

**Guidance for FY 2007 Environmental Management Systems (EMS) Annual Report  
In Accordance with Executive Order 13423  
*Strengthening Federal Environmental, Energy, and Transportation Management***

- 1. Background.** This guidance document was developed in coordination with the Interagency Environmental Leadership Workgroup chaired by the EPA with membership consisting of environmental managers from Federal departments and independent agencies.
- 2. Purpose.** The purpose of this guidance is to assist federal agencies in gathering and reporting the information necessary to address the EMS reporting requirements of Section 3(g) of Executive Order 13423 and Section IV(Reporting) of EO 13423 implementation instructions.
- 3. Description.** This report will provide the data required for the Office of Management and Budget (OMB) to determine Agency-level EMS implementation status scores for the OMB Environmental Scorecard. It will also provide the Office of the Federal Environmental Executive (OFEE) and the Environmental Protection Agency (EPA) with useful information regarding the effectiveness and status of EMS implementation across the government. This year's report again covers the following areas:
  - I. Facility/Organization Information and Self-Declaration Status
  - II. EMS Scorecard Metrics
  - III. EMS Effectiveness
  - IV. EMS Experience
- 4. Due Date.** The report is due to EPA on or before December 31, 2007.
- 5. Covered Timeframe.** This year's report is the first to uniformly require a Fiscal Year reporting timeframe. As a result, all data in this report should only reflect efforts, progress, and accomplishments from October 1, 2006 through September 30, 2007. The timeframe for all subsequent editions of this report will be on a Fiscal Year basis.
- 6. Report Format.** When submitting the report to EPA, use the Agency-Level EMS Report Format ([Attachment A](#)) to ensure your Agency presents its data in a consistent fashion. Paragraph 7 below provides information about the tools available to help Agencies generate reports in this format.
- 7. Reporting Tools.** To facilitate data collection and submission, the FedCenter web-based EMS reporting module is available for use by all agencies in developing this report. FedCenter provides a secure environment to enter facility/organization-level data (see section 8 below) as well as automated tools for HQ-level managers to aggregate this data. To take advantage of this data collection and reporting tool, contact the FedCenter database manager, Steve Luzzi at 217-373-5894 or [Stephen.T.Luzzi@erdc.usace.army.mil](mailto:Stephen.T.Luzzi@erdc.usace.army.mil). Mr. Luzzi will work with you to establish a customized account for your agency. For all agencies electing to use FedCenter, please contact Steve Luzzi by October 15, 2007 to identify your requirements for establishing or updating your: 1) appropriate facility list, 2) user accounts, 3) organizational reporting structure (e.g. by department, sub-agency, bureau, region, office, etc.) and 4) customized options. Please note, any agency using FedCenter will have sole and exclusive access to its FedCenter data (i.e., the EPA will not have access to FedCenter data). Agencies not using FedCenter may find the Facility/Organization-Level Data Template ([Attachment B](#)) a helpful tool for collecting its facility-level data. Note however, that the FedCenter EMS module is designed to automatically aggregate agency data to support the format required by section 6, above.

**8. Content.** The following provides more details about each of the EMS report elements:

**I. Facility/Organization Information and Self-Declaration Status.** For each appropriate EMS facility/organization within an agency, the report will contain basic information regarding the facility’s/organization’s name, location, and contact information. Data in this portion of the report is based directly on the questions in Section I of the “Facility/Organization EMS Metrics” document ([Attachment C](#)). This portion of the report will also address the self-declaration status of each appropriate facility/organization including the basis for that self-declaration (1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup> party). Note that this is intended to reflect the facility/organizations’ most recent self declaration status. Also, for the purposes of self declaration, 1<sup>st</sup> Party audits are EMS audits conducted by the participants within the scope of the EMS. 2<sup>nd</sup> Party audits are conducted by reviewers from outside the scope of the EMS in question. 3<sup>rd</sup> Party or ISO audits are EMS audits conducted by an ANSI-RAB accredited, independent registrar. Note, under EO 13423 Instructions (Section II.C.) self-declarations must be at least 2<sup>nd</sup> party. However, while this EMS report will track self-declaration status, it will not be a factor in determining OMB scorecard scores for the 2007 and 2008 reporting years.

New for this year. EO 13423 provides for Agencies to identify new appropriate facilities/organizations to add to their list. It also provides for Agencies to negotiate with OFEE to determine a date by which these new EMS’s must be fully operational. As a result, Agencies will now use this report to identify when they added their appropriate facilities/organizations to the list (either before or after the EO was signed on Jan 24 2007). Any facility/organization coming aboard after the EO was signed will also enter its negotiated implementation date. Please note: In terms of the OMB scorecard, these newly-identified (i.e. post EO 13423) appropriate facilities/organizations will remain un-scored until they reach the implementation date agreed upon with OFEE. Once they reach that date, they will be scored exactly the same as all previously existing facilities/organizations and will likewise be rolled-up into Department-level score.

**II. Facility/Organization Scorecard Metrics.** This section of the report will provide the data OMB uses to determine each Agency’s EMS status score on the Environmental Scorecard. Data in this portion of the report is based directly on the questions in Section II of the “Facility/Organization EMS Metrics” document ([Attachment C](#)). The data for each individual Facility/Organizational EMS is used to determine a green/yellow/red score for that facility. It is based on an “A” through “D” rating system that is meant to show a progression in implementing each metric element. An “A” indicates the minimum amount of implementation and a “D” indicates full implementation. The individual facility/organization score is based on a roll-up of the 7 facility criteria in this section. The Agency’s total EMS scorecard status rating is then based on a roll-up of all of its individual facility/organization scores.

Facility/Organization Level Score		Agency Level Score	
For Green, a Facility/Org needs:	At least 5 D's No more than 1 B No A's at all	At least 4 D's No B's at all No A's at all	G At Least 75% of Facilities/Orgs are Green No More than 5% are Red
For Yellow, a Facility/Org needs:	At Least 4 C's (or D's) No more than 1 A		Y No More than 15% Facilities/Orgs are Red
For Red, a Facility/Org needs:	Neither Green nor Yellow		R Neither Green nor Yellow

**III. EMS Effectiveness.** Note that this portion of the report is NOT an element of the OMB scorecard score. Rather, the purpose of this section is to capture data relating to the benefits of EMS implementation as seen from the perspective of the individual facilities/organizations. This portion of the report is based directly on the questions in Section III of the “Facility/Organization EMS Metrics” document ([Attachment C](#)) and covers the benefits EMS brings to the facility/organization itself as well as any specific benefits to the environment. In preparing the agency report, agencies should provide the distribution of facility responses for each question. For example, for an agency with 50 individual EMS facilities/organizations, the rolled-up agency response to the facility benefit question would look like:

Reduced risk to facility mission:

- A great deal (1);
- Quite a bit (3);
- Somewhat (12);
- A little bit (5);
- Not at all (2);
- Does not apply (27).

The number of responses for each question should add up to the total number of agency appropriate facilities/organizations. If you are not using the FedCenter system which requires each question to be answered, you may assign an “NA” whenever a facility elects to not respond. Please note: facilities/organizations should use the “NA” response if the EMS is not mature enough to respond or if other circumstances preclude an informed response.

**IV. EMS Experiences.** Note that this portion of the report is NOT an element of the OMB scorecard score. Rather, the purpose of this section is for facilities/organizations to convey their EMS experiences including benefits, success, best practices, challenges, and benefits to mission. This portion of the report is based directly on the questions in Section IV of the “Facility/Organization EMS Metrics” document ([Attachment C](#)). In preparing the agency report, agencies may provide whatever summary of this information they deem appropriate and informative.

**9. Report Submission.** Please forward a copy of your completed report to Mr. David Kling, Director, Federal Facilities Enforcement Office (MC 2261A), 1200 Pennsylvania Avenue, Washington, District of Columbia, 20460. In addition to submitting a printed copy of the report, agencies are requested to provide an electronic copy as well addressed to [kling.dave@epa.gov](mailto:kling.dave@epa.gov) with a copy furnished to [garvey.will@epa.gov](mailto:garvey.will@epa.gov). If you have any questions, please feel free to contact Mr. Will Garvey, at 202-564-2458 or [garvey.will@epa.gov](mailto:garvey.will@epa.gov).

**Thank you for your continued support in making the Federal community a leader in environmental stewardship and protection!**

Attachments:

- A – Agency-Level EMS Report Format
- B – Facility/Organization-Level Data Template
- C – 2007 Facility/Organization EMS Metrics

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