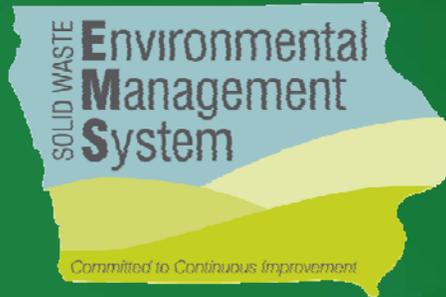




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EMS Roles and Responsibilities



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Identify Roles and Responsibilities– Iowa Definition

- “Responsibility for implementation of the elements of the EMS program need to be identified, documented and communicated to relevant staff.”



Key Resources – Other Considerations

- ① How Do Staff Members Know They Have Assigned Tasks in the EMS?
 - Responsible for an Objective and Target?
 - Responsible for an Action Plan Item?
 - Responsible for Delivering a Training Class?
 - Responsible for Conducting a Storm Water Inspection?
- ① Develop a Roles and Responsibilities Table for the EMS
 - Identify Job Titles and/or Staff Member Names with Associated Responsibilities in the EMS



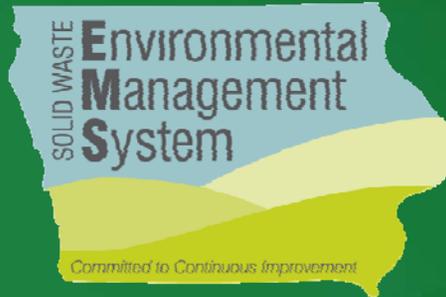
Best Practices

- ① Distribute the Roles and Responsibilities Table and Explain to Staff
- ① Provide Training and/or Information to Facilitate Understanding of the EMS and Associated Requirements
- ① Be Open to Conversations About Limited Staff Time and Availability
- ① Match Roles and Responsibilities Table to EMS Procedures

ROLES AND RESPONSIBILITIES EXERCISE



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EMS Documentation

EMS Annual Conference
November 13, 2013



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Documents

- ◉ Written Procedures/Instructions on:
 - Environmental Compliance
 - How the EMS was Developed
 - How the EMS Will Continue to be Implemented
- ◉ Example Documents
 - Environmental Policy Statement
 - Communication Procedure
 - Spill Response Plan
 - Compliance Manual
 - Permit
 - Tank Operational Manual



Documents

- ⦿ Purpose of a Document is to:
 - Explain and Require Practices and Procedures to Promote Consistency
 - Identify Responsible Personnel
 - Identify Places Where Lack of Consistency in Performing a Task Would Lead to an Environmental Problem or Deviation of the EMS



Document “Control”

- ① Documents Need to be “Controlled” to:
 - Ensure Staff are Working From the Most Recent Version of the Document
 - Ensure the Use of Approved Procedures and Processes
 - Ensure the Staff that Need the Document Actually Receive (and are Aware of) the Document
- ① Controlled Documents Need to Have a Review and Approval Process for Finalizing Documents
- ① Document Control May Include:
 - Document Numbering Systems
 - Signature of Authorized Staff for Approval
 - Effective Date and/or Revision Number



DOCUMENT CONTROL EXAMPLES



925 Kerper Court
Dubuque, IA 52001-2405
Phone: 563-589-4250
Fax: 563-589-4252

EMS Procedure Legal & Other – DMASWA

Effective Date: February 24, 2011

Reviewed By: Bev Wagner

Revision Number: 1

Approved By: EMS Core Team

Signature:

A handwritten signature in black ink, which appears to read 'Chuck Hoban', is written over a red dashed rectangular box.

The Intelex Software on-line version and secured hardcopy are the controlled documents. Refer to the DMASWA's Intelex Software System for latest version.

1.0 PURPOSE

To establish a procedure tracking compliance and changes to all laws and regulations applicable to DMASWA.

2.0 SCOPE

This procedure provides instructions and assigns responsibilities for the review, execution and documentation of all laws, regulations, and other requirements established at the federal, state and local levels as applicable to DMASWA.

3.0 RESPONSIBILITY

3.1 Agency Administrator Responsibilities:



 Metro Waste Authority <small>Our Partner in Environmental Solutions</small>		Environmental Management System Procedure Legal and Other Requirements				
Document No: EMSP-LOR	Issue Date: 9/29/04	Revision No: 3	Revision Date: 06-08-10	Prepared By: Beth Shonts	Reviewed By: Core Team	Approved By: Core Team

The Intalex Software on-line version and secured hardcopy are the controlled documents. The secured hardcopy will be identified by an "Official Document" stamp giving date of distribution. Any and all other documents are uncontrolled. Contact the Document Control Manager or refer to the Metro Waste Authority's Intalex Software System for the latest version.

ISO 14001 REQUIREMENTS

ISO 14001, section 4.3.2, Legal and Other Requirements, requires the following:

The organization shall establish, implement and maintain a procedure(s)

- a) to identify and have access to the applicable legal requirements and other requirements to which the organization subscribes related to its environmental aspects, and
- b) to determine how these requirements apply to its environmental aspects.

CONTENTS

- 1.0 PURPOSE
- 2.0 SCOPE
- 3.0 DEFINITIONS
- 4.0 RESPONSIBILITIES
- 5.0 PROCEDURES
- 6.0 REVIEW
- 7.0 REFERENCES/RELATED DOCUMENTS

1.0 PURPOSE

RATHBUN AREA SOLID WASTE COMMISSION

RASWC
3020 McCarty Street
Centerville, IA 52544
Phone/Fax: 641-437-7279
raswc@iowatelecom.net

Iowa EMS Pilot Project
Environmental Management System
Internal Audit/Assessment Procedure
Doc ID# 010-01EMS-10
Issue Date: October 8, 2010
Reviewed By: EMS Core Team
Approved By: Ralph Alshouse, Chairman

Signature: /s/ Ralph Alshouse 12/14/10

1.0 Purpose

To establish minimum requirements for planning, performing, and documenting annual internal audits of the Environmental Management System established at Rathbun Area Solid Waste Commission.

2.0 Scope

This procedure applies to all internal audits of RASWC's EMS within its determined EMS fenceline.

3.0 Responsibilities

3.1 EMR Responsibilities:

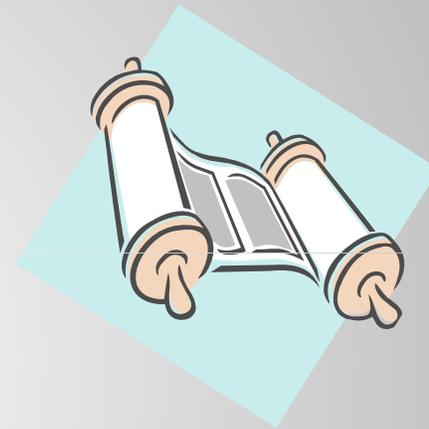
- 3.1.1 Establish audit schedule among internal auditor, Director and RASWC staff.
- 3.1.2 Designation of internal auditor (must be independent of day-to-day management of



Documentation: Many Styles

- Documentation Can be Simple to Very Complicated

- Text
- Flow Charts
- Photographs with Explanations



- EMS Documentation Usually Contains Similar Sections

- Scope
- Responsibilities
- Procedure
- Training
- Records



Document Formatting

- ① Personalize the Document Format
 - Identify the Document Style, Layout and Control Procedure that Best Works for Your Organization
 - Keep the Format Consistent
- ① Review and Update the Format As Needed
- ① Communicate the Necessary Information



List of Required Documents for Iowa EMS

- ◉ Fenceline Statement
- ◉ Environmental Policy
- ◉ List of Significant Aspects/Impacts
- ◉ List of Legal and Other Requirements
- ◉ Objectives and Targets and Action Plan
- ◉ Key Resources and Responsibilities

Don't Forget Required Compliance Documents



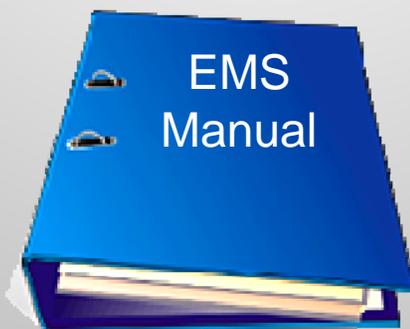
List of Required Documents for Iowa EMS (cont.)

⦿ Procedures

- Environmental Impacts
- Legal and Other Requirements
- Objectives and Targets [Strongly Recommended]
- Communication, Training and Awareness [May be broken into 2]
- Monitoring and Measurement
- Assessment
- Reevaluation and Modification [Strongly Recommended]

Consider the Use of an EMS Manual

- ◉ An EMS Manual is Used to Tell “Our EMS Story” and May Also be Used to Keep All EMS Documentation in One Place
- ◉ Describes and Defines the Entire EMS Process in One Location and Answers the “W” questions - Who, Where, When, What, Why





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Records

Record - Definition

- ◎ A Record is Written Proof or Evidence that:
 - The EMS or Compliance Program is in Place
 - The EMS or Compliance Program is Functioning
- ◎ Most Records Cannot or Should Not Be Changed
- ◎ Examples of Records
 - Completed Training Log
 - Completed Inspection Checklist
 - Manifests
 - Lab Results Related to an Objective and Target
 - EMS Annual Report

Records

- ◎ Purpose of a Record:
 - Demonstrate Conformity to the EMS
 - Demonstrate Compliance with the Law
- ◎ Control of Records – Identify Where the Record is to Be Stored, For How Long, and When It Can or Will be Destroyed
- ◎ Most Organizations Have a Records Retention or Retrieval Process Already in Place



Records – Things to Consider

- ① Identification of Records
 - What Records Am I Supposed to Keep?
- ① Storage of Records
 - Where Are They Stored?
- ① Retrieval of Records
 - How Can I Access the Records When I Need Them?
- ① Retention of Records
 - How Long Do I Need to Keep Them?
- ① Disposal of Records
 - When Can I Recycle Them?

Example List of Required Records for Iowa EMS

- ⦿ Legal and Other Requirements List
- ⦿ Activities and Impacts List
- ⦿ Roles and Responsibilities Table
- ⦿ Monitoring and Measurement Data
- ⦿ Log of Information Requests from the Public
with Corresponding Responses
- ⦿ Reevaluation Results
- ⦿ Management Review Record
- ⦿ Training Logs

Don't Forget Records Required by Law!



Best Practices

- ◎ Ask, “What is the Value in Generating this Document or Record?”
 - Is it Required by Law?
 - Is it Required by the EMS?
 - Would it Eliminate Deviations that Could Cause Environmental Harm?
- ◎ Determine Whether There is an Existing Document Management/Control/Records Retention Process Already in Place
 - Use it!



Best Practices

- ⦿ Be Clear and Concise
- ⦿ Consider Paper or Electronic Versions
- ⦿ Designated Responsibility and Authority for Creating/ Revising Documents
- ⦿ Retrieval of Old Documents
- ⦿ Consider Log of Documents and Records

Warning: “Over-Documentation” Problems

- ⦿ Remember You Have to Keep Up With It!
- ⦿ If I Say I’m Going to Do Something in a Written Procedure, Then I Better Be Doing It
- ⦿ If the EMS Becomes About Generating Paperwork, Then We Missed the Point



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Questions?

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Management
System

Committed to Continuous Improvement



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