



Australian Government

Department of the Environment, Water, Heritage and the Arts

Environmental Management System Tool

How to use this Tool

The Department of the Environment, Water, Heritage and the Arts (DEWHA) has developed the EMS Tool to assist office based organisations who are committed to implementing an EMS. The tool is based on the Australian and New Zealand standard for environmental management (AS/NZS14001). It is anticipated that the tool will help to reduce the time and cost often associated with implementing an EMS and provide a well developed system for the management of environmental impacts resulting from the day to day operations of office based organisations.

The EMS Tool consists of guidance notes, a manual and a set of registers. The registers and manual have been designed as templates which may be used by organisations to set up the documentation for their EMS. The guidance notes provide explanatory information on each section of an EMS (following the ISO14001 framework) and may provide assistance in understanding each of the steps involved in establishing and documenting an EMS.

The manual and registers are suggested formats for documenting an organisation's EMS. Parts or all of the manual and registers may be modified, deleted or substituted as an organisation sees fit. Organisations with an existing environmental management system may be able to utilise parts of the EMS Tool as part of the continual improvement of their management system.

The EMS Tool consists of three modules:

- A. Guidance Notes*
- B. Manual*
- C. Registers*

This version of the EMS Tool is presented in a single document. The intention of this version is to provide the reader with an easy way to view the entire EMS Tool in soft copy. The Tool includes hyperlinks at each of the main sections of the guidance notes and the manual to enable the reader to flick quickly between the relating sections of each module. Hyperlinks are also included to the relevant register where they have been referred to in both the guidance notes and the manual. 'How to use' instructions are located at the beginning of each module.

Acknowledgement

The EMS Tool was developed for the Department of the Environment, Water, Heritage and the Arts by NCSI.

The views and opinions expressed in this publication are those of the authors and do not necessarily reflect those of the Australian Government or the Minister for the Environment, Heritage and the Arts or the Minister for Climate Change and Water.

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Guidance Notes

How to use these guidance notes

These guidance notes have been developed to assist organisations to complete the manual and registers to suit their specific operational requirements. The guidance notes are set out in the same order as the EMS manual and the AS/NZS14001:2004. If downloaded as one complete document, the EMS Tool includes hyperlinks at each section within the manual and guidance notes to enable the reader to jump between the corresponding sections. Hyperlinks have also been included where reference is made to a register.

The documentation provided within the EMS Tool is only the foundation documentation for an environmental management system. In the development of an EMS, an organisation must, at the very least adapt the documentation to suit its particular circumstances, then augment the documentation with further documented operational controls considered necessary, and faithfully implement the processes and controls described by the documentation.

Introduction

Environmental Management Systems

An Environmental Management System (EMS) is a structured system or management tool which, once implemented, helps an organisation to identify the environmental impacts resulting from its business activities and to improve its environmental performance. The system aims to provide a methodical approach to planning, implementing and reviewing an organisation's environmental management.

Most organisations will have systems for managing their human resources, business objectives and finances as well as occupational health and safety, and security. An Environmental Management System will work more effectively if it is designed to operate in line with an organisation's existing systems and processes, such as the planning cycle, the setting of targets and improvement programs, corrective and preventive action and management review.

The environmental aspects of an organisation are those activities, products and services of an organisation that have or can have an impact on the environment. An EMS enables an organisation to identify its environmental aspects and determines which of them can have a significant impact on the environment. This helps an organisation understand how it interacts with the environment. This in turn guides an organisation in determining where environmental controls or improvements are needed, and in the setting of priorities for action to improve environmental performance.

An environmental policy sits at the top of an organisation's environmental management systems and articulates the overall intentions and direction of an organisation regarding its environmental performance. It provides a formal way for the organisations top management to express commitment to environmental management and improvement.

An EMS also provides a way for organisations to plan for and demonstrate that steps have been taken to reduce or prevent environmental harm from occurring as a result of the organisations operations. At the very least, an EMS requires the organisation to assess how it meets its legal and other requirements relating to its environmental aspects.

The documentation provided within the EMS Tool is only the foundation documentation for an Environmental Management System. In the development of an environmental management system, an organisation must, at the very least adapt the documentation to suit its particular circumstances, then augment the documentation with further documented operational controls considered necessary, and faithfully implement the processes and controls described by the documentation. The following steps describe many essential processes involved in establishing and implementing an Environmental Management System within an organisation.

Steps to establishing and implementing an EMS

1. Obtain commitment from top management.
2. Define responsibilities, appoint management representative(s), establish EMS steering committee, develop implementation plan, and undertake initial training on EMS.
3. Undertake an initial environmental review (optional).

4. Identify environmental aspects & legal & other requirements; determine significant aspects; formulate environmental policy; establish environmental objectives, targets & programs.
5. Implementation & operation—develop documentation & processes.
6. Develop processes for monitoring, measurement & corrective & preventive action.
7. Develop and deliver EMS training within the organisation.
8. Establish an internal audit program, including training; conduct initial internal audit to evaluate conformity to requirements of ISO 14001, including evaluation of compliance.
9. Follow up internal audit with improvements to system.
10. Conduct initial management review of EMS.
11. Implement improvements from management review.

Step 3 (initial environmental review) may provide benefit to an organisation looking at environmental management for the first time and usually covers the following:

- Identification of environmental aspects.
- Identification of legal requirements and other requirements to which the organisation subscribes.
- Examination of existing environmental management activities, controls and procedures, including those associated with procurement and contracting.
- Evaluation of previous emergency situations and accidents.

AS/NZS ISO 14001:2004 Environmental Management Systems

The International Organization for Standardization (ISO) is a non-government network of national standards institutes. It develops and publishes international standards. The ISO 14000 series comprises a range of standards on environmental management systems, environmental assessment, environmental performance evaluation, environmental labelling, life cycle analysis and greenhouse gases.

There are two standards on environmental management systems:

1. ISO 14001—*Environmental management systems—Requirements with guidance for use*
2. ISO 14004—*Environmental management systems—General guidelines on principles, systems and support techniques*

Standards Australia & Standards New Zealand adopted both of these ISO standards in 2004. Therefore, in Australia we refer to the standards as AS/NZS ISO 14001:2004 and AS/NZS ISO 14004:2004. AS/NZS ISO 14001:2004 is the standard that sets out the requirements for an environmental management system and is against this standard that the EMS Tool has been based.

The requirements that are the subject of audit for certification of an environmental management system are set out in clause 4 of the standard. AS/NZS ISO 14004:2004 is a more substantial guidance document on how to establish, implement, maintain and improve an Environmental Management System. The guidance document also provides practical help and identifies issues to be considered when implementing a particular requirement of AS/NZS ISO 14001:2004.

The standards mentioned in this model EMS can be purchased online from NCS International at <http://www.ncsi.com.au/standards.html> (printed versions) and SAI Global at <http://www.saiglobal.com/shop> (printed and online versions).

Independent certification of an EMS

Organisations who implement an Environmental Management System based on AS/NZS ISO14001:2004 may choose to have it independently audited to achieve third party certification. This certification can then be publicly declared as confirmation that all requirements of the standard have been effectively implemented within the organisation. A common reason for seeking certification is that it allows independent verification and it provides assurance to internal and external stakeholders of the integrity and completeness of the management system.

Certification of Environmental Management Systems may be sought from conformity assessment bodies. In Australia and New Zealand, the competence and independence of conformity assessment bodies to certify management systems is proven by accreditation from the Joint Accreditation System of Australia and New Zealand (JAS-ANZ). JAS-ANZ maintains a register of accredited conformity assessment bodies as well as a register of certified organisations on their website.

Enquiries about certification can be made to conformity assessment bodies. A conformity assessment body can discuss the organisation's specific certification needs; compile a profile of the organisation, its activities and its risks; and provide a quote for certification.

The certification process commences with a formal application for certification to a conformity assessment body. Certification involves three audits:

1. A review of management system documentation to evaluate whether all documents and records required by an environmental management system are available, and to prepare a checklist for subsequent audits.
2. A preliminary audit to determine preparedness of the organisation for certification and to plan for the certification audit.
3. A certification audit to evaluate implementation, including effectiveness of the environmental management system and conformity to the requirements of the international standard.

Reports are provided on all three audits by the assessment body. Nonconformities or deficiencies raised in the documentation review and preliminary audit must be resolved prior to the certification audit. The time between the documentation review and preliminary audit on the one hand and the certification audit on the other usually depends on the ability of the organisation to resolve such nonconformities.

All reports and other documents prepared by the certification body are reviewed by an independent assessor, and if all requirements are met, certification to the requirements of AS/NZS ISO 14001:2004 is granted.

Initial certification is for three years. Surveillance audits are conducted so that the conformity assessment body can remain confident that the certified management system continues to fulfil requirements. These are not necessarily full system audits, and are conducted 6-monthly or annually depending on level of environmental risk (generally considered low in an office based organisation) and the certified organisation's requirements.

Recertification audits are conducted every three years to evaluate the continued fulfilment of all the requirements of the international standard for the environmental management system.

1. Scope of the EMS AS/NZS ISO 14001 cl.4.1

The important part of this clause is the requirement to define and document the scope of the EMS for which certification to the requirements of the standard is sought. An organisation may choose to implement the standard across the entire organisation, or in specific operating units, or at specific sites.

The following example for the Department of XYZ may help.

Example: The Department of XYZ provides information to the public on the Australian Government's XYZ activities and policies. Its head office is in Parkes, ACT, and there are branch offices in Sydney, Melbourne, Brisbane and Perth. The Department also has staff embedded in other government agencies in Adelaide, Darwin, Hobart and Townsville, as well as in Australian consulates in the UK, USA, Hong Kong and Japan.

The Department decides to apply its environmental management system to its operations and services at its head office and branch offices only. Staff in other offices in Australia and overseas are expected to comply with the spirit of the environmental policy in the context of the organisation in which they work.

2. Environmental policy AS/NZS ISO 14001 cl.4.2

An environmental policy sets the direction for management of the environment. By providing a framework for setting and reviewing environmental objectives and targets, it describes the expectations of top management (and the rest of the organisation) for environmental performance.

Development of the policy requires top management to make critical decisions on what the organisation aims to achieve in environmental management, such as reducing the use of natural resources, increasing the use of renewable energy, or initially just measuring its contribution to the emission of greenhouse gases. The policy is intended to guide the organisation to focus its effort and resources.

The standard requires the policy to be suitable for the nature, scale and environmental impacts of the organisation's activities, products and services. It is therefore helpful if the policy outlines what the organisation does and produces, and where it operates.

The standard also requires the policy to make three commitments:

- a) Compliance with all applicable legal requirements, and with other requirements to which the organisation subscribes relating to its environmental aspects.
- b) Prevention of pollution.
- c) Continual improvement.

To be effective, the policy must be communicated to everyone working in and on behalf of the organisation. The standard also requires an organisation to publicise its environmental policy. Most organisations achieve this through their intranet and website, but display of the policy at head office and other locations through the organisation can also be effective.

Development of a policy can be considered as an opportunity to inspire an organisation's staff and other stakeholders. A search on the Internet for environmental policies of other organisations may also be fruitful.

There is no requirement in the international standard for an environmental policy to be of a particular length. Most organisations certified to AS/NZS ISO 14001:2004 limit their policy to a single page. This facilitates awareness of the policy, and of the commitments in it.

An environmental policy may be integrated with other policies. Similarly, an environmental policy may contain environmental commitments additional to those required by AS/NZS ISO 14001:2004.

3. Planning

3.1 Environmental aspects AS/NZS ISO 14001 cl.4.3.1

Before an organisation can manage its environmental issues, it needs to identify how it interacts with the environment. The standard uses some specific terms in this process.

Environmental aspects are elements of an organisation's activities, products and services that can interact with the environment, that is, have a negative or positive environmental impact.

A *significant* environmental aspect is one that can have a significant environmental impact.

The identification of environmental aspects is best done in a systematic way designed to capture all actual and potential impacts. The process typically involves:

1. Systematic identification of all activities undertaken by the organisation, and all products and services provided. Activities include those that are infrequent, supporting activities such as administration and maintenance, and services provided by contractors.
2. Identification of the ways those activities, products and services can interact with the environment, that is, identification of environmental aspects.
3. Identification of the environmental impacts associated with the environmental aspects.
4. Analysis of the risks to determine risk levels.
5. Evaluation of the risks to determine which environmental aspects and impacts are *significant* risks to the environment and/or the organisation.

Environmental aspects must include those that currently interact with the environment, and those that have potential to interact with the environment. For example, most office based organisations routinely use electricity for lighting, air conditioning, computers and other equipment on a daily basis. These activities continuously interact with the environment through the emission of greenhouse gases from electricity generation (which is still mostly from coal fired power stations in Australia). On the other hand, emergencies such as fire or chemical spills are associated with potential interaction because their likelihood is rare.

Not only must an organisation identify the environmental aspects that it can control, but the international standard requires an organisation to identify those that it can influence. Most large organisations can influence others' environmental management through procurement of goods and services, including motor vehicles, contractors, and office accommodation.

The results of this process to identify, analyse and evaluate environmental aspects are used to establish environmental objectives and targets. The rest of the environmental management system is designed to control the significant environmental aspects and achieve the objectives and targets.

The standard requires information on environmental aspects to be documented and kept up to date. In the EMS Tool, this is done through maintenance of a [Register of Environmental Aspects](#).

A large, complex agency may find it useful to firstly establish the context for this process in accordance with AS/NZS 4360:2004—*Risk management*. In particular, it may be useful to identify all external and internal stakeholders, as these stakeholders will often perceive the agency to have certain environmental aspects with associated risks. The following list of stakeholders is adapted from HB 436:2004—*Risk management guidelines, a companion to AS/NZS 4360:2004* (pp. 31-32) and HB 203:2006—*Environmental Risk management—Principles and process* (pp. 21-22):

- The portfolio minister, other ministers, and other members of Parliament whose electorates may be affected by activities of the agency
- The board or committee or management of the agency
- Senior managers of the agency
- Staff, their families, unions and professional associations
- Clients of the agency
- Regulators and government agencies
- The general community
- Special interest groups, such as environmental lobby and community groups
- Contractors and suppliers
- Emergency service organisations
- Financial institutions
- Insurers
- The media
- Other groups likely to be affected by the activities of the organisation.

Each environmental aspect is subject to a risk analysis based on consequences and likelihood. A risk analysis matrix is provided in the EMS manual—this is based on the qualitative risk analysis matrix in HB 203:2006—*Environmental Risk management—Principles and process* (p. 36). The matrix has four risk levels, and the manual assigns aspects that are assessed as *extreme* and *high* risk as *significant*.

The [Register of Environmental Aspects](#) provided within the EMS Tool is already populated with some environmental aspects that are likely to be identified in an office based organisation. A risk analysis is also completed for the environmental aspects. An organisation can add or delete environmental aspects as appropriate, and change any of the ratings for likelihood or consequences.

The determination of significance is relative to an individual organisation, an environmental aspect that is regarded as significant in one organisation may be regarded as not significant in another. Ideally, it is useful to conduct risk analysis in a

way that results in a range of risk level from *extreme* through *high* through *medium* to *low*, so that some but not all aspects are regarded as significant.

In accordance with the importance placed by the international standard on compliance with legal requirements, it is also very common practice to ensure that any environmental aspects associated with a legal requirement are considered to be significant. This can be done as an overriding criterion in the risk analysis, or by incorporating legal requirements into the definitions of ratings for consequence (which is done in the manual).

Irrespective of an organisations impact on the environment, it is generally expected that at least some of an organisations environmental aspects will be rated as significant when compared with its remaining aspects. If the risk analysis and evaluation results in no aspects being considered significant, the risk assessment matrix could be modified to provide for more than four risk ratings if thought appropriate, and/or the definitions of likelihood or consequences can be adapted to suit the organisation.

If the agency already has a well-established process for risk analysis, such as for occupational health and safety or financial risk, this process could be used in place of the risk analysis matrix in the EMS manual, with suitable adaptation to an environmental management context.

3.2 Legal and other requirements *AS/NZS ISO 14001 cl.4.3.2*

The environmental policy must include a commitment to compliance with legal and other requirements in order to meet the requirements of the standard.

Organisations are usually subject to a number of environmental legal requirements through legislation, regulations, permits, licences and contracts. These requirements must be thoroughly identified and understood so that they can be included in the environmental management system.

Organisations also commonly subscribe to a number of other non-legal requirements relating to environmental issues. These could include internal policies, government policies and programs, requirements of industry or professional bodies, agreements with industry associations, and agreements with local communities. These commitments can be as important as legal requirements. Therefore, they need to be identified and referenced in the environmental management system.

The standard requires an organisation to identify and have access to the legal and other requirements applicable to its environmental aspects, and to determine how these requirements apply to the environmental aspects. In the EMS Tool, this is done through maintenance of a [Register of Legal and Other Requirements](#). This register requires specific sections and clauses of legislation, regulations, permits, agreements, etc. to be listed to facilitate the evaluation of compliance. The register in the EMS Tool is filled out with several legal and other requirements which relate to office-based organisations as suggested examples.

The standard also requires an organisation to ensure that its legal and other requirements are taken into account in establishing, implementing and maintaining its environmental management system.

A list of [Commonwealth and State legislation, policies and guidelines](#) that may apply to many organisations is provided as a *starting point* for the identification of legal requirements that apply to an organisation's environmental aspects, and other requirements that an organisation may subscribe to. Each organisation should analyse in what way these legal and other requirements apply to its environmental aspects, and list the *specific* applicable requirements in the [Register of Legal and Other Requirements](#). Listing of specific legal and other requirements applicable to an agency is critical for the evaluation of compliance required by ISO 14001.

It must be emphasised that it is important that the register of legal and other requirements is kept up-to-date. Several commercial services are available to assist with identification of legislative requirements.

3.3 Objectives, targets and program(s) AS/NZS ISO 14001 cl.4.3.3

Environmental objectives are the overall goals that an organisation sets itself to achieve. Environmental targets are detailed performance requirements that arise from the environmental objectives. Environmental objectives and targets must be consistent with the framework for setting and reviewing objectives and targets, and commitments to the prevention of pollution, compliance with legal and other requirements and continual improvement in the environmental policy.

When setting objectives and targets, an organisation must consider its legal and other requirements, its significant environmental aspects, its technological options, its financial, operational and business requirements and the views of interested parties.

The standard requires an organisation to establish a program or multiple programs for achieving its environmental objectives and targets. Such programs are also commonly known as environmental action plans, environmental management plans, environmental improvement programs and environmental management programs. Programs must include a designation of responsibility for achieving the objectives and targets as well as means and timeframes.

The EMS Tool uses a [Register of Environmental Objectives and Targets](#). This register can include links to individual environmental actions plans or improvement programs, or procedural controls. The register accompanying the EMS Tool is filled out with many of the environmental aspects identified for office based organisations to provide some examples.

4 Implementation and operation

4.1 Resources, roles, responsibility & authority AS/NZS ISO 14001 cl.4.4.1

An environmental management system requires top management to provide sufficient resources for it to be effective. Resources typically include people, specialised skills and knowledge, organisational infrastructure, technology and money.

Various positions in an organisation may have roles, responsibilities and authorities for managing environmental aspects and the environmental management system. The standard requires these roles, responsibilities and authorities to be documented and communicated.

A special role identified in the standard is that of *management representative*. This role can be carried out by one person or shared between several people. Irrespective of other responsibilities, the management representative(s) must have responsibility and authority for ensuring the overall establishment, implementation and maintenance of the environmental management system and reporting to top management on its performance, including recommendations for improvement. As this is largely a co-ordination role, the EMS Tool refers to a role of *environmental co-ordinator*.

The EMS Tool uses a [Responsibility Matrix](#) to document positions, roles, responsibilities and authorities relevant to the EMS.

4.2 Competence, training and awareness *AS/NZS ISO 14001 cl.4.4.2*

The Responsibility Matrix is also used to document those positions or roles that have potential to cause a significant environmental impact, that is, are working in areas or jobs associated with the agency's significant environmental aspects.

Competence refers to the knowledge, understanding, skills or abilities required for a person to effectively and efficiently carry out a job. Competence can be determined through appropriate education, training, experience and assessment.

The [Responsibility Matrix](#) also provides for recording the competence requirements of all positions and roles relevant to an EMS, the title and position number of each role and the name of the person in each position or role. Also recorded is the actual competence determined as relevant for each position, training needs to fill any competence gap, planned training or other development and actual training undertaken. The [Responsibility Matrix](#) therefore needs to be kept up-to-date for changes to organisational structure, staff changes and training planned and undertaken.

Although the [Responsibility Matrix](#) partially fulfils the requirement of the standard to maintain records of training, comprehensive training records for all staff and contractors, including copies of training and educational qualifications, are usually best kept by the Human Resources section of an organisation.

The standard requires a procedure to be established, implemented and maintained to raise awareness of the environmental management system. Awareness is about ensuring that all people working on behalf of the organisation are aware that environmental management is important, that the agency has an environmental management system and that everyone is expected to support it. The EMS Tool approaches this through an EMS awareness package, which can be delivered in staff and contractor inductions and refresher sessions. The [Assessment of EMS Awareness form](#) is available to record the awareness outcome of EMS training.

4.3 Communication *AS/NZS ISO 14001 cl.4.4.3*

The standard requires a certified organisation to have a procedure for communicating internally on its environmental aspects and environmental management system and managing communication on environmental aspects from external parties.

Internal communication is critical to an effective environmental management system. Intranets are more commonly used for internal communication, but regular meetings of work groups, newsletters, notice boards and emails are also useful. Communication on environmental aspects should be two-way, using clear channels. For most organisations, existing communication processes should be easily adapted to cater for the needs of the environmental management system.

Organisations are expected to have sound procedures for outlining how comments or complaints regarding environmental issues from external interested parties are received, documented and followed up.

An organisation must also decide whether to proactively communicate externally about its significant environmental aspects and then document its decision. This requirement reflects an international push for transparency, with the aim of encouraging understanding and acceptance of an organisation's environmental management efforts and promoting dialogue with interested parties.

If the decision is made to proactively communicate externally about its significant environmental aspects, then the organisation must establish and implement a way of doing this. The Internet and annual reports are the most commonly used methods. External communication required during response to emergency situations and accidents is usually documented in an emergency response plan.

The EMS manual provides three options for proactively communicating externally about significant environmental aspects:

1. Publication of significant environmental aspects on the Internet, or in annual reports, or in some other form.
2. No publication of significant environmental aspects.
3. Dealing with significant environmental aspects on a case-by-case basis.

4.4 Documentation *AS/NZS ISO 14001 cl.4.4.4*

The standard stipulates a minimum list of documentation to be included in an environmental management system:

1. Environmental policy, objectives and targets
2. Description of the scope of the environmental management system
3. Description of the main elements of the environmental management system and their interaction, and reference to related documents
4. Documents and records required by the standard
5. Documents and records determined by the organisation to be necessary to ensure the effective planning, operation and control of processes that relate to its significant environmental aspects.

Point (4) refers to documents and records specifically required by the standard, other than those listed in points (1) to (3):

- Documented roles, responsibilities and authorities
- Records of competence assessment of persons or roles performing tasks that have potential to cause a significant environmental impact
- Records of training
- Records of external communication
- Documented decision about external communication about significant environmental aspects
- External documents
- Records of monitoring and measurement
- Records of calibration or verification of monitoring and measuring equipment
- Records of evaluations of compliance with legal and other requirements
- Records of results of corrective and preventive action
- Records of management review.

Many other documents and records could also be appropriate to an organisation for effective management of its environmental management system, and this is the intent behind point (5). The extent of documents and records required for any

environmental management system depends on the size and complexity of the organisation and the environmental risks associated with its activities, products and services. Rather than being overly prescriptive on requirements for documents and records, the international standard puts the onus on an organisation to determine which documents and records are necessary to ensure the effective planning, operation and control of processes that relate to its *significant* environmental aspects. This minimal documentation approach is usually done using risk management (see clause 4.4.6).

The EMS manual, environmental policy, register of environmental objectives and targets and other documents in the EMS Tool provide most of this documentation including references to the remaining documentation required by the standard and determined by the organisation to be necessary for the EMS.

A [Register of Documents and Records](#) lists policies, manuals, procedures, plans, external documents, registers, forms, templates and records relevant to the model environmental management system for government agencies.

4.5 Control of documents *AS/NZS ISO 14001 cl.4.4.5*

Documents required by the environmental management system must be controlled according to the requirements of AS/NZS ISO 14001:2004. The procedure for controlling documents in the *strict* sense must include the same requirements as AS/NZS ISO 9001:2000 for quality management:

- Document approval
- Document review, update and re-approval
- Identification of changes and current revision status
- Availability at points of use
- Legibility and identification
- Identification and distribution of external documents
- Management of obsolete documents.

The EMS Tool outlines a procedure for controlling environmental management system documents (in the strict sense) in accordance with the requirements of the standard. This can be adapted to suit an agency's existing process, as appropriate.

Control of records is dealt with in a separate procedure (see below).

4.6 Operational control *AS/NZS ISO 14001 cl.4.4.6*

Point (5) above under *Documentation* is about providing documented procedures to control processes and operations which do or could have a significant environmental impact. This requirement is repeated in the clause of the standard relating to operational control. It is a risk based approach to documentation designed to minimise documentation. A *documented* procedure is required to control an operation associated with a significant environmental aspect if there is a risk of deviation from the organisation's environmental policy, objectives and targets without it. In other words, if a documented procedure will add value to a control, then it should be created. Equally, a documented procedure that does not add value to a control or the environmental management system generally, is unnecessary and may be deleted to avoid having to maintain it.

A documented operational procedure must stipulate the operating criteria, such as normal operations, emergency situations, shut down, and maintenance.

Procedures are also required for significant environmental aspects of goods and services used by the organisation. These do not strictly have to be documented, but documentation facilitates communication of applicable procedures and requirements to suppliers, including contractors. Again, this documentation of procedures is risk based.

The criteria that could be considered when adopting a risk based approach to documenting procedures include:

- Likelihood and consequences of environmental impact
- Legal and other requirements
- Size and complexity of the organisation and the need to ensure that a procedure is undertaken consistently throughout the organisation
- Benefits for training.

Documented procedures may be referred to as work procedures, standard operating procedures (SOPs), safe work method statements (SWMSs), environmental work method statements, or anything else. Operational procedures can range from text based to pictorial.

In office based organisations, an evacuation procedure is an example of a documented operational procedure that would be required. This may be a part of the emergency response plan (see below). If an organisation occupies an entire building with an emergency generator, a documented procedure for receiving and storing fuel, and filling and testing the generator may be appropriate. If land and air travel are monitored, a documented work instruction for recording details of fuel use, distance driven, and air miles flown, may help to ensure that high quality data is recorded.

If a government agency handles dangerous goods such as chemicals or explosives, then a procedure on controls for receiving, storing, transporting, using and disposing of dangerous goods would be expected in an environmental management system.

An example of a [standard operating procedure](#) for waste segregation is provided within the Tool. This can be adapted for use in an agency, or used as the basis for devising similar procedures for controlling other significant environmental aspects.

The EMS Tool requires such documented operational procedures to be recorded in the manual and in the [Register of Documents and Records](#).

4.7 Emergency preparedness and response *AS/NZS ISO 14001 cl.4.4.7*

The standard requires an organisation to identify potential emergency situations and potential accidents that can have environmental impact and determine how it will respond to them. This is similar to the requirement for safety management systems in AS/NZS 4801:2001, except the emphasis is on emergencies and accidents that can have an environmental impact rather than an impact on occupational health and safety.

For effective emergency preparedness and response, an organisation may already conduct the following tasks that are required by the international standard for environmental management:

- Identify potential (environmental) impacts from all possible emergencies and accidents.
- Devise controls to prevent emergencies and accidents.
- Develop responses to emergencies and accidents that can still happen despite the implementation of controls.
- Prepare and distribute an emergency preparedness and response plan.
- Train people in emergency response, especially those people with key roles.
- Test the robustness of emergency preparedness and response with periodic drills.
- Review and, as appropriate, revise the emergency preparedness and response plan after each test and each actual emergency and accident.

The approach used in the EMS Tool is to identify environmental emergency situations and accidents as environmental aspects and in turn subject them to determination of environmental significance. Most organisations already maintain an emergency preparedness and response plan as a matter of course, so this plan is used in the EMS Tool to satisfy the standard's requirement for a procedure for responding to emergencies and accidents—there may be no need to create a new or separate procedure.

The standard requires an organisation to respond to actual environmental emergencies and accidents and prevent or mitigate associated adverse environmental impact. The EMS Tool therefore treats actual environmental emergencies and accidents as environmental non-conformities requiring correction and preventative action (see section 5.3 below).

The standard also requires periodic review and appropriate revision of emergency preparedness and response. The EMS Tool requires such review after each test and the occurrence of emergencies or accidents and revision of the emergency preparedness and response plan as appropriate.

For many agencies, many of the requirements in the international standard for emergency preparedness and response will already be fulfilled and all that is required is to formally integrate them into the environmental management system, that is, ensure that they make appropriate reference to environmental impacts.

On the other hand, if establishing an environmental management system has highlighted deficiencies in emergency preparedness and response, or the organisation itself has only recently been established, the organisation could obtain useful guidance from the Australian Standard AS 3745:2002 *Emergency control organisation and procedures for buildings, structures and workplaces*.

5 Checking

5.1 Monitoring and measurement *AS/NZS ISO 14001 cl.4.5.1*

In the context of an environmental management system, *environmental performance* is the measurable results of an organisation's management of its environmental aspects.

The standard requires an organisation to have a procedure for monitoring and measuring, on a regular basis, the key characteristics of its operations that can have a significant environmental impact. The procedure must include the recording of information to monitor environmental performance, operational controls, and progress on achieving the organisation's environmental objectives and targets.

Any monitoring or measuring equipment that requires calibration or verification must have its calibration and verification maintained, as evidenced by records.

Although a *documented* procedure for monitoring and measurement is not required by the standard, it can help to provide consistency in measurements and enhance the reliability of data produced.

The EMS Tool uses an annual [Schedule of Monitoring and Measurement](#) in which data relevant mostly to an office based organisation are collected on a monthly basis. Other objectives, targets and key performance indicators relevant to an organisation's EMS can be added. The schedule is provided as a table in a Microsoft Word document, but an organisation could convert the table to a Microsoft Excel spreadsheet that facilitates charting trends.

The manual within the EMS Tool provides for listing any monitoring or measuring equipment that requires calibration or verification. This may not be relevant in a wholly office-based organisation, in which case the section on monitoring and measurement in the EMS manual should state this. Records of calibration or verification are intended to be scanned and saved in a *Calibration Records* folder to facilitate retrieval.

5.2 Evaluation of compliance *AS/NZS ISO 14001 cl.4.5.2*

In addition to monitoring and measurement of operational activities, the standard requires an organisation to periodically evaluate its compliance with applicable legal requirements and with other requirements to which it subscribes, and keep records of the results of the evaluations. The distinction between monitoring and measurement on the one hand and periodic evaluation of compliance on the other is not always appreciated by organisations certified to the requirements of AS/NZS ISO 14001:2004. In most cases, monitoring and measurement is an ongoing process to collect data required by legal and other requirements. Evaluation of compliance is about analysing and comparing the data collected over a period of time with legal and other requirements.

The evaluation can be conducted in a compliance audit. In the audit, questions can be asked such as:

- Have the sampling frequency and sites complied with requirements?

- Have the results of monitoring and measurement been reported accurately and on time to the appropriate authority?
- Do the results of monitoring and measurement fall in the allowable ranges?
- Has appropriate action been taken when results have fallen outside the allowable ranges?

The evaluation of compliance is critically dependent on knowing the legal and other requirements and how they apply to environmental impacts in some detail. This is why the [Register of Legal and Other Requirements](#) is important. In the EMS Tool, this register is used to facilitate the evaluation of compliance.

5.3 Nonconformity, corrective & preventive action *AS/NZS ISO 14001 cl.4.5.3*

Nonconformity is non-fulfilment of a requirement, that is, when something does not go to plan. In the context of an environmental management system, environmental nonconformity occurs when an environmental control is not implemented or is ineffective, an environmental emergency or accident happens, a licence condition is breached, acceptable levels of a monitored or measured characteristic are exceeded, an environmental objective or target is not met, a neighbour or member of the public complains about an environmental issue from your site, a documented procedure or work instruction is not followed, and so on.

At first thought, nonconformity may be associated with negative consequences, a problem, or a concern that has to be dealt with. However, nonconformity should more importantly be considered as an opportunity for improvement. Organisations that are serious about continual improvement of their management system encourage the identification of nonconformity as well as suggestions for improvement among staff and other stakeholders.

AS/NZS ISO 14001:2004 provides a mechanism for identification of actual nonconformity and potential nonconformity to contribute to continual improvement of the environmental management system through corrective action and preventive action, respectively.

The process for identifying nonconformity and taking corrective and preventive action leading to system improvement as intended by AS/NZS ISO 14001:2004 is depicted in a Corrective and Preventive Action Flowchart. The steps in the flowchart are consistent with those required by AS/NZS ISO 9001:2008 for dealing with nonconforming products and services in a quality management system, and those required by AS/NZS 4801:2001 for dealing with occupational health and safety incidents. This facilitates integration with other management systems that provide for corrective and preventive action.

The standard requires action taken to be appropriate to the magnitude of the problems and environmental impact encountered in association with nonconformity. It also clarifies that changes should be made to the environmental management system documentation as necessary from dealing with nonconformity and taking appropriate action.

The EMS Tool provides a [Register of Nonconformity and Suggestions for Improvement](#) to Environmental Management. It also provides a [Corrective and Preventive Action Form](#) for managing the analysis of actual and potential

nonconformity and suggestions for improvement, and the taking of appropriate action.

5.4 Control of records AS/NZS ISO 14001 cl.4.5.4

Documentation in the *general sense* includes records. However, AS/NZS ISO 14001:2004 distinguishes between control of documents in the *strict sense* and control of records. A record is a historical piece of information—results achieved from a process or otherwise evidence of an activity performed. Documents in the strict sense, on the other hand, are live pieces of information—they usually provide guidance on what to do, and need to be kept up to date.

Sometimes the distinction between a document in the strict sense and a record is unclear in the context of an environmental management system. For example, a register could be regarded as a document consisting of a snapshot of records. In the end it does not matter much—the important thing is that documents and records required by an environmental management system are controlled by being available or retrievable, legible and identifiable. All documents in the strict sense become records when they are made obsolete.

Environmental management usually results in the need to keep a wide range of records. Some records are mandated by the standard, while others are a natural result of conducting an activity. They are relied on by internal and external auditors as evidence of conformity to the requirements of the environmental management system and AS/NZS ISO 14001:2004.

Records for the environmental management system must be stored in a manner that protects them but facilitates retrieval when records are required. It is expected that organisations would apply this principle to records generally and already employ a formal records management system that manages paper and/or electronic records.

Regardless of whether an organisation's records management system is paper and/or electronic based, it is expected that records required by an environmental management system would be managed in the organisation's records management system. The establishment of an environmental management system therefore provides an opportunity to ensure that the organisation's records management system is robust.

It is expected that an organisation's records management systems will have records retention periods defined. Some records can be disposed of after a certain period, occasionally prescribed in regulations, while others are required to be kept effectively indefinitely. Most organisations retain non-critical environmental management system records for five to seven years.

The EMS Tool provides a [Register of Documents and Records](#) required by the environmental management system.

An [Archives Register](#) is also provided for paper based records relevant to the EMS. This is optional and is provided in case an agency's records management system does not provide for archival storage.

To assist an agency in establishing a system for storing records required by the environmental management system, the EMS manual (section 5.4) provides a list of

folders with intuitive names. This folder structure can be simply set up in the records management system, or used to store hardcopy records.

5.5 Internal audit AS/NZS ISO 14001 cl.4.5.5

Internal audits of an environmental management system provide information to management on whether the system conforms to planned arrangements and has been properly implemented and maintained. Ideally, an internal audit looks forward and evaluates the effectiveness of a management system in fulfilling the commitments made in the management system policy and in achieving the objectives and targets established for the management system. For an environmental management system, the important high level commitments are the prevention of pollution, compliance with legal and other requirements, and continual improvement.

AS/NZS ISO 14001:2004 requires an organisation to plan, establish, implement and maintain an internal audit program. This should be done on a risk basis by considering the environmental importance of an organisation's operations in terms of its environmental aspects and impacts, and the results of previous audits.

AS/NZS ISO 14001:2004 does not require a documented procedure for internal audit of environmental management systems. However, to ensure consistency and rigour in the conduct of internal audits, a documented procedure is a good idea in most organisations. The EMS Tool includes a documented procedure in the section 5.5 of the manual.

An important point to realise is that a single internal audit does not need to cover the whole environmental management system. In particular, a single annual internal audit the day before an external audit does not demonstrate a strong commitment to continual improvement of the system. It is better to devise an audit program that ensures that all organisational units and functions, environmental management system elements, and the full geographical scope of the environmental management system are audited over a period of time. The timeframe could range from a year for an organisation with a relatively limited range of activities over a small number of sites, to three years for a large, complex organisation with many sites around Australia and perhaps even overseas. This approach facilitates following up findings with effective corrective and preventive action across the whole organisation.

An [Internal Audit Schedule](#) is provided with the EMS Tool. This lists all the broad elements of AS/NZS ISO 14001:2004, and provides for the elements to be scheduled for audit on a monthly basis in an agency with a single site. Audit scheduling could be quarterly if that suits the organisation.

The complexity of the organisation may require a more complex approach to internal auditing. Further thought may be required to devise an effective internal audit program in such a case.

Internal audits of environmental management systems may also be integrated with internal audits of occupational health and safety and quality management systems. In general, integration of management systems will improve management system efficiency, and possibly also effectiveness.

The standard requires that auditors are selected for internal audits with a view to ensuring objectivity and impartiality of the audit process. That is, an auditor cannot audit the section in which he or she normally works.

Another standard, AS/NZS ISO 19011:2003, provides useful guidance on the auditing of environmental management systems. It recommends that the management of an audit program follow the Plan-Do-Check-Act cycle of continual improvement.

It is common to hear that effective auditing is about adding value to an organisation. Conversely, it is rather narrow minded to consider auditing as the same as inspections. As mentioned above, auditing looks forward and is about evaluating the effectiveness of a management system to achieve its planned outcomes. Inspections, on the other hand, are more about looking backwards to simply identify nonconformities. Auditors, therefore, must be competent in auditing, and ISO 19011 emphasises the importance of ensuring auditor competence. The training of auditors is in turn a critical issue in an effective internal audit program, and the EMS manual suggests an approach to training.

Ultimately, an effective internal audit program will find actual and potential environmental nonconformities for follow-up with corrective and preventive action. This process will in turn improve the environmental management system, reduce environmental risks, and improve environmental performance.

The EMS Tool uses an internal audit to evaluate compliance with legal and other requirements, which should be done at least annually. The [Register of Legal and Other Requirements](#) may facilitate this. Other internal audits of the environmental management system elements can use an [Internal Audit Checklist](#), which has been compiled to cover *all* the requirements in clause 4 of AS/NZS ISO 14001:2004, including the requirement for evaluation of compliance. Specific requirements from the EMS manual may be added to this checklist to further facilitate internal audits. Conducting a full internal audit using the generic checklist would be a good way to evaluate readiness for certification of the environmental management system.

The EMS Tool provides an [Internal Audit Report Template](#) to record the findings of an audit that uses the Internal Audit Checklist.

6 Management review *AS/NZS ISO 14001 cl.4.6*

Management review is an opportunity for top management to take a holistic and strategic look at the continuing suitability, adequacy and effectiveness of the environmental management system, and approve actions to improve the system, thereby reducing exposure to environmental risk and improving the environmental performance of the organisation.

AS/NZS ISO 14001:2004 is very prescriptive about the input to management reviews. This is designed to ensure the effectiveness of the Plan-Do-Check-Act cycle (or spiral) in achieving continual improvement.

The standard does not stipulate the frequency of management reviews or their format. They do not have to be in the form of a meeting. However, it is suggested in AS/NZS ISO 14004:2004 that the information for management reviews is compiled and presented by the environmental management representative or team. Management reviews can therefore be conducted without meetings, but the standard requires records to be kept. Most organisations with effective management review conduct them annually, half-yearly or quarterly. Management reviews conducted any

more frequently than quarterly tend to be more operational than holistic and strategic. Quarterly management reviews may be appropriate while an environmental management system is being established and implemented. Management review frequency can usually be reduced to half-yearly and eventually annually as the management system matures.

Management review of an environmental management system can be integrated with management review of an occupational health and safety, quality, and/or financial management system. Annual management reviews can be most effective if conducted as part of an organisation's normal business planning cycle.

The EMS Tool provides a [template for a management review](#) briefing that facilitates conformity with the requirements of the environmental management international standard for input. It also provides for recording decisions on changes to the environmental policy, environmental objectives, targets and programs/plans, risk assessment, environmental aspects and other elements of the environmental management system.

Glossary

Most of the following definitions are adapted from AS/NZS ISO 14001:2004 and other standards. The terms are defined in the context of an environmental management system.

accreditation: endorsement of a conformity assessment body's competence, credibility, independence and integrity in carrying out conformity assessment

audit: systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

audit criteria: set of policies, procedures or requirements

audit evidence: records, statement of facts or other information, which are relevant to the audit criteria and verifiable

auditor: person with the competence to conduct an audit

authority: justification and right to exercise a power

carbon footprint: measure of the impact that human activity has on the environment in terms of the amount of greenhouse gases produced

certification: verification by a conformity assessment body that a management system conforms to the requirements of a standard

competence: demonstrated personal attributes and demonstrated ability to apply knowledge and skills

compliance: AS 3806:2006: adhering to the requirements of laws, industry and organisational standards and codes, principles of good governance and accepted community and ethical standards

AS/NZS ISO 14001:2004: adhering to legal or other requirement

Conformity: fulfilment of a specification or requirement; synonymous with *conformance* which has been deprecated by ISO

conformity assessment: checking that products, materials, services, systems, processes or people measure up to the specifications of a relevant standard or specification; conformity assessment of management systems involves conducting audits

conformity assessment body: an accredited body that performs conformity assessment

continual improvement: recurring process of enhancing the environmental management system to achieve improvements in overall environmental performance consistent with the organisation's environmental policy

control: process for achieving an objective; also referred to as *internal control*

correction: action to eliminate a detected nonconformity

corrective action: action to eliminate the *cause* of a detected nonconformity in order to avoid recurrence of the nonconformity

document: information and its supporting medium

documentation: a set of documents, e.g. procedures and records

effectiveness: extent to which planned activities are realized and planned results achieved

efficiency: relationship between the result achieved and the resources used

element: a generic component of an environmental management system required by a clause of the international standard; could also be referred to as a *process*

environment: surroundings in which an organisation operates, including air, water, land, natural resources, flora, fauna, humans and their interrelation

environmental aspect: an element of an organisation's activities, products or services that can interact with the environment

environmental impact: any change to the environment, whether adverse or beneficial, wholly or partially resulting from an organisation's environmental aspects

environmental management system: part of an organisation's management system used to develop and implement its environmental policy and manage its environmental aspects; often abbreviated to *EMS*

environmental objective: overall environmental goal, consistent with the environmental policy, that an organisation sets itself to achieve

environmental performance: measurable results of an organisation's management of its environmental aspects

environmental policy: overall intentions and direction of an organisation related to its environmental performance as formally expressed by top management

environmental target: detailed performance requirement applicable to the organisation, that arises from the environmental objectives and that needs to be set in order to achieve those objectives

evaluation: systematic determination of merit, worth and significance of something using criteria, e.g. evaluation of effectiveness

greenhouse gases: gases in the atmosphere that absorb and emit radiation in the thermal infrared range; give rise to the greenhouse effect; water vapour is the most abundant greenhouse gas, followed by carbon dioxide, others are methane, nitrous oxide, various man-made fluorine compounds and ozone; increasing concentration of carbon dioxide due to human activity is believed to be the main contributor to global warming

initial environmental review: a review of environmental aspects of an organisation's activities, products and services as a basis for establishing an environmental management system

internal audit: audit conducted by, or on behalf of, an organisation itself for management review and other internal purposes

internal audit program: set of one or more internal audits planned for a specific timeframe and directed towards a specific purpose

ISO: International Organization for Standardisation, but abbreviated to ISO (from the Greek *isos* which means *equal*)

JAS-ANZ: Joint Accreditation System of Australia and New Zealand, accredits conformity assessment bodies

legal requirement: requirement of legislation, a regulation, a licence, a permit, or a contract

management review: holistic and strategic determination by top management of the suitability, adequacy and effectiveness of an environmental management system to fulfil commitments made in the environmental policy and achieve the established environmental objectives

manual: document specifying the requirements of an environmental management system

nonconformity: non-fulfilment of a requirement; synonymous with *nonconformance* which has been deprecated by ISO

operational control: process employed to manage environmental aspects, ensure compliance with legal and other requirements, achieve environmental objectives and targets and consistency with commitments in the environmental policy, or avoid or minimise environmental risks

other requirement: a requirement, not necessarily legally enforced, that an organisation voluntarily subscribes to, e.g. codes of practice, industry or professional associations, support for environmental groups, AS/NZS ISO 14001:2004

prevention of pollution: use of processes, practices, techniques, materials, products, services or energy to avoid, reduce or control (separately or in combination) the creation, emission or discharge of any type of pollutant or waste, in order to reduce adverse environmental impacts; can include source reduction or elimination, process, product or service changes, efficient use of resources, material and energy substitution, reuse, recovery, recycling, reclamation and treatment

preventive action: action to eliminate the cause of a potential nonconformity in order to avoid occurrence of the nonconformity

procedure: specified way to carry out an activity or a process

program: a planned set of tasks to achieve environmental objectives and targets, specifying responsibility, means and timeframe; also spelt *programme*; also referred to as *action plan* or *environmental improvement program*

process: set of interrelated or interacting activities which transforms inputs into outputs

record: document stating results achieved or providing evidence of activities performed

requirement: need or expectation that is stated, generally implied or obligatory

responsibility: accountability for something within one's power, control or management

risk: a measure of the likelihood and consequences of an event that will impact on achievement of objectives; can be adverse or beneficial

risk analysis: systematic process to understand the nature of and to deduce the level of risk; provides the basis for risk evaluation and the treatment of risk

risk assessment: overall process of identifying risks, risk analysis, and risk evaluation

risk evaluation: process of comparing the level of risk against risk criteria, e.g. the process used in determining significant environmental aspects

risk management: the culture, processes and structures that are directed towards realising potential opportunities whilst managing adverse effects

role: a specific part played by someone in an organisation, usually associated with responsibility, e.g. role of management representative

scope: boundaries of an environmental management system in terms of location, activities, products and services

significant environmental aspect: an environmental aspect that has or can have a *significant* environmental impact in the context of an organisation

standard: a set of requirements for a management system, e.g. AS/NZS ISO 14001:2004

References

The following standards and handbooks are referenced in the EMS Tool:

AS 3745:2002, *Emergency control organisation and procedures for buildings, structures and workplaces*, Standards Australia.

AS 3806:2006, *Compliance programs*, Standards Australia.

AS ISO/IEC 17021:2006, *Conformity assessment—Requirement for bodies providing audit and certification of management systems*, Standards Australia.

AS/NZS 4360:2004 , *Risk management*, Standards Australia/Standards New Zealand.

AS/NZS 4801:2001, *Occupational health and safety management systems—Specification with guidance for use*, Standards Australia/Standards New Zealand.

AS/NZS ISO 9001:2008, *Quality management systems—Requirements*, Standards Australia/Standards New Zealand.

AS/NZS ISO 14001:2004, *Environmental management systems—Requirements with guidance for use*, Standards Australia/Standards New Zealand.

AS/NZS ISO 14004:2004, *Environmental management systems—General guidelines on principles, systems and support techniques*, Standards Australia/Standards New Zealand.

AS/NZS ISO 19011:2003, *Guidelines for quality and/or environmental management systems auditing*, Standards Australia/Standards New Zealand.

HB 203:2006, *Environmental risk management—Principles and process*, Standards Australia/Standards New Zealand.

HB 436:2004, *Risk management guidelines, companion to AS/NZS 4360:2004*, Standards Australia/Standards New Zealand.

Manual

How to use this manual

This manual works through each of the requirements of AS/NZS ISO 14001:2004 in the same order as the international standard. Sections of both the guidance notes and the manual are referenced to relevant clauses of the standard. Examples are provided in some cases—these refer to a fictitious Department of XYZ, which is largely an office based organisation. If downloaded as one complete document, the EMS Tool includes hyperlinks at each section within the manual and guidance notes to enable the reader to jump between the corresponding sections. Hyperlinks have also been included where reference is made to a template register.

This system manual provides a template for the agencies to create their own EMS manual. The manual broadly covers:

- *a description of the scope of the organisation's EMS,*
- *a description of the interaction of the processes or elements of the EMS,*
- *a reference to the organisation's environmental policy,*
- *detailed procedures for other elements of the EMS, and*
- *a reference to other documents required by the EMS and the international standard for environmental management systems, AS/NZS ISO 14001:2004.*

In this manual, the text is provided in three forms:

- *Most text is shown in black regular font and is the foundation of the documentation. It is expected that this text will mostly be left intact, although it can be changed to suit special circumstances.*
- *Text in red italicised font indicates template text which should be edited to reflect details particular to the agency and then reformatted to black regular font once the manual is completed and ready to be adopted by the organisation.*
- *Hints, suggestions and instructions are shown in green italicised text. These should be deleted once the EMS documentation has been tailored for use by the agency.*

Where agencies have already implemented elements of an environmental management system, the EMS Tool can be applied and used to enhance rather than replace existing management processes. For example, where an agency already has a training program and register, this can be incorporated into the EMS by referring to the program in the Competence, training and awareness section of the EMS manual, and the suggested formats in the model can be ignored. In general, integration of management systems contributes to their efficiency and effectiveness, and the EMS Tool has been designed with integration in mind.

The documentation provided within the EMS Tool is only the foundation documentation for an environmental management system. In the development of an EMS, an organisation must, at the very least adapt the documentation to suit its particular circumstances, then augment the documentation with further documented operational controls considered necessary, and faithfully implement the processes and controls described by the documentation.

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1 Scope of EMS

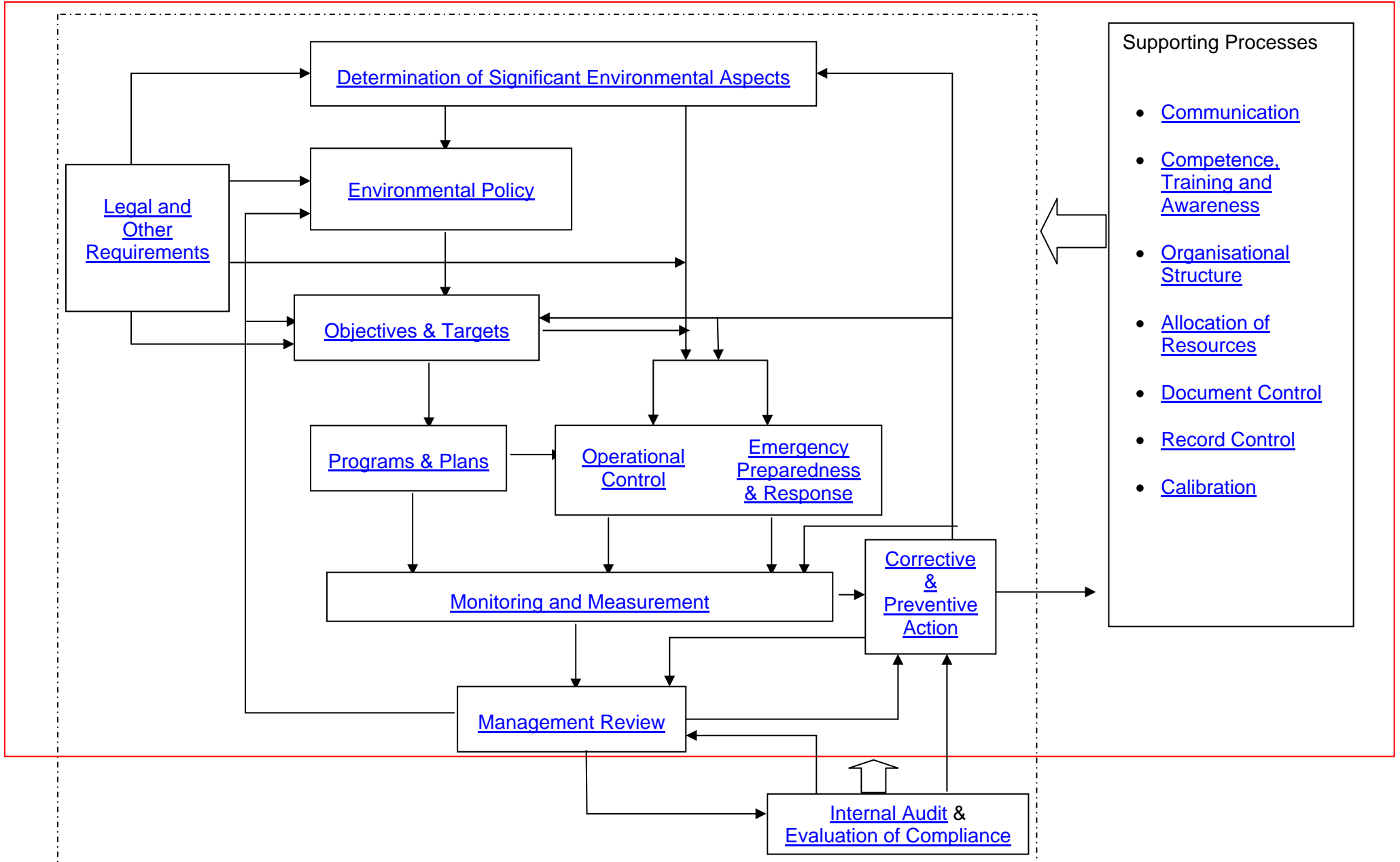
Instruction: Insert the scope of the EMS for which certification is sought here. It may be useful to adapt the following example from the EMS Guide:

The Department of XYZ provides information to the public on the Australian Government's XYZ activities and policies. Its head office is in Parkes, ACT, and there are branch offices in Sydney, Melbourne, Brisbane and Perth. The Department also has staff embedded in other government agencies in Adelaide, Darwin, Hobart and Townsville, as well as in Australian consulates in the UK, USA, Hong Kong and Japan.

The Department's environmental management system applies to all operations and services of the Department at its head office and branch offices. Staff in other offices in Australia and overseas are expected to comply with the spirit of the environmental policy in the context of the organisation in which they work.

The environmental management system is a set of interacting processes or elements. Each process or element of the environmental management system takes one or more inputs and creates one or more outputs to be passed onto one or more other processes or elements. This is depicted in the following diagram, which can be viewed as a roadmap to the agency's environmental management system:

INTERACTIONS BETWEEN THE EMS ELEMENTS



2 Environmental policy

Our [environmental policy](#) is developed as a statement of commitment from top management and reflects the values and ethos of the organisation. The policy is reviewed every year by the management for its appropriateness and legitimacy. It is signed and dated after every review.

The policy is communicated to people working for or on behalf of the organisation through staff and contractor inductions, and is displayed on all floors of the buildings that we operate from. It is also available on the organisation's intranet.

The policy is made available to the public on the organisation's website *instruction: insert URL*.

3 Planning

3.1 Environmental aspects

Organisations title has reviewed all of its activities, products and services that it can control and influence, including planned and new developments and new and modified activities, products and services and has identified all of its environmental aspects. These are listed in a [Register of Environmental Aspects](#).

Each identified environmental aspect is subject to a qualitative risk analysis based on likelihood and consequences of environmental impact or impact on the organisation from environment-related issues, in the context of *existing* measures to control the risk. Both positive and negative impacts can be considered. The risk analysis matrix is as follows:

LIKELIHOOD	CONSEQUENCES				
	Catastrophic 1	Major 2	Moderate 3	Minor 4	Insignificant 5
A (almost certain/daily)	Extreme	Extreme	Extreme	High	High
B (likely/weekly)	Extreme	Extreme	High	High	Medium
C (possible/monthly)	Extreme	Extreme	High	Medium	Low
D (unlikely/annually)	Extreme	High	Medium	Low	Low
E (rare)	High	High	Medium	Low	Low

Likelihood refers to the possibility or frequency of an environmental impact. The organisation undertakes many routine activities that have an environmental impact on a daily or relatively frequent basis. Other activities are done less routinely, and environmental incidents can also occur. The following criteria explain the five categories of likelihood:

Almost certain/daily: An environmental impact or impact on the organisation from an environmental-related issue is expected to occur in most circumstances, or will occur on a daily basis.

Likely/weekly: An environmental impact or impact on the organisation from an environmental-related issue will probably occur in most circumstances, or will occur on a weekly basis.

Possible/monthly: An environmental impact or impact on the organisation from an environmental-related issue could occur, or will occur on a monthly basis.

Unlikely/annually: An environmental impact or impact on the organisation from an environmental-related issue could occur but is not expected, or will occur annually.

Rare: An environmental impact or impact on the organisation from an environmental-related issue would occur only in exceptional circumstances.

The following provides criteria for determining consequence to the environment or the agency from an environment-related issue:

Catastrophic: Widespread, irreparable environmental damage; loss of human life or long term human health effects; national attention; serious litigation; over \$1 million to manage consequences.

Major: Widespread, medium to long term impact; serious human health impacts; state-wide or national attention; major breach of legal requirements; major disruption to operations; agency's reputation badly tarnished; \$100,000 to \$1 million to manage consequences.

Moderate: Localised medium to long term impact; moderate contribution to climate change; moderate human health impacts requiring medical treatment; regional media attention; moderate breach of legal requirements with fine; \$10,000 to \$100,000 to manage consequences.

Minor: Localised short to medium term impact; minor contribution to climate change; minor and reversible human health impacts treatable with first aid; negative publicity from local media; minor breach of legal requirements; \$1000 to \$10,000 to manage consequences.

Insignificant: Limited impact to a local area but no long term effects; concern or complaints from neighbours; no injury to people; minor technical nonconformity but no legal nonconformity; less than \$1000 cost to the agency to manage consequences.

Conducting a risk analysis results in the allocating of a risk level of *extreme, high, moderate* or *low* for each environmental aspect. Environmental aspects with an *extreme* or *high* risk are considered to be *significant*, that is, they have or can have a significant environmental impact.

Environmental aspects associated with a legal requirement, or another requirement to which the organisation subscribes, such as an Australian Government policy, are also considered to be significant, regardless of the outcome of the risk analysis.

Significant environmental aspects of the agency are flagged in the [Register of Environmental Aspects](#). These are given priority for management, and are taken into account in establishing, implementing and maintaining the agency's environmental management system.

The [Register of Environmental Aspects](#) is reviewed each year to ensure that it is kept up to date. It is also reviewed if there is any change to activities, products or services of the agency.

3.2 Legal and other requirements

The organisation is subject to several legal requirements regarding its environmental aspects. *It subscribes to EnviroLaw which keeps us up to date with our environmental legal obligations OR The organisation's legal officer monitors our legal obligations and keeps them up to date.* The organisation is also subject to several other non-legal requirements regarding its environmental aspects.

The [Register of Legal and Other Requirements](#) details the specific requirements applicable to the agency, and shows how the requirements apply to the organisation's environmental aspects. It is maintained by the environmental co-ordinator. The environmental co-ordinator is also responsible for reporting on changing legal and other requirements related to the organisation's environmental aspects in management reviews.

Our legal and other requirements are taken into account in establishing, implementing and maintaining the environmental management system.

3.3 Objectives, targets and program(s)

Consistent with our environmental policy, measurable objectives and targets are set each year for our significant environmental aspects and recorded in a [Register of Environmental Objectives and Targets](#). The register also lists action plans, improvement programs and controls for achieving those objectives and targets, as well as key performance indicators (KPIs) to monitor progress in achieving the objectives and targets. The register is revised each year in the management review in the item on the extent to which objectives and targets have been met.

4 Implementation and operation

4.1 Resources, roles, responsibility and authority

Various positions in the organisation have roles, responsibilities and authorities for managing environmental aspects, action plans, programs and controls. All of these roles, responsibilities and authorities are documented in a [Responsibility Matrix](#).

A special management role of *environmental co-ordinator* has responsibility for overall co-ordination of the environmental management system in accordance with the requirements of AS/NZS ISO 14001:2004 and reporting its performance, including recommendations for improvement, to top management for review. The specific tasks associated with this role include:

- Maintenance of the Register of Environmental Aspects
- Maintenance of the Register of Legal and Other Requirements
- Maintenance of the Register of Environmental Objectives and Targets
- Maintenance of the Responsibility Matrix, including records of incumbents in positions and roles, competence requirements, competence possessed, training needs, training plans and training undertaken
- Assessment of general environmental awareness of staff and contractors
- Control of documents, forms and records required by the EMS
- Co-ordination of environmental monitoring and measurement
- Evaluation of compliance with legal and other requirements relevant to the EMS
- Management of the internal audit program
- Co-ordination of corrective and preventive action
- Maintenance of the emergency preparedness and response procedure and management of testing the procedure

- Co-ordination of management review of the EMS

4.2 Competence, training and awareness

Positions and roles which have responsibility for an activity, product or service that has the potential to cause a significant environmental impact are also included in the [Responsibility Matrix](#), along with competence requirements of each position and role. Competence refers to the knowledge, understanding, skills or abilities required for a person to effectively and efficiently carry out the position or role. Competence can be determined through appropriate education, training, experience and assessment.

For each person in each position and role, competence possessed, training needs, and training or other personal development undertaken to acquire the required competence are also recorded in the [Responsibility Matrix](#). Copies of education and training qualifications are maintained in personnel files in the *Human Resources Branch*.

The [Responsibility Matrix](#) is updated each *month* with changes to positions, roles and staff, and training or other personal development undertaken.

General awareness of the organisation's environmental management system is propagated through an EMS training package provided during induction of staff and contractors, as well as in refresher sessions. General EMS awareness is assessed following the induction and refresher sessions, and records of assessment are maintained in the *Human Resources Branch*.

More specific training on the agency's environmental management system is provided on documented operational procedures and emergency preparedness and response as required. Records of such training are made in the [Responsibility Matrix](#).

4.3 Communication

Information about the organisation's environmental aspects and environmental management system is communicated among the levels and functions of the organisation through:

- *EMS awareness package provided during induction and at refresher sessions*
- *Provision of this manual and supporting documentation on the agency's intranet.*
- *Provision of the results of monthly monitoring of the agency's environmental performance on the agency's intranet and on noticeboards throughout the agency's offices.*
- *Monthly staff meetings.*
- *Environmental theme of the month.*

Communication received from external parties regarding the organisation's environmental management is managed in the same way as formal communication received by the organisation on all issues. However, it is also tracked in the organisation's environmental corrective and preventive action process by the environmental co-ordinator. The environmental co-ordinator is also responsible for reporting on communication from external interested parties, including complaints, in management reviews.

External communication required during response to emergency situations and accidents is documented in its emergency response plan *instruction: insert hyperlink to document*.

The organisation publishes its current list of significant environmental aspects at insert URL or reference the annual report or other document.

OR

The organisation does not publish information on its significant environmental aspects.

OR

The organisation will decide on a case by case basis whether to communicate externally about its significant aspects. Top management and the environmental co-ordinator will be involved in making this decision. Records of all communication will be kept, including the organisation's responses, and the communication will be tracked in the agency's environmental corrective and preventive action process.

4.4 Documentation

A [Register of Documents and Records](#) lists policies, manuals, procedures, plans, external documents, registers, forms, templates and records relevant to the environmental management system.

4.5 Control of documents

All environmental management system documents are filed within the organisation's record management system. Each internal document is identified by a unique name and a *last updated* date and listed in the [Register of Documents and Records](#). Each external document required for the environmental management system is also recorded in this register.

This EMS manual specifies the frequency for which certain documented information is revised. For example, the environmental policy, environmental aspects, legal and other requirements, and objectives and targets must be revised at least annually, while the Responsibility Matrix requires monthly revision.

The agency's environmental management system documents are dynamic pieces of information used to guide what people do—they need to be kept up to date and relevant to the organisation's needs. Changes to the environmental policy, this EMS manual, a documented procedure, an environmental management plan, a form, or any register or matrix referenced in this manual require approval from the environmental co-ordinator. Corrective and preventive action resulting from identification of actual and potential nonconformities often results in recommendations for changes to documents. Suggestions for improvement to documents can also be made directly on corrective and preventive action records.

Instruction: The following is one simple, effective and common way of managing changes to EMS documents:

Once changes are approved, the latest additions to a document are made in *blue font in italics*, while deletions are in blue strike through text. The environmental co-ordinator posts notices of significant changes to documents on the Intranet, and emails relevant managers. Managers are expected to promote relevant and significant changes to documents to their staff.

The immediate earlier version of a revised document is stored as a record in an *Archived Documents and Records* folder on the server, to which only the environmental co-ordinator and the system administrator have access.

4.6 Operational control

The following documented procedures and work instructions have been devised on the basis of risk to control operations associated with significant environmental aspects, including the significant environmental aspects of goods and services used by the agency:

Instruction: Insert list of documented procedures and work instructions required for operational control.

These procedures and work instructions are also listed in the [Register of Documents and Records](#).

4.7 Emergency preparedness and response

The agency identifies potential emergencies and accidents that can have an environmental impact during the identification of environmental aspects. Environmental emergencies and accidents are therefore subject to risk analysis and determination of environmental significance and handled accordingly in the environmental management system. Objectives and targets are set for environmental emergencies and accidents that are regarded as significant environmental aspects and an emergency response plan (*instruction: insert hyperlink to document*) is established to achieve the objectives and targets.

Environmental emergencies and accidents are regarded as environmental nonconformities. Accordingly, in the event of an occurrence, immediate action is taken to mitigate the environmental impact, followed by corrective action to avoid a recurrence.

The emergency response plan is tested in each building each *month/quarter*. Planned tests are recorded in a [Register of Emergency Response Tests](#). The organisation's emergency preparedness and response is reviewed after every test and after the occurrence of each environmental emergency and accident using the [Emergency Test and Incident Review Form](#). The aspect identification and significant impact determination of an environmental emergency or accident, and the organisation's emergency response plan are revised where appropriate after a review.

5 Checking

5.1 Monitoring and measurement

An annual [Schedule of Monitoring and Measurement](#) is used to record data on the organisation's environmental performance on a monthly basis.

Instruction: If the organisation operates any monitoring and measuring equipment that requires calibration or verification, list it here:

The following monitoring and measuring equipment requires calibration or validation:

- *List*
- *List*
- *List*

All records of calibration and verification are kept in the Calibration Records folder.

OR

The organisation does not operate any monitoring or measuring equipment that requires calibration or validation.

The environmental co-ordinator is responsible for analysing the results of monitoring and measurement and reporting on the environmental performance of the organisation, in particular the extent to which environmental objectives and targets have been met, in management reviews.

5.2 Evaluation of compliance

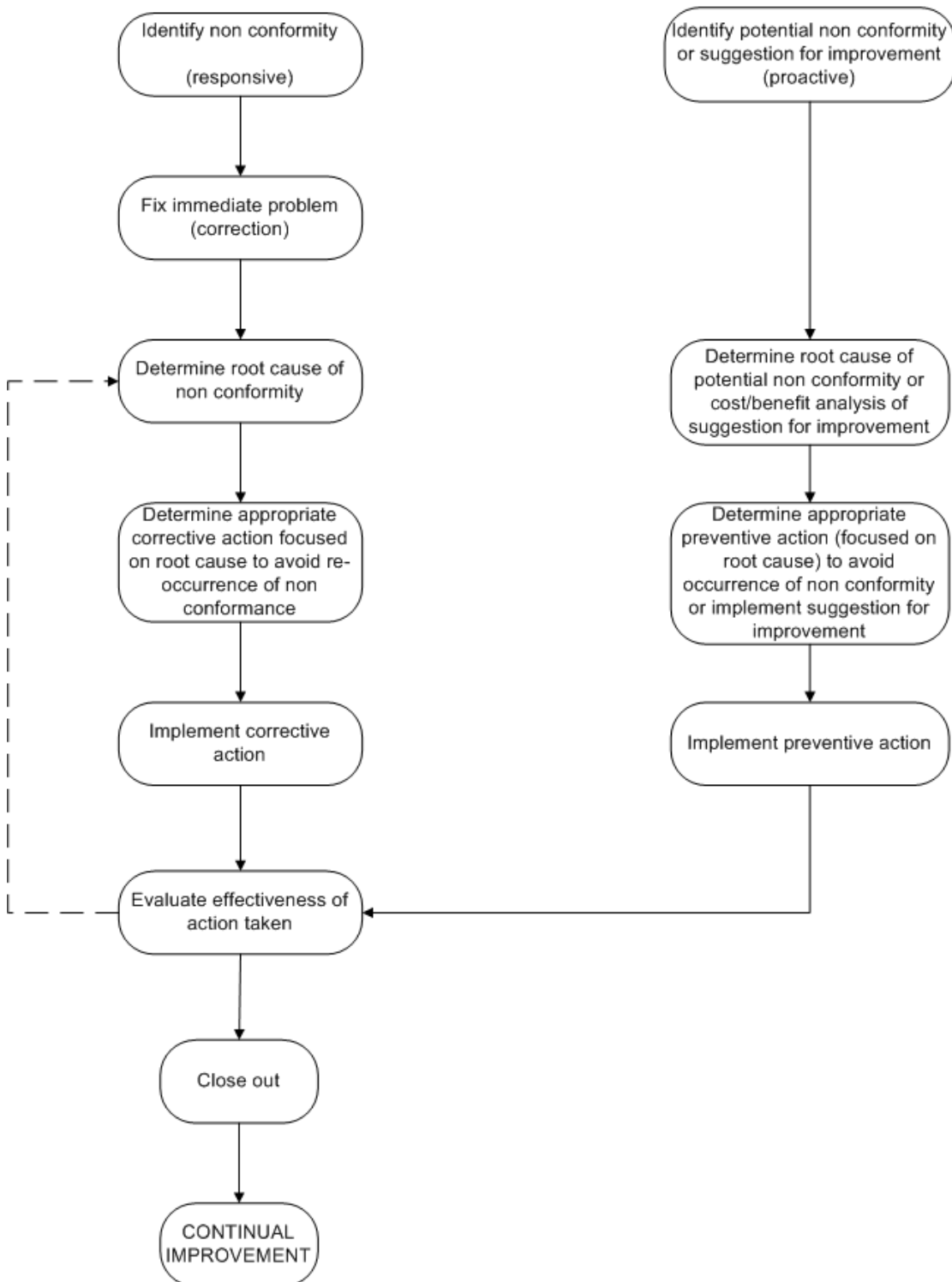
Once a year, a review or compliance audit is conducted to evaluate compliance with legal requirements applicable to the agency and other requirements to which the organisation subscribes. This is undertaken by completing the following two columns in the [Register of Legal and Other Requirements](#):

- Evidence required for compliance
- Evaluation of compliance (yes/no)

The register that is completed in this review or compliance audit becomes a record of the evaluation of compliance. Where non-compliance is detected, this is followed up with corrective action (see below).

5.3 Nonconformity, corrective action and preventive action

Corrective & Preventive Action



The above flowchart illustrates the organisation's process for identifying actual and potential environmental nonconformity, recording suggestions for improvement to environmental management, taking appropriate action to correct nonconformity and mitigate environmental impact, taking corrective action to avoid recurrence of nonconformity and taking preventive action to avoid occurrence of nonconformity or implement a suggestion.

This process has the ultimate goal of driving continual improvement of the environmental management system.

Actual and potential nonconformity is identified and suggestions for improvement are made by the following means:

- Internal audit
- External audit
- Site inspections
- Feedback from external parties
- Complaints from customers or other stakeholders
- Suggestions for improvement from staff and contractors
- Occurrence of environmental emergencies and accidents
- Testing of emergency preparedness and response
- Management review

The environmental co-ordinator is responsible for maintaining a [Register of Environmental Nonconformity and Suggestions for Improvement](#) to Environmental Management. Each record in this register is given a Corrective and Preventive Action Number (CPA No.) and is associated with a [Corrective and Preventive Action Form](#) used to analyse nonconformity and suggestions for improvement and manage action taken. The [Corrective and Preventive Action Form](#) provides for the following:

- The taking of immediate action to correct the nonconformity (i.e. correction) and mitigate environmental impact
- Root cause analysis of actual nonconformity
- The taking of corrective action addressing the root cause to avoid recurrence of nonconformity, or the taking of preventive action to avoid occurrence of nonconformity or implement a suggestion for improvement
- Evaluation of the effectiveness of the action taken
- Close out.

Corrective and preventive action often requires changes to environmental system documentation. In such cases, this process feeds into the process for control of documents.

The environmental co-ordinator is responsible for reporting on the status of corrective and preventive action in management reviews.

5.4 Control of records

Records required by the agency's environmental management system are listed in the [Register of Documents and Records](#). In this register, records are given an identifier and a description, and their location and retention period are recorded.

Instruction: The following Archives Register is optional. The organisation may already have an archives register as part of its records management system, in which case it should be used in place of the register provided by the EMS Tool.

An [Archives Register](#) lists all paper records relevant to the environmental management system held in archival storage, and their disposal date and means.

Instruction: The following folder structure is suggested for storing electronic records required by the EMS. The structure can be a simple set of folders on a server, or part of a structure within a more sophisticated document/records management system.

Of course, records could be also stored entirely in paper form, in which case the following folder structure could be used in a filing cabinet.

Records required by the environmental management system are primarily stored electronically. Records originating in paper form are scanned, after which the electronic version is the controlled version. Records are stored using the following folder structure:

- *Archived Documents and Records*
- *Assessment of General EMS Awareness*
- *Calibration Records*
- *Corrective and Preventive Action Records*
- *Emergency Test and Incident Reviews*
- *Evaluation of Compliance*
- *Internal Audits*
 - *Completed Checklists*
 - *Reports*
 - *Schedules*
- *Management Reviews*
- *Monitoring and Measurement Records*
- *Training*
 - *Packages*
 - *Training Records*

5.5 Internal audit

The organisation has established and implemented an annual internal audit program with the objective of determining whether the environmental management system conforms to planned arrangements, including the requirements of AS/NZS ISO 14001:2004 and this EMS manual, and has been properly implemented and maintained.

The environmental co-ordinator manages the internal audit program and reports the results of internal audits and the effectiveness of the program to top management.

The internal audit program covers all of the organisation's operations units and functions, environmental management system elements, and the full geographical scope of the agency's environmental management system over the year. Some units, functions, elements and sites may be audited more than once annually if justified on the basis of environmental risk. The program also provides for additional audits that may be required to follow up scheduled audits.

Instruction: The following is one way of scheduling internal audits: Internal audits are scheduled each month except December and January, when many staff are on leave, and June, which is the financial year end. Instruction: Insert hyperlink to the current internal audit schedule—an [Internal Audit Schedule](#) is provided as a guide for use by organisations with a single site. Months could be replaced by quarters if simplification is an advantage. Further assistance on audit scheduling may be required for a complex agency with multiple sites.

Audit criteria in the program include the requirements of AS/NZS ISO 14001:2004 for environmental management systems, the requirements of this EMS manual, the requirements of work instructions listed in this manual to control operational activities associated with significant environmental aspects, and legal and other requirements.

One audit each year is devoted to evaluating compliance with legal and other requirements. The [Register of Legal and Other Requirements](#) is used to record the evidence and findings of this audit.

An [Internal Audit Checklist](#) is used to record evidence for audits of the requirements of AS/NZS ISO 14001:2004 and this EMS manual. Findings of such audits are reported using an [Internal Audit Report Template](#).

Instruction: The following paragraph is a suggested approach to training of internal auditors:

Internal auditors of the environmental management system must attend a course on environmental management systems and a course on internal auditing as a minimum requirement before being allowed to conduct an audit on their own. Auditors are encouraged and supported by the agency to achieve certificates of attainment in environmental management systems and auditing/lead auditing.

Further to the above requirements, an organisation may also wish to include the following requirements of internal auditors:

All auditors must participate in an audit team for at least three audits before being allowed to conduct an audit alone.

Auditors are selected for audits with a view to ensuring objectivity and impartiality of the audit process. That is, an auditor cannot audit the section in which he or she normally works.

Nonconformities raised in internal audits are entered into the [Register of Environmental Nonconformity and Suggestions for Improvement](#) to Environmental Management, and subject to appropriate corrective and preventive action.

6 Management review

Top management of the agency reviews the environmental management system for its continuing suitability, adequacy and effectiveness *annually/six-monthly/quarterly*. Each management review makes decisions on changes to environmental policy, the risk assessment procedure and environmental aspects, objectives and targets, environmental programs/plans, and other elements of the environmental management system.

The environmental co-ordinator compiles information for management review using the [Management Review Template](#). The template also provides for recording the decisions of the management review, and the resulting document becomes the record of management review.

Registers

How to use these Registers

These registers and forms are designed as templates which may be filled in with the details specific to the organisation. Each of the registers and forms are samples only and should not be replicated exactly and without completing with the organisations specific details. They may be modified, removed completely or added to in order to compile the documentation deemed necessary for the overall Environmental Management System. Some organisations may be able to replace some the forms or registers with ones already in existence within their organisation. In particular the list of legal and other requirements is provided as an example only and is neither complete nor guaranteed to be accurate in all circumstances. Organisations are encouraged to check with their legal advisor for up to date environmental legislation and regulatory requirements relevant to their operations.

Environmental Policy

SAMPLE ONLY

The following is an example environmental policy devised for the fictitious Australian Department of XYZ.

Australian Department of XYZ Environmental Policy

The Department of XYZ provides information to the public on the Australian Government's activities and policies. Its head office is in Parkes, ACT, and there are branch offices in Sydney, Melbourne, Brisbane and Perth. The Department also has staff embedded in other government agencies in Adelaide, Darwin, Hobart and Townsville, as well as in Australian consulates in the UK, USA, Hong Kong and Japan.

The Department's environmental management system applies to all operations and services of the Department at its head office and branch offices. Staff in other offices in Australia and overseas are expected to comply with the spirit of this policy in the context of the organisation in which they work.

We at the Department of XYZ aim at achieving continual environmental improvement through implementing a management system with objectives and targets

to

minimise our environmental footprint

by

working with staff and other stakeholders

through

pollution prevention practices

in

compliance with legal and other requirements

& be

a role model for others to follow.

Able Goodman
Secretary
Department of XYZ
20 January 2009

Register of Environmental Aspects *SAMPLE ONLY* <the aspects, impacts & ratings listed here are examples only and should be re-evaluated for an organisations specific operations and activities>

No.	Environmental aspect	Associated environmental impact	Likelihood	Consequence	Risk rating	Other criteria	Significant
			A: Almost certain/daily B: Likely/weekly C: Possible/monthly D: Unlikely/annually E: Rare	1: Catastrophic 2: Major 3: Moderate 4: Minor 5: Insignificant	Extreme High Medium Low	Legal requirement Other requirement	Yes No
1	Use of electricity for office lighting	Generation of greenhouse gases	A	4	High		Yes
2	Use of electricity for office air-conditioning	Generation of greenhouse gases	A	4	High		Yes
3	Use of electricity for computers & other office equipment	Generation of greenhouse gases	A	4	High		Yes
4	Generation of waste paper & cardboard in office	Use of forest resources	A	5	High		Yes
5	Generation of general office waste	Use of landfill	A	4	High		Yes
6	Consumption of paper	Use of forest resources & generation of greenhouse gas	A	4	High		Yes
7	Office fit-out	Use of resources for furniture & fitting manufacture & landfill for discarded furniture	D	3	Medium		No
8	Storage & use of chemicals for cleaning	Pollution of waterways	C	5	Low		No
9	Purchase/lease of vehicles for staff & fleet	Use of natural resources for vehicle manufacture	D	3	Medium		Yes

No.	Environmental aspect	Associated environmental impact	Likelihood	Consequence	Risk rating	Other criteria	Significant
10	<i>Use of fuel for staff & fleet vehicles</i>	<i>Generation of greenhouse gases & use of fossil fuel</i>	<i>A</i>	<i>3</i>	<i>Extreme</i>		<i>Yes</i>
11	<i>Use of fuel for air travel</i>	<i>Generation of greenhouse gases & use of fossil fuel</i>	<i>B</i>	<i>4</i>	<i>High</i>		<i>Yes</i>
12	<i>Use of fuel for travel by taxi</i>	<i>Generation of greenhouse gases & use of fossil fuel</i>	<i>B</i>	<i>4</i>	<i>High</i>		<i>Yes</i>
13	<i>Energy use in cafeteria</i>	<i>Generation of greenhouse gases</i>	<i>A</i>	<i>4</i>	<i>High</i>		<i>Yes</i>
14	<i>Generation of waste from staff kitchens & cafeteria</i>	<i>Use of landfill</i>	<i>A</i>	<i>4</i>	<i>High</i>		<i>Yes</i>
15	<i>Use of water in staff kitchens, cafeteria & toilets</i>	<i>Use of limited water resources</i>	<i>A</i>	<i>4</i>	<i>High</i>		<i>Yes</i>
16	<i>Spill from storage & use of diesel fuel for emergency generator</i>	<i>Pollution of waterways</i>	<i>E</i>	<i>3</i>	<i>Medium</i>		<i>No</i>

Register of Legal and Other Requirements *SAMPLE ONLY* the environmental aspects, legal & other requirements and sources listed below are examples only and not comprehensive. Organisations should undertake their own assessment of legal and other requirements relevant to their identified environmental aspects.

Aspect No.	Environmental aspect description	Legal or other requirement	Source	Evidence required for compliance	Evaluation of compliance (yes/no)
1	Use of electricity for office lighting	Targets for energy use, and annual reporting of energy performance to DEWHA	Energy Efficiency in Government Operations (EEGO) Policy	Monitoring of energy use, and current annual report to DEWHA of energy performance	No
2	Use of electricity for office air-conditioning				
3	Use of electricity for computers & other office equipment				
13	Energy use in cafeteria				
4	Generation of waste paper & cardboard in office	Monitoring of waste management, waste audits, waste management plan, provision of infrastructure to facilitate recycling	National Government Waste Reduction & Purchasing Guidelines; ACT No Waste By 2010 Management Strategy	Current annual report on progress of waste management plan	No
5	Generation of general office waste				
14	Generation of waste from staff kitchens & cafeteria				
15	Use of water in staff kitchens, cafeteria & toilets	Targets for water use	Permanent Water Conservation Measures under Utilities (Water Conservation) Regulation 2006 (ACT)	Complete records of monitoring water use;	No
16	Spill from storage & use of diesel fuel for emergency generator	Secure storage of fuel, including bunding; provision of spill kit & training	AS 1940—Storage and handling of Flammable & Combustible Liquids	Inspection report on compliance with the Australian Standard	No
		Include report on environmental matters in annual report	Section 516A of Environment Protection & Biodiversity Conservation Act 1999 (Cwlth)	Comprehensive report on environmental management in latest annual report	No
		Certification of environmental management system to requirements of AS/NZS ISO 14001:2004	AS/NZS ISO 14001:2004—Environmental management systems—Requirements with guidance for use	Current certificate from accredited conformity assessment body	No

Legal and Other Requirements

SAMPLE ONLY

The following is a list of *some* Commonwealth and State legislation, policies and guidelines that may apply to government agencies. It is provided as a starting point for the identification of legal requirements that apply to an agency's environmental aspects, and other requirements that an agency may subscribe to within the scope of the agency's environmental management system.

Note that the list is only accurate at the time of publishing. Further research may be required to ensure that all legislation, policies and guidelines that apply to the agency are identified. The agency will also have to ensure that its legal and other requirements are kept up-to-date.

Most Acts have subordinate legislation (Regulations) associated with them, but only the Acts are mentioned here in most cases.

Commonwealth legislation

Australian Capital Territory (Planning and Land Management) Act 1988

This Act provides for a system of land use which encourages minimum environmental impact in the Australian Capital Territory.

Environment Protection and Biodiversity Conservation Act 1999

The EPBC Act is the central environmental legislation for the Commonwealth Government. It provides a legal framework to protect and manage nationally and internationally important flora, fauna, ecological communities and heritage places defined in the Act as matters of national environmental significance.

The Act requires the principles of ecologically sustainable development to be taken into account for a new development proposal if that proposal is likely to result in a significant impact on the environment.

Section 516A requires Commonwealth Government agencies to include a report on environmental matters in their annual reports. These reports must:

- Say how the agency's activities have accorded with the principles of Ecologically Sustainable Development;
- Identify how agency outcomes contributed to Ecologically Sustainable Development;
- Document the agency's impacts on the environment and measures taken to minimise those impacts;
- Identify the review mechanisms in place to review and increase the effectiveness of the measures the agency takes to minimise its environmental impact.

The Act clarifies that for s. 516A, *activities* include the development and implementation of policies, plans, programs and legislation.

The Department of the Environment, Water, Heritage and the Arts has developed reporting guidelines to assist Commonwealth agencies in implementing section 516A.

Environment Protection (Impact of Proposals) Act 1974

Significant environmental matters must be fully examined and taken into consideration in relation to actions, proposals and decisions taken on or behalf of the Commonwealth Government and its agencies.

Environment Protection (Sea Dumping) Act 1981

This Act regulates the loading and dumping of waste at sea to protect waters surrounding Australia's coastline. The Act fulfils Australia's international obligations under the London Protocol to prevent marine pollution by dumping of wastes and other matter. Permits are required from the Department of the Environment, Water, Heritage and the Arts for all ocean disposal activities.

National Environment Protection Council Act 1994

Establishes the National Environment Protection Council (NEPC). This is a national ministerial body which makes national environment protection measures to ensure that Australians have equivalent protection from air, water, soil and noise pollution. This Act is mirrored in all States and Territories.

National Environment Protection Measures (Implementation) Act 1998

This Act provides for the implementation of National Environment Protection Measures (NEPMs) for certain activities carried on by or on behalf of the Commonwealth and Commonwealth authorities, and for related purposes.

State and Territory laws implementing national environment protection measures do not apply to the activities of the Commonwealth or Commonwealth authorities. However, under this Act, the Environment Minister may (subject to considerations of national interest or administrative efficiency) apply those State or Territory laws to the activities of the Commonwealth or Commonwealth authorities in other places. If NEPMs are not implemented in relation to the activities of the Commonwealth or Commonwealth authorities they can be implemented by regulations; or if there are no regulations, through environmental audits and environment management plans.

National Greenhouse and Energy Reporting Act 2007

The *National Greenhouse and Energy Reporting Act 2007* (the Act) was passed on 29 September 2007 establishing a mandatory reporting system for corporate greenhouse gas emissions and energy production and consumption. The first reporting period under the Act commenced on 1 July 2008.

Key features of the Act are:

- Reporting of greenhouse gas emissions, energy consumption and production by large corporations.
- Public disclosure of corporate level greenhouse gas emissions and energy information.
- Consistent and comparable data available for decision making, in particular, the development of the Carbon Pollution Reduction Scheme

Motor Vehicles Standards Act 1989

Imposes emission standards for exhaust fumes on road vehicles and their component parts.

Ozone Protection Act 1989

Controls the use of goods that are known to cause destruction of the ozone layer. The contents of this Act are mirrored in similar Acts in all States and Territories.

Agricultural and Veterinary Chemicals Act 1994

Provides for the evaluation, registration and control of agricultural and veterinary chemical products in the ACT and is mirrored by similar legislation in all the other Australian States and Territories.

Industrial Chemicals (Notification and Assessment) Act 1989

Deals with the importation, storage, use, transportation and handling of these substances.

Road Transport Reform (Dangerous Goods) Act 1995

Regulates all aspects of the transportation of dangerous goods in the ACT and in Jervis Bay Territory.

Australian Heritage Commission Act 1975

Provides for the identification and preservation at a Commonwealth level of aspects of the natural environment of national interest.

Natural Heritage Trust of Australia Act 1997

This Act establishes the Natural Heritage Trust of Australia Reserve. The main source of money for the Reserve is \$1.35 billion from the partial sale of Telstra. This Act also establishes the Natural Heritage Trust Advisory Committee.

The main objective of the establishment of the Reserve is to conserve, repair and replenish Australia's natural capital infrastructure. Money in the Reserve will be spent on the environment, sustainable agriculture and natural resources management.

This Act has been developed to redress the current decline, and to prevent further decline, in the quality of Australia's natural environment.

Water Efficiency Labelling and Standards Regulations 2005

There is a growing need to reduce water consumption across Australia as populations increase and climate change results in more frequent extreme dry weather conditions. Water shortages and longer-term security of water supply are an increasing concern for many of our major cities. To help to reduce urban water consumption on a national scale, the Australian Government, in collaboration with State and Territory governments, has introduced a Water Efficiency Labeling and Standards (WELS) Scheme, which applies national mandatory water efficiency labeling and minimum performance standards to household water-using products.

National policies

Intergovernmental Agreement on the Environment (IGAE) 1992

The IGAE was developed between the Commonwealth, States and Territories, and attempts to define environmental policy and management responsibilities of each level of government. In some areas, particularly pollution control and waste management, the IGAE sets up procedures which aim to produce common environmental standards and guidelines throughout Australia.

National Packaging Covenant

The National Packaging Covenant is a voluntary initiative by government and Industry, to reduce the environmental effects of packaging on the environment. It is designed to minimise the environmental impacts arising from the disposal of used packaging, conserve resources through better design and production processes and facilitate the re-use and recycling of used packaging materials.

National Strategy for Ecologically Sustainable Development

The National Strategy for Ecologically Sustainable Development (NSES) provides broad strategic directions and framework for governments to direct policy and decision-making. The Strategy facilitates a coordinated and co-operative approach to ecologically sustainable development (ESD) and encourages long-term benefits for Australia over short-term gains.

The NSES addresses many key areas for action identified in Agenda 21. These include issues across a number of sectors such as manufacturing, agriculture and mining; and also cover broader inter-sectoral issues such as gender, native vegetation, pricing and taxation, coastal zone management, education and training. To ensure the goals and values of all Australians were included, the Strategy was developed in consultation with the community, industries, interested groups, scientific organisations, governments and individuals. Although it primarily guides the decisions of governments, the strategy is also useful for community, industry and business groups.

The NSESD was adopted by all levels of Australian government in 1992. Since 1992, the pursuit of ecologically sustainable development has been increasingly incorporated into the policies and programs of Australian governments as a significant policy objective (for example, the Australian Government's *Environment Protection and Biodiversity Conservation Act 1999*).

National Strategy for the Conservation of Australia's Biological Diversity

The goal for the National Strategy for the Conservation of Australia's Biological Diversity is to protect biological diversity and maintain ecological processes and systems. The strategy seeks to provide a systematic approach to this complex problem, drawing upon and improving existing strategies, such as the National Strategy for Ecologically Sustainable Development, with regard to their protection of Australia's biodiversity.

Commonwealth Procurement Guidelines (December 2008)

The *Commonwealth Procurement Guidelines* (CPGs) establish the core procurement policy framework and articulate the Government's expectations of all departments and agencies (agencies) subject to the *Financial Management and Accountability Act 1997* (FMA Act) and their officials¹, when performing duties in relation to procurement. The CPGs establish the procurement policy framework within which agencies determine their own specific procurement practices

Chief Executive's Instructions and Operational Guidelines for Procurement is a part of the Good Procurement Practice (GPP) series published by the Department of Finance and Administration. The purpose of the GPP booklets is to explain procurement policy in practical terms and to provide examples of good practice. The booklets support the CPGs and the relevant Financial Management Guidance publications. The series is not intended to be binding on agencies but rather to assist agencies.

ACT legislation

Building Act 1972

Imposes restrictions on the construction of buildings to ensure they are safe and do not emit harmful substances.

Building and Services Act 1924

Provides for garbage regulation and the removal of wastes, and imposes the same restrictions on the construction of buildings as the Building Act 1972.

Building (Design and Siting) Act 1964

Provides for land use and building controls that must be taken into account in any residential or commercial development in the ACT.

Dangerous Goods Act 1975 (NSW) applies in the ACT

Provides for the licensing of, premises for the storage of dangerous goods; vehicles and vessels for the carriage of dangerous good; their manufacture and sale.

Dangerous Goods Act 1984

Provides for a licensing system for dangerous goods and prescribes the packaging and labelling required and marking of vehicles used for transportation of such goods.

Electricity and Water Act 1988

This Act establishes the Electricity and Water Authority (ACTEW) which controls the collection and treatment of sewage, and empowers the Authority to participate in the setting and enforcement of standards relating to the protection of water catchments. The Canberra Sewerage and Water Regulations made under this Act stipulate the manner in which sewage is to be removed from premises.

ACTEW reviews applications, provides approvals and undertakes monitoring for water to be discharged into the sewerage system.

Environment Protection Act 1997

Regulates all aspects of environmental impacts in the ACT from air, water and soil pollution to land use and development strategies. Provides legislative authority for the ACT Government's Environmental Protection Policies and National Environment Protection Measures.

Activities requiring environmental authorisation and/or the requirement of being a party to an environmental protection agreement are under Schedule 1. Included are activities relating to ozone, commercial incineration and sewerage treatment. Specific offences in relation to fuel burning and petrol are located in Schedule 2. Supply, use or disposal of ozone depleting substances requires an environmental authorisation or licence; otherwise it is an offence to release ozone depleting substances into the atmosphere. This extends to disposal of air-conditioning units, fire extinguishers, and refrigeration equipment.

Fuels Control Act 1979

Regulates the transport, storage and sale of petroleum and other fuels in the territory.

Heritage Objects Act 1991

Provides a comprehensive register of cultural heritage property and objects, and for the conservation of items and places of Aboriginal heritage. Development, construction or alterations works may only proceed after due regard is had to their impact on matters of cultural heritage and may only proceed if approved by the Minister.

Lakes Act 1976

Deals with preservation of the waters of the lakes in the ACT.

Land (Planning and Environment) Act 1991

An environmental impact statement may be required to include an evaluation of the impact of noise emissions in considering planning proposals. Implements an extensive regime of environmental impact statements and public environmental reports that must be submitted for developments as specified under the Act.

The scope of this Act covers management plans, state of the environment reporting, and heritage, including natural and manufactured objects and places of heritage significance. The Act provides for a heritage places register, which is incorporated into the Territory Plan. There is a prohibition on damaging or disturbing an unregistered Aboriginal place.

Litter Act 1977

Makes it an offence to deposit litter on or in a public place.

Motor Traffic Act 1986

Prohibits driving of a vehicle emitting undue amount of smoke and mandates the use of unleaded petrol in motor vehicles registered after 1986.

National Land Ordinance 1989

Provides for restrictions and conditions on the use of, and construction of buildings on, National Land in the Territory.

Nature Conservation Act 1980

Provides for the protection and conservation of native animals and plants and for reservation of areas for that purpose. The minister can declare vulnerable or endangered species, endangered ecological communities, and threatening processes.

Poisons Act 1933

Regulates the sale, storage and use of specified poisonous substances.

Protection of Lands Act 1937

Provides for the protection of land from potentially harmful activity, including certain development activity.

Public Health Act 1928

1990 amendments provide for the protection of public health by prohibiting smoking in specified public places.

Smoke Free Areas (Enclosed Public Places) Act 1994

Prohibits or restricts smoking in certain public places. Smoking is prohibited in enclosed public places, including workplaces.

Waste Minimisation Act 2001

The main objects of this Act are to establish a waste management hierarchy, ensure that government, industry and community representatives are involved in the development of Territory-wide waste policy; minimise the consumption of natural resources and the final disposal of waste by encouraging the avoidance of waste and the reuse and recycling of waste; ensure that industry shares with the community the responsibility for minimising and managing waste; promote and ensure the efficient resourcing of waste service planning and delivery; achieve integrated waste planning and services; and promote and ensure environmentally responsible transporting, reprocessing and handling of waste.

No Waste to Landfill by 2010 Strategy

ACT NOWaste is a business unit of the ACT Department of Urban Services. The Waste Management Strategy for Canberra has been developed to set the vision and future directions for waste management in the Australian Capital Territory. The strategy is the result of extensive community consultation which has identified a strong desire to achieve a waste free society by 2010.

Improving current waste management practices will provide opportunities to develop new and innovative businesses with significant employment potential as well as establishing Canberra as a centre of excellence in sustainable resource management.

The Strategy aims to reach no waste to landfill by 2010 with the willingness, co-operation and participation of all sectors of the Canberra community. The strategy establishes a framework for sustainable resource management and lists broad actions which are needed to achieve the aim of a waste-free society.

New South Wales legislation

Coastal Protection Act 1979

Dangerous Goods Act 1975

Environmentally Hazardous Chemicals Act 1985 and Regulation 2008

Environmental Planning and Assessment Act 1979

Environmental Trust Act 1998

Forestry Act 1916

Heritage Act 1977

Marine Parks Act 1997

Mining Act 1992

National Parks and Wildlife Act 1974

Native Vegetation Act 2003

Ozone Protection Act 1989

Plantations and Reafforestation Act 1999

Pesticides Act 1999
Protection of the Environment Administration Act 1991
Protection of the Environment Operations Act 1997
Protection of the Environment Operations (General) Regulation 1998
Protection of the Environment Operations (Waste) Regulation 2005
Protection of the Environment Operations (Clean Air) Regulation 2002
Radiation Control Act 1990
Road and Rail Transport (Dangerous Goods) Act 1997
Soil Conservation Act 1938
Threatened Species Act 1995
Traffic Act 1909
Unhealthy Building Act 1990
Waste Avoidance and Resource Recovery Act 2001
Wilderness Act 1987

Victorian legislation

Catchment and Land Protection Act 1994
Conservation, Forests and Lands Act
Dangerous Goods (Storage and Handling) Regulations 2000
Environment Protection Act 1970
Environmental Protection (Resource Efficiency) Act 2002
Environmental Protection (Prescribed Wastes) Regulations 1998
Flora and Fauna Guarantee Act 1988
Land Act 1958
National Parks Act 1975
Planning and Environment Act 1987
Pollution of Waters by Oils and Noxious Substances Act 1986
Road Safety Act 1986
Road Transport (Dangerous Goods) Act 1995
Water Act 1989

Queensland legislation

Coastal Protection and Management Act 1995
Dangerous Goods Safety Management Act 2001 and Regulation 2001
Environmental Protection Act 1994
Environmental Protection (Water) Policy 1997
Environmental Protection (Waste Management) Regulation 2000
Environmental Protection (Air) Policy 1997
Integrated Planning Act 1997
Land Act 1994
Marine Parks Act 2004 and Regulation 2006
Nature Conservation Act 1992
Radiation Safety Act 1999
Queensland Heritage Act 1992 and Regulation 2003
Transport Operations (Marine Pollution) Act 1995
Transport Operations (Road Use Management) Act 1995
Vegetation Management Act 1999
Water Act 2000

Western Australian legislation

Clean Air Regulations 1967
Conservation and Land Management Act 1984
Contaminated Sites Act 2003
Dangerous Goods Safety Act 2004
Dangerous Goods (Transport Act) 1998
Environmental Protection Act 1986

Environmental Protection Regulations 1987
Environmental Protection (Controlled Waste) Regulations 2004
Environmental Protection (Liquid Waste) Regulations 1996
Environmental Protection (Noise) Regulations 1997
Health (Treatment of Sewage and Disposal of Effluent and Liquid Waste) Regulations 1974
Land Administration Act 1997
Metropolitan Water Supply, Sewerage and Drainage By-Laws 1981
Road Traffic Act 1974
Soil and Land Conservation Act 1945
Waterways Conservation Act 1981

South Australian legislation

Dangerous Substances Act 1979
Development Act 1993
Environment Protection Act 1993
Natural Resources Management Act 2004
Public and Environmental Health Act 1987
Road Traffic Act 1961
Water Resources Act 1997

Tasmanian legislation

Dangerous Goods Act 1998
Environmental Management and Pollution Control Act 1994
Public Health Act 1997
Transport Act 1981
Water Management Act 1999

Northern Territory legislation

Environmental Assessment Act 1994
Environmental Offences and Penalties Act 1996
Waste Management and Pollution Control Act 1999
Water Act 1992

Register of Environmental Objectives and Targets *SAMPLE ONLY* the aspects, objective and targets and KPIs listed below are examples only and should be replaced with ones developed to meet the organisations specific requirements.

Aspect no.	Aspect description	Objective	Target & date	Action plan, improvement program or control	Key Performance Indicator (KPI)
1	Use of electricity for office lighting	Reduce annual electricity consumption for lighting	10% reduction by 30/6/2009	Department of XYZ Energy Savings Plan	kWh
2	Use of electricity for air-conditioning	Reduce annual electricity consumption for air-conditioning	10% reduction by 30/6/2009	Department of XYZ Energy Savings Plan	kWh
3	Use of electricity for computer & other office equipment	Reduce annual electricity consumption for air-conditioning	10% reduction by 30/6/2009	Department of XYZ Energy Savings Plan	kWh
6	Consumption of paper	Reduce annual paper & printing purchases by 5%	5% reduction by 30/6/2009	Department of XYZ Paper Saving Plan	kg
9	Purchase/lease of vehicles for staff & fleet	Reduce no. of large (i.e. 6- & 8-cylinder) cars	25% reduction by 30/6/2008	Department of XYZ Plan for Reducing Environmental Impact of Travel	% of large cars in fleet
10	Use of fuel for staff & fleet vehicles	Increase % of LPG vehicles	50% of LPG vehicles by 1/7/09	Department of XYZ Plan for Reducing Environmental Impact of Travel	% of LPG vehicles
		Decrease petrol consumption	20% reduction 30/6/2009	Department of XYZ Plan for Reducing Environmental Impact of Travel	litres
11	Use of fuel for air travel	Reduce average km air travel per section manager	10% reduction by 30/6/2009	Department of XYZ Plan for Reducing Environmental Impact of Travel	km/section manager
12	Use of fuel for travel by taxi	Reduce average taxi travel per section manager	5% reduction by 30/6/2009	Department of XYZ Plan for Reducing Environmental Impact of Travel	km/section manager
13	Energy use in cafeteria	Replace electric oven with gas oven	31/12/2008	Purchase & installation of new gas oven for cafeteria	target achieved
14	Generation of waste from staff kitchens & cafeteria	Segregation of waste for recycling	Waste segregation implemented by 30/6/2009	Department of XYZ Waste Management Plan	kg of waste recycled & disposed to landfill
15	Use of water in staff kitchens, cafeteria & toilets	Reduce water consumption	5% reduction by 30/6/2009	Department of XYZ Water Savings Plan	kilolitres
16	Spill from storage & use of diesel for emergency generator	No spill into drain	30/6/2009	Bunding; spill kit; Safe Work Method Statement for storage & handling of diesel; MSDS for diesel	no. of incidents; amount of spill into drain

Responsibility Matrix, Training Needs Analysis and Training Plan **SAMPLE ONLY**

Identify responsibilities of individuals for managing environmental aspects and the environmental management system, and of individuals performing tasks that have a potential to cause a significant environmental impact, determine their competency, identify training needs, and plan for training.

Role / Position Title/Position no.	Name	Responsibilities	Qualifications/ competency	Training needs	Planned dates	Training details	Remarks
Director	Joe Taylor	<ul style="list-style-type: none"> Participate in Management review Setting Policy reviewing Objective & Targets Resource allocation 	Senior Business Administrator	EMS awareness (in house)	19.01.09	EMS	
Environmental Manager (Management representative)	Jane Dawes	<ul style="list-style-type: none"> Participate in Management review Implementing environmental policy Implementing programs for achieving set objectives & targets Monitoring and measurement of environmental performance Over all responsibility for system implementation 	Certificate of Attainment in Environmental Management Systems (ISO 14001)	Refresher EMS training (External)	March - April	TBD	
Internal Auditor	John Smith	<ul style="list-style-type: none"> Developing internal audit program in liaison with Facility manager Conducting internal audits as per schedule Training other internal auditors 	Certified (RABQSA) lead auditor	EMS Awareness (in house) Auditing Course	19.01.09 March - April	EMS-5	
Waste Management Coordinator	Mary Anne	<ul style="list-style-type: none"> Developing waste management strategy and implementation procedures Monitoring and measurement 	Factory Manager	Waste minimisation / management principles	March - April	TBD	
EMS committee members	A. Sullivan J. Wright M. Brown	<ul style="list-style-type: none"> Awareness on Policy & EMS Implementing program for achieving set Objective & Targets Helping in Monitoring and 	EMS administration	EMS Awareness (in house)	19.01.09	EMS	

	<i>K. Wriggly</i>	<i>measurement</i> <ul style="list-style-type: none"> <i>Training respective staff in implementing the waste management strategy</i> 					
<i>Facility Manager</i>	<i>L. Crosby</i>	<ul style="list-style-type: none"> <i>Facilities management; training of new staff; environmental performance of the factory</i> 	<i>Factory Management</i>	<i>EMS Awareness (in house)</i>	<i>19.01.09</i>	<i>EMS-5</i>	
<i>Procurement Manager</i>	<i>G. Mason</i>	<ul style="list-style-type: none"> <i>Purchasing raw materials that comply with internal environmental requirements</i> 	<i>Procurement Management</i>	<i>EMS Awareness (in house)</i>	<i>19.01.09</i>	<i>EMS-5</i>	
<i>Operations Director</i>	<i>R. Harley</i>	<ul style="list-style-type: none"> <i>Participate in management review, setting policy, reviewing objectives & targets, approving allocation of resources for operation</i> 	<i>Project & operations management</i>	<i>EMS Awareness (in house)</i>	<i>19.01.09</i>	<i>EMS-5</i>	
<i>Staff</i>		<ul style="list-style-type: none"> <i>Awareness on Policy & EMS</i> 	<i>N/A</i>	<i>EMS Awareness (in house)</i>	<i>19.01.09</i>	<i>EMS-5</i>	

Assessment of EMS Awareness Form

SAMPLE ONLY

<Modify, add or delete questions in this questionnaire once you have developed your organisations specific EMS training >

Name:Date:.....

1. Select True or False for each statement:

a. The agency's environmental management system is separate from all other management

ue

Tr

F

also
systems.

b. The agency is pursuing or has achieved certification of its environmental management

ue

Tr

F

also
system to the requirements of the international standard ISO 14001.

c. Conformity to the environmental management

ue

Tr

F

also
system and operational procedures referenced in it is optional for staff.

d. Conformity to the environmental management

ue

Tr

F

also
system and operational procedures referenced in it is optional for contractors.

2. Put the following stages in the environmental management system in the logical order that will lead to continual improvement:

Checking
Implementation and operation
Policy
Management review
Planning

3. What are the main benefits to the agency of having an environmental management system?

- a.
- b.
- c.

4. The organisation's environmental policy documents the commitment on:

- 1. Legal compliance
- 2. Pollution prevention
- 3. Continual improvement

5. Link the appropriate activities to environmental impacts:

- | | |
|--------------------|---------------------------------------|
| Waste disposal | Air pollution |
| Use of electricity | Air pollution |
| Use of fuel | Forest and natural resource depletion |
| Chemical spill | Natural resource depletion |
| Toxic gas leak | Greenhouse gas emission |
| Fire | Land contamination |
| Use of paper | Water or land pollution |
| Air travel | Greenhouse gas emission |

6. What are the agency's most significant environmental aspects?

- a.
- b.
- c.

7. List any significant environmental aspects that affect your work:

- a.
- b.
- c.

8. List three objectives and targets that the agency has set for its significant environmental aspects:

Objective	Target
.....

.....
.....

.....
.....

9. The environmental management system implementation is the responsibility of:
- a. EMS coordinator
 - b. CEO
 - c. Internal auditor
 - d. Waste management coordinator
 - e. EMS committee
 - f. All staff and contractors

10. Where would you find documentation for the environmental management system?
.....
.....

11. Where do you throw your waste?

- a. Segregate waste into appropriate bins.
- b. Put all waste in one bin—it is the waste contractor's job.
- c. Throw it anywhere you like as the cleaner will clean it up.

12. In case of emergency:

- a. Run for your life.
- b. Follow the emergency procedure.
- c. Wait for instruction from the safety warden.
- d. It is probably a false alarm, wait till others react.

13. How can you make a suggestion for improvement of the environmental management system?

- a. Fill in a suggestion form.
- b. Fill in a Corrective and Preventive Action Form
- c. There is no point suggesting an improvement as no one will do anything anyway.
- d. Just do it instead of suggesting.
- e. Inform the EMS coordinator to facilitate any action.

Standard Operating Procedure

SAMPLE ONLY

WASTE SEGREGATION

Objective

This procedure is to ensure that waste streams in offices are managed in a way that facilitates recycling.

Responsibilities and authorities

The EMS Co-ordinator is responsible for ensuring the following:

- all staff and contractors, including cleaners, are aware of this procedure
- appropriate recycling infrastructure is placed around the office and in the loading dock
- contractors collect the waste at appropriate times
- co-ordination of monitoring of waste management.

Procedure

1. In the office, each waste stream is collected in a separate bin with clear signs and colour coding, or in a worm farm, as appropriate.
2. Adequate bins shall be positioned around the office. Bins are located at:
 - [insert location of bins] or floor plan with bin location identified.
 - [insert location of bins] or floor plan with bin location identified
 - [insert location of bins] or floor plan with bin location identified
 - ...
3. A worm farm is located in the kitchenette on each floor, and the cafe operates its own worm farm.
4. Limited general waste bins shall be placed in the office, not at each employee's desk.
5. Each employee shall have a tray, box or bin for clean paper waste at their desk.
6. Cleaners shall empty all bins in the office daily, and place segregated waste into specially marked bins in the loading dock for contractor collection.
7. Contractors shall remove waste and deal with it according to contract requirements. Significant contamination of waste for recycling shall be reported to the EMS Co-ordinator. Similarly, an occurrence of significant recyclable waste in the general waste bin shall also be reported.

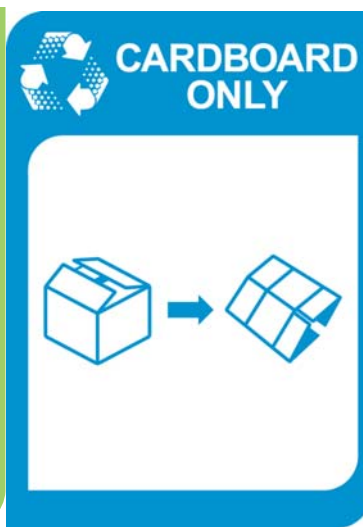
Training and competency requirements

This procedure shall be included in inductions for new staff, and new contractors who are expected to work in the agency's office for more than two days.

Associated documents

- Standard Operating Procedure for Confidential Paper Separation
- Standard Operating Procedure for the Worm Farm

Waste signs (Insert associated waste signage)



The above waste signs are copyright of Sustainability Victoria and are provided as an example only..

Register of Emergency Response Tests *SAMPLE ONLY*

No.	Description of emergency response test	Planned date	Responsibility	Remarks

Emergency Test and Incident Review Form SAMPLE ONLY

Incident type	Spill <input type="checkbox"/>	Fire <input type="checkbox"/>	Gas leak <input type="checkbox"/>	Bomb threat <input type="checkbox"/>	Other: ... <input type="checkbox"/>
Drill <input type="checkbox"/>	Incident <input type="checkbox"/>	Responsibility/Supervisor:		Assisted by:	
Date:	Start time:	End time:	No. staff participated:		
Description of emergency drill conducted or actual incident:					
Observations / compliance with procedures:					
What could be improved (with underlying or root cause if appropriate)?					
Nonconformity or preventive action raised? (If so, put CPA number here):					
Completed by:		Date:	Remarks:		

Schedule of Monitoring and Measurement *SAMPLE ONLY*

Year:

	Unit of measurement	Jan	Feb	March	April	May	Jun	July	Aug	Sept	Oct	Nov	Dec	Remarks (comment on trends and equipment calibration status)
<i>Electricity use</i>	<i>kWh</i>													
<i>Water use</i>	<i>kL</i>													
<i>Fuel use</i>	<i>L</i>													
<i>Air travel</i>	<i>km</i>													
<i>Waste to recycling</i>	<i>kg</i>													
<i>Paper</i>	<i>kg</i>													
<i>Toner Cartridges</i>	<i>kg</i>													
<i>General waste</i>	<i>kg</i>													
<i>Chemical disposal</i>	<i>L</i>													
<i>Hazardous waste (prescribed waste disposal)</i>	<i>kg</i>													
<i>Fluorescent light tubes</i>	<i>kg</i>													
<i>No. of non-conformities raised</i>														
<i>No. of non-conformities</i>														

	Unit of measurement	Jan	Feb	March	April	May	Jun	July	Aug	Sept	Oct	Nov	Dec	Remarks (comment on trends and equipment calibration status)
<i>closed</i>														
<i>No. of internal audits or site inspections</i>														
<i>No. of environmental incidents</i>														
<i>No. of training or awareness sessions conducted</i>														
<i><Insert any other objectives, targets, KPIs being monitored></i>														

Corrective and Preventive Action Form SAMPLE ONLY

CPA No:	Environmental incident <input type="checkbox"/>	Nonconformity from audits <input type="checkbox"/>	Suggestion for improvement <input type="checkbox"/>	From complaints/notices/external parties <input type="checkbox"/>	Other <input type="checkbox"/>
Category	Document control <input type="checkbox"/>	System failure <input type="checkbox"/>	Wrong instructions <input type="checkbox"/>	Training <input type="checkbox"/>	Contractor fault <input type="checkbox"/> Operator fault <input type="checkbox"/>
Raised by:	Assigned to:		Date:	Remarks:	
Description:					
Proposed immediate action (correction):					
Completed by:		Date:	Remarks:		
Root cause analysis required: Yes <input type="checkbox"/> No <input type="checkbox"/>					
Underlying / root cause:					
Determined by:		Date:	Remarks:		
Proposed action for long term solution (corrective/preventive action):					
Completed by:		Date:	Remarks:		
Comments on effectiveness of action taken:					
Closed out by:		Date:	Remarks:		

Internal Audit Schedule
SAMPLE ONLY

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Policy												
Environmental aspects												
Legal & other requirements												
Objectives, targets, programs												
Resources, roles, responsibility, authority												
Competence, training, awareness												
Communication												
Documentation												
Control of documents												
Operational control												
Emergency preparedness & response												
Monitoring & measurement												
Evaluation of compliance												
Nonconformity, corrective & preventive action												
Control of records												
Internal audit												
Management review												

Internal Audit Checklist

SAMPLE ONLY

The following is a generic checklist that can be used in internal audits to evaluate conformity of an environmental management system with the requirements of AS/NZS ISO 14001:2004.

Prompts	Notes – Audit Evidence
4.1 SCOPE OF EMS	
<ul style="list-style-type: none"> ▪ Documented scope of EMS ▪ Scope of certification to requirements of AS/NZS ISO 14001:2004 (if different) ▪ Exclusions from scope of certification ▪ Justification of exclusions 	
4.2 ENVIRONMENTAL POLICY	
<ul style="list-style-type: none"> ▪ Policy is documented ▪ Consistent with scope of EMS (i.e. covers whole scope and no broader) ▪ Appropriate to nature, scale & environmental impacts of activities, products or services ▪ Includes commitment to continual improvement ▪ Includes commitment to prevention of pollution ▪ Includes commitment to comply with applicable legal requirements ▪ Includes commitment to comply with other requirements to which organisation subscribes relating to environmental aspects (e.g. government policy, industry guidelines, voluntary agreements) ▪ Provides framework for setting & reviewing environmental objectives & targets ▪ Implemented ▪ Maintained ▪ Communicated to everyone working for or on behalf of organisation (incl. contractors, volunteers, temp staff, remote workers) ▪ Available to public 	
4.3.1 ENVIRONMENTAL ASPECTS	
<ul style="list-style-type: none"> ▪ Procedure to identify environmental aspects within scope of EMS that it can control & influence ▪ Procedure provides for planned or new developments, or new or 	

<p>modified activities, products & services</p> <ul style="list-style-type: none"> ▪ Procedure provides for determining significant aspects (i.e. those that have or can have significant impact on the environment) ▪ Procedure maintenance ▪ Information on <i>all</i> environmental aspects documented & up-to-date (not just significant aspects) ▪ Significant aspects are taken into account during implementation & maintenance of EMS (e.g. communication, setting environmental objectives, audit program, training/awareness, emergency preparedness) 	
4.3.2 LEGAL & OTHER REQUIREMENTS	
<ul style="list-style-type: none"> ▪ Procedure to identify & have up-to-date access to legal & other requirements (e.g. WPI, Greenhouse Challenge) to which your organisation subscribes directly applicable to <i>all</i> environmental aspects (not only significant ones) ▪ Procedure provides for determining <i>how</i> these legal & other requirements <i>apply</i> to environmental aspects ▪ Responsibility for identifying and determining how requirements apply ▪ Procedure maintenance ▪ Assurance that requirements are taken into account in the EMS 	
4.3.3 OBJECTIVES, TARGETS & PROGRAMS	
<ul style="list-style-type: none"> ▪ Documented environmental objectives & targets at relevant functions & levels in organisation (obtain copy to check progress against several objectives & targets later*) ▪ Objectives & targets are measurable (where practical) ▪ Objectives & targets are consistent with the policy regarding: <ul style="list-style-type: none"> ▪ prevention of pollution ▪ legal & other requirements ▪ continual improvement ▪ Objective & targets maintained (reviewed & updated) 	

<ul style="list-style-type: none"> ▪ Legal & other requirements & significant environmental aspects are taken into account when establishing and reviewing objectives and targets ▪ When setting objectives & targets, the following are considered: <ul style="list-style-type: none"> ▪ technological options? ▪ financial, operational & business requirements ▪ view of interested parties <p>ENVIRONMENTAL PROGRAMS(S)</p> <ul style="list-style-type: none"> ▪ Program(s) established for achieving environmental objectives & targets ▪ Responsibility for achieving objectives & targets at relevant functions & levels in organisation ▪ Means includes or resources allocated ▪ Program includes timeframe 	
4.4.1 RESOURCES, ROLES & RESPONSIBILITIES	
<ul style="list-style-type: none"> ▪ Management provides resources for implementation, maintenance & improvement of EMS (resources include human resources, specialised skills, organisational infrastructure, technology, and financial resources) ▪ Roles, responsibilities and authorities for effective environmental management defined and documented (e.g. in position descriptions) ▪ Roles, responsibilities and authorities for effective environmental management communicated ▪ Management representative(s) responsible for EMS: ▪ Management representative has responsibility for ensuring that EMS is established, implemented and maintained ▪ Management representative has responsibility for reporting to top management on performance of EMS for review, including recommendations for improvement 	
COMPETENCE, TRAINING & AWARENESS	
<ul style="list-style-type: none"> ▪ Determination of competence of persons performing tasks on its behalf with potential to cause 	

<p><i>significant</i> environmental impacts</p> <ul style="list-style-type: none"> ▪ Competency records ▪ Identification of training needs associated with (all) environmental aspects & EMS (including internal audit, corrective & preventive action) ▪ Training or other action taken to meet such needs ▪ Training records ▪ Procedure on making workers aware of: <ul style="list-style-type: none"> ▪ importance of conformity with environmental policy & procedures & with requirements of EMS ▪ <i>significant</i> environmental aspects & actual or potential impacts associated with their work, & environmental benefits of improved personal performance ▪ their roles & responsibilities in achieving conformity with requirements of the EMS (including emergency preparedness & response) ▪ potential consequences of departure from specified operating procedures ▪ Procedure maintenance 	
4.4.3 COMMUNICATION	
<ul style="list-style-type: none"> ▪ Procedure(s) regarding environmental aspects & EMS for: <ul style="list-style-type: none"> ▪ internal communication between various levels & functions of organisation ▪ receiving, recording & responding to external communication ▪ Documented decision whether to communicate externally about significant environmental aspects ▪ If the decision is <i>YES</i>, method(s) used: 	
4.4.4 DOCUMENTATION	
<ul style="list-style-type: none"> ▪ The EMS documentation includes the following: <ul style="list-style-type: none"> ▪ Environmental policy (cl. 4.2) ▪ Environmental objectives & targets (cl. 4.3.3) ▪ Description of scope of EMS (cl. 4.1) 	

<ul style="list-style-type: none"> ▪ Description of main elements of EMS & their interaction, & reference to related documents (cl. 4.4.4) ▪ Documents & records determined to be necessary to ensure effective planning, operation & control of processes relating to significant environmental aspects (cl. 4.4.6) ▪ Other documents & records required by AS/NZS ISO 14001:2004: <ul style="list-style-type: none"> ▪ Environmental aspects (cl. 4.3.1) ▪ Roles, responsibilities & authorities for environmental management (cl. 4.4.1) ▪ Records of competence (cl. 4.4.2) ▪ Training records (cl. 4.4.2) ▪ Decision to communicate externally (cl. 4.4.3) ▪ Records of monitoring performance, operational controls & conformity with environmental objectives & targets (cl. 4.5.1) ▪ Records of calibration (cl. 4.5.1) ▪ Records of evaluation of compliance (cl. 4.5.2) ▪ Records of results of corrective & preventive action ▪ Records of planning & conducting internal audits (cl. 4.5.5) ▪ Records of management reviews (cl. 4.6) ▪ Use of the certification mark of the certification body? ▪ Use of JAS-ANZ logo? 	
4.4.5 CONTROL OF DOCUMENTS	
<ul style="list-style-type: none"> ▪ Procedure(s) on document control established to: <ul style="list-style-type: none"> ▪ Approve documents for adequacy prior to issue ▪ Review & update as necessary & re-approve documents ▪ Ensure changes & current revision status of documents are identified ▪ Ensure relevant versions of applicable documents are available at points of use ▪ Ensure documents remain legible & readily identifiable ▪ Ensure external documents are identified & their distribution 	

<p>controlled</p> <ul style="list-style-type: none"> ▪ Prevent unintended use of obsolete documents, and apply suitable identification to them if they are retained for any purpose. ▪ Procedure maintenance ▪ Documents required by EMS & AS/NZS ISO 14001:2004 & sighted in the audit are effectively controlled (record any nonconformities to this requirement) 	
4.4.6 OPERATIONAL CONTROL	
<p>Identification & planning of operations & activities associated with <i>significant environmental aspects</i> consistent with policy, objectives & targets to ensure they are carried out under specified conditions:</p> <ul style="list-style-type: none"> ▪ Establishment of <i>documented</i> procedures to control situations where their absence could lead to deviations from environmental policy & objectives & targets ▪ Procedures stipulate operating criteria ▪ Procedure maintenance ▪ Establishment of procedures related to <i>significant environmental aspects of goods & services</i> used by the organisation ▪ Communication of procedures & requirements to suppliers & contractors ▪ Procedure maintenance 	
4.4.7 EMERGENCY PREPAREDNESS & RESPONSE	
<ul style="list-style-type: none"> ▪ Procedures to identify <i>potential</i> emergency situations & <i>potential</i> accidents that can have an impact(s) on the environment ▪ Procedure(s) includes <i>response</i> to emergency situations and potential accidents? ▪ Procedures maintenance ▪ <i>Actual</i> response to <i>actual</i> emergency situations or accidents since last audit (especially prevention or mitigation of environmental impacts) ▪ Periodic <i>tests</i> of procedure(s) where practicable 	

<ul style="list-style-type: none"> ▪ Review & revision (where necessary) of emergency preparedness & response procedures, particularly <i>after</i> accidents or emergency situations 	
4.5.1 MONITORING & MEASUREMENT	
<ul style="list-style-type: none"> ▪ Procedure(s) to monitor & measure on a regular basis the key characteristics of operations that can have a <i>significant</i> environmental impact ▪ Procedure(s) includes recording of information to track: <ul style="list-style-type: none"> ▪ performance ▪ operational controls ▪ conformity with environmental objectives & targets ▪ Monitoring & measuring equipment is calibrated or verified ▪ Calibration & verification records retained & up-to-date 	
4.5.2 EVALUATION OF COMPLIANCE	
<ul style="list-style-type: none"> ▪ Procedure for periodically evaluating compliance with applicable legal requirements ▪ Procedure for periodically evaluating compliance with other requirements to which organisation subscribes ▪ Procedure maintenance ▪ Records of the results of periodic evaluation 	
4.5.3 NONCONFORMITY, CORRECTIVE & PREVENTATIVE ACTION	
<ul style="list-style-type: none"> ▪ Procedure for: <ul style="list-style-type: none"> ▪ dealing with actual & potential environmental nonconformities ▪ taking corrective & preventive action ▪ Procedure defines requirements for: <ul style="list-style-type: none"> ▪ <i>identifying & correcting nonconformities</i> & taking <i>action to mitigate environmental impact</i> ▪ <i>investigating</i> nonconformities, determining their <i>cause</i>, & taking <i>corrective action to avoid recurrence</i> ▪ evaluating need for action to prevent nonconformities & implementing <i>preventive action to avoid occurrence</i> (including suggestions for 	

<p>improvement)</p> <ul style="list-style-type: none"> ▪ recording <i>results</i> of corrective & preventive action ▪ reviewing <i>effectiveness</i> of corrective & preventive action ▪ <i>Action taken is appropriate</i> to magnitude of problems & environmental impacts encountered ▪ <i>Changes made to EMS documentation</i> resulting from corrective & preventive action 	
4.5.4 CONTROL OF RECORDS	
<ul style="list-style-type: none"> ▪ Procedures for following control of records: ▪ Identification ▪ Storage ▪ Protection ▪ Retrieval ▪ Retention ▪ Disposal ▪ Procedure maintenance ▪ Environmental records are: ▪ Legible ▪ Identifiable & traceable to activity, product or service involved 	
4.5.5 INTERNAL AUDIT	
<ul style="list-style-type: none"> ▪ Procedure(s) for: ▪ the responsibilities & requirements for planning & conducting audits, reporting results & retaining associated records ▪ determination of audit criteria, scope, frequency & methods ▪ Procedure maintenance ▪ Internal audits of EMS conducted at planned intervals: ▪ Interval/schedule ▪ Last audit conducted ▪ Next audit planned ▪ Results of audits reported to management ▪ Audit program based on environmental importance of the operations concerned & results of previous audits (especially <i>significant</i> environmental aspects) ▪ Selection of auditors & conduct of 	

<p>audits ensure objectivity & impartiality of audit process (e.g. training & qualifications of auditors)</p>	
4.6 MANAGEMENT REVIEW	
<ul style="list-style-type: none"> ▪ Top management reviews EMS at planned intervals to <i>evaluate continuing suitability, adequacy & effectiveness</i> ▪ Types of (or forums for) management reviews (include only those that are holistic and strategic): ▪ Management reviews recorded (agendas & minutes): ▪ Input to management review includes: <ul style="list-style-type: none"> ▪ results of internal audits (preferably evaluation of effectiveness of internal audit program) ▪ evaluations of compliance with legal requirements & other requirements ▪ communication from external interested parties, including complaints ▪ environmental performance of the organisation ▪ extent to which objectives & targets have been met ▪ status of corrective & preventative action ▪ follow up actions from previous management reviews ▪ changing circumstances, including developments in legal & other requirements related to environmental aspects ▪ recommendations for improvement (from management representative) ▪ Output includes decisions & actions related to possible changes to environmental policy, objectives, targets, & other elements of EMS, consistent with commitment to continual improvement 	

Internal Audit Report Template

SAMPLE ONLY

Audit No.

Audit team:

Site/section/function audited:

Audit date:

AUDIT FINDINGS

Element	Code	Findings	CPA no.
Scope of EMS			
Environmental policy			
Environmental aspects			
Legal & other requirements			
Objectives, targets & programs			
Resources, roles & responsibilities			
Competence, training & awareness			
Communication			
Documentation			
Control of documents			
Operational control			
Emergency preparedness & response			
Monitoring & measurement			

Element	Code	Findings	CPA no.
Nonconformity, corrective action & preventive action			
Control of records			
Internal audit			
Management review			

Explanation of codes:

- Ma = Major nonconformity
- Mi = Minor nonconformity
- C = Conformity
- O = Observation

Register of Documents and Records

SAMPLE ONLY

Part A: Policy, manual, procedures, plans and external documents

Document reference	Brief description of document
EMS Manual	Description of the scope of the environmental management system, and the documented procedures that underlie the system
Environmental Policy	Statement of the organisation's commitments to its environmental management system.
Emergency Response Plan	Procedures for responding to a comprehensive range of emergency situations that may affect the organisation
Detailed work instructions or operational procedures relevant to the EMS	
Documents associated with environmental action plans e.g. energy savings plan	
Legislation & regulations relevant to the EMS	
Government policies relevant to the EMS	
AS/NZS ISO 14001:2004	Requirements for environmental management systems
Other external documents	

Part B: Registers, forms and templates

Form or template reference	Brief description of form or template
Register of Environmental Aspects	Register of environmental aspects with their risk score
Register of Environmental Objectives & Targets	Register of environmental objectives, targets and action plans for significant environmental aspects
Register of Legal and Other Requirements	Register showing how legal and other requirements apply to environmental aspects, with provision for evaluation of compliance
Responsibility Matrix	Identifies responsibilities and authorities of positions, roles and individuals for managing environmental aspects and the environmental management system, and of individuals performing tasks that have a potential to cause a significant environmental impact; also records competencies and identifies training needs, and plans the delivery of training.
Assessment of General Environmental Management System Awareness	Questionnaire to assess awareness and competency about environmental management system.
Generic Internal Audit Checklist	Generic checklist for internal audit of environmental management system to requirements of AS/NZS ISO 14001:2004
Internal Audit Report Template	Template for internal audit reports of environmental management system
Generic Internal Audit Schedule	Generic schedule for internal audit of environmental management system for a single site agency
Register of Environmental Nonconformity and Suggestions for Improvement	Register of actual and potential environmental nonconformity and suggestions for improvement to the environmental management system managed with corrective and preventive action
Corrective and Preventive Action Form	Form for managing nonconformity and suggestions for improvement with corrective and preventive action
Register of Emergency Response Tests	Register used for planning tests of emergency preparedness and response
Emergency Test and Incident Review Form	Form for reviewing each test of emergency preparedness and response, and actual emergencies and accidents
Schedule Monitoring & Measurement	Annual table for monthly monitoring and measurement of key characteristics of the environmental management system
Management Review Template	Template for a briefing in preparation for a management review of the environmental management system
Register of Documents and Records	This form.

Form or template reference	Brief description of form or template

Part C: Records

Record reference	Brief description of record	Storage location	Retention time
Register of Environmental Aspects	Annual register of environmental aspects with their risk analysis and determination of significance		
Register of Environmental Objectives & Targets	Annual register of environmental objectives, targets and action plans for significant environmental aspects		
Register of Legal and Other Requirements	Ongoing register showing how legal and other requirements apply to environmental aspects, with provision for evaluation of compliance		
Responsibility Matrix	Identifies responsibilities and authorities of positions, roles and individuals for managing environmental aspects and the environmental management system, and of individuals performing tasks that have a potential to cause a significant environmental impact; also records competencies and identifies training needs, and plans the delivery of training.		
Assessment of General Environmental Management System Awareness	Questionnaire to assess awareness and competency about environmental management system		
Internal Audits	Schedules, completed checklists, and reports for internal audit of environmental management system		
Register of Environmental Nonconformity & Suggestions for Improvement	Register of corrective and preventive actions taken on actual and potential nonconformities and suggestions for improvement		
Corrective & Preventive Action Records	Completed forms to record corrective and preventive action		
Register of Emergency	Register of planned tests of emergency preparedness and		

Record reference	Brief description of record	Storage location	Retention time
Response Tests	response		
Emergency Test & Incident Reviews	Completed reviews of tests of emergency preparedness and response and actual emergencies and accidents		
Monitoring & Measurement Records	Annual tables for monthly monitoring and measurement of key characteristics of the environmental management system		
Management Review	Records of management review		
Documents and Records	Registers of documents, forms and templates, and records		

Archives Register

SAMPLE ONLY

Box No.	Contents	Location	Disposal Due Date	Disposal Means & Date
<i>2005-33</i>	<i>July 04 to Dec 04:</i> <ul style="list-style-type: none"><i>• Air travel records</i><i>• Fuel purchases</i>	<i>Bay 2, Shelf D</i>	<i>Dec 08</i>	<i>Shredded by Intershred 13/1/2009</i>

Management Review of Environmental Management System

SAMPLE ONLY

Date of review:

Review participants:

Follow-up actions from previous management reviews

Environmental performance of the organisation

Extent to which objectives and targets have been met

Results of internal audits

Results of evaluation of compliance with legal and other requirements

Status of corrective and preventive action

Communication from external parties, including complaints

Changing circumstances, including developments in legal and other requirements

Other recommendations for improvement

Proposed changes to environmental management system

Environmental policy

Risk assessment procedure and environmental aspects

Objectives, targets and programs/plans

Other elements

Date of next management review:

Record authorised by:

Date: