



Department of Defense **INSTRUCTION**

NUMBER 4715.17

April 15, 2009

USD(AT&L)

SUBJECT: Environmental Management Systems

References: See Enclosure 1

1. **PURPOSE.** In accordance with the authority in DoD Directive (DoDD) 5134.01 (Reference (a)), this Instruction:

a. Establishes policy, assigns responsibilities, and prescribes procedures for achieving conformance with Environmental Management Systems (EMS) pursuant to Executive Order 13423 (Reference (b)), Council on Environmental Quality Instructions (Reference (c)), and page 33504 of Volume 72, No. 116, Federal Register (Reference (d)).

b. Incorporates and cancels Assistant Deputy Under Secretary of Defense for Environment, Safety, and Occupational Health (ADUSD(ESOH)) Memorandum (Reference (e)), Assistant Deputy Under Secretary of Defense for Environment Memorandum (Reference (f)), and Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) Memorandum (Reference (g)).

2. **APPLICABILITY.** This Instruction:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities in the Department of Defense (hereafter referred to collectively as the "DoD Components").

b. Applies to all DoD appropriate facilities and/or organizations worldwide, including installations; Government-owned, contractor-operated facilities; and DoD Components that are a host of or tenant on any DoD appropriate facility.

c. Does not apply to the operations of U.S. military vessels or aircraft, or to off-installation operational and training deployments. Off-installation operational deployments include cases of hostilities, contingency operations in hazardous areas, and when U.S. forces are operating as part

of a multi-national force not under full control of the United States. Such excepted operations and deployments shall be conducted in accordance with applicable international agreements, other DoDDs and DoD Instructions (DoDIs), and environmental annexes incorporated into operation plans or operation orders.

3. DEFINITIONS. See Glossary.

4. POLICY. Pursuant to References (b), (c), and (d), it is DoD policy that:

a. The Department of Defense shall integrate EMS into missions, activities, functions, contracts, and installation support agreements as a business practice for improving overall performance.

b. EMS is a vital supporting component of the DoD mission and is therefore the responsibility of all DoD personnel. It is not just an environmental function responsibility, but requires active participation from all functions and organizations.

c. The DoD Components are encouraged to integrate safety and occupational health management systems into their EMS.

d. The DoD Compliance Management Plan (CMP) established in ADUSD(ESOH) Memorandum (Reference (h)) and associated OSD-level policy and oversight activities shall function in lieu of an overall DoD organizational EMS. When an EMS exists at the appropriate facility and/or organizational level, the elements of the CMP shall be part of the EMS and a separate CMP is not required.

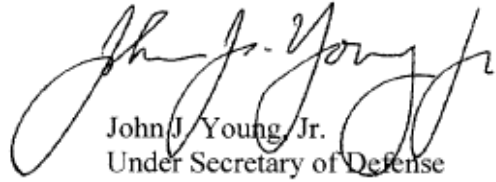
e. EMS shall be used to enhance the operational mission of DoD Components. EMS shall be used to manage the environmental aspects of DoD operations, the impacts of environmental conditions, and constraints on the mission. This requires inclusion in the EMS of the activities and environmental impacts of tenants, vendors, and suppliers, as appropriate, in accordance with each DoD Component's determination pursuant to paragraph 2.a. of Enclosure 2.

5. RESPONSIBILITIES. See Enclosure 2.

6. PROCEDURES. See Enclosure 3.

7. RELEASABILITY. UNLIMITED. This Instruction is approved for public release and is available on the Internet from the DoD Issuances Web Site at <http://www.dtic.mil/whs/directives>.

8. EFFECTIVE DATE. This Instruction is effective immediately.



John J. Young, Jr.
Under Secretary of Defense
for Acquisition, Technology, and Logistics

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ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5134.01, "Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)),” December 9, 2005
- (b) Executive Order 13423, "Strengthening Federal Environmental, Energy, and Transportation Management,” January 24, 2007
- (c) Council on Environmental Quality, "Instructions for Implementing Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management,” March 29, 2007
- (d) Page 33504 of Volume 72, No. 116, Federal Register, June 18, 2007
- (e) Assistant Deputy Under Secretary of Defense for Environment, Safety, and Occupational Health Memorandum, "DoD Environmental Management System (EMS) Self-Declaration Policy,” July 16, 2004 (hereby canceled)
- (f) Assistant Deputy Under Secretary of Defense for Environment Memorandum, "Environmental Management System (EMS) Implementation Criteria and Metrics,” January 30, 2003 (hereby canceled)
- (g) Under Secretary of Defense for Acquisition, Technology, and Logistics Memorandum, "Environmental Management System,” April 5, 2002 (hereby canceled)
- (h) Assistant Deputy Under Secretary of Defense for Environment, Safety, and Occupational Health, "Department of Defense Compliance Management Plan in Response to the Environmental Compliance Management Improvement Initiative of the President’s Management Council,” January 2007
- (i) DoD 8910.1-M, "Department of Defense Procedures for Management of Information Requirements,” June 30, 1998
- (j) International Organization for Standardization Standard, ISO 14001:2004, "Environmental Management Systems – Requirements With Guidance for Use,” November 15, 2004¹
- (k) DoD Directive 4715.1E, "Environment, Safety, and Occupational Health (ESOH),” March 19, 2005
- (l) Chapter 55 of title 42, United States Code
- (m) Council on Environmental Quality, "Aligning NEPA Processes with Environmental Management Systems – A Guide for NEPA and EMS Practitioners,” April 2007
- (n) DoD Instruction 5000.02, "Operation of the Defense Acquisition System,” December 8, 2008
- (o) Defense Acquisition Guidebook²
- (p) Executive Office of the President, "President’s Management Agenda,” 2002

¹ OSD is currently looking into purchasing an ISO 14001 site license; however, facilities can address requests for purchase (approximately \$100 U.S. dollars) to the ISO Central Secretary at: ISO Copyright Office, Case Postale 56, CH-1211 Geneva 20; Tel. + 41 22 749 01 11; Fax + 41 22 749 09 47; E-mail – copyright@iso.org; Web – www.iso.org.

² <http://akss.dau.mil/dag/>

ENCLOSURE 2

RESPONSIBILITIES

1. DEPUTY UNDER SECRETARY OF DEFENSE FOR INSTALLATIONS AND ENVIRONMENT (DUSD(I&E)). The DUSD(I&E), under the authority, direction, and control of the USD(AT&L), shall:

a. Review Reference (h), associated policy and guidance, and DoD progress on EMS implementation annually. Update Reference (h) as required.

b. Develop DoD policy and guidance to implement Reference (b) and oversee that implementation within the Department of Defense.

c. Develop and distribute strategic DoD-wide EMS goals, requirements, and priorities.

d. In coordination with the DoD Components, approve and distribute performance metrics and measures for evaluating EMS status and performance. Review these performance metrics and measures annually and provide updates to the DoD Components as required.

e. Advocate for resources to achieve, maintain, and monitor EMS progress toward conformance with International Organization for Standardization Standard (Reference (j)) or equivalent, pursuant to Reference (b).

f. Establish and designate the Chair for a DoD EMS work group to:

(1) Develop and recommend DoD policy on EMS.

(2) Provide advocacy and oversight to EMS, develop related performance measures and metrics, and interface with other DoD work groups and functions on EMS issues; serve as the focal point for gathering and consolidating semi-annual and annual EMS performance metrics and reports.

(3) Interface with Federal agency work groups on EMS issues.

g. Use the OSD's semi-annual environmental management review process as a mechanism to provide oversight of DoD Component EMS performance and progress.

h. Communicate EMS policy and guidance to DoD employees and contractors and post it on appropriate DoD Web sites to inform the public.

2. HEADS OF THE DoD COMPONENTS. The Heads of the DoD Components shall:

a. Ensure compliance with this Instruction at all appropriate organizational levels and facilities within their Component as required by DoDD 4715.1E (Reference (k)) and Reference (b); determine which functions within their Component constitute appropriate operational and support functions; and ensure management systems address a life-cycle approach.

b. Ensure leadership commitment to EMS implementation and operation.

c. Develop DoD Component EMS guidance, procedures, and instructions.

d. Develop and implement EMS goals, objectives, and targets.

e. Ensure that the delegation of EMS responsibilities is at the lowest level, as appropriate.

f. Pursue third party EMS registration only when it provides a documented benefit to the mission.

g. Ensure that internal EMS audits (first party audits) are conducted annually at appropriate facilities and organizations. Conduct external conformance audits at least every 3 years from the date of initial declaration. External audits include second or third party audits and shall be performed by a qualified party outside of the control or scope of the EMS.

h. Ensure formal declaration and/or re-declaration conformance is established for all appropriate facilities and organizations in accordance with Reference (c) and the DoD Component's declaration of conformance protocol.

ENCLOSURE 3

PROCEDURES

1. CROSS-FUNCTIONAL INTEGRATION OF EMS

a. Appropriate facilities and organizations will maximize the use of cross-functional teams to implement and maintain the EMS as appropriate. Teams may consist of personnel, including but not limited to: mission units, procurement, logistics, legal, budget, facility, energy, and environmental management, and technical support functional areas and other functional areas as appropriate.

b. EMS is encouraged to integrate with existing and future systems managing environment, safety, and occupational health assets. Where separate systems exist, they need to be coordinated to work together to improve overall performance. At a minimum, senior management will review the goals, objectives, and targets of all the systems managing environment, safety, and occupational health on a regular basis.

c. When energy and transportation functions are determined to entail significant environmental aspects:

(1) The appropriate facility and/or organization shall establish objectives, targets, and environmental management programs within the framework of the EMS. The EMS shall also address the goals defined in section 2 of Reference (b). Where energy and transportation management systems already exist, they need not be replaced or overtaken by the EMS. Leadership, management, and operations from these energy and transportation systems can remain if the EMS recognizes those programs as contributing to the appropriate facility's or organization's EMS.

(2) Each management system's goals, practices, and programs will be mutually supporting and will enhance each other. The DoD Components and/or their appropriate facilities and organizations will develop procedures and mechanisms to strengthen coordination between their management systems and with EMS.

d. EMS and chapter 55 of title 42, United States Code (Reference (l), commonly known and hereafter referred to as the National Environmental Policy Act (NEPA)) shall enhance each other's process and procedures. At a minimum, EMS and NEPA practitioners should compare and coordinate their policies, goals, and objectives. Additional guidance can be found in Council on Environmental Quality Guide (Reference (m)).

e. DoD acquisition program offices follow the systems engineering policy and guidance in DoDI 5000.02 (Reference (n)) and the Defense Acquisition Guidebook (Reference (o)) to manage the environmental aspects and possible impacts of the systems they develop and sustain. These acquisition procedures comply with the intent and requirements of an EMS. When a facility's and/or organization's EMS cross-functional team identifies impacts driven by a specific

weapon system that need to be mitigated by changes to the weapon system design or procedures, the EMS team will use the DoD Component-specific processes for establishing weapon system requirements.

2. FACILITY LAND USE

a. When tenant, contractor, and concessionaire activities affect an appropriate facility's environmental issues, those activities shall be addressed in accordance with paragraph 2.a. of Enclosure 2.

b. When appropriate facilities manage DoD real property on which private activities are permitted, licensed, or otherwise authorized or regulated, the appropriate facilities and/or organizations shall consider the environmental impacts of such activities in their EMS.

c. For reporting purposes, the joint base should typically be one EMS-appropriate facility. The supporting DoD Component will consult with the ADUSD(ESOH) if more than one appropriate facility and/or organization will be reported.

3. AUDITS. After initial full implementation and EMS declaration of conformance, EMS conformance at all appropriate facilities and/or organizations will be formally re-declared at least every 3 years. All declarations of conformance will be based upon an audit by a qualified party outside the control or scope of the EMS. Variations from the 3-year conformance audit shall be coordinated with the ADUSD(ESOH) on an appropriate facility and/or organization basis.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

ADUSD(ESOH)	Assistant Deputy Under Secretary of Defense for Environment, Safety, and Occupational Health
CMP	Compliance Management Plan
DoDD	Department of Defense Directive
DoDI	Department of Defense Instruction
DUSD(I&E)	Deputy Under Secretary of Defense for Installations and Environment
EMS	Environmental Management System(s)
ICO	Installation Commanding Officer
NEPA	National Environmental Policy Act
OMB	Office of Management and Budget
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics

PART II. DEFINITIONS

Unless otherwise noted, these definitions are for the purpose of this Instruction.

acquisition. Defined in Reference (n).

appropriate facility. Defined in Reference (c). Additionally, for the purpose of this Instruction:

A DoD EMS appropriate facility is typically a host command and its tenants within an installation fence line demarking contiguous property, as well as any satellite properties under direct control of the installation commanding officer (ICO). The appropriate facility may encompass multiple noncontiguous fence lines under direct control of the ICO or even the entire area of responsibility of the regional commander.

An appropriate facility may also be defined as a major-mission tenant such as a naval shipyard or naval hospital when a major command elects to define its component command EMS separate from, but in coordination with, the respective host activity EMS.

appropriate organization. Defined in Reference (c). Additionally, for the purpose of this Instruction, an EMS appropriate organization is any DoD organization that conducts activities

that can have a significant impact on the environment, either directly or indirectly, individually or cumulatively, due to the operations of that organization's mission, processes, or functions.

audits, types of

internal audit. A first-party EMS audit led by a qualified party within the scope of the EMS under consideration.

external audit. A second-party EMS audit performed by a qualified party from outside the control or scope of the EMS.

third party audit. An audit conducted by an accredited, independent registrar (e.g., a registrar accredited by the American National Standards Institute and the American Society for Quality National Accreditation Board or equivalent or, for facilities outside the continental United States, a host nation-accredited auditor).

CMP. A requirement of Reference (b), in lieu of an EMS, that outlines how an organization will meet environmental compliance requirements within the framework of the President's Management Agenda (Reference (p)).

conformance. The appropriate facility or organization meets the requirements of its EMS and Reference (j) or equivalent EMS in accordance with the DoD Component's EMS declaration of conformance protocol. An EMS with minor non-conformances can be considered conformant as long as corrective action is defined, planned, and endorsed (i.e., "recognized") by senior management. An EMS with non-reconciled major non-conformances cannot be considered in conformance.

declaration of conformance. Defined in Section II. C. of Reference (c).

EMS. Defined in Reference (c).

environmental aspect. An element of an organization's activities or products that can interact with the environment. The environmental aspect of an activity is that part of it that creates a possibility for an environmental impact. When considering safety in the scope of an EMS, the environmental aspect is equivalent to the concept of hazard, which is also defined as the possibility of a negative event.

environmental objective. An overall environmental goal an organization sets that is based on its environmental policy and is quantified when practicable.

environmental performance. The measurable results of an EMS related to an organization's control of its environmental aspects based on its environmental policy, objectives, and targets.

environmental policy. The overall intentions and direction of an organization related to its environmental performance as formally expressed by top management.

environmental target. A detailed performance requirement, quantified when practicable and applicable to the organization or parts thereof, that arises from the organization's environmental objectives and that must be set and met to achieve those objectives.

facility. Defined in Reference (c).

full implementation. For the purpose of this Instruction and conformance to Reference (b), an EMS shall be considered fully implemented when (1) it has been the subject of a formal audit by a qualified party outside the control or scope of the EMS; (2) audit findings have been recognized by the appropriate level of the agency implementing the EMS; and (3) the appropriate senior manager accountable for implementation of the EMS has declared conformance to EMS requirements.

qualified party. An EMS auditor who has successfully completed an accredited EMS lead auditor training course or equivalent DoD Component training. A qualified party may be staff, other DoD Components, other non-DoD Federal agencies, and/or private consultants. Personnel conducting external EMS audits must be outside the scope of the subject EMS.