Other Requirements		
4.3.3	Objectives and Targets		
4.3.4	Environmental Management Program(s)		
4.4	***Implementation and Operation***		
4.4.1	Structure and Responsibility		
4.4.2	Training, Awareness, and Competence		
4.4.3	Communication		
4.4.4	EMS Documentation		
4.4.5	Document Control		
4.4.6	Operational Control		
4.4.7	Emergency Preparedness and Response		
4.5	***Checking and Corrective Action***		
4.5.1	Monitoring and Measurement		
4.5.2	Corrective and Preventive Action		
4.5.3	Records		
4.5.4	EMS Audit		
4.6	Management Review		
TOTAL			

Legend: **A = Acceptable: Interviews and other objective evidence indicate that the EMS meets all the requirements of that section of the standard.**	**N = Not Acceptable: The auditor has made the judgment that, based on the number and type of nonconformances, the requirements of that section of the EMS are not being met.** **X = Not Audited**

Exhibit 16-7: Sample Form for EMS Audit Findings

EMS AUDIT FINDINGS FORM

Type of Finding (circle one):

Nonconformance: Major Minor Positive Practice Recommendation

Description (include where in the organization the finding was identified):

_____
_____
_____
_____
_____
_____

EMS 14001 (or other EMS criteria) Reference: _____	**Date:** _____	**Finding Number:** _____
Auditor: _____	**Auditee's Rep.:** _____	

Corrective Action Plan (including time frames):

_____
_____
_____
_____
_____
_____

Preventive Action Taken:

_____
_____
_____

Individual Responsible for Completion of the Corrective Action: _____	**Date Corrective Action Completed:** _____

Corrective Action Verified By:

_____ **Date**: _____

EXAMPLES

Example 16-1: Sample Questionnaire for EMS Audits

Principle 1: Management Commitment

1-1	Has your parent company issued a formal, written statement of environmental policy? When? How was your facility or operation made aware of this policy?
1-2	Has senior management issued a facility-specific, formal, written statement of environmental policy? When? How were facility personnel made aware of this policy? Do new personnel receive a copy of the policy? How?
1-3	What procedures are in place for regular review of and updates to the policy?
1-4	Has your facility established short- and long-term environmental goals? Please describe the key objectives and targets.
1-5	How and by whom are these goals developed? Did representatives of a variety of functions and levels within the facility work together to develop environmental objectives and targets?

Example 16-1: Sample Questionnaire for EMS Audits (Continued)

Principle 1: Management Commitment (Continued)

1-6	What is the basis for your environmental goals? Are they based on compliance with legal requirements? Parent company directives? Environmental impacts of the facility's mission? Pollution prevention? Public perception? Employee initiatives?
1-7	What are your most recent environmental initiatives?
1-8	What is the approval process for new environmental initiatives at your facility?
1-9	How are funds allocated for new environmental initiatives? For the environmental program? Who is ultimately responsible for these funding decisions?
1-10	Is staffing for the environmental program appropriate to program requirements and facility environmental goals? What mechanisms exist to adjust staffing level or staff capabilities?
1-11	Are managers familiar with facility and operation-specific environmental policies, regulations, and pollution prevention opportunities? Do managers participate in process reviews, assessments, environmental committees, or other activities to improve environmental performance?
1-12	How is this facility perceived by local environmental groups and the surrounding community? Are there any specific issues, *i.e.*, noise, water quality, that are of particular concern?

Example 16-1: Sample Questionnaire for EMS Audits (Continued)

Principle 2: Compliance Assurance And Pollution Prevention

2-1	How and how often does the facility's environmental staff communicate with federal, state, and local regulatory agencies? Historically, how would you characterize the facility's relationship with these agencies?
2-2	Has the facility taken advantage of any EPA Technical Assistance programs? Other environmental technical assistance programs?
2-3	How does facility staff track and interpret new federal, state or local regulations, policies and programs, or changes to existing regulations, policies, and programs?
2-4	How are programs and procedures updated to reflect these changes?
2-5	How does facility staff maintain environmental documentation and records, *e.g.*, manifests, TRI data? Who is responsible for reporting to federal or state agencies? Parent company?
2-6	Does the facility have an Emergency Response Plan? Spill Plan? What are the established procedures for an environmental emergency?

Example 16-1: Sample Questionnaire for EMS Audits (Continued)

Principle 2: Compliance Assurance And Pollution Prevention (Continued)

2-7	Has the facility performed a pollution prevention assessment?
2-8	Does the facility have a pollution prevention plan that addresses all environmental impacts and compliance programs?
2-9	Does the facility have a formal plan to reduce or eliminate the purchase and use of hazardous materials and ozone depleting chemicals? Does the facility have a hazardous materials pharmacy or similar program?
2-10	Does the facility have an affirmative procurement program?

Example 16-1: Sample Questionnaire for EMS Audits (Continued)

Principle 3: Enabling Systems

3-1	Does the facility have a formal, facility-wide environmental training program?
3-2	How are training requirements determined?
3-3	How are training records maintained?
3-4	What is the annual budget for environmental training?
3-5	Is funding available for staff development training opportunities?
3-6	What guidance is provided to staff concerning compliance with new or updated environmental regulations or policies?

Example 16-1: Sample Questionnaire for EMS Audits (Continued)

Principle 3: Enabling Systems (Continued)

3-7	How do managers communicate environmental performance issues or goals to staff?
3-8	What other mechanisms are used to increase staff environmental awareness? Newsletters? Seminars?
3-9	Is there a formal outreach effort to communicate the facility's environmental activities and programs to the community?
3-10	How does the facility evaluate the effectiveness of outreach efforts?

Example 16-1: Sample Questionnaire for EMS Audits (Continued)

Principle 4: Performance And Accountability

4-1	What are the routine reporting relationships between the environmental management program and upper level management?
4-2	How does the environmental staff communicate with upper management about environmental performance and the status of specific environmental initiatives?
4-3	How does the environmental program communicate with managers and staff about environmental performance and the status of environmental initiatives?
4-4	How do employees provide input to environmental decisions?
4-5	Are environmental duties included in staff job descriptions and performance standards?
4-6	How is excellence in environmental performance recognized and rewarded?
4-7	How do managers review and respond to poor environmental performance?

Example 16-1: Sample Questionnaire for EMS Audits (Continued)

Principle 5: Measurement And Improvement

5-1	What mechanisms are used to track and measure facility environmental performance? How often is such measurement performed?
5-2	Does the facility have a self audit or self monitoring program in place?
5-3	Does facility environmental staff conduct routine facility inspections? Tests of pollution control and monitoring equipment?
5-4	What are the current procedures for reporting an environmental problem? How does facility environmental staff track corrective action?
5-5	Does the parent company review facility environmental performance? How often are such reviews conducted?
5-6	Are written protocols or guidance documents used to conduct environmental performance reviews? Are summary reports available?

Example 16-1: Sample Questionnaire for EMS Audits (Continued)

Principle 5: Measurement And Improvement (Continued)

5-7	Does this facility participate in any cooperative environmental programs with state, local or private organizations?
5-8	Does this facility participate in any Federal voluntary initiatives such as ENERGYSTAR or Performance Track?
5-9	What new environmental initiatives are planned for the facility?

Example 16-2: Sample Checklist for Top Management EMS Audits

Function: TOP MANAGEMENT

1. Environmental Policy	
Top Management	*Objective Evidence*
a. Describe your role in the development of the environmental policy.	
b. How do you know that your policy is appropriate for your activities, products, and services?	
c. What is management's role in the review and revision of the policy?	
d. How does management ensure continued adherence to the policy throughout the company?	
e. How does the policy help guide organizational decisions?	
f. How are employees made aware of the environmental policy?	
g. How is the policy made available to the public?	
[Auditor Note: Is there evidence that the policy was issued by top management? (e.g., Is the policy signed? By whom? At what level in the organization are they?)]	
Notes:	

2. Objectives and targets	
Top Management	*Objective Evidence*
a. What are the environmental objectives and targets for your organization? What is your role in approving them? What are the relevant functions and levels within your organization that support the attainment of each of the objectives and targets?	
b. How are the environmental objectives linked to other organizational goals (and vice versa)?	
c. Are the objectives/targets consistent with the goals of the environmental policy for prevention of pollution and continual improvement?	
d. How were the objectives and targets developed by or communicated to management?	
e. How does management keep up with progress in meeting their objectives and targets throughout the year?	
f. How often are you informed of the status of the objectives and targets?	
g. On what basis are the objectives and targets reviewed and modified?	
Notes:	

Example 16-2: Sample Checklist for Top Management EMS Audits (Continued)

Function: TOP MANAGEMENT

3. Structure and responsibility	
Top Management	*Objective Evidence*
a. At what level within the organization is the designated EMS representative placed? *Auditor Note: Is the EMS representative at a level within the organization to effectively implement an EMS for his/her organization?]*	
b. What authority does the EMS representative have to carry out his/her responsibilities?	
c. How does the organization assess its resource needs for environmental management? How are these factored into operating and strategic plans (and vice-versa)?	
d. What resources (financial, technical personnel) has management provided to develop or maintain the EMS?	
e. How are you informed on the performance of the EMS? Do you receive routine reports?	
f. Are responsibilities for the environmental management of the organization documented? If so, where? Is an integrated structure in place in which accountability and responsibility are defined, understood, and carried out?	
g. How are these responsibilities communicated to all employees (including managers)?	
Notes:	

4. Communication	
Top Management	*Objective Evidence*
a. How are you informed of the environmental issues within your organization? How often does this take place? Does this include compliance issues?	
b. How are you kept up to date with progress in meeting your organization's environmental objectives and targets? How is this information passed on to your managers?	
c. How do you communicate with the organization on environmental issues? How is this done? How frequently?	
d. How does the organization handle inquiries from interested parties (e.g., the public, regulators, other organizations) on environmental matters? Who has responsibility for responding to such inquiries?	

Example 16-2: Sample Checklist for Top Management EMS Audits (Continued)

Function: TOP MANAGEMENT

4.6 Management review	
Top Management	*Objective Evidence*
a. Describe the organization's management review process.	
b. How often are management reviews performed? How was this frequency determined?	
c. Who is involved in the management review process? What are their roles in this process?	
d. What changes have been made to the EMS as a result of the last review?	
Notes:	

Module 17: Management Review

GUIDANCE

Management reviews are one **key to continual improvement** and for ensuring that the EMS will continue to meet your organization's needs over time.

The goal of the review allows management to bring about overall improvements. The scope and frequency of the review should depend upon the size and complexity of the organization and the complexity and amount of activity of your EMS.

To maintain **continual improvement, suitability, and effectiveness** of your environmental management system, and thereby its performance, your organization's senior management should review and evaluate the environmental management system at defined intervals, such as quarterly. The scope of the review should be comprehensive, though not all elements of an environmental management system need to be reviewed at once, and the review process may take place over a period of time. Review of the policy, objectives, and procedures should be carried out by the level of management that define them. Following is a checklist of some of the things that should be included in the management review:

- results from assessment;
- the extent to which objectives and targets have been met;
- the continuing suitability of the environmental management system in relation to changing conditions and information; and
- concerns among relevant interested parties.

Create a continual improvement plan and check progress. Document observations, conclusions, and recommendations for necessary action. Assign action items for follow-up, and schedule the next regular review.

Management reviews also offer a great opportunity to keep your EMS **efficient and cost-effective**. For example, some organizations have found that certain procedures and processes initially put in place were not needed to achieve their environmental objectives or to control key processes. **If EMS procedures and other activities don't add value, eliminate them.**

Questions for Management to Consider Include
1. Is our environmental policy still relevant to what we do?
2. Are we making performance toward objectives, targets and EMPs? (Charts, tables and graphs are encouraged to show results.)
3. Can we set new measurable performance objectives?
4. What are the results of our internal audits?
5. What is the status of corrective and preventive actions?
6. Are roles and responsibilities clear and do they make sense?
7. Are we applying resources appropriately?
8. Are we meeting our regulatory obligations?
9. Do changes in laws or regulations require us to change some of our approaches?
10. Are the procedures clear and adequate? Do we need others? Should we eliminate some?
11. What effects have changes in materials, products, or services had on our EMS and its effectiveness?
12. What stakeholder concerns have been raised since our last review?

The key question that a management review seeks to answer:

"Is the system **working**?" (i.e., is it <u>suitable, adequate, and effective,</u> given our needs?)

Hints

- Two kinds of people should be involved in the management review process:
  - people who have the right **information** / knowledge,
  - people who can **make decisions** about the organization and its resources (top management).
- Determine management review **frequency** that will work best for your organization. Some organizations combine these reviews with other meetings (such as director meetings). Other organizations hold "stand-alone" reviews. At a minimum, consider conducting management reviews at least once per year.
- During management review meetings, make sure that someone records what **issues** were discussed, what **decisions** were arrived at, and what **action** items were selected. Results of management reviews should be **documented**.
- Management reviews should assess how **changing circumstances** might influence the suitability, effectiveness, or adequacy of your EMS. Changing circumstances might be **internal** to your organization (such as new facilities, new raw materials, changes in

products or services, new customers, etc.) or might be **external** factors (such as new laws, new scientific information or changes in adjacent land use).

- After documenting the action items arising from your management review, be sure that someone **follows up**. Progress on action items should be tracked to completion.
- As you assess potential changes to your EMS, consider **other organizational plans and goals**. In this way, environmental decision-making can be integrated into your overall management and strategy.

Exhibit 17-1 is a questionnaire to guide your facility in establishing and maintaining an EMS Management Review element. If you desire to make a documented procedure for Management Review of your facility's EMS, then **Exhibit 17-2** is an example of a procedure you could adapt. **Exhibit 17-3** can be used to record implementation of your procedure.

TOOLS

Exhibit 17-1: Management Review Worksheet

Do we have an **existing process** for conducting management reviews? If yes, does that process need to be revised? In what way?	
Who needs to be involved in this process within our organization?	
When is the **best time** for us to implement this process? Can this effort be **linked** to an existing organizational process (such as our budget, annual planning, or auditing cycles?)	
How **frequently** are management reviews? What is the **basis** for this frequency? Should we conduct reviews more or less frequently?	
Who is responsible for **gathering the information** needed to conduct management reviews? Who is responsible for **presenting** this information?	
How do we ensure that **changing circumstances** (both internal and external to the organization) are considered in this process?	
How do we ensure that the **recommendations** of management reviews are **tracked and acted upon**?	
Our next step on management review is to …	

Exhibit 17-2: Sample Procedure for Management Review

Purpose

To ensure the effectiveness of the EMS and its continual improvement, [Your Facility's Name] top management periodically reviews the important elements and outcomes of the EMS.

General

The Management Review process is intended to provide a forum for discussion and improvement of the EMS and to provide management with a vehicle for making any changes to the EMS necessary to achieve the organization's goals.

Procedure

1. In preparation for the management review, the EMS management representative (EMR) gathers the following information and makes it available to top plant management, including the owner and President of [your corporation] and the plant manager:
    - Environmental policy
    - List of the Cross Functional Team (CFT) members and others responsible for major parts of the EMS
    - List of significant environmental aspects and criteria of significance
    - Update on compliance status of the plant and on any potential upcoming regulations that might require an advance strategy
    - List of environmental objectives and targets
    - Environmental performance results (from monitoring and measuring Significant Environmental Aspect indicators and indicators of progress toward environmental objectives and targets)
    - Bullet-point descriptions of other accomplishments of the EMS (e.g., number of people trained)
    - Results of most recent EMS internal assessment, compliance assessment and corrective actions taken
    - Description and documentation of feedback from stakeholders (if received)
    - Analysis of the costs and benefits of the EMS (as quantitative as possible)

2. Top plant management meets to review and discuss the information presented. The EMR and EMS Coordinator will also be present. Depending on its review, top management may direct specific and/or significant changes in the scale and direction of the EMS in order to improve its effectiveness and business value. The conclusions and directives that result from the management review are recorded in module 17 and kept by the EMS Coordinator.

Frequency

Quarterly.

Records

Results of management reviews are recorded using the form in Exhibit 17-3. Records are kept by the EMS Coordinator.

Exhibit 17-3: Sample Management Review Record

Date of review meeting	
Persons present at meeting	
Name	Position
Conclusions	
Actions to be taken	Person(s) responsible

Signed: _____ _____

Environmental Management Representative

Plant Manager

Appendix A
EPA's National Environmental Performance Track

The National Environmental Performance Track is designed to recognize and encourage top environmental performers - facilities that **go beyond** compliance with regulatory requirements to attain levels of environmental performance and management that benefit employees, communities, and the environment. As top environmental performers, Performance Track participants earn access to a unique benefits package that includes recognition, better information, and administrative streamlining. Performance Track is open to facilities of all types, sizes, and complexity, public or private, manufacturing or service-oriented.

To qualify for Performance Track, facilities must have:

- A systematic approach to managing environmental responsibilities (an EMS);
- A strong record of environmental compliance;
- Demonstrated continual environmental improvement; and
- A commitment to community outreach and public reporting.

Specific Environmental Management Systems (EMS) Requirements

Facilities applying to the Performance Track program must meet several EMS requirements to be accepted.[1] A facility will need to certify that it has an EMS in place by having an independent assessment of its EMS conducted within three years prior to the date of application. The EMS will include the elements listed below (i.e. planning, setting performance objectives, EMS program implementation, performance evaluation, corrective action, and management review) and will have gone through at least one full cycle of implementation. A facility that has adopted an EMS based on the Plan-Do-Check-Act framework would meet most of these elements.

EPA recognizes that the scope and level of formality of the EMS will vary depending on the nature, size, and complexity of the facility. EPA's experience with a variety of programs suggests that the required EMS elements are within the capacity of small facilities and can be met through a variety of approaches. To help small facilities implement an EMS, EPA provides guidance documents and assistance materials.

[1] For purposes of the Performance Track program, an EMS represents an organization's systematic efforts to meet its environmental requirements, including maintaining compliance and achieving performance objectives that may be related to unregulated aspects of the organization's activities.

A facility applying to Performance Track will certify that it has implemented an EMS that includes these elements:

Policy

$ A written environmental policy, defined by top facility management, that includes commitments to: (1) compliance with both legal requirements and voluntary commitments; (2) pollution prevention; (3) continuous improvement in environmental performance, including areas not subject to regulations; and (4) sharing information on environmental performance and the operation of the EMS with the community.

Planning

$ Identification of significant environmental aspects and legal requirements, including procedures for integrating anticipated changes to the facility's requirements or commitments into the EMS.[2]

$ Measurable objectives and targets to meet policy commitments and legal requirements, to reduce the facility's significant environmental impacts, and to meet the performance commitments made as part of the facility's participation in Performance Track. In setting objectives and targets, the facility should consider the following criteria: preventing non-compliance, preventing pollution at its source, minimizing cross-media pollutant transfers, and improving environmental performance.

$ Active, documented programs to achieve the objectives, targets, and commitments in the EMS, including the means and time frames for their completion.

Implementation and Operation

$ Established roles and responsibilities for meeting objectives and targets of the overall EMS and compliance with legal requirements, including a top management representative with authority and responsibility for the EMS.

$ Defined procedures for: (1) achieving and maintaining compliance and meeting performance objectives; (2) communicating relevant information regarding the EMS, including the facility's environmental performance, throughout the organization; (3) providing appropriate incentives for personnel to meet the EMS requirements; and (4) document control, including where documents related to the EMS will be located and who will maintain them.

[2] An “environmental aspect” is defined as an “element of an organization’s activities, products, or services that can interact with the environment.” Facilities are asked to use their list of significant environmental aspects in selecting performance commitments under this program.

- $ General environmental training programs for all employees, and specific training for those whose jobs and responsibilities involve activities directly related to achieving objectives and targets and to compliance with legal requirements.
- $ Documentation of the key EMS elements, including the environmental policy, significant environmental aspects, objectives and targets, top management representation, compliance audit program, EMS audit program, and overall EMS authority.

Checking and Corrective Action

- $ An active program for assessing performance and preventing and detecting non-conformance with legal and other requirements of the EMS, including an established compliance audit program and an EMS audit program.
- $ An active program for prompt, corrective action of any non-conformance with legal requirements and other EMS requirements.

Management Review

- $ Documented management review of performance against the established objectives and targets and the effectiveness of the EMS in meeting policy commitments.

Special Consideration for Small Businesses

Any program for improving environmental performance must aim for participation by small businesses and other small entities, such as local governments. EPA is making every effort to make Performance Track accessible for small entities. This effort is reflected in several aspects of the design. For example, depending on the nature and extent of a facility's operations, the EMS for a small facility may be simpler than one for a larger, more complex facility. In addition, a small facility is not asked to make as many performance commitments as other participants.

For more information about the National Environmental Performance Track, see the following:

Web: www.epa.gov/performancetrack
E-Mail - Performance Track Information Center: ptrack@indecon.com
Phone - Performance Track Information Center: (888) 339-PTRK

Appendix B
Integration of Environmental Management Systems and Quality Management Systems

Integrating management systems has become an increasingly important competitive issue. A growing body of information indicates that organizations that integrate their EMS and quality management systems (QMS) can realize significant benefits, such as streamlined operations and decision-making, simplified employee training, more efficient use of resources and reduction in audit costs. Systems for managing health & safety and other organizational functions can be similarly integrated.

The two most common models for QMS and EMS (ISO 9001 and ISO 14001, respectively) share many common elements. This should be no great surprise, because ISO 9001: 1994 was one of the source documents used by the drafters of ISO 14001. The two standards are very compatible in their current forms. The ISO committees responsible for the development and maintenance of these two standards continue to examine potential opportunities to increase the compatibility or alignment of the two standards.

Organizations that choose to implement both of these standards generally find that they can use many common processes to conform. In general, the elements of a QMS and an EMS can be categorized as either (1) essentially the same, (2) similar or (3) unique (See **Figure B-1**). System elements in both the "essentially the same" and "similar" categories can often be addressed by a common procedure (or parallel procedures), although some customization may be needed to address the differing overall purposes of these systems. Unique elements are typically dealt with in separate (EMS or QMS) procedures. Some of the typical elements for integration include: document control, corrective/preventive action, training, records management, and management review. However, some organizations have gone much further – for example, some have developed common (quality and environmental) policies. The degree of system integration varies widely from organization to organization.

While an EMS can be readily integrated with an existing QMS, the overall purposes of these two systems must be kept in mind. A QMS is intended primarily to ensure that an organization satisfies its customers by assuring the quality of its products. An EMS generally has a broader context – the relationship between an organization and the environment in which it operates. Also, an EMS often concerns itself with a broader range of stakeholders, such as neighboring communities, customers, and regulatory agencies.

System integration can have environmental benefits. By linking environmental management more closely with day-to-day planning and operation, some organizations have been able to raise the visibility of environmental management as a core organizational issue. In addition, these organizations enhance their abilities to address environmental issues when making modifications to products or processes for quality purposes.

Organizations that have a QMS in place generally are better off when implementing an EMS for several reasons. First, employees typically are already familiar with management system concepts and are involved in making the system work. Second, many of the processes needed for the EMS might already be in place. Finally (and perhaps most importantly), top management has committed the use of management systems to achieve organizational goals.

Figure B-1. Relationship of EMS Elements to QMS (based on ISO 9001: 1994)

Elements that are Essentially the Same

- *Training, Awareness & Competence*
- *Document Control*
- *Nonconformance, Corrective & Preventive Action*
- *Calibration (part of the Monitoring & Measurement element)*
- *Records*

Elements that are Similar

- *Environmental Policy*
- *Structure and Responsibility*
- *EMS Documentation*
- *Operational Control*
- *Monitoring & Measurement*
- *EMS Audit*
- *Management Review*

Elements that are Unique

- *Environmental Aspects*
- *Legal and Other Requirements*
- *Objectives & Targets*
- *Environmental Management Program(s) Communications*
- *Emergency Preparedness & Response*

A Few Tips on System Integration

For organizations that have an existing QMS and wish to integrate an EMS with it, some suggestions are provided below.

☞ *Understand the existing QMS, its effectiveness and how the workforce perceives the system. Is the existing QMS documentation clear and workable? Do employees believe that the system is helping the organization to achieve desired results?*

☞ *Ensure that the scope of the two systems will be consistent (i.e., that the systems will cover the same facilities, products, activities and/or services). In particular, this will be an important issue if third-party registration will be sought.*

☞ *Establish a cross-functional team (including, at a minimum, representatives from the environmental and quality functions) to determine the optimal approach to system integration.*

☞ *As needed, manage resistance to change. Some employees and managers may be reluctant to change a system that they are already familiar with and/or in which they have important roles.*

☞ *Understand how QMS and EMS differ in purpose. While there are many common management system elements, there are elements of each system that are unique (see below). In the case of EMS, these include for example, environmental aspects, communications, and emergency preparedness and response. These differences must be acknowledged and accommodated within the integrated management system.*

☞ *Modify system documentation as required. Keep procedures simple and clear for users. Review proposed changes with affected managers and employees.*

☞ *On a procedure-by-procedure basis, consider whether to integrate procedures or keep them separate. While integration can reduce the total number of procedures or work instructions, it also can confuse the overall purpose of such procedures in some cases.*

☞ *Once the integrated system documentation has been prepared, train managers and employees on the integrated system.*

☞ *Audit the integrated system and take actions as necessary.*

A few final thoughts on system integration:

- Can your organization afford to have two or more separate systems?
- Are there compelling reasons to keep these systems separate?
- What is the optimal approach from a strategic and operational standpoint?
- What approach is best suited for the organization's change and growth?

Appendix C
Health and Safety Integration Questionnaire

Tip: Remember to consider health and safety of workers, as well as people outside your plant, when evaluating known health concerns.

1. Does your company have an Environmental, Health & Safety Policy?
   - Is this policy written down?
   - Where is it located?
   - How many employees know about this policy?
   - How did they learn of it? Is it included in a training or orientation program?
   - Do employees have the opportunity to make suggestions regarding environmental concerns?
   - What points are included in this policy?

2. Does your company have specific environmental or health & safety goals?
   - Are these documented?
   - How are these communicated to employees?
   - Is there a way of tracking whether goals are met?
   - Are there penalties within the company for not achieving the objectives?
   - Is there a way to change these goals when changes in processes, production, or activities occur? How are these changes communicated?

3. Does your company have a process to identify all environmental, health & safety regulatory requirements?
   - Has your company conducted compliance audits?
   - Has your company received any fines or penalties requiring corrective action?
   - Has your company experienced difficulties in complying with regulations?
   - Are some regulations difficult/costly to meet?
   - Does your company know whom to contact at local, state, and federal regulatory agencies in the event of environmental accidents or compliance concerns?
   - Does your company have a mechanism for staying up to date on changing regulations?

4. How does your company evaluate risk to human health & safety and the environment caused by your business operations? How is this information incorporated into planning for business activities/production?

5. Is there a process within the company to review any changes in products or processes with an eye toward environmental concerns?

Tip: As you discuss these questions, it will be beneficial to write down the answers for reference as you proceed with the following modules.

6. Are there policies and procedures regarding procurement and contracting that consider environmental concerns?

7. What training is offered at your company that would support environmental objectives?
   - Do employees receive environmental, health & safety training? What percent of employees? Which ones?
   - How is that training documented? Where are the records kept?
   - Is there provision for regular training on environmental, health & safety requirements?

Tip: As you discuss these questions, it will be beneficial to write down the answers for reference as you proceed with the following modules.

8. Does your company have a procedure for responding to suggestions regarding environmental concerns that it may receive from customers, neighbors, or employees?
   - Is there a process for soliciting and recording any "suggestions"? Where are these records kept?
   - Is there a process for following up on any of these suggestions to be sure that appropriate action was taken?

Tip: You should review your policy statement as you complete the modules following this one to determine whether changes need to be made.

9. How does your company keep track of its documents?
   - Is there a filing system?
   - How many people are familiar with the system?
   - How many people have access to it?
   - How could someone find information relating to environmental, health & safety concerns? Are there Material Safety Data Sheets (MSDS) available? Does your company have documented standard operating procedures for plant operations, emergencies, or document control?
   - How are decisions made about when to dispose of documents?

10. How does your company identify potential accidents or emergency situations?
    - Are emergency procedures documented?
    - How do employees find out about them? Is there regular training?
    - Are these procedures periodically tested, evaluated, and revised as needed?
    - Have there been failures in response to accidents or emergency situations?
    - Is there a communications plan in place in the event of emergencies?