U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
National Policy

ORDER 1050.21

Effective Date:
10/30/07

SUBJ: Environmental Management Systems (EMS)

1. This order establishes agency-wide requirements for the implementation of Environmental Management Systems (EMSs) in compliance with Department of Transportation (DOT) Order 5641.1A, *DOT Internal EMS* and Executive Order 13423, *Strengthening Federal Environmental, Energy, and Transportation Management*, which requires all appropriate organizational levels in federal agencies to implement EMSs.

2. The development of an EMS framework is outlined in the Federal Aviation Administration (FAA) Environmental Management Policy issued by the Administrator on August 11, 2005 (Appendix A). This framework will enable the FAA to more effectively address significant environmental impacts from operations that reduce its ability to provide a safe and efficient U.S. national airspace system.

3. EMSs establish standardized programs, procedures, and controls to manage significant environmental interactions and consequences efficiently and effectively, ensure clear responsibility and accountability for programs, and enable organizations to track and improve environmental performance through accurate up-to-date information. The implementation of these systems will play an increasingly important role in the environmentally sustainable growth of air transportation capacity for the foreseeable future and will contribute decisively to FAA's continued role as the world's leading air transportation authority.

4. FAA has currently designated eight appropriate organizational levels for EMS implementation. These include the following: two support centers—the Mike Monroney Aeronautical Center and the William J. Hughes Technical Center; four line of business (LOB) organizations—Air Traffic Organization (ATO), Airports (ARP), Office of Commercial Space Transportation (AST), and Aviation Safety (AVS); and two LOB divisions/services—Air Traffic's Aviation Systems Standards (AVN) and the Policy and Operations Division of the Office of Environment and Energy (AEE-200). Appropriate FAA organizational levels so far designated have implemented or are in the process of implementing EMSs in accordance with established deadlines. These EMSs fulfill FAA's Environmental Management Policy commitment and contribute to FAA's goal of being an international leader in managing aviation's environmental issues while fostering a safe and efficient air transportation system.

Robert A. Sturgell
Acting Administrator

Distribution: A-WXYZ-2; A-FOF-O

Initiated By: AEE-1

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1. Purpose of This Order. The purpose of this order is to ensure that Environmental Management Systems (EMSs) are established and maintained for Federal Aviation Administration (FAA) operations in a manner that ensures efficient and effective management of environmental issues that pose a potential risk to U.S. national airspace systems safety, efficiency, and capacity; the environment; or human health and safety.

2. Audience.

a. Applicability. This order applies to all FAA-designated appropriate organizational levels.

b. Appropriate Organizational Level Listing and Delisting. An FAA organization's designation as an appropriate organizational level shall be made on a case-by-case basis by the Director of the Office of Environment and Energy (AEE-1) after consultation with the organization and with suitable guidance and assistance from the EMS Steering Committee and other interested parties, as appropriate. The number and makeup of FAA's appropriate organizational levels may change over time because of FAA reorganizations or changes in operations. Appropriate organizational levels may submit requests to AEE-1 to be delisted from that category. The Assistant Administrator for Aviation Policy, Planning & Environment (AEP-1) approves listing and delisting decisions made by AEE-1. (See other sections of this order: 8 a. (2); 8 b. (1); 8 c.; 8 j. (2); 8 k. (1); 8 k. (2); 8 k. (3); 10., and section 6. a. of Appendix F).

(1) In accordance with Department of Transportation (DOT) Order 5641.1A, eight appropriate organizational levels were designated by FAA and each implemented an EMS in 2005. These include the following: two support centers, the Mike Monroney Aeronautical Center and the William J. Hughes Technical Center; four line of business (LOB) organizations, Air Traffic Organization (ATO), Airports (ARP), Office of Commercial Space Transportation (AST), and Aviation Safety (AVS); and two LOB divisions/services, Air Traffic's Aviation Systems Standards (AVN) and the Policy and Operations Division in the Office of Environment and Energy (AEE-200). Other appropriate organizational levels may be designated in future years based on changes in operations or as a result of a reevaluation.

(a) The two *support centers* were chosen because they are more traditional self-contained organizations with conventional environmental issues such as regulated waste storage and disposal.

(b) The four *LOB organizations* were chosen because they are vertically integrated from headquarters, through their regions (or service areas) down to the division/service level. The EMS developed for each is implemented hierarchically from its headquarters office, down through the lower levels. In effect, the EMSs are being implemented at the appropriate organizational levels.

(c) *AVN* has been designated as an appropriate organizational level based on its ongoing operations and the nature of its environmental footprint.

(d) The primary functions of *AEE-200* are to provide policy, oversight, and reporting and liaison on FAA environmental, energy, and employee safety issues. This office sets objectives and targets for FAA that conform to the requirements of Executive Order (E.O.) 13423; establish programmatic Environmental Management Programs (EMPs) to guide their transmittal and

management throughout FAA; track FAA performance in meeting those objectives and targets; and submit reports to the U.S. Environmental Protection Agency (EPA), Office of the Federal Environmental Executive (OFEE), and the Council on Environmental Quality (CEQ), as required.

3. Where Can I Find This Order. An electronic copy of this order may be found on the Environment and Energy Webpage of the FAA Employee Website.

4. Effective Date. All provisions are effective as of the date of this order.

5. Request for Information. Further information on implementing an EMS can be obtained from the AEE EMS Program Manager, or on the Environmental Management Systems Webpage of the FAA Employee Website.

6. Professional Qualifications and Training. Persons under the scope of an EMS who are directly involved in operations with significant environmental aspects may need additional training. Decisions on the need for training are made by each appropriate organizational level's EMS Coordinator who, as part of the EMS implementation, will arrange it.

a. Awareness Training. Members of an organization that has implemented an EMS need to be made aware of the essential elements of the system, their need to participate in environmental programs and follow EMS procedures, and the consequences to the environment and to the organization of their not following those procedures.

b. Specialized Training. The EMS Coordinator, Internal EMS Auditors, and persons responsible for implementing the EMPs may also benefit from specialized training relative to their role (e.g., an Internal EMS Auditor may improve his or her auditing skills by attending a qualified EMS auditor training program).

c. Training Records. Written declarations of their qualifications should be kept with the personnel training records or documented in the EMPs.

7. Requirements and Guidance for Appropriate Organizational Levels.

a. E.O. 13148. This E.O., promulgated on April 26, 2000, required all federal facilities deemed appropriate to implement an EMS by December 31, 2005. The order, which was superseded and replaced by E.O. 13423, required agency senior-level management to support environmental leadership programs by actively endorsing EMS development, implementation, and improvement.

b. E.O. 13423. This E.O., promulgated on January 24, 2007, revokes E.O. 13148 but re-establishes the requirement to implement EMSs at all agency appropriate organizational levels. It requires the head of each agency to ensure—

(1) Use of EMS as the primary management approach for addressing environmental aspects of internal agency operations and activities, including those associated with energy and transportation functions.

(2) Establishment of energy objectives and targets to ensure implementation of this order.

(3) Collection, analysis, and reporting of information to measure performance in the implementation of this order.

c. Office of Management and Budget (OMB) Circular No. A-11. This circular, promulgated on June 27, 2002, encourages federal agencies to integrate environmental accountability into day-to-day decision-making and long-term planning processes through the implementation of EMSs.

d. DOT Order 5641.1A. This order, promulgated on December 18, 2003, requires all appropriate DOT facilities to implement an EMS by December 31, 2005.

e. FAA Environmental Management Policy. This policy, promulgated on August 11, 2005, sets out FAA's overall intentions and commitments with respect to its interactions with the natural environment (Appendix 1).

f. FAA EMS Self-Declaration Protocol. This protocol, promulgated on February 3, 2005, establishes ISO-14001 as the environmental standard on which identified FAA LOBs will base their respective EMSs (Appendix B). Per the requirements of the Self-Declaration Protocol, published by the Inter-Agency Working Group on EMS under the authority of E.O. 13148, each appropriate federal facility shall make a yearly self-declaration that its EMS conforms to the specifications of an appropriate EMS framework. The FAA's EMS Self-Declaration Process (Appendix C) calls for an annual combination of Internal EMS Audits, Management Reviews, Self-Declaration of Conformance Reports, Tri-Annual Self-Declaration Audits, and an Administrator's Management Review to prepare the annual FAA Self-Declaration of Conformance Report to DOT.

(1) Each appropriate organizational level shall conduct an annual *Internal EMS Audit.* Internal EMS Audits are conducted by EMS audit teams created in each organization that has implemented an EMS. The members of these audit teams are required to be declared competent to conduct such audits. Competence for EMS auditors is normally acquired through training. The EMS Coordinator for the organizational level is responsible for initiating the audit process. The Audit Lead is responsible for planning, preparing, and conducting the internal audit and is responsible for producing the Internal EMS Audit Report.

(a) Annual internal EMS audits shall be conducted as part of an overall *Internal Audit Program.* For each audit, the EMS Audit Team shall prepare an Internal EMS Audit Report that lists both their findings and any opportunities for improvement.

(b) Internal *EMS Audit Teams* shall be comprised of individuals from within the organization that have been named by the EMS Coordinator to conduct Internal EMS Audits. The guidelines for training, qualification, formation, and management of Internal EMS Audit Teams are included in the EMS Audit Program of each appropriate organizational level. It is a requirement that each appropriate organizational level with an EMS have an Audit Program.

(2) Each appropriate organizational level shall conduct an annual *Management Review* for top management to assess the effectiveness of their organization's EMS. The review shall be prepared by

the organization's EMS Coordinator and will follow the steps prescribed in the Management Review Procedure that is implemented with each EMS.

(a) The *Management Review* shall contain information on the environmental performance of the organization including regulatory compliance status, the most recent Internal EMS and External Tri-Annual Self-Declaration Audit Reports, corrective and preventive actions status, and any other indications of system operation.

(b) The Management Review proceedings and decisions shall be recorded in the form of a *Self-Declaration of Conformance Report*. This report summarizes the proceedings and outcomes of the yearly EMS Management Review and, when performed, the results of the External Tri-Annual Self-Declaration Audit. Each EMS system includes suitable procedures and templates for the conduct and reporting of these two events.

(3) The Administrator shall make a yearly self-declaration of FAA's conformance with the requirements of E.O. 13423 to DOT. The *FAA Self-Declaration of Conformance Report* shall be based on the yearly Administrator's Management Review of the EMS. The information for the Administrator's Management Review shall be prepared by the EMS Program Manager in AEE and include the most recent External Self-Declaration of Conformance and Internal EMS Audit Reports from each appropriate organizational level (Appendix B).

(4) All appropriate organizational levels shall be subject to *External Tri-Annual Self-Declaration Audits*. Tri-annual self-declaration audits are conducted in addition to the annual Occupational Safety and Health Administration inspection and will be conducted by audit teams formed by the AEE EMS Program Manager.

(a) External Tri-Annual Self-Declaration Audits shall be conducted as soon as practicable, but no later than four months from the date of the appropriate organizational level's *Management Review*.

(b) Appropriate organizational levels that obtain *Third-Party Registration* of conformance from an American National Standards Institute-American Society of Quality National Accreditation Board accredited Registrar are exempt from conducting External Tri-Annual Self-Declaration Audits. Evidence of valid registration status must be submitted to the EMS Program Manager in AEE annually for this exemption to apply.

8. Responsibilities. Necessary EMS training is provided to appropriate organizational-level personnel through the implementation of the EMS as determined by the EMS Coordinator.

a. Administrator.

(1) Approve the FAA Environmental Management Policy.

(2) Confirm the designation of appropriate organizational levels.

(3) Participate, as appropriate, in the annual Administrator's Management Review and in the submission of FAA's Self-Declaration of Conformance Report to DOT.

b. Air Traffic Organization's (ATO) Chief Operating Officer.

(1) Confirm the designation of ATO appropriate organizational levels.

(2) Ensure that adequate funds and resources are allocated for EMS development, implementation, and maintenance in ATO.

(3) Ensure that EMPs address the objectives and targets reflected in the programmatic EMPs issued from AEE-200.

(4) Ensure that Internal EMS Audits are conducted annually.

(5) Participate, as required, in the yearly EMS Management Reviews of ATO appropriate organizational levels.

(6) Promulgate and ensure employee awareness of an organizational Environmental Management Policy.

c. Assistant Administrator for Aviation Policy, Planning & Environment (AEP-1).

(1) Approve the decisions made by AEE-1 for listing and delisting of appropriate organizational levels.

d. Associate and Assistant Administrators.

(1) Ensure that employees are aware of the FAA Environmental Management Policy.

(2) Ensure that all appropriate organizational levels within their organizations have implemented a suitable EMS.

(3) Ensure that EMPs address the objectives and targets reflected in the programmatic EMPs issued from AEE-200.

(4) Ensure that adequate funds and resources are allocated for EMS development, implementation, and maintenance.

(5) Ensure that, when requested, the EMS Program Manager in AEE is provided with the required information on their LOB's EMS.

e. ATO Vice Presidents.

(1) Ensure that employees are aware of the FAA Environmental Management Policy.

(2) Ensure that all appropriate organizational levels within their organizations have implemented a suitable EMS.

(3) Ensure that EMPs address the objectives and targets reflected in the programmatic EMPs issued from AEE-200.

(4) Ensure that adequate funds and resources are allocated for EMS development, implementation, and maintenance.

(5) Ensure that, when requested, the appropriate organizational levels within their organizations provide the EMS Program Manager in AEE with the required information on their organization's EMS.

f. Appropriate Organization's Management.

(1) Ensure adequate funds and resources are allocated for EMS development, implementation, and maintenance including training.

(2) Ensure that EMPs address the objectives and targets reflected in the programmatic EMPs issued from AEE-200.

(3) Ensure that Internal EMS Audits are conducted annually.

(4) Participate actively in the annual Management Reviews.

(5) Appoint an EMS Coordinator for the organization who will advise executive management regarding the operation of the system.

(6) Sign an annual Self-Declaration of Conformance Report.

(7) Ensure the EMS Program Manager in AEE is provided with the Internal Audit Report on his or her organization's EMS.

(8) Ensure that the appropriate personnel are invited to, and involved in, the Management Review.

g. Appropriate Organization Personnel.

(1) Have a basic understanding of the EMS applicable to their organization.

(2) Be familiar with the provisions of both the FAA Environmental Management Policy and their organization's internal environmental policy.

(3) Know how to respond to an environmental incident or emergency.

(4) Be familiar with the key environmental issues identified for their organization.

(5) Know their role with respect to the significant environmental aspects involved in their work area and/or job function.

h. Office of Budget.

(1) Include, as part of the annual budget submission, estimates of funds necessary to comply with this order.

(2) Serve as the central liaison point for annual budgetary estimates. This includes addressing programmatic matters requiring coordination with, or submission to, the Office of the Secretary of Transportation, OMB, and/or congressional committees. Will ensure the integration of environmental funding requirements with other FAA requirements.

i. Office of Chief Counsel (AGC).

(1) Provide legal advice on regulatory requirements and up-coming legislative initiatives that may need to be considered in each organization's EMS.

(a) The Environmental Law Branch (AGC-600) is responsible for providing counsel and assistance to AEE and other headquarters staff.

(b) The regional and center counsel are responsible for providing counsel and assistance to regional and support center employees.

(2) Provide legal advice on the suitability and adequacy of proposed actions and/or arrangements for responding to regulatory and other requirements that pose potential liabilities for FAA.

j. EMS Program Manager in the Office of Environment and Energy.

(1) Organize and provide leadership for EMS Steering Committee meetings.

(2) Designate qualifying organizations in FAA as appropriate organizational levels.

(3) Maintain FAA's programmatic EMPs and issue yearly updates that reflect the objectives and targets to be achieved by FAA in compliance with E.O. 13423 and applicable regulatory requirements.

(4) Prepare the yearly Administrator's Management Review.

(5) Bring issues of EMS effectiveness to the attention of the Administrator/Deputy Administrator.

(6) Organize and execute each appropriate organization's External Tri-Annual Self-Declaration Audit.

(7) Provide technical and other support to any newly identified appropriate organizational level that needs to develop, implement, and maintain an EMS.

(8) Provide periodic EMS updates and training for personnel and management at appropriate organizational levels, as needed.

k. EMS Steering Committee.

(1) Provide guidance and assistance to AEE-1 in identifying FAA organizational levels to comply with requirements in E.O. 13423.

(2) Prepare suitable analysis to be submitted to AEE-1 on the designation of appropriate organizational levels.

(3) Review and comment on the objectives and targets to be specified in the yearly updated programmatic EMPs from AEE-200.

(4) Promote and support the efficient and effective management of the potential environmental impacts of FAA operations, ensuring that the development, implementation, and improvement of EMSs fully support FAA's Mission and Flight Plan (see Appendix 4).

l. Environmental Networks.

(1) Provide assistance to the EMS Steering Committee as requested.

(2) Promote and support the efficient and effective management of the FAA organization's potential environmental impacts, and the development, implementation, and improvement of EMSs that fully support FAA's Mission and Flight Plan.

m. EMS Coordinators. The roles of EMS Coordinator and EMS Management Representative for each appropriate organizational level may, at the discretion of the organization implementing the EMS, be combined. The EMS Coordinator for AEE is referred to as the EMS Program Manager.

(1) Oversee the proper and effective implementation of their organization's EMS.

(2) Incorporate the objectives and targets specified in the yearly updated programmatic EMPs from AEE-200 into the EMPs of the EMSs they are responsible for.

(3) Appoint lead auditors for the EMS audits, schedule their organization's audits, and ensure they are conducted in an appropriate and timely manner.

(4) Oversee the execution of EMS corrective and preventive actions and follow up on management decisions that are the result of Management Reviews.

(5) Identify training needs for the general awareness of all employees and for competence training of individuals associated with significant environmental aspects.

(6) Arrange for resources and facilities to deliver the required training for general awareness of all employees and for competence training of individuals associated with significant environmental aspects.

(7) Interface with the EMS Program Manager in AEE.

(8) Forward the results of the organization's yearly Internal EMS Audit to the EMS Program Manager in AEE.

(9) Serve as a permanent member of the EMS Steering Committee.

n. EMS Management Representatives. The roles of EMS Management Representative and EMS Coordinator for each appropriate organizational level may, at the discretion of the organization implementing the EMS, be combined.

(1) Serve as the appropriate organization's EMS Program Manager.

(2) Promote top management visibility and obtain support from other organizations.

(3) Schedule their organization's Management Reviews and ensure they are conducted in an appropriate and timely manner.

9. Reporting Requirements

a. EMS Data. For FAA to track its overall environmental performance, and to meet DOT, EPA, and OFEE requirements, all appropriate organizational levels shall provide the EMS Program Manager in AEE with timely data on the state of their EMS, including their progress and achievements in meeting the objectives and targets laid out in the programmatic EMPs.

(1) *Appropriate data* shall be generated from the Internal EMS Audits and Management Reviews and provided to the EMS Program Manager in AEE in the form of Internal EMS Audit Reports and FAA Self-Declaration of Conformance Reports.

(2) Internal EMS Audits shall be *conducted yearly* and the data transmitted to the EMS Program Manager in AEE at the beginning of the *first quarter of the following fiscal year.*

(3) The appropriate data will be used by AEE to prepare for the *Administrator's Management Review* and ultimately for the FAA Self-Declaration of Conformance Report to DOT.

b. Self-Declaration of Conformance. The FAA's official statement of conformance with the requirements of E.O. 13423 (FAA Self-Declaration of Conformance Report) must be transmitted to DOT by *December 31 of each calendar year.*

10. Additional FAA Appropriate Organizational Levels. As and when additional appropriate organizational levels are identified, they will be expected to implement a conforming EMS. FAA

organizations are encouraged to seek the advice of the EMS Steering Committee for assistance in determining whether they qualify as an appropriate organizational level.

11. Review of FAA Directives. All FAA directives that may have environmental consequences shall be reviewed by AEE-1 before they are released and implemented by FAA operating units and organizations.

Appendix A. FAA Environmental Management Policy

The Federal Aviation Administration (FAA) is committed to excellence and leadership in protecting the environment and the health and safety of its employees and neighbors. In keeping with this commitment, FAA will do its work in a way that will minimize environmental consequences. Environmental Management Systems (EMS) provide a business model to reduce operational costs and improve overall environmental performance, in concert with our mission. To achieve our commitment, an EMS framework will be maintained and continually improved as a framework to achieve the following:

1. **Senior Management.** FAA senior management will implement Environmental Management Systems (EMSs) where appropriate. They will also ensure that their organizations conduct annual EMS audits and make appropriate improvements where necessary.

2. **Regulatory Compliance.** FAA will identify, evaluate, and fully comply with all applicable environmental and natural resource laws, regulations, and executive orders at each location where it conducts business.

3. **Pollution Prevention.** FAA will seek to cost-effectively avoid creating pollution and waste and to manage existing waste through safe and responsible methods and vendors.

4. **Responsible Neighbor.** FAA will be an environmentally responsible neighbor in the communities where it does work. We will act quickly and responsibly to correct incidents or conditions that endanger health, safety, or the environment and inform affected individuals promptly.

5. **Communication.** FAA will communicate this policy to all employees, make it available to the public, and establish procedures to receive and respond to inquiries from internal and external interested parties. It will also implement procedures to notify individuals and authorities of any environmental incident in a timely and effective manner.

FAA personnel are committed to being good stewards of the environment.

Appendix B. Environmental Management System Self-Declaration Protocol

1. Federal Aviation Administration (FAA) Self-Declaration Protocol. In 2005, as required by Executive Order (E.O.) 13148, *Greening the Government Through Leadership in Environmental Management,* FAA completed its commitment to implement Environmental Management Systems (EMSs) at its appropriate facilities. In addition to actual implementation, E.O. 13148 required federal agencies to formerly state that they had met, as appropriate, its EMS requirements. To do this, FAA created a protocol for self-declaration of conformance. In January 2007, E.O. 13148 was revoked and replaced by E.O. 13423, *Strengthening Federal Environmental, Energy, and Transportation Management,* which reestablishes the requirement to implement EMSs at appropriate organizational levels within federal agencies and self-declare agency conformance with its EMS requirements.

a. The Office of the Federal Environmental Executive (OFEE). On January 27, 2004, OFEE issued a memorandum that directed Operating Administrations, such as FAA, to create their own EMS protocols for self-declaring conformance to E.O. 13148. In January 2007, when E.O. 13148 was revoked and replaced, OFEE restated the requirements of the memorandum in the *Instructions for Implementing E.O. 13423*. In response, the Office of the Secretary of Transportation has provided minimum criteria that FAA must meet in its protocol.

b. Purpose. The purpose of this memorandum is to create that protocol for FAA Lines of Business. AEE-1 is responsible for ensuring that this protocol is carried out and that notification is properly given when all elements have been satisfied. The following are specific elements of the FAA EMS Self-Declaration Protocol that must be satisfied:

(1) FAA must create an Environmental Management Policy that is signed by the FAA Administrator and that is updated periodically, as needed.

(2) Each appropriate organizational level must create an EMS based on the ISO-14001 standard.

(3) Internal EMS audits must be conducted *annually* at each appropriate organizational level.

(4) External Self-Declaration Audits must be conducted *tri-annually* at each appropriate organizational level. External reviewers are selected to be from outside the scope of the EMS being audited but may be from inside the FAA. Audit teams may include headquarters, appropriate organizational level, and field personnel.

(5) FAA's internal and external EMS Auditors must be trained to conduct EMS audits. Auditors must have received a certificate of satisfactory completion from an instructor with 4 or more years of experience in the implementation and auditing of EMS at federal agencies. The training must be a minimum of 2 days.

(6) The criteria used for each internal or external EMS audit covers the requirements of ISO-14001 and of the salient features of the particular EMS completed at the appropriate organizational level that is being audited (audit criteria will be documented for each appropriate organizational level as part of its EMS).

(7) The top management of each identified appropriate organizational level must conduct an *annual* Management Review of its EMS as specified in ISO-14001.

(8) The top management of each identified appropriate organizational level must make an *annual* self-declaration statement to AEP-1 (copy to the EMS Program Manager) that their EMS is in place based on this protocol and in conformance with E.O. 13423.

(9) The FAA Administrator must conduct an *annual* Management Review of the summary status of the EMSs at FAA. The EMS Program Manager prepares an annual status report on FAA's EMSs (based on the self-declaration statements submitted to AEP-1) and arranges the review with the Administrator's Office. Each appropriate organization's top management is responsible for addressing issues and suggestions that result from the Administrator's Management Review.

(10) The FAA Administrator must make an *annual* self-declaration statement to DOT that FAA's EMSs are in place based on this protocol and in conformance with E.O. 13423.

(11) FAA's Self-Declaration Protocol must be reviewed *tri-annually* to reflect any changes in FAA activities, programs, or priorities, as necessary.

2. FAA EMS Self-Declaration Statement. Each identified appropriate organizational level will forward a statement (see sample below) to AEP-1 as provided in the FAA Self-Declaration Protocol. The statement should be subscribed by the organization's -1 and a copy sent to the EMS Program Manager. This statement can only be made by an appropriate organizational level following successful completion of its *annual* internal Self-Declaration EMS Audit.

Sample FAA Appropriate Organizational Level EMS Self-Declaration Statement

Date: *(Date of this communication to AEP-1)*

To: AEP-1

CC: EMS Program Manager

From: *(-1 Name), (-1 Title)*

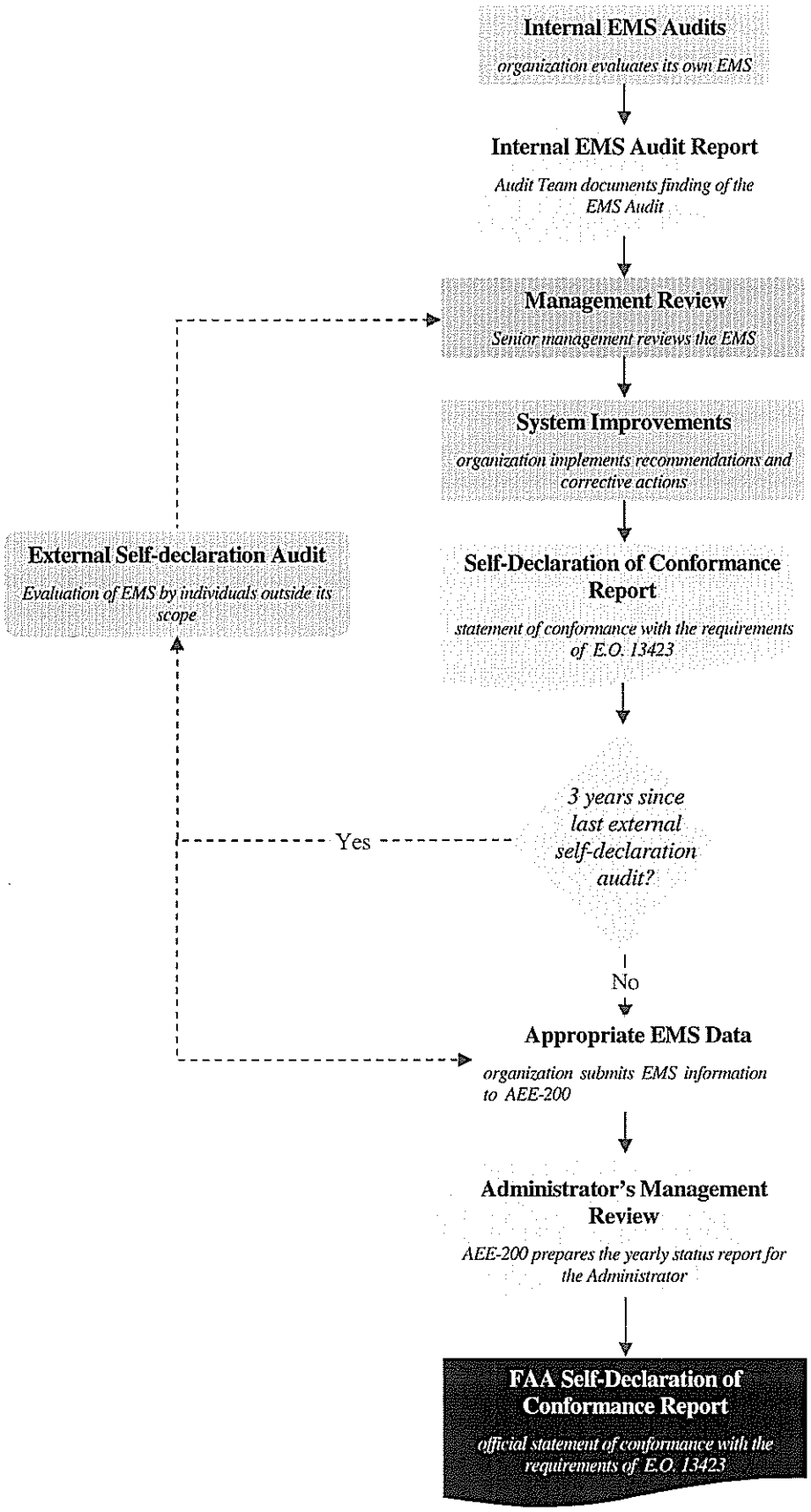
Subject: Self-declaration of EMS Conformance

As the *(-1 Title)* for *(Appropriate Organization Name)*, I certify that (*Appropriate Organization Name*) has an Environmental Management System (EMS) in place. The current scope of the EMS is *(Current Scope of Appropriate Organization's EMS)*. Furthermore, I certify that all provisions of the FAA EMS criteria have been completed and were reviewed by me and senior (*Appropriate Organization Name*) management. An Internal Self-Declaration Audit of (*Appropriate Organization Name*)'s EMS was conducted in *(Relevant Month)* and the results of that audit were briefed to the *(Appropriate Management Title)* on *(Date of Briefing)*. *(Appropriate Organization Name)* also completed a successful external Self-Declaration Audit of its EMS on *(Applicable Date)*.

_____

(-1 Name), (Appropriate Organization Name), (-1 Title) Date:

Appendix C. FAA EMS Audit and Self-Declaration Process



Appendix D. Environmental Management System Steering Committee Charter

U. S. Federal Aviation Administration

Environmental Management System
Steering Committee Charter

July 6, 2007

1. Steering Committee Mission. To promote the efficient and effective management of the potential environmental impacts of FAA operations so that FAA can execute its mission in a sustainable manner through the development, implementation and continual improvement of FAA environmental management systems (EMSs).

2. Responsibilities. FAA's EMS Steering Committee discharges various responsibilities in the execution of its mission. These include but are not limited to:

a. Leadership. Provide leadership (e.g., lead auditors) for the yearly internal EMS audits conducted by the appropriate facilities.

b. Cross-Cutters. Provide a forum to address cross-cutting issues, maintain consistency and exchange lessons learned in the development, implementation and application of EMS systems within FAA;

c. Feedback. Assist AEE in providing feedback on proposed environmental initiatives and decisions that have broad ramifications across all Lines of Business and other FAA units;

d. Advice. Assist AEE in providing advice to Headquarters staff on the need and format for formal exchange of EMS best practices between FAA units either through conferences or other means suitable for that purpose;

e. Guidance. Provide guidance to organizations that are implementing an EMS on the efficient and effective development, implementation and deployment of their systems;

f. Monitoring and Measurement. Develop monitoring and measurement metrics that can be used to gauge the continuous effectiveness of FAA's EMSs and the benefits they bring to FAA organizations;

g. Objectives and Targets. Review and comment on the yearly updated objectives and targets specified in the programmatic EMPs from AEE-200;

h. Audits and Management Reviews. Assist AEE's EMS Program Manager in reviewing EMS audit and management review information for its use in the yearly Administrator's Management Review as required by the FAA EMS Self-declaration Protocol;

i. Administrator's Management Review. Assist AEE's EMS Program Manager in the preparation of the yearly EMS Administrator's Management Review; and

j. Self-Declaration Audits. Assist AEE'S EMS Program Manager in organizing the yearly EMS self-declaration audits.

3. Roles and Membership.

a. AEE Program Manager. AEE's EMS Program Manager provides the administrative leadership of the EMS Steering Committee. AEE-1 shall serve as chair of the EMS Steering Committee.

b. Appropriate Organizations. Each FAA appropriate organizational level shall have representation on the EMS Steering Committee. Each member organization shall be represented on the Committee by its functional environmental lead or by its EMS Coordinator.

c. Office of General Counsel. Membership on the Committee may be extended to the Office of General Counsel and other units that have roles in FAA's environmental operations.

d. Meetings. The EMS Steering Committee shall meet on a quarterly basis, or as otherwise arranged by consensus of the Committee members.

Carl E. Burleson
Director, Office of Environment and Energy

Appendix E. Related Publications

1. Executive Orders and Directives.

a. E.O. 11472, *Establishing the Environmental Quality Council and the Citizens' Advisory Committee on Environmental Quality*, dated May 29, 1969.

b. E.O. 11593, *Protection and Enhancement of the Cultural Environment*, dated May 13, 1971.

c. E.O. 11991, *Protection and Enhancement of Environmental Quality*, dated May 24, 1977.

d. E.O. 13101, *Greening the Government Through Waste Prevention, Recycling, and Federal Acquisition,* dated September 14, 1998.

e. E.O. 13148, *Greening the Government Through Leadership in Environmental Management,* dated April 26, 2000.

f. E.O. 13149, *Greening the Government Through Federal Fleet and Transportation Efficiency*, dated April 26, 2000.

g. E.O. 13150, *Federal Workforce Transportation*, dated April 26, 2000.

h. E.O. 13423, *Strengthening Federal Environmental, Energy, and Transportation Management*, dated January 24, 2007.

i. *Inter-Agency Working Group on EMS, Self-Declaration Protocol*, dated September 10, 2003.

j. *Inter-Agency Working Group on EMS, Information Note on Self-Declaration Protocol*, dated December 7, 2004.

2. DOT Orders and Directives.

a. Manual DOT 5640.1D, *Environmental and Natural Resources Program Manual*, dated September 12, 1996.

b. DOT Order 5641.1A, *DOT Internal EMS*, dated December 18, 2003.

3. FAA Orders and Directives.

a. FAA Order 1050.1D, *Policies and Procedures for Considering Environmental Impacts*, dated December 5, 1986, as amended.

b. FAA Order 1054.1, *Environmental Network*, dated October 9, 1998.

c. FAA Order 5050.4A, *Airport Environmental Handbook*, dated October 8, 1985.

d. FAA Order 5100.38A, *Change 1, Airport Improvement Program (AIP)*, dated December 1, 2001.

e. FAA Acquisition Management System.

f. FAA Environmental Management Policy, dated August 11, 2005.

g. FAA Environmental Management Systems Self-Declaration Protocol, dated February 3, 2005.

Appendix F. Administrative Information

1. Distribution. This Order is distributed to all LOB organizations, staff, and regional offices, service areas, and support centers, field offices, and facilities including ARP, ATO, AVS, AST, AEP, AGC, ACR, AOC, ABA, AGI, AHR, (AIO)(CIO), API, ARC, ASH, all regional offices, services areas, the Mike Monroney Aeronautical Center, and the William J. Hughes Technical Center.

2. Background.

a. ISO-14001 Standard. The EMS approach was developed in the late 1980s in the private sector to manage the increasingly complex operational demands of environmental issues. Organizations recognized that they could no longer rely on a piecemeal, reactive approach to identifying and managing environmental requirements that had become numerous and complex, and that increasingly generated competitive pressures in addition to regulatory requirements. In an attempt to cut costs through standardization, private industry developed a systematic approach to identifying and managing significant environmental exposures and issues. This approach was based on quality management principles and focused on increasing an organization's control over significant environmental aspects of its operations. In 1996, the International Organization for Standardization (ISO) promulgated the ISO-14001 standard, *Environmental Management Systems — Requirements With Guidance for Use (revised in 2004),* which codified the systematic approach that had been developed in the late 1980s.

b. Executive Order (E.O.) 13148—Greening the Government Through Leadership in Environmental Management. In April 2000, President Clinton signed E.O. 13148 and established a 5-year EMS implementation deadline for all federal facilities designated as appropriate. President Bush reconfirmed E.O. 13148 in 2001 and thereafter 2,400 federal facilities were determined to be appropriate, thus required to implement an EMS by December 31, 2005.

c. E.O. 13423—Strengthening Federal Environmental, Energy, and Transportation Management. On January 24, 2007, President Bush signed E.O. 13423 and reconfirmed that federal agencies shall implement EMSs at all "appropriate organizational levels." The change of language from appropriate facilities to appropriate organizational levels broadens the use of EMSs within the Federal Government. FAA will continue to evaluate how EMSs apply to various levels of the agency and may from time to time add additional systems when such additions are warranted in compliance with E.O. 13423.

d. FAA's EMS Framework. In its role as a world air transportation leader, the FAA developed an EMS framework based on the ISO-14001 Standard. A copy of the ISO-14001 Standard may be obtained from the EMS Program Manager in AEE. The initial set of FAA-designated appropriate organizational levels implemented EMSs consistent with their commitment to meet the E.O. 13148 deadline of December 31, 2005. FAA will continue to fulfill the commitments in its Environmental Management Policy by ensuring that the EMS framework is consistently applied to all appropriate FAA levels.

3. Delegation of Authority. The FAA EMS Steering Committee, which includes EMS Coordinators from each appropriate organizational level, derives its authority from the Administrator

through the Steering Committee Charter (Appendix D). Except where the Administrator otherwise provides, the Steering Committee is delegated full authority to take all actions necessary to carry out their assigned responsibilities, within approved agency policies, program plans, guidelines, standards, systems, and procedure.

4. Authority To Change This Order.

a. FAA Administrator. The Administrator reserves the authority to establish or change policy, delegate authority, or assign responsibility as necessary.

b. Director of the Office of Environment and Energy (AEE-1). AEE-1 has the authority to add new chapters or change existing chapters in this order after appropriate coordination with stakeholder organizations. Any changes proposed by organizational elements of FAA may be implemented by AEE-1 after appropriate coordination with other internal stakeholder organizations.

5. Definitions.

a. Appropriate Facility or Organizational Level. Any federal facility or organization that is formally accountable for compliance under environmental regulation or conducts activities that can have a significant impact on the environment, either directly or indirectly, individually or cumulatively, from the operations of that facility's or organization's mission, processes, or functions. Facility means any building, installation, structure, land, and other property owned or operated by, or constructed or manufactured and leased to, the Federal Government, as well as any fixture or part thereof. This term includes a group of facilities at a single location managed as an integrated operation, as well as government-owned contractor-operated facilities.

b. Corrective and Preventive Actions. Steps taken to correct or prevent root causes of existing or potential system deficiencies or malfunctions.

c. Environmental Management Programs (EMPs). Written documents for specific environmental aspects used by FAA to achieve the EMS objectives and targets. EMPs include designation of responsibility for achieving objectives and targets at relevant functions and levels of the organization as well as the means and timeframe by which they are to be achieved.

d. Environmental Management System (EMS). The part of the overall management system that includes organizational structure, planning activities, responsibilities, practices, procedures, processes, and resources for developing, implementing, achieving, reviewing, and maintaining the environmental policy.

e. EMS Coordinator (or EMS Management Representative). An EMS Coordinator is appointed at each appropriate organizational level by its top management and is responsible for overseeing the development, implementation, application, and maintenance of the EMS. They serve as permanent members of the EMS Steering Committee. The EMS Coordinator and EMS Management Representative (EMSMR) titles may be used interchangeably for a single position in the organization or they may be used to create separate positions to differentiate between executive and operational responsibilities for the EMS.

f. EMS Program Manager. Person appointed by top management who, irrespective of other responsibilities, shall have defined roles, responsibilities, and authority for ensuring that an EMS is established, integrated, and maintained in accordance with the requirements of the ISO-14001standard and for reporting to top management on the performance of the EMS for review, including providing recommendations for improvement.

g. EMS Steering Committee. An FAA headquarters committee of environmental representatives under the leadership of AEE-1. The committee coordinates and guides the development, implementation, application, and maintenance of EMSs. Its members include the EMS Coordinators of the appropriate organizational levels (Appendix D).

h. Internal EMS Audit (including Self-Declaration Audit). A systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria have been fullfilled. They are conducted by, or on behalf of, the organization itself and used for management reviews and other internal purposes, as well as for forming the basis of the FAA's Self-Declaration of Conformity Report.

i. Internal EMS Audit Team. One or more individuals who have been declared competent to conduct EMS audits supported, if needed, by technical experts with specific knowledge or expertise (one auditor on the team is appointed by either the EMS Coordinator or the EMS Management Representative as the Audit Lead).

j. Self-Declaration of Conformance/ Compliance. A public declaration by an organization that it has met a set of specific requirements (Appendix B).

k. Programmatic EMPs. Global EMPs maintained by AEE-200 that apply to all of FAA's appropriate organizational levels. Each appropriate organizational level is required to submit information to the EMS Program Manager in AEE on their progress toward meeting the objectives and targets that programmatic EMPs contain.

6. Related Publications. Documents referenced in, or related to, this order are listed in Appendix E.

7. Forms and Reports. The following templates and audit criteria are available from the designated EMS Coordinators in each of the appropriate organizational levels:

a. FAA Self-Declaration of Conformance Report Template (Appendix B)

b. Internal EMS Audit Report Template

c. Internal EMS Audit Criteria

d. Tri-Annual Self-Declaration Audit Criteria.