DEPARTMENT OF THE ARMY
ASSISTANT CHIEF OF STAFF FOR INSTALLATION MANAGEMENT
600 ARMY PENTAGON
WASHINGTON, DC 20310-0600

DAIM-ZA 14 FEB 2005

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Environmental Management Systems Self Declaration Protocol

1. References:

a. Memorandum, DASA(ESOH), OASA(I&E), 4 Feb 05, subject: Guidance for Environmental Management Systems (EMS) Self-Declaration.

b. Memorandum, Office of Federal Environmental Executive (OFEE), 27 Jan 04, subject: Self Declaration Protocol.

2. The purpose of the memorandum is to forward the Army's Self Declaration Protocol entitled "U.S. Army procedure for self-declaration of compliance with Executive Order 13148, Environmental Management Systems (EMS) requirements, and conformance with Army EMS policy requirements" (enclosure). This protocol is important to Army installations as it provides them the Army procedure to objectively review their installation EMS and credibly self-declare conformance with International Standards Organization (ISO) 14001 standard. Request maximum distribution of the Self-Declaration Protocol to your respective installations.

3. The ISO standards, 14001, "EMS", and 19011, "Guidelines for Quality and/or EMS Auditing" are essential to the implementation of this protocol. The first edition of the ISO 14001 standard from 1996 has been replaced by the second edition published in 2004. Since the standards are copyright protected, they cannot be reproduced and must be procured. The Army is currently working with the Office of the Secretary of Defense to centrally procure the standard which will be available on the Defense Environmental Network Exchange (DENIX) website (www.denix.osd.mil).

4. My POC is Douglas Warnock, (703) 601-1573 (DSN 329), email douglas.warnock@hqda.army.mil.

Encl

GEOFFREY D. MILLER
Major General, GS
Assistant Chief of Staff
for Installation Management

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DISTRIBUTION:
DIRECTOR, INSTALLATION MANAGEMENT AGENCY, ATTN: IMAH-ZA, 2511 CRYSTAL DRIVE, TAYLOR BUILDING (NC3), ARLINGTON, VA 22202-3926.
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CF:
U.S. ARMY ENVIRONMENTAL CENTER (SFIM-AEC-CO), ABERDEEN PROVING GROUND, MD 21010-5401

DEPARTMENT OF THE ARMY
OFFICE OF THE ASSISTANT SECRETARY
INSTALLATIONS AND ENVIRONMENT
110 ARMY PENTAGON
WASHINGTON, DC 20310-0110

FEB 4 2005

MEMORANDUM FOR ASSISTANT CHIEF OF STAFF FOR INSTALLATION MANAGEMENT

SUBJECT: Guidance for Environmental Management System (EMS) Self-Declaration

The enclosed procedures were developed to meet the OUSD's directive and the Office of the Federal Environmental Executive (OFEE) Policy Memorandum to develop and implement an agency EMS Self-Declaration Protocol. The procedures are for immediate implementation, and are designed to ensure that facility and/or organizational-level self-declaration is in conformance with Army and DoD EMS requirements. Please disseminate to all appropriate facilities.

The point of contact in this office is Ms. Gina M. Noel, at 703-697-4032.

Raymond J. Fatz
Deputy Assistant Secretary of the Army
(Environment, Safety and Occupational Health)
OASA(I&E)

Enclosure

cf:
Deputy Chief, G-3
Program Manager for Chemical Demilitarization
Director of Army Safety
US Army Corps of Engineers
US Army Center for Health Promotion and Preventive Medicine
Commander, Army Materiel Command

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ENCL

Procedure: U.S. Army Procedure for Self-Declaration of Compliance with Executive Order (EO) 13148, Environmental Management Systems (EMS) Requirements, and Conformance with Army EMS Policy Requirements	
Document Owner: EMS Program Manager – Headquarters, Department of the Army, Office of the Director of Environmental Programs	**Approval:** Director of Environmental Programs, Headquarters, Department of the Army **Signature:** COL, GS
Update Requirements: Headquarters, Department of the Army, Office of the Director of Environmental Programs (ODEP) will maintain this procedure and review it annually. This document and its revisions shall remain current for no more than one year from the effective date. The EMS Program Manager must maintain a log of document history with this procedure.	

Revision Information

Status	Revision	Effective Date	Revision Summary
Baseline Procedure	1.0	December 31, 2004	None

Purpose:

This procedure has three main purposes:

a. To comply with the requirements of Executive Order 13148 and the Office of the Federal Environmental Executive (OFEE) Policy Memorandum (Subj: EMS Self-Declaration Protocol), dated January 27, 2004;
b. To document the procedure used by Army installations to self-declare compliance with EO 13148 and conformance with applicable Army and DoD EMS Policy requirements; and
c. To establish and maintain programs and procedures for periodic EMS audits and to determine whether EMSs operate in accordance with documented procedures and the International Organization for Standardization (ISO) 14001 standard, or other applicable requirements.

Applicability:

U.S. Army installations on the "Appropriate Facilities List for EMS Implementation" must follow this procedure to self-declare their EMS status.

References:

a. *Army Environmental Performance Assessment (EPAS) Business Process Guide*
b. *Environmental Management Systems Agency Self-Declaration Protocol for Appropriate Federal Facilities*, Final Version, September 10, 2003
c. Executive Order 13148, *Greening the Government through Environmental Leadership,* April 21, 2000

d. ISO 14001:1996, *Environmental Management System*
e. ISO 19011:2002(E), *Guidelines for Quality and/or Environmental Management Systems Auditing*
f. Memorandum, HQDA, SAIE-ESOH, July 13, 2001, subject: Army Environmental Management System
g. Memorandum, HQDA, SAIE-ESOH, October 18, 2002, subject: Environmental Compliance Assessment System (ECAS) Internal Assessments – Policy Memorandum, October 18, 2002
h. Memorandum, HQDA, SAIE-ESOH, January 30, 2003, subject: Environmental Management System Implementation Criteria and Metrics
i. Memorandum, HQDA, SAIE-ESOH, July 10, 2003, subject: Army Environmental Management System Policy
j. Memorandum, HQDA, SAIE-ESOH, January 27, 2004, subject: EMS Self-Declaration Protocol
k. Memorandum, HQDA, SAIE-ESOH, July 16, 2004, subject: DoD EMS Self-Declaration Policy
l. U.S. Army Construction Engineering Research Laboratory (USACERL), *The Environmental Assessment and Management (TEAM) Guide,* most recent edition
m. *Active Army Supplement to the Environmental Assessment and Management (TEAM) Guide,* most recent edition
n. *U.S. Army Environmental Management System Implementer's Guide*, most current edition

Background: Self-Declaration vs. Third Party Registration

The ISO 14000 standards provide no formal guidance on the self-declaration process, nor any details about what kind of statement an organization can make. However, Clause 1 of ISO 14001 mentions the possibility of self-determining and self-declaring conformance with the ISO 14001 standard. *Self-declaration* simply implies that an organization that has implemented ISO 14001 publicly asserts that it conforms to the standard, without the involvement of certification bodies. Self-declaration is different from the terms *certification* and *registration.* If an organization's EMS is certified or registered to ISO 14001, then a certification body has determined that it meets all requirements of the standard based upon the recommendation of the independent (third party) auditor who actually conducted the audit of the EMS.

The EMS self-declaration process for appropriate Army facilities shall consist of two distinct events. The first event verifies compliance with Department of Defense (DoD) EMS Implementation Metrics and is designed to meet EO 13148 requirements. The second event demonstrates conformance to the ISO 14001 standard and meets Army EMS implementation policy.

The Army's policy is that third party registration to the ISO 14001 standard is not required for self-declaration. However, Commanders[1] may pursue registration when it provides clear and documented mission benefits (Army Environmental Management System (see reference f).

Procedure for Determination of Self-Declaration Status

These procedures include the four key steps necessary for Army installations to systematically and effectively determine their self-declaration status. The following sections provide additional guidance on EMS auditing and the steps of the core requirements of this procedure.

Step 1. Determine Organizational EMS Requirements

1.1 Determine Applicable EMS Implementation Requirements

- Review all applicable EMS implementation requirements including, but not limited to, EO 13148 and all DoD and Army requirements.
- Determine if the installation is an "Appropriate Army Facility" for EMS implementation / auditing (see reference i)
- Determine and document the timeframe and baseline criteria for the EMS audit.

1.2 Review Key Stakeholder Responsibilities

The individual responsible for managing the audit program will use ISO 19011 Clause 5.3.1 as a minimum in order to determine and document the roles and responsibilities of installation staff and other personnel involved in the auditing process.

Step 2. Planning the EMS Audit

2.1 Determine the EMS Audit Parameters

The Army will phase in its EMS audits in a manner that matches its EMS implementation. The Army chose a phased-in approach to accommodate the complexity of implementing EMS at appropriate installations across the entire Army, and to account for the lag time needed to program funding requirements.

[1] The meaning of the term Commander as used in this Protocol was derived from the definition in the US Army EMS Implementers Guide and varies by organization. For Active Army and Army Reserve organizations it means the garrison commander. For ARNG organizations it refers to the adjutant general or garrison commanders at major training sites. For civil works organizations, it refers to the district engineer chief of operations.

Although there are minimum requirements associated with the Calendar Year (CY) 2005 and Fiscal Year (FY) 2009 milestones as described below, many installations will be implementing against a schedule that is more aggressive. If an installation has moved ahead, the scope of its audits should likewise cover those elements that are in place. In this manner, external audits can essentially serve as a program assistance visit in addition to validating the baseline requirements.

- Internal and external audits will define the audit objectives, scope and criteria using ISO 19011 Clause 6.2.2 as a minimum.
- In addition to the ISO 19011 standards, the Army will determine and document the baseline elements that must be included in the EMS audit (the criteria of EMS audits will increase over time to match the Army's expected level of performance). The following milestones explain how the criteria of EMS audits will increase over time to match the Army's expected level of performance.
  - Internal and external EMS audits will begin in FY05. The scope of audits for FY05 will include only those EMS elements that are in place for a particular installation.
  - CY06 through FY09, internal and external Army EMS audits will cover the six DoD metrics at a minimum. If installations have implemented ISO components in addition to **the six DoD metrics**, those components should be included in the audit (see reference h).
  - Beginning in FY10, all internal and external EMS audits will assess the EMS against Environmental Performance Assessment System (EPAS) protocols (see Section 2.3) for determining full conformance with ISO 14001.

2.2 Required Audit Frequency

- Installations must conduct Internal EMS audits annually at a minimum.
- The Army will conduct external EMS audits as part of the EPAS program. The Army EPAS Risk Model (AERM) results will determine the frequency. NOTE: AERM results may dictate assessing certain installations as often as every two years, while others may warrant less frequent audits.

2.3 Audit Protocols (Guide) For Use in all Army EMS Audits

- A comprehensive listing of ISO 14001 and Army EMS requirements, written in an EMS audit protocol format, is contained in Section 7, "Other Environmental Issues," of the *Active Army Supplement to the Environmental Assessment and Management (TEAM) Guide*[2].
- Both internal and external audits must assess against the protocol contained in the most current edition of the *Active Army Supplement to*

[2] https://www.denix.osd.mil/denix/DOD/Library/Assessment/Component/Army/army.html (DENIX Password is required to access this site).

the TEAM Guide. The EMS standards also appear as a separate grouping and are readily identifiable in the EPAS software.

2.4 Auditor Qualifications

2.4.1 Internal Auditors

Internal auditors will use ISO 19011 Clause 7 as a guide for determining auditor qualifications.

- Installation personnel are responsible for conducting internal EMS audits.
- These personnel must demonstrate to the audit team leader EMS competence through education, work experience, auditor training, audit experience, and personal attributes.
- Internal audit teams:
  - Should include an appropriate number of personnel to meet audit demands and who have all received appropriate EMS training;
  - Should include an EMS auditor-trained audit team leader. Additional knowledge and skills in audit leadership to facilitate the efficient and effective conduct of the EMS audit is highly desirable;
  - May include an appropriate number of personnel who do not meet the experience requirements, but who have demonstrated to the audit team leader a sufficient level of competence to serve as an effective audit team member.

2.4.2 External Auditors – EPAS Program

External auditors will use ISO 19011 Clause 7 as a guide for determining auditor qualifications, in conjunction with Army specifications as noted below.

2.4.2.1 Auditor Training

- Completion of a 40-hour EMS (ISO 14001) Lead Auditor course (or equivalent as determined by Headquarters Department of Army [HQDA]).
- Completion of EPAS software training or demonstrated EPAS software proficiency using the EPAS software on at least three EPAS audits.
- Completion of Environmental Program Requirements (EPR) training or demonstration of familiarity with the EPR and related HQDA reporting systems (e.g., Installation Status Report [ISR], Environmental Quality Report [EQR], etc.)

2.4.2.2 Audit Experience

Documented experience as an EPAS EMS auditor (under the oversight and mentorship of a Department of Army-

qualified EPAS EMS auditor) on at least three EPAS audits.

2.4.2.3 Ongoing Requirements

External Auditors will demonstrate competence and proficiency through a combination of experience (i.e., auditor on at least one EPAS EMS audit during the 3-year period) and training (completion of at least 40 hours of appropriate professional development training during the 3-year period).

2.4.2.4 Grandfather Provision

- EPAS Compliance Auditors shall be accepted, through this grandfathering provision, as external auditors under Army specifications stated in Section 2.4.2 above, provided that they have a minimum of 3 years of professional experience as EPAS "Program Management" assessors prior to 30 September 2005.
- To be "grandfathered" under this provision, the EPAS "Program Management" experience must include serving as an assessor (in a capacity other than a trainee) on at least five assessments.
- Those EPAS EMS auditors "grandfathered" under this provision must complete the 40-hour EMS (ISO 14001) Lead Auditor course NLT 30 September 2005, to maintain their certification.

2.4.2.5 Alternate Qualifications

- Demonstration of current certification status as an "EMS Auditor" (EMS-A) or "EMS Lead Auditor" (EMS-LA) by the Registrar Accreditation Board.
- Demonstration of current certification status as a "Certified Professional Environmental Auditor (ISO 14001 Plus)" (CPEA) by the Board of Environmental Auditor Certification.

2.5 Identify the Audit Team

2.5.1 Internal Audits

- The Commander or the designated EMS Management Representative (EMSMR) will determine selection of the Audit Team Leader.
- The Audit Team Leader selects the remainder of the audit team and should base the selection of the audit team using ISO 19011 Clause 6.2.4 as a guide.

2.5.2 External Audits

- The EPAS Program Manager (or other appropriate headquarters level auditing body) will select the Audit Team Leader.
- The Audit Team Leader selects the remainder of the audit team and should base the selection of the audit team using ISO 19011 Clause 6.2.4.
- Audited installations may request replacement of a particular audit team member based on reasonable grounds (e.g. an audit team member was a former employee of the installation being assessed). Installations may initiate such requests by writing to the Audit Team Leader and the EPAS Program Manager (or other appropriate headquarters level auditing body).

Step 3. Conducting and Documenting the EMS Audit

3.1 EMS audit teams will:

- Define the audit objectives, scope and criteria, as described in ISO 19011 Clause 6.2.2;
- Conduct document reviews as described in ISO 19011 Clause 6.3;
- Conduct on-site audit activities in as described in ISO 19011 Clause 6.5;
- Alert appropriate installation/facility personnel of the scheduled internal audit;
- Retain and control any documents created during the audit;
- Use the EPAS software system to conduct and document both external and internal EMS audits; and
- Communicate audit results and findings during the EMS management review to top installation management **(see Section 4.2 below)**.

3.2 Correcting non-conformance

Installations will have 45 days to develop a plan to correct any areas of non-conformance with the ISO 14001 standard. In such instances, installations should submit their plan to the entity that performed the audit. That entity will review the plan and determine when to conduct the follow-up audit. Follow-up audits may be performed on-site or via correspondence with the installation at the Audit Team Leader's Discretion.

Step 4. Determine Self-Declaration Status and Communicating the Results

An Army installation may base its determination of self-declaration status on the results of either an internal or an external audit. An installation will self-declare using the following two separate statements.

4.1 EMS in place (Compliance with EO 13148)

4.1.1 Self-declaration that the installation has an EMS in place

This self-declaration announcement meets the need to declare compliance with EO 13148 and completion of the six DoD metrics that define an EMS is in place.

4.1.2 Communicating EMS Audit Results and Continual Improvement

- The installation shall report its progress in meeting the six DoD metrics to show compliance with EO 13148 through the Environmental Quality Report (EQR).
- Self-declaration will be determined when an installation completes all six implementation metrics. The Environmental Quality Report will serve as the formal communication that the installation has an EMS in place.
- If later internal or external EMS audit results demonstrate that this self-declaration is no longer valid, the installation will update the EQR to reflect its current status.

4.2 ISO 14001 Conforming EMS in place

4.2.1 Self-declaration that the installation has an ISO 14001 conforming EMS in place

- This self-declaration statement meets the need to determine conformance with Army EMS policy to have an ISO 14001 conforming EMS in place by 30 September 2009.
- Installations can only make this self-declaration statement when they have met the six DoD metrics <u>and</u> are in full conformance with ISO 14001.

4.2.2 Communicating EMS Audit Results and Continual Improvement

- Installations should conduct a management review, as described by the ISO 14001 standard, at least once a year.
- The purpose and outcome of the management review is to ensure that the EMS continues to be suitable, adequate, and effective while maintaining a focus on continual improvement.
- The EMS management review will be comprehensive and, among other items, must include a review of both internal and external EMS audit results.
- In the instance that an installation self-declares it has an ISO 14001 conforming EMS in place, the Commander should approve the declaration and forward it through the appropriate chain of command to the IMA HQ, HQ AMC or HQ ARNG.

- If later EMS audit results demonstrate that this self-declaration is no longer valid, the Commander should sign a letter rescinding the declaration and forward it through the appropriate chain of command to the IMA HQ, HQ AMC or HQ ARNG; and update the EQR to reflect their current status.
- The ODEP is responsible for collecting, reviewing and maintaining a list of installations that have self-declared conformance with ISO 14001. This list will serve as the Army's official list of self-declared organizations.

Participation in Federal / State EMS Recognition Programs

Some states have developed their own EMS requirements that organizations can adopt in exchange for some degree of regulatory flexibility or external recognition. For example, the Commonwealth of Virginia's Environmental Excellence Program formally recognizes organizations that implement environmental management systems and has the authority to grant regulatory flexibility (such as a reduction in monitoring parameters) to the program's participants. Participation in this program, and others like it, is voluntary and may include several requirements that go beyond or differ from those in ISO 14001. If Army installations would like to take advantage of such programs, and the requirements (and audit requirements) differ from ISO 14001, EPAS allows installations to add any protocols that it would like to audit for conformance. For those individual EMS requirements that may not be captured in the Active Army Supplement protocols, the installations can add them into their EPAS requirements as a "local" requirement and track conformance along with the already existing ISO 14001 requirements.

Implementation Assistance

For additional information or implementation assistance related to this Army procedure, please contact: U.S. Army Environmental Center Hotline at 1-800-USA-3845 or email at aems@aec.apgea.army.mil.