

CONTENTS

Volume 1

Note: A summary table of contents is provided here. Detailed tables of contents precede each tab.

List of Acronyms

Introduction Intro-1

Green Acres Hotel and Resort Case Study Intro-17

Heartland Automotive Manufacturing Case Study ... Intro-21

◆ ISO 14000 OVERVIEW

1 ISO 14000 Overview 1-1

◆ GETTING STARTED

2 Getting Started 2-1

Green Acres Case Study 2-20c

Case Sample 2-1 Gap Analysis Summary 2-21

Heartland Automotive Case Study 2-33

Case Sample 2-2 Gap Analysis Work Plan 2-37

Task List 2

Appendix

◆ ENVIRONMENTAL POLICY

3 Environmental Policy (Clause 4.2)3-1
 Green Acres Case Study3-17
 Case Sample 3-1 Environmental Policy.....3-19
 Heartland Automotive Case Study3-23
 Case Sample 3-2 Environmental Policy.....3-25
 Task List 3
 Appendix

◆ PLANNING

4 Environmental Aspects (Clause 4.3.1)4-1
 Green Acres Case Study4-35
 Case Sample 4-1 List of Functional Areas and
 Associated Activities and
 Services.....4-39
 Case Sample 4-2 Environmental Aspects for
 Hotel Operations.....4-45
 Case Sample 4-3 Environmental Aspect
 Significance Criteria and
 Rating Scheme4-51
 Case Sample 4-4 Significance Evaluation Matrix
 (Hotel Operations)4-55
 Case Sample 4-5 List of Significant Environmental
 Aspects.....4-65
 Case Sample 4-6 Environmental Aspect
 Identification and Evaluation
 Procedure4-69

	Heartland Automotive Case Study.....	4-77
Case Sample 4-7	Environmental Aspects Identification and Significance Determination Procedure.....	4-89
Case Sample 4-8	Updating Environmental Aspects and Impacts Procedure.....	4-102
Case Sample 4-9	Environmental Aspects and Impacts Register	4-105
Task List 4		
Appendix		
5	Legal and Other Requirements (Clause 4.3.2).....	5-1
	Green Acres Case Study	5-15
Case Sample 5-1	List of Applicable Legal and Other Requirements.....	5-17
Case Sample 5-2	List of Hazardous Waste Compliance Tasks.....	5-23
	Heartland Manufacturing Case Study	5-29
Case Sample 5-3	Legal and Other Requirements	5-35
Task List 5		
Appendix		
6	Objectives, Targets, and Programs (Clause 4.3.3)	6-1
	Green Acres Case Study	6-34
Case Sample 6-1	Environmental Management Program for Solid Waste Reduction.....	6-39
Case Sample 6-2	List of Objectives and Targets.....	6-43
Case Sample 6-3	Summary Table: Aspects, Objectives and Targets, Operational Controls, and Monitoring and Measurement.....	6-47

Heartland Automotive Case Study	6-51
Case Sample 6-4 Objectives and Targets	6-65
Case Sample 6-5 Environmental Management Program.....	6-71
Case Sample 6-6 Environmental Management Program for Scrap Steel Reduction	6-77

Task List 6

◆ IMPLEMENTATION PART 1

7 Resources, Roles, Responsibility and Authority (Clause 4.4.1).....	7-1
Green Acres Case Study	7-25
Case Sample 7-1 Organizational Chart Showing Key EMS Personnel.....	7-29
Heartland Automotive Case Study	7-33
Case Sample 7-2 Structure and Responsibility	7-39
Case Sample 7-3 EMS Roles and Responsibilities Table.....	7-43

Task List 7

8 Competence, Training, and Awareness (Clause 4.4.2)	8-1
Green Acres Case Study	8-31
Case Sample 8-1 EMS Training Matrix	8-33
Heartland Automotive Case Study	8-43
Case Sample 8-2 Competence, Training, and Awareness,	8-49
Case Sample 8-3 Environmental Training Needs Matrix	8-55

Task List 8

9	Communication (Clause 4.4.3).....	9-1
	Green Acres Case Study	9-17
	Case Sample 9-1 External Communications Procedure	9-21
	Case Sample 9-2 Memo Regarding External Communication of Significant Environmental Aspects	9-29
	Heartland Automotive Case Study.....	9-33
	Case Sample 9-3 Internal Communication	9-37
	Case Sample 9-4 External Communication	9-43
	Task List 9	

Volume 2

◆ IMPLEMENTATION PART 2

10	EMS Documentation (Clause 4.4.4)	10-1
	Green Acres Case Study	10-13
	Case Sample 10-1 EMS Development Tracking Tool.....	10-14c
	Case Sample 10-2 EMS Manual.....	10-15
	Heartland Automotive Case Study.....	10-39
	Case Sample 10-3 EMS Documentation	10-43
	Case Sample 10-4 EMS Documentation (Procedures).....	10-49
	Case Sample 10-5 EMS Documentation (Documents).....	10-55
	Task List 10	

11 Control of Documents (Clause 4.4.5).....11-1
Green Acres Case Study11-25
Case Sample 11-1 Document Control Matrix..... 11-27
Case Sample 11-2 Document Control Procedure
(External Documents)..... 11-39
Case Sample 11-3 Document Control Procedure
(New Documents)..... 11-45
Case Sample 11-4 Document Control Procedure
(Document Revisions) 11-53
Case Sample 11-5 Document Control Procedure
(Deletion of Documents) 11-59
Case Sample 11-6 EMS
Development Tracking Tool..... 1-65
Heartland Automotive Case Study11-77
Case Sample 11-7 Control of Documents..... 11-81

Task List 11

12 Control of Records (Clause 4.5.4).....12-1
Green Acres Case Study12-18
Case Sample 12-1 Records Management Matrix..... 12-23
Case Sample 12-2 Records Management Procedure ... 12-35
Heartland Automotive Case Study12-45
Case Sample 12-3 Records 12-51
Case Sample 12-4 Matrix 12-57

Task List 12

◆ IMPLEMENTATION PART 3

13 Operational Control (Clause 4.4.6) 13-1

Green Acres Case Study 13-14

Case Sample 13-1 Operational Procedure for
Unloading of Gasoline..... 13-17

Heartland Automotive Case Study..... 13-21

Case Sample 13-2 Operational Control Procedure 13-29

Case Sample 13-3 Sample Area Specific Control 13-35

Task List 13

Appendix

14 Emergency Preparedness and Response

(Clause 4.4.7) 14-1

Green Acres Case Study 14-21

Case Sample 14-1 Emergency Contact Manual 14-23

Heartland Automotive Case Study..... 14-29

Case Sample 14-2 Emergency Preparedness
Response..... 14-35

Task List 14

Appendix

◆ CORRECTIVE ACTION

**15 Monitoring and Measurement (Clause 4.5.1)
and Evaluation of Compliance (Clause. 4.5.2)15-1**
 Green Acres Case Study15-22
 Case Sample 15-1 Regulatory Compliance Table 15-25
 Case Sample 15-2 Calibration Procedure 15-29
 Case Sample 15-3 Environmental Objective and
 Target Review Procedure 15-35
 Heartland Automotive Case Study 15-41
 Case Sample 15-4 Monitoring and Measurement 15-45

Task List 15

**16 Nonconformity and Corrective and
Preventive Action (Clause 4.5.3).....16-1**
 Green Acres Case Study 16-27
 Case Sample 16-1 Corrective and Preventive
 Action Report 16-29
 Case Sample 16-2 Nonconformity and Corrective
 and Preventive Action Procedure 16-33
 Heartland Automotive Case Study 16-39
 Case Sample 16-3 Nonconformity and Corrective and
 Preventive Action 16-43
 Case Sample 16-4 Environmental Action
 Request Form..... 16-51

Task List 16

Appendix

◆ CERTIFICATION

19 Certification.....19-1
 Green Acres Case Study19-23
 Task List 19

◆ FREQUENTLY ASKED QUESTIONS

Frequently Asked Questions

List of Questions by Number,
with Question Summaries FAQ List-i
Index of Questions by Topic FAQ Topic Index-i
Index of Questions by ClauseFAQ Clause Index-i
Questions.....FAQ-1

◆ BEYOND ISO 14001

20 Unifying ISO 9001 and ISO 14001 Systems.....20-1

21 ISO 14001 and Health and Safety Management21-1
 Appendix

22 Continual Improvement22-1
 Continual Improvement Case Study22-21
 The Case of the Excellent Spill Response.....22-21
 The Case of the New Manager.....22-31

Appendices

Appendix 2A	ISO 14001 Gap Analysis Tool.....	App 2A-1
Appendix 3A	Example Environmental Policies.....	App 3A-1
Appendix 4A	Health and Safety Application – OHSAS 18001, Clause 4.3.1	App 4A-1
Appendix 5A	Example Change Management Checklist	App 5A-1
Appendix 13A	Health and Safety Application – OHSAS 18001, Clause 4.4.6	App 13A-1
Appendix 14A	Summary of U.S. Federal Regulatory Emergency Planning Requirements.....	App 14A-1
Appendix 16A	Six Sigma Approach to Corrective and Preventive Action (CAPA).....	App 16A-1
Appendix 21A	Correspondence Between ISO 14001:2004, OHSAS 18001:2007, ANSI/AIHA Z10-2005, CSA Z-1000-06, and ISO 9001:2008 Clauses	App 21-A

Figures

Figure 2-1	EMS Scope at a Mineral Refining Facility	2-13
Figure 4-1	Relationship between Facility Operations, Aspects and Impacts	4-5
Figure 4-2	Example Process Flow Diagram for an Ore Refining Operation.....	4-20
Figure 6-1	Selection and Development of Objectives, Targets, and Environmental Management Programs	6-9
Figure 6-2	Example Environmental Management Program	6-28

Figure 7-1	Hierarchical Organizational Chart: Location of the EH&S Group within an Aerospace Facility	7-11
Figure 7-2	Hierarchical Organizational Chart: Internal Structure of the EH&S Group at an Aerospace Facility	7-12
Figure 7-3	Topical Organizational Chart: Wastewater Discharge Monitoring and Reporting Tasks at an Aerospace Facility.....	7-13
Figure 8-1	Training Requirements within an ISO 14001 EMS	8-4
Figure 11-1	Flow of Document Creation and Availability in a Computer-based Document Distribution System	11-24a
Figure 11-2	Flow of Document Creation and Availability in a Paper-based Document Distribution System.....	11-24b
Figure 13-1	Levels of Operational Control.....	13-4
Figure 16-1	Corrective and Preventive Action Process.....	16-11
Figure 16-2	Example Corrective and Preventive Action Report	16-14
Figure 16-3	Problem Definition Process	App 16A-5
Figure 16-4	Annotated Time Line for Fire Incident	App 16A-9
Figure 16-5	Example Causal Map	App 16A-18
Figure 16-6	Example Fishbone Diagram.....	App 16A-21
Figure 16-7	Example RACI Diagram.....	App 16A-36
Figure 18-1	Example Management Review Meeting Record.....	18-13
Figure 19-1	Functions of Key Organizations Involved in the ISO 14001 Certification Process	19-5

Tables

Table 1-A ISO 14000 Standards 1-7

Table 4-A Examples of Activities, Products, and Services
and the Associated Aspects and Impacts 4-6

Table 4-B Aspects of an Ore Refining Operation 4-17

Table 4-C Environmental Aspects and Impacts Associated
with a Mineral Refining Process (Using the
Disaggregated Approach) 4-22

Table 4-D Environmental Aspects Significance Criteria and
Rating Scheme for a Mineral Processing Plant..... 4-30

Table 4-E Environmental Aspect Significance Evaluation
Matrix for a Mineral Processing Plant 4-32

Table 6-A Example Objectives and Targets for
Management Activities 6-5

Table 6-B Example Objectives and Targets for
Operational Activities 6-7

Table 6-C Example Environmental Performance Indicators
and Metrics for Management Activities..... 6-22

Table 6-D Example Environmental Performance Indicators
and Metrics for Operational Activities..... 6-23

Table 6-E Types of Environmental Performance Metrics 6-25

Table 6-F Overview of Aspects, Objectives and Targets,
Operational Controls, and Monitoring
and Measurement at an Example Facility 6-31

Table 7-A Example Framework of EMS
Responsibilities within an Organization 7-10

Table 7-B Example Job Descriptions..... 7-16

Table 8-A	Training Needs Analysis Job-specific Training: Significant Environmental Aspects	8-14
Table 8-B	Training Needs Analysis Job-specific Training: Objectives, Targets, Environmental Management Programs	8-16
Table 8-C	Training Needs Analysis Job-specific Training: Operational Procedures	8-18
Table 8-D	Training Needs Analysis Job-specific Training: EMS duties.....	8-19
Table 8-E	Regulatory-required Hazardous Waste Training	8-20
Table 8-F	Persons Typically Responsible for EMS Training.....	8-22
Table 10-A	ISO 14001 Documentation.....	10-8
Table 11-A	Characteristics and Examples of Documents and Records.....	11-4
Table 11-B	Required and Recommended Documents and Records in an ISO 14001 EMS	11-5
Table 11-C	Tiers of Documents in an EMS.....	11-11
Table 11-D	Computer-based vs. Paper-based Document Distribution Systems	11-23
Table 12-A	Examples of EMS Performance and Design Records	12-5
Table 14-A	Output from Accident and Emergency Situation Review at a Typical Manufacturing Facility	14-6
Table 14-B	Examples of Prevention and Mitigation Tactics	14-9
Table 14-C	Accident and Emergency Review Matrix	14-11

Table 16-A	Examples of EMS Nonconformities	16-5
Table 16-B	Examples of Corrective and Preventive Actions	16-21
Table 16-C	Is/Is Not Table Content	App 16A-11
Table 16-D	Is/Is Not Table for an Electrical Issue.....	App 16A-11
Table 16-E	Error Mode Effect Analysis	App 16A-24
Table 16-F	Example Prioritization Matrix	App 16A-29
Table 16-G	Example Cause and Effect Matrix	App 16A-31
Table 16-H	Example Interrelationship Diagram	App 16A-33
Table 17-A	Internal EMS Elements that should be included in an Internal EMS Audit Program	17-10
Table 18-A	Elements that should be included in Management Review	18-11
Table 20-A	Comparison of ISO 14001 and ISO 9001	20-6
Table 21-A	Comparison of ISO 14001 and OHSAS 18001	21-9