

OVERVIEW OF ISO 14001:2015

Day 1 – Context and Leadership

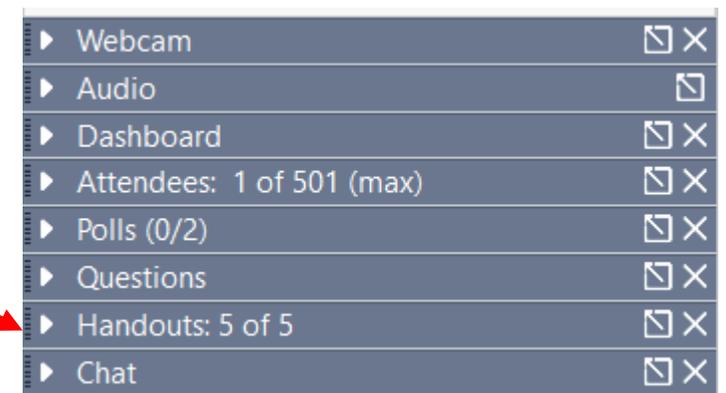
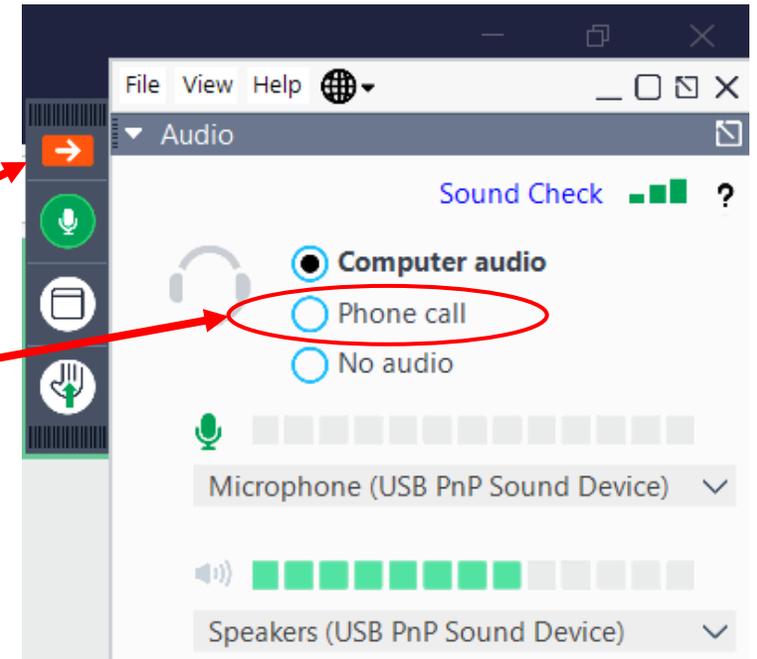






Webinar Housekeeping

- You can hide your GoToWebinar control panel by clicking the red arrow at the top
- If you have computer audio issues:
 - Suggest switch to phone (number and webinar code appear once chosen)
- Handouts available for download
 - Agenda
 - Slides
 - Design Guidance – EMS development
 - Food for Thought (Org. Context)
 - Exercise Worksheet
- Recording will shared and posted on website





Participation

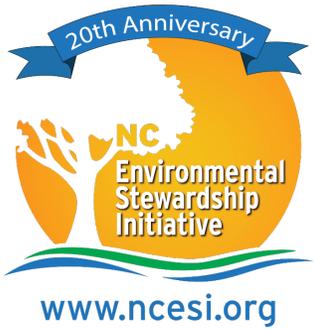
Mute/Unmute

- Everyone has been brought in muted (red)

How to Ask Questions/Comment:

- Please type in your question or raise your hand
- If you raise your hand we'll send you an unmute request

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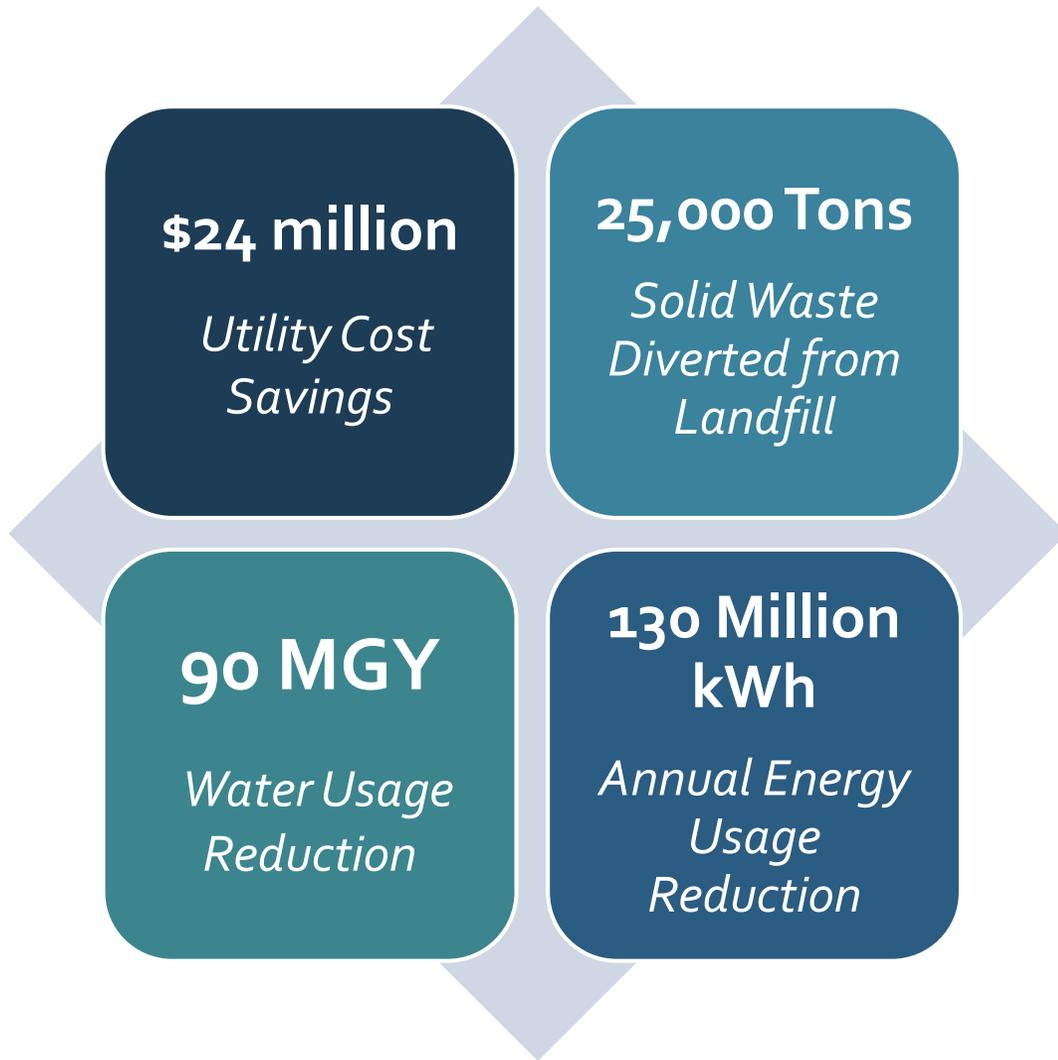


Agenda

- Welcome
- EMS and ISO 14001:2015 Overviews
- EMS Context & Interested Parties (Clause: 4.1 & 4.2)
- Scope & Leadership (Clause: 4.3 & 5.1)
- Policy (Clause: 5.2)
- Organizational Roles (Clause: 5.3)
- Final Q&A



WRP Performance Achievements – past 5 years



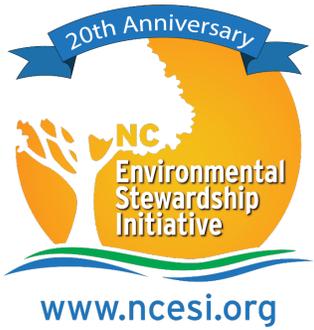
2021 Accomplishments

- 95 clients assisted
- 46 counties served
- 8,653 volunteer hours provided
- \$611,000 client utility savings
- 23,619 MMBtu client energy savings
- 5.9 MGY water usage reductions
- 5,109 tons solid waste diverted from landfills

Contact:

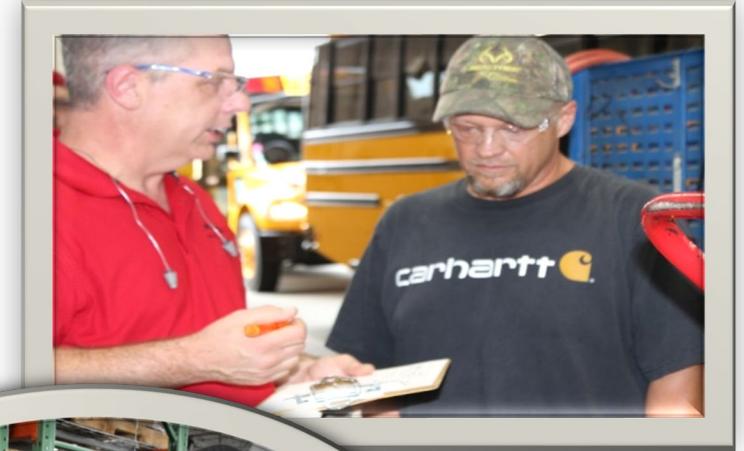
Terry Albrecht, PE, CEM
828 251-7475 or Talbrecht@wrpnc.org

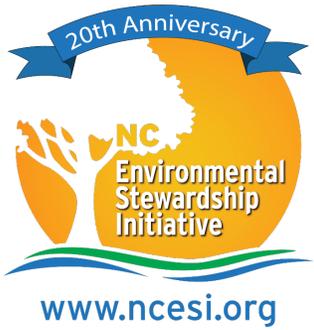
www.WasteReductionPartners.org



PEER-TO-PEER PROMOTION OF ENVIRONMENTAL EXCELLENCE

- Free and voluntary recognition and leadership program
- Promotes and supports outstanding environmental performance
- Oversight by DEQ Secretary and External Advisory Board
- Began in 2002 and mirrored EPA Performance Track
- 103 members at 203 sites





ESI Membership Levels

Stewards

- Set aggressive environmental goals
- Integrate EMS into core business functions
- Communicate with local community
- Agree to mentor other ESI members

Rising Stewards

- Demonstrate mature EMS
- Commit to go beyond compliance
- Set long-term environmental goals

Partners

- Not be under criminal indictment/conviction
- Establish environmental goals
- Report annually on goals & compliance

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*Membership requirements are additive as you move up the hierarchy, e.g. Stewards must also meet the member requirements at the Partner and Rising Steward levels



Program provides:

- Opportunities to network and share ideas
- Education sustainability and P2 topics
- EMS Assistance
- Technical/Compliance Assistance
- Tailor assistance to member needs/goals – ESI coach
 - Energy reduction (75)
 - Water use reduction (44)
 - Solid Waste (28)

2020 ESI MEMBERS' REPORTED RESULTS		
REDUCTIONS	Air Emissions	498 Tons
	Greenhouse Gas Emissions*	22,320 Metric Tons CO ₂ e
	Hazardous waste	723 Tons
	Landfilled waste	32,268 Tons
	Energy	8,203,092 mmBtu
	Water Use	1,290,141,538 Gallons
	Material Consumption	600 Tons
	Wastewater Pollutants	6,730 Tons
	Wastewater Volume	1,029,291,748 Gallons
REUSE	Biomass Recovery**	86,620 Tons
	Total Recycled Volume	341,881 Tons
TOTAL COST SAVINGS \$ 7,193,816		

*Indirect not reported in energy reductions

**Category created for compost/mulch related goals

[For more information contact:](#)

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Poll Questions



Well, yes, but
not today!

What is an EMS?

- Emergency Medical Service
- Emergency Management Services
- Express Mail Service
- Ethyl Methane Sulfonate
- Electronic Mail Service
- Excess Mileage Surcharge
- European Monetary System
- Earth and Mineral Sciences

NO

Environmental Management System



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A proven tool that is specifically designed to help an organization manage its activities and allow successful pursuit of its environmental policies and goals



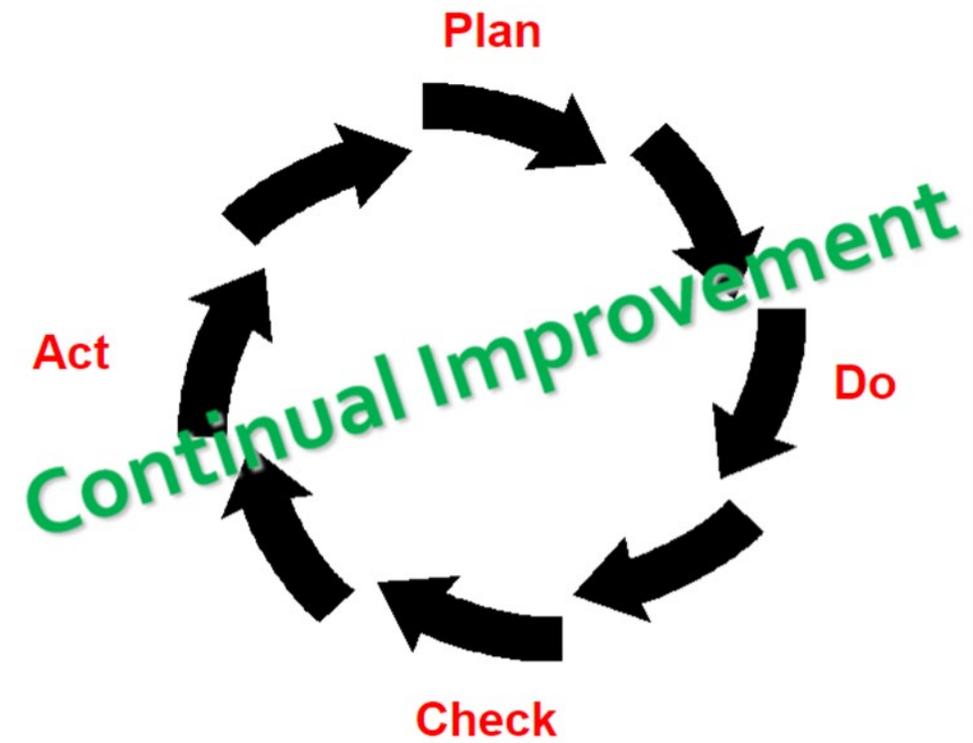
- Holistic approach to environmental activities and goals
- Provides a framework to manage, monitor, control and improve environmental performance
- ISO 14001 most common - 25 years of implementation and improvements
- Sustainability/Resiliency focus in 2015 version
- 2020 14001 certifications (181 countries):
 - U.S. - 3,768 organizations @ 7,764 sites
 - Worldwide – 348,473 certificates @ 568,798 sites
 - 12% increase from 2019 - mainly due to China
 - Second in implementation behind 9001 – 916,842 @ 1.3M sites; 50001 is 7th (19,721 certificates @45,082 sites)



What does an EMS do?

- Provides order/consistency to address environmental concerns
- Assures management, employees and external stakeholders that environmental impact is being measured and improved
- Vehicle for positive change and improved employee morale
- Competitive and financial advantage through improved efficiencies and reduced costs
- Helps to identify the root cause(s) of environmental nonconformance and noncompliance events
- Focuses on continual improvement

Why Implement an EMS?





Elements of ISO 14001:2015

6 Planning

- 6.1 Actions to address risks and opportunities
 - 6.1.1 General
 - 6.1.2 Environmental aspects
 - 6.1.3 Compliance obligations
 - 6.1.4 Planning action
- 6.2 Environmental objectives and planning to achieve them
 - 6.2.1 Environmental objectives
 - 6.2.2 Planning actions to achieve environmental objectives

Plan

5 Leadership

- 5.1 Leadership and commitment
- 5.2 Environmental policy
- 5.3 Organizational roles, responsibilities and authorities

7 Support

- 7.1 Resources
- 7.2 Competence
- 7.3 Awareness
- 7.4 Communication
 - 7.4.1 General
 - 7.4.2 Internal communication
 - 7.4.3 External communication
- 7.5 Documented information
 - 7.5.1 General
 - 7.5.2 Creating and updating
 - 7.5.3 Control of documented information

Do

8 Operation

- 8.1 Operational planning and control
- 8.2 Emergency preparedness and response

Continual Improvement

9 Performance evaluation

- 9.1 Monitoring, measurement, analysis and evaluation
 - 9.1.1 General
 - 9.1.2 Evaluation of compliance
- 9.2 Internal audit
 - 9.2.1 General
 - 9.2.2 Internal audit program
- 9.3 Management review

Check

10 Improvement

- 10.1 General
- 10.2 Nonconformity and corrective action
- 10.3 Continual improvement

Act

4 Context of Organization

- 4.1 Understanding the organization and its context
- 4.2 Understanding the needs & expectations of interested parties
- 4.3 Determining the scope of the EMS
- 4.4 Environmental management system



Comparison of 2004 and 2015 Standards

2004	2015
6 Pages	11 Pages
18 Elements	32 Elements
12 Mandatory Documents/Records	15 Mandatory Documents/Records
60 "Shall" statements	80 "Shall" statements



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Good to Review

Environmental management systems — Requirements with guidance for use

- Terms & Definitions (3.1 – 3.4)
 - 3.1.5 top management – person or group of people who directs and controls an organization (3.1.4) at the highest level
 - ✓ Note 1 to entry: Top mgt. has the power to delegate authority and provide resources within the organization
 - ✓ Note 2 to entry: If scope of the management system (3.1.1) covers only part of an organization, then top management refers to those who direct and control that part of the organization.



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Good to Review

- Annex A – Guidance on the use of the standard
 - A.1 – General information
 - A.3 Clarification of Concepts - provided to prevent misunderstanding
 - ✓ The word “consider” means it is necessary to think about the topic but it can be excluded; whereas “take into account” means it is necessary to think about the topic but it cannot be excluded.
 - ✓ The word “ensure” means the responsibility can be delegated, but not the accountability.
 - We’ll try and highlight areas when we go through the standard where concepts clarify its requirements
 - Annex also provides guidance for each of the clauses, if appropriate

CONTEXT & LEADERSHIP OF THE ORGANIZATION

Clause 4 Context of the Organization

4.1, 4.2, 4.3, 4.4

Clause 5 Leadership

5.1, 5.2, 5.3

Sustainability and ISO 14001



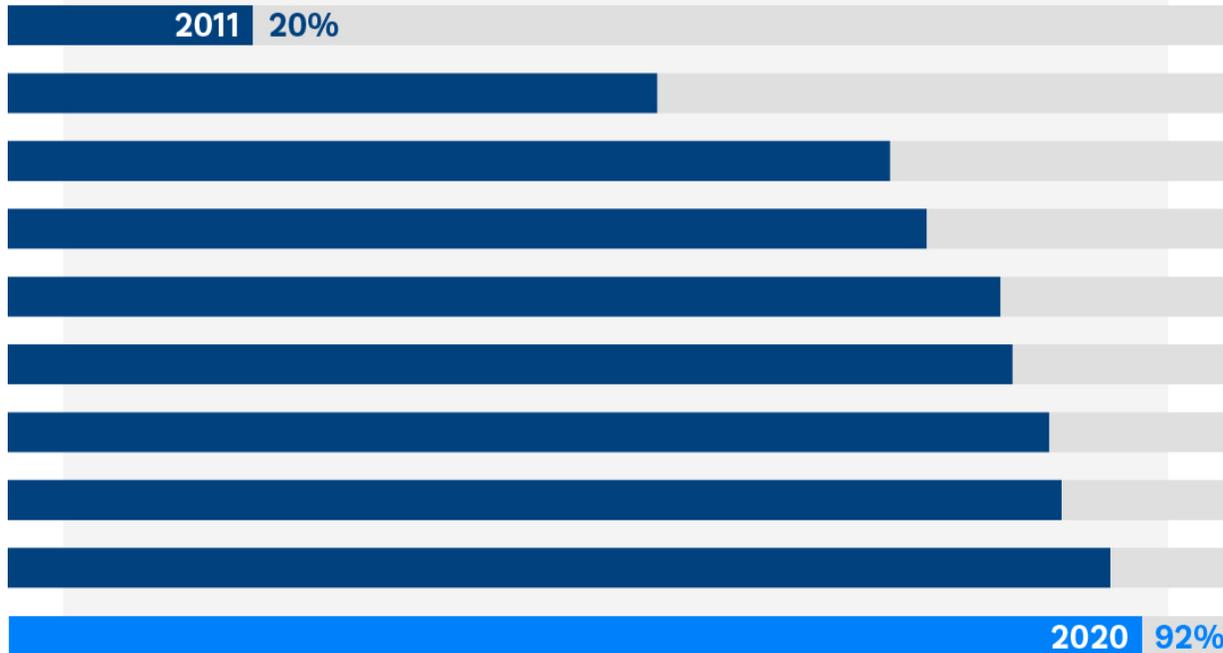
Increased societal expectations for:

- Sustainable development
- Transparency/Accountability
- Increasingly stringent legislation

Other factors driving sustainability:

- Pressure on the environment from pollution
- Inefficient use of resources
- Improper waste management
- Degradation of ecosystems/loss of biodiversity

S&P 500® COMPANIES INCREASED SUSTAINABILITY REPORTING FOR 10 YEARS STRAIGHT.



Source: Governance & Accountability Institute, Inc. 2020 Research - ga-institute.com

Sustainability and ISO 14001

- 2021 Governance & Accountability Institute, Inc. research found that 92% of the S&P 500 companies published a sustainability report in 2020, up from 90% in 2019.
- Increased from ~20% of companies reporting in 2011
- This research shows that corporate sustainability reporting has clearly been adopted as a best practice by the largest U.S. public companies.



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Sustainability in ISO 14001

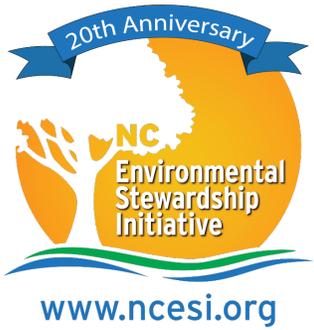
- Protecting the environment by preventing/mitigating adverse environmental impacts
- Mitigating potential adverse effect of environmental conditions on the organization
- Assisting the organization in the fulfillment of its compliance obligations
- Enhancing environmental performance
- Achieving financial and operational benefits that can result from environmentally sound alternatives
- Responding to changing environmental conditions in balance with socio-economic needs
- Communicating environmental information





Key concepts in ISO 14001:2015 related to sustainability

- Organizational context – how your organization affects and is affected by the environment, society, economics
- Interested parties – knowing who is interested in your operations and how to meet/exceed their expectations
- Life Cycle Perspective – looking cradle to grave to identify aspects/impacts
- Risk/Opportunities – can be related to environmental aspects, compliance obligations or needs and expectations of interested parties
- Leadership – larger commitment by top management to understand these concepts and their impacts on the organization and its EMS
- Increased alignment of the EMS with strategic direction of the organization



4 Context of the Organization

4.1 – Understanding the organization and its context

EMS

4.2 – Understanding the needs and expectations of interested parties

Scope

4.3 – Determining the scope of the EMS

Context

Interested Parties

4.4 – Environmental Management System

External Issues

Internal Issues

Customers

Suppliers

Regulatory

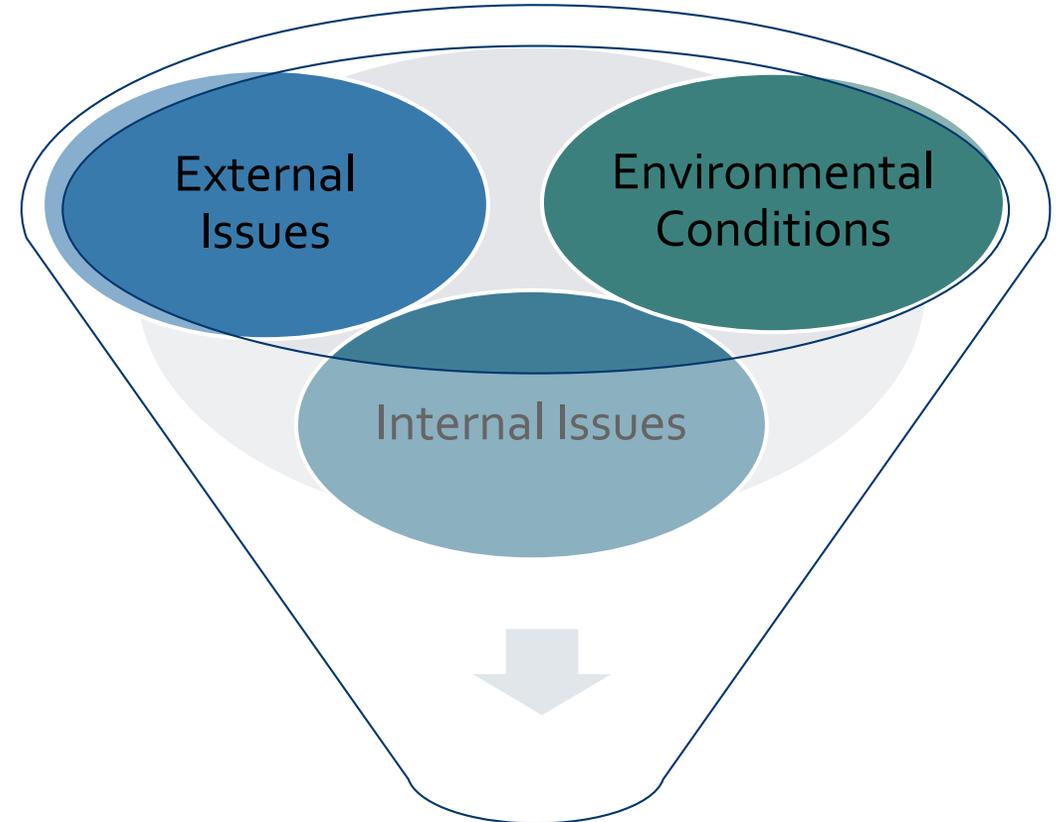


4.1 Understanding the Organization and its Context

- Organization **shall** determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcomes of the EMS
- Such issues **shall** include environmental conditions being affected by or capable of affecting the organization

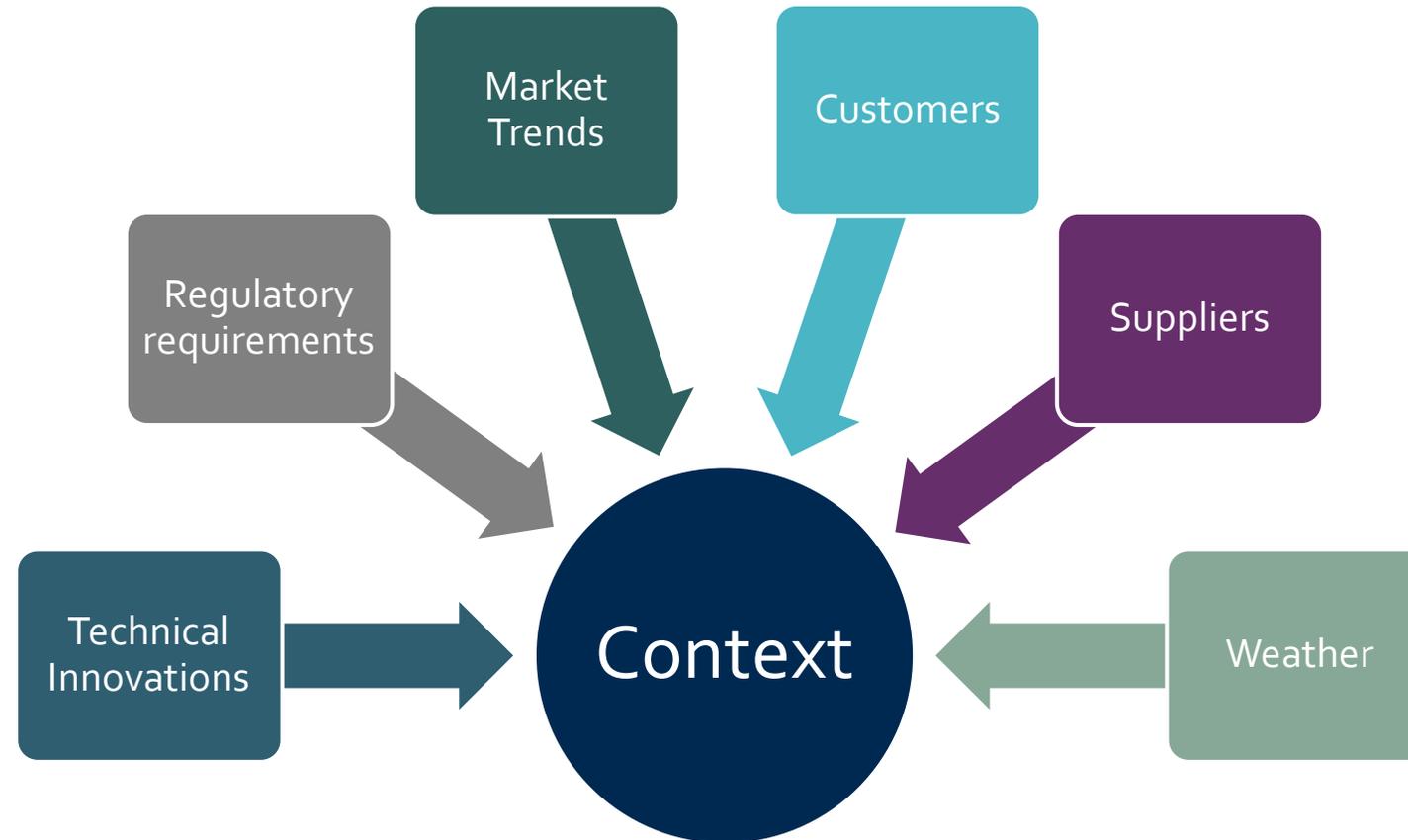
4.1 Understanding the Organization and its Context

- Organizations do not operate within a bubble
- Context review is a high-level conceptual understanding
- Issues that can affect either positively or negatively the way your organization manages its environmental responsibilities
- Can impact successful implementation of an EMS – one-size does not fit all



Organizational Context

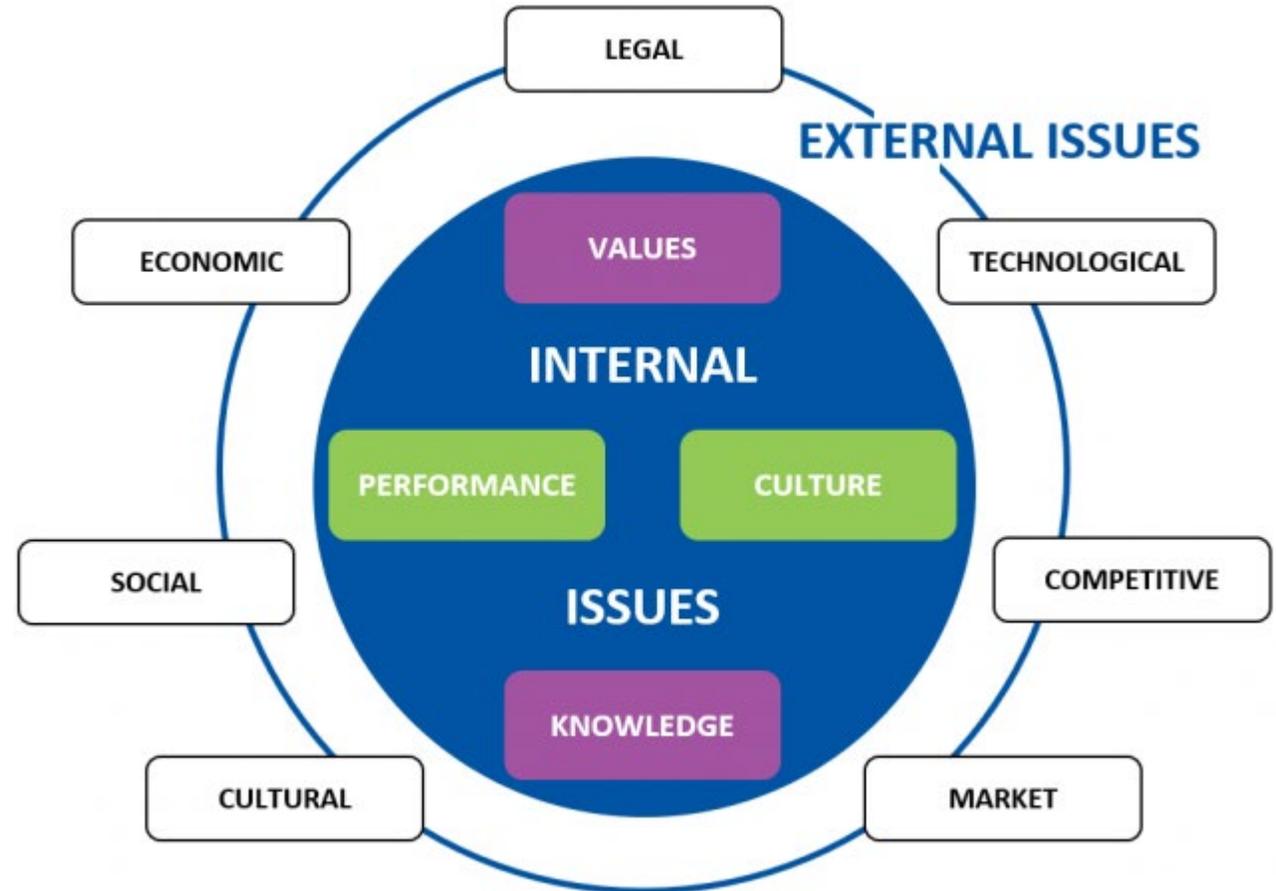
4.1 Understanding the Organization and its Context (cont'd)



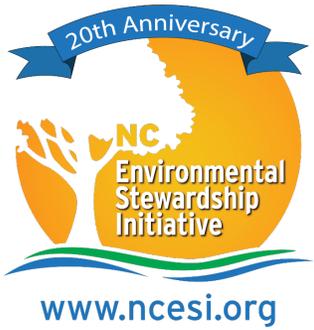
4.1 Understanding the Organization and its Context (cont'd)

- Examples of **external** issues:

- Cultural
- Social
- Political
- Legal and regulatory
- Financial
- Economic
- Technological
- Supply Chain
- Natural resources
- Weather
- Climate change
- Environmental







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Events Page



ESI Events



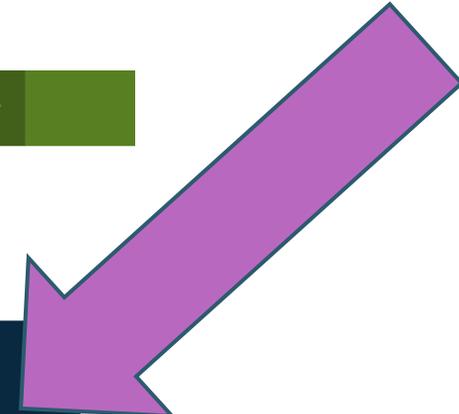
ESI Annual Conference
Learn about this year's annual conference and see archived presentations from previous conferences



Hazardous Materials Roundtables
Learn about upcoming events and see presentations from past roundtables



Energy Management Series
Watch the latest in the Energy Efficiency Series



Environmental Management System Training
Learn about EMS training and other resources for your business or organization



ESI Networking Events
Learn about upcoming events and see presentations from past Environmental Benchmarking Series events



Other ESI Events and Resources
Learn about upcoming webinars and other events, and view past presentations and recordings

<https://register.gotowebinar.com/register/1695981715776360203>



4.1 Understanding the Organization and its Context (cont'd)

Examples of **internal** issues can include:

- Core business objectives and strategy
- Organization's activities, products and services,
- Internal Resources (labor, financial, etc..) affecting the organization
- Environmental management system maturity and culture
- Maturity of existing technology
- Operational risks and liability considerations
- Organizational capabilities (i.e. work force, institutional knowledge, processes, systems, training, corporate requirements)

4.1 Environmental Conditions



- ISO 14001:2015 requires you to determine the environmental conditions that can either affect or be affected by the organization
 - Examples can include weather, climate change, air quality, water quality/consumption, land use, existing contamination, natural resource availability and biodiversity
 - Can affect the organization's mission, be affected by its environmental aspects, or can play a role in the life cycle of the organization's products and services

Environmental Considerations:

Examples can include climate (change), air quality, water quality, land use, existing contamination, natural resource availability and biodiversity that can affect the organization's mission, be affected by its environmental aspects, or can play a role in the life cycle of the organization's products and services.

Climate:

- Do large scale climate fluctuations/changes have an effect on your operations, raw materials, disposal options?
- Does local weather have an impact on production, services, facility equipment? Is the local area susceptible to drought, flooding, tornadoes, hurricanes?
- Is the facility located in a floodplain or within a noted FEMA flood zone? Consult <http://www.ncfloodmaps.com/> if needed.

Air Quality:

- Does the facility have process air emissions that are subject to regulation? Is a permit required, is registration required, or are emissions exempted?
- Is facility located in a non-attainment area for a priority pollutant? Does this affect expansion?
- Are there power generation facilities on site? Are they regulated? Is permitting required?
- Is a Risk Management Plan required for use of extremely hazardous substances as noted under Section 112(r) of the CAA?
- Could local ozone action days affect facility employees and required job functions?
- Is there equipment on site with Freon or other refrigerants that require special handling?

External Considerations:

Examples can include the cultural, social, political, legal, regulatory, financial, technological, economic, natural and competitive circumstances that can be international, national, regional, or local in nature.

Legal:

- Do we have any legal requirements from legacy contamination?
- Do we have any legal requirements from historic/current waste disposal (e.g. Superfund)?
- Do we have any active litigation due to environmental considerations?
- Have we identified our legal obligations from emergency situations?

Internal Considerations:

Examples include internal characteristics or conditions of the organization such as its activities, products and services, strategic direction, culture and capabilities (i.e. people , knowledge, processes, systems).

Work Force:

- Are there language barriers that could affect our environmental performance?
- What are our training requirements and who will provide it?
- Will our culture support implementation/continual improvement of an EMS? How can we overcome cultural barriers?

Corporate:

- What are the corporate requirements for environmental performance?

Design Guide – Food for Thought



4.1 Understanding the Organization and its Context

- You will need to **determine how to identify** internal and external issues relevant to the EMS – who will be involved and how often the context should be evaluated
- Make a **decision about documenting** the requirement – not required by the standard - Your rationale should be evident



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References to Organizational Context

- Standard requires you to consider the organizational context when developing the scope of the EMS
- Notes that the environmental policy and environmental objectives be compatible with the context
- Requires you consider your organizational context when
 - planning for the EMS
 - identifying risks and opportunities to the organization and the EMS
 - review changes to internal/external issues during the management review





Context in EMS Manual

If you already have documentation such as a strategic plan that may contain this information don't reinvent the wheel – reference it

CONTEXT (external issues)

Plant Orientation

██████████ is located at ██████████ Road, Goldsboro, North Carolina with a population of approximately 37,000, situated southwest of Seymour Johnson Air Force Base. ██████████ is a two-story facility where the offices are situated on the second story with the remaining facility dedicated to manufacturing. The total plant area is approximately 113,000 sq. ft. comprised of the departments: Rubber Manufacturing, Metal Press, Metal Treatment, MG, Hub Seal, Seal Wash, Gasket Manufacturing, Inspection, Maintenance, QA, and Logistics. Immediately to the east is ██████████, to our west is a Duke Energy plant. *(No external interested party complaints/issues identified)*

██████████ considers the following to be other interested parties: Employees/Families, Customers, Suppliers, Local Community, and all Vendors/Contractors.

Site (Compliance)

██████████ manufactures automotive gasket and seals using metal and rubber products. Some external interested parties that lead to compliance obligations that can have relevance at the international, national, state and local levels include NC DEQ who regularly inspect and possibly responds to complaints. More specifically, the Division of Air Quality enforces air permit requirements, NC DEQ Division of Waste Management enforces EPA ID, Hazardous Waste (SQG), National Pollutant Discharge and Elimination System, and Resource



Context in an SOP

8.3 External

The Zoo is a state agency in the North Carolina Department of Natural and Cultural Resources (DNCR). Its Operating and Capital budgets including both appropriated funds and revenue generated on-site are set by the North Carolina General Assembly. As such, the Zoo is subject to the North Carolina General Statutes and Administrative Code. The Zoological Park Council appointed by the Governor advises the Zoo Director and the Secretary of DNCR on Zoo matters including fees. The North Carolina Zoological Society, the Zoo's nonprofit support organization provides operating and capital funds from its members and donors.

The Zoo contracts with Service Systems of America (SSA) for Food Concession and Catering and with the North Carolina Zoological Society for Gift Operations.

The Zoo is licensed by the US Department of Agriculture to hold and display animals and accredited by the Association of Zoos and Aquariums.

The Zoo receives support from the Randolph County Tourism Development Authority (TDA), the Asheboro/Randolph Chamber of Commerce, the City of Asheboro, Randolph County and other community groups for marketing and public awareness.



Context in an SOP – SWOT Analysis

- Overview
- External and Internal Issues
 - Internal Strengths
 - Internal Weaknesses
 - External Opportunities
 - External Threats

<p>Strengths</p> <p>Characteristics of a business which give it advantages over its competitors</p>	<p>Weaknesses</p> <p>Characteristics of a business which make it disadvantageous relative to competitors</p>
<p>Opportunities</p> <p>Elements in a company's external environment that allow it to formulate and implement strategies to increase profitability</p>	<p>Threats</p> <p>Elements in the external environment that could endanger the integrity and profitability of the business</p>

Uncontrolled Document

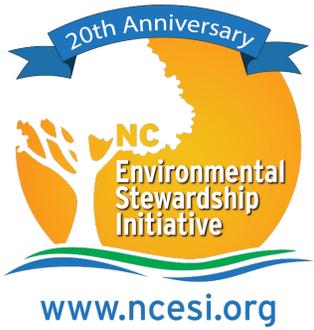
Revised: 6/12/17

Last Review: 6/12/17

Obsolete as of 2/26/2018 8:21

Aspects and PESTLE List

Aspect	PESTLE Political, Economic, Social, Technological, Legal, Ecological)	Potential Impact (Internal & External Relevance)	Within Functional and Physical Boundary?	Needs & Expectations/ Legal Requirement	Corporate or Plant Requirement	Risks & Opportunities/ Professional Analysis	Cost to Manage >\$250K/yr	Significa Aspect
Environmental Aspects								
Chemical Usage, Chemical Storage and Releases	Ecological Legal	Resource depletion (I/E) Discharges to Land, Water, Air (I/E) Climate Change (E) Risk Management (I) Audits (I/E)	Yes Yes Yes Yes Yes	Annual SARA Reporting – 312 Tier II and 313 Form R DOT (49CFR) EPCRA (LEPC) TSCA Training	Enter usage of SARA 313 chemicals monthly into DataStream – Corp. Internal Audits <i>List of procedures here</i>	(R) Significant hazards assoc. with chemicals used at both sites, Fines and Penalties (O) Purchase less hazardous chemicals, test response plans		Yes
Oil Storage – Tanks, Containers and Equipment	Ecological Legal	Discharges to Land, Water, Air (I/E) Risk Management (I) Audits (I/E)	Yes Yes Yes	SPCC - Annual Review and update of plan as needed, monthly inspections of oil spill containers Training	Internal Audits <i>List of procedures here</i>	(R) Significant hazards assoc. with releases, Fines and Penalties (O)		No
Energy Usage	Ecological Legal	Resource depletion (I&E) Operating Cost (I) Air emissions (I/E) Climate Change (E) Audits (I/E)	Yes Yes Yes No Yes	Not regulated except that air emissions from direct usage of natural gas are regulated (see Outputs: Air Emissions)	Corporate goal to reduce greenhouse gas emissions by 25% by 2020; required to enter usage monthly into DataStream – Corp.	(R) High utility cost (O) Potential energy reductions through lighting changes, chiller and HVAC upgrades (KM only), improved		Yes



4.2 Understanding the needs and expectations of interested parties

Organization *shall* determine:

- Interested parties (internal and external) that are relevant to the EMS
- Relevant needs and expectations (requirements) of these interested parties
- Which of these needs and expectations become its compliance obligations

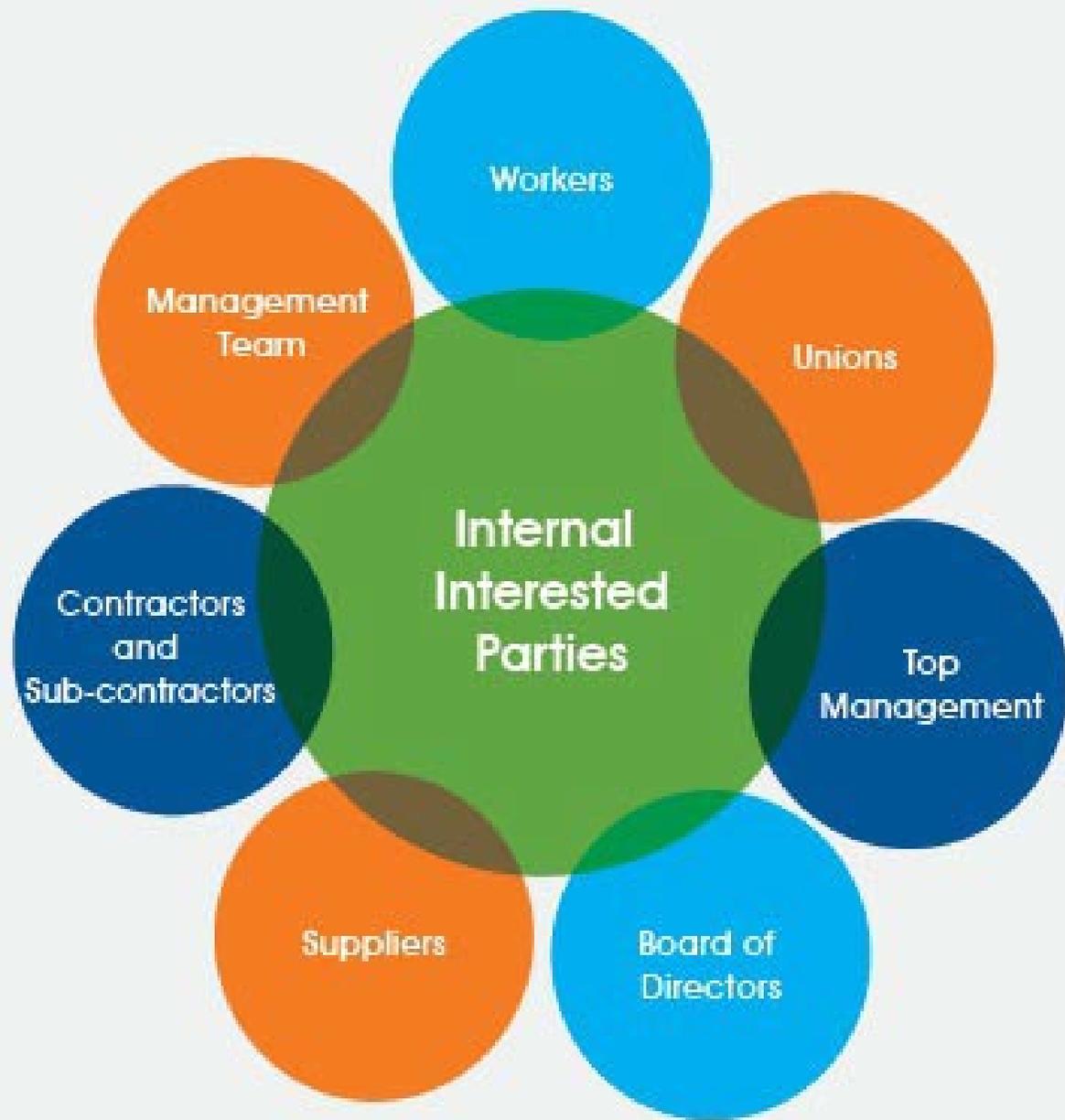
YOU choose what is relevant and what becomes a compliance obligation

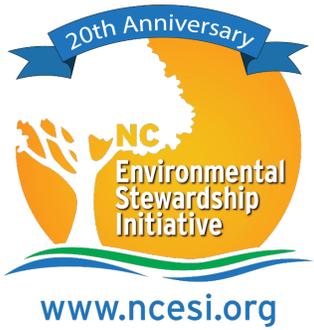
4.2 Understanding the Needs and Expectations of Interested Parties

The standard defines an interested party as:

- A person or organization that can affect, be affected by, or perceive itself to be affected by a decision or activity
- “To perceive itself to be affected” means the perception has been made known to the organization







4.2 Understanding the Needs and Expectations of Interested Parties

Standard defines compliance obligations as:

- ✓ Legal requirements that an organization has to comply with
- ✓ Other requirements that an organization chooses to comply with

Can arise from mandatory requirements (laws, regulations, administrative codes) or voluntary commitments (organizational or industry standards, contractual relationships, or agreements with community groups)



4.2 Understanding the Needs and Expectations of Interested Parties

- You will need to **determine** who are the **interested parties** to your EMS and **what are their expectations/needs**. You also need to determine who will be involved in this determination and how often your interested parties will be reviewed.
- You will also need to **determine** which of the identified needs and expectations will become **compliance obligations**.
- Make a **decision about documenting** this review –
Documentation not required by the standard - Your rationale should be evident



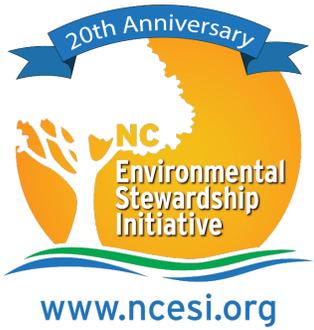
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4.2 – References to Interested Parties and Compliance Obligations

- Standard requires you to consider your compliance obligations when developing the scope
- Notes that your environmental policy and **scope** be available to interested parties*
- Requires that you provide relevant information and training related to emergency preparedness/response as appropriate to interested parties including those working under its control
- Requires you consider your interested parties/compliance obligations when
 - planning for the EMS
 - identifying risks and opportunities to the organization and the EMS as appropriate
 - Consider changes to needs/expectation of interested parties during Mgt. review



Organization Context Exercise

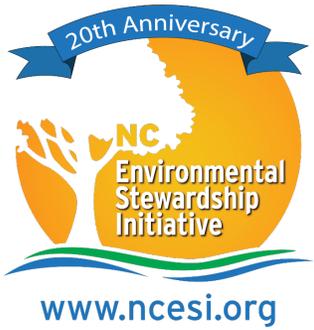


4.3 Determining the Scope of the Environmental Management System

Organization **shall** determine boundaries and applicability of the EMS to establish its scope

Organization **shall** consider the following when determining scope:

- External and Internal issues defined in 4.1
- The compliance obligations defined in 4.2
- Its organizational units, functions, and physical boundaries
- Its activities, products, and services
- Its authority and ability to exercise control and influence



4.3 Determining the Scope of the Environmental Management System

Once the scope is defined – then all activities, products, and services of the organization within that scope need to be included in the EMS

The scope *shall*:

- Be maintained as *documented information*
- Be available to interested parties



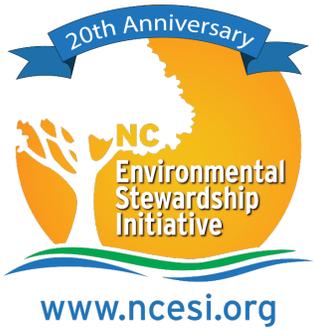
4.4 Environmental Management System

To achieve the intended outcomes including enhancing its environmental performance the organization ***shall:***

- Establish, implement, maintain, and continually improve an EMS including the processes needed and their interactions

Organization ***shall:***

- Consider the knowledge gained by the evaluations of the organization's context (4.1) and needs & expectations of interested parties (4.2) when establishing and maintaining the EMS

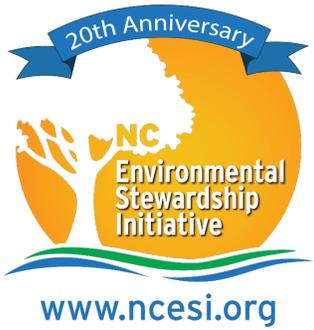


Clause 5 - Leadership

5.1 – Leadership and commitment

5.2 – Environmental Policy

5.3 – Organizational roles, responsibilities and authorities



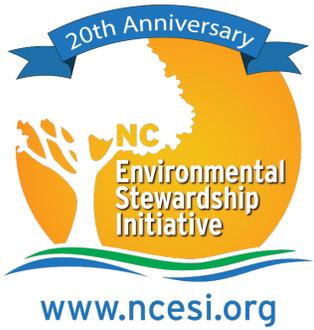
Clause 5 Leadership

- An EMS is not successful without commitment from all levels and functions led by top management
- Top management – defined as person or group of people who directs and controls an organization at the highest level
- Have the power to delegate authority and provide resources within the organization

5.1 Leadership and Commitment

- Intent - top management **should direct** or be **personally involved** in specific responsibilities related to the EMS to demonstrate leadership and commitment
- Top management **can delegate** responsibilities but **must retain accountability** for ensuring actions are performed

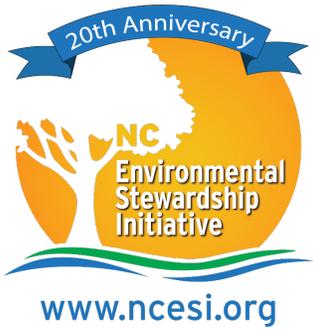




5.1 Leadership and Commitment

Top Management *shall* demonstrate leadership and commitment with respect to the EMS by:

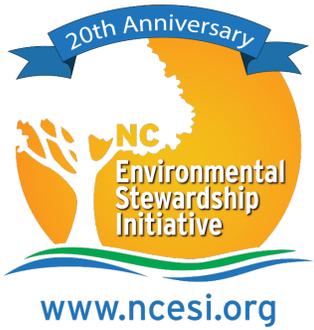
- Taking accountability for the effectiveness of the EMS
- Ensuring the environmental policy and objectives are established and compatible with the strategic direction and context of the organization
- Ensuring the integration of the EMS requirements into the organization's business processes
- Ensuring that the resources needed for the EMS are available



5.1 Leadership and Commitment (cont'd)

Top Management *shall* demonstrate leadership and commitment to the EMS by:

- Communicating the importance of effective environmental management and of conforming to the EMS's requirements
- Ensuring that the EMS achieves its intended outcomes
- Directing and supporting persons to contribute to the effectiveness of the EMS
- Promoting continual improvement
- Supporting other management (**middle managers**) in demonstrating leadership as it applies to their areas of responsibility



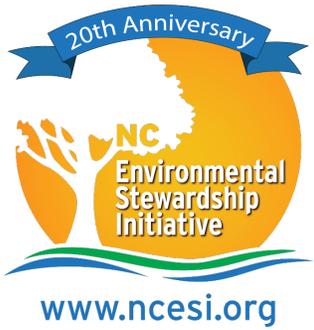
5.1 Leadership and Commitment (cont'd)

Leadership and commitment can be shown by:

- Aligning the environmental management system with the organization's business objectives
- Ensuring the necessary resources are available
- Encouraging employees and other relevant interested parties to become actively involved in improving environmental performance (EMS Team, Earth Day events)
- Involving everyone in environmental decisions that affect them
- Promoting open discussion about environmental performance

The organization can improve the environmental culture, by:

- Providing clear and consistent leadership
- Promoting formal and informal involvement of employees



5.1 Leadership and Commitment

- Standard requires leadership to demonstrate nine (9) different items in section 5.1
- Was there a documentation requirement?

NO

- You will need to decide how will you demonstrate to third-party or ESI program auditors that you have met this requirement of the standard
- Mgt. should expect to be interviewed during your recertification audit



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Leadership Example

Management Responsibility List:

CEO

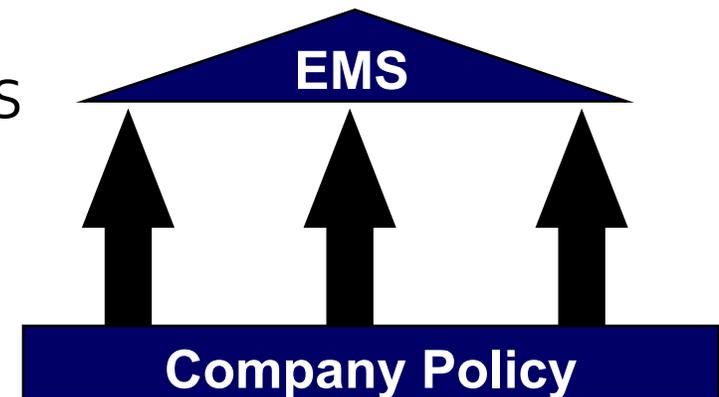
- Provide leadership for company
- Chair management review meetings
- Provide for adequate resources to support business goals and objectives
- Verify and Approval authority of QMS & EMS controlled documents**
- Review all department activities and plans
- Develop and maintain quality program
- Maintain customer relations
- Promote Safety

Vice President

- Formulate and support quality & environmental/safety policy statement
- All Plant operations
- Monitor and control production and support processes
- Review all department activities and plans
- Develop and maintain quality program
- Maintain customer relations
- Promote Safety
- Assist in establishing, implementing & maintaining QMS per IATF 16949 Technical Specification
- Assist in establishing, implementing & maintaining EMS per ISO14001 Specification

5.2 Environmental Policy

- Top Management **shall** establish, implement, and maintain an environmental policy within the scope defined in 4.3 that:
 - Is appropriate to the purpose and context of the organization
 - Provides a framework for setting environmental objectives
 - Includes commitment to protection of the environment including prevention of pollution and other specific commitments relevant to the organization
 - Includes a commitment to fulfill its compliance obligations
 - Includes a commitment to continual improvement of the EMS
- Environmental policy **shall** be
 - maintained as **documented information**
 - communicated within the organization
 - available to interested parties





Management Defines Policy

- Element 5.2
- Must include 3 commitments:
 - Protection of Environment including Prevention of Pollution
 - Fulfill Compliance Obligations
 - Continual Improvement
- Must be communicated within organization
- Must be available to Interested Parties

**“THERE’S A DIFFERENCE BETWEEN
INTEREST AND COMMITMENT.**

**WHEN YOU’RE INTERESTED IN DOING
SOMETHING, YOU DO IT ONLY
WHEN IT’S CONVENIENT.**

**WHEN YOU’RE COMMITTED TO
SOMETHING, YOU ACCEPT NO
EXCUSES; ONLY RESULTS.”**

– KENNETH BLANCHARD



5.3 Organizational Roles, Responsibilities, & Authorities

Top Management ***shall*** ensure responsibilities and authorities for relevant roles are assigned and communicated within the organization

Top Management ***shall*** assign the responsibility and authority for:

- ✓ Ensuring the EMS conforms to the ISO 14001 standard
- ✓ Reporting on performance of the EMS to top management



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