



**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

National Policy

**ORDER
1050.21A**

Effective Date
08/23/13

SUBJ: Environmental Management Systems (EMSs)

1. This order establishes Agency wide requirements for implementation of Environmental Management Systems (EMSs) in compliance with Executive Order (EO) 13423, Strengthening Federal Environmental, Energy, and Transportation Management; EO 13514, Federal Leadership in Environmental, Energy, and Economic Performance; and Department of Transportation (DOT) Order 5641.1A, DOT Internal Environmental Management Systems; which require all appropriate organizations in Federal agencies to implement EMSs to ensure the use of the EMS as the primary management approach for addressing environmental aspects of internal Agency operations and activities, including environmental aspects addressed in the Agency Strategic Sustainability Performance Plan (SSPP).
2. The development of an EMS framework is outlined in the Federal Aviation Administration (FAA) Environmental Management Policy issued by the Administrator on August 23, 2013 (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 United States (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 the FAA's continued role as the world's leading air transportation authority.
4. The FAA's Office of Environment and Energy (AEE) has implemented a Higher-Tier EMS and designated appropriate organizations for EMS implementation (Appendix B). The appropriate FAA organizations have implemented or are in the process of implementing EMSs in accordance with established deadlines. These EMSs fulfill the FAA's Environmental Management Policy commitment and contribute to the FAA's goal of being an international leader in managing aviation's environmental issues, while fostering a safe and efficient air transportation system.



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Chapter 1. General

1. Purpose of this order. The purpose of this order is to ensure that Environmental Management Systems (EMSs) are established and maintained for the Federal Aviation Administration (FAA) operations in a manner that ensures efficient and effective management of environmental issues in furtherance of the policies and goals in EO 13423, EO 13514, DOT Order 5641.1A, and the FAA Environmental Management Policy.

2. Audience.

a. Applicability. This order applies to all of the FAA-designated, appropriate organizations.

b. Appropriate Organizational Listing and Delisting. The Executive Director of the Office of Environment and Energy (AEE-1) designates which organizations within the FAA are appropriate to implement and maintain an EMS. This designation is on a case-by-case basis after consultation with the organization and with suitable guidance and assistance from the EMS Steering Committee and other interested parties, as appropriate. An appropriate organization can submit a request to AEE-1 to be delisted. The number and makeup of the FAA's appropriate organizations may change over time because of FAA reorganizations or changes in operations. AEE-1 approves organization listing and delisting requests.

(1) Department of Transportation (DOT) Order 5641.1A, DOT Internal Environmental Management Systems identifies appropriate organizations (Appendix B). Other appropriate organizations may be designated based on changes in operations or as a result of a reevaluation.

(a) The FAA support centers (Mike Monroney Aeronautical Center and William J. Hughes Technical Center) are designated because they are more traditional self-contained organizations with conventional environmental issues, such as regulated waste storage and disposal.

(b) AEE-1 designates FAA Lines of Business (LOB) organizations 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.

(c) The primary functions of AEE are to provide policy, oversight, and reporting and liaison on FAA environmental, sustainability, and energy issues. The office sets objectives and targets for the FAA that conform to the requirements of Executive Order (EO) 13423, Strengthening Federal Environmental, Energy, and Transportation Management; establish programmatic Environmental Management Programs (EMPs) to guide their transmittal and management throughout the FAA; track the FAA performance in meeting those objectives and targets; and submit reports to the Office of the Federal Environmental Executive (OFEE), and the Council on Environmental Quality (CEQ), as required.

- 3. Where to Find the order.** You can find this order on the Directives Management System (DMS) web site: https://employees.faa.gov/tools_resources/orders_notices/ and http://www.faa.gov/regulations_policies/orders_notices/
- 4. Request for Information.** Obtain further information on implementing an EMS from the AEE EMS Program Manager and LOB EMS Coordinators, on the Environmental Management Systems Webpage of the FAA Employee Web site and LOB Web sites, or Appendix C and Appendix D.
- 5. How to Cite the order.** Cite this order as the FAA Order 1050.21A. The body of the order is organized by chapters. Use the format “FAA Order 1050.21A, chapter ___” when citing a particular chapter. For example, if referencing the definition for Professional Qualifications and Training, the proper citation is “FAA Order 1050.21A, chapter 3.1.”
- 6. Cancellation.** This order cancels the FAA Order 1050.21, Environmental Management Systems, dated October 30, 2007.
- 7. Related Publications.**
 - a. The FAA’s EMS Self-Declaration Protocol** (Appendix E) published on 07/16/2013, establishes the International Organization for Standardization (ISO) 14001, Environmental Management Systems-Requirements With Guidance for Use (revised in 2004), as the environmental standard on which designated appropriate EMS organizations will base their respective EMSs. Appendix F contains a visual flow diagram of the process for FAA EMS Self-Declaration Protocol. Each appropriate EMS organization must make a tri-annual self-declaration to AEE that its EMS conforms to the specifications of an appropriate EMS framework.

In addition, the FAA EMS Self-Declaration Protocol also provides guidance on the preparation of the annual FAA Self Declaration of Conformance Statement to DOT, by the DOT established submission date.
 - b. EMS-Related Executive Orders (EOs) and Department of Transportation (DOT) Orders.** This order establishes the FAA wide requirements for the implementation of EMSs in compliance with the following: EO 13423, Strengthening Federal Environmental, Energy, and Transportation Management; EO 13514, Federal Leadership in Environmental, Energy, and Economic Performance; and DOT Order 5641.1A, DOT Internal Environmental Management Systems. Each is discussed below.
 - (1) EO 13423, published on January 24, 2007, establishes the requirement to implement EMSs at all Agency appropriate organizations. It requires the head of each Agency to ensure:
 - (a) Use of the EMS as the primary management approach for addressing environmental aspects of internal Agency operations and activities, including environmental aspects of energy and transportation functions, and aspects of the Strategic Sustainability Performance Plan (SSPP):

(i) Establishment of energy objectives and targets to ensure implementation of this order; and

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

(2) EO 13514, published on October 5, 2009, expands on the energy reduction and environmental performance requirements identified in EO 13423. It requires each Agency to sustain environmental management by:

(a) Continuing implementation of formal environmental management systems at all appropriate organizations; and

(b) Ensuring these formal systems are appropriately implemented and maintained to achieve the performance necessary to meet the goals of EO 13514.

(3) DOT Order 5641.1A, published on December 18, 2003, requires all appropriate DOT facilities to implement an EMS.

8. The FAA Policy. The FAA's primary mission is to provide the safest, most efficient aerospace system in the world. The FAA Environmental Management Policy sets out the FAA's overall intentions and commitments with respect to its interactions with the natural environment (Appendix A).

9. Applicability and Scope. This order updates the FAA-wide requirements for the implementation of EMSs in compliance with EO 13423, EO 13514, and DOT Order 5641.1A, which require all appropriate organizations in Federal agencies to implement EMSs to ensure use of the EMS as the primary management approach for addressing environmental aspects of internal Agency operations and activities.

10. Explanation of Policy Changes.

a. Compliance with EO 13514, including environmental aspects addressed in the FAA's Strategic Sustainability Performance Plan (SSPP).

b. Standardizes EMS programs, procedures, and controls to manage significant environmental impacts; ensures clear responsibility and accountability for programs; and enables organizations to track and improve environmental performance through accurate up-to-date information.

c. The FAA's higher-tier EMS (AEE) implements and designates appropriate organizations for EMS implementation (Appendix B). The appropriate FAA organizations have implemented or are in the process of implementing EMSs in accordance with established deadlines.

d. Updates signatures from the Administrator on the FAA Environmental Management Policy (Appendix A) and AEE-1 on the EMS Steering Committee Charter (Appendix G).

Chapter 2. Definitions

- 1. Appropriate Facility or Organization.** Any Federal facility or organization that is formally accountable for compliance under environmental requirements 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.
- 2. Corrective and Preventive Actions.** Steps taken to correct or prevent root causes of existing or potential system deficiencies or malfunctions.
- 3. Environmental Management Programs (EMPs).** Written documents for specific environmental aspects used by the FAA to achieve 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.
- 4. 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.
- 5. EMS Coordinator (or EMS Management Representative).** A person appointed at each appropriate organization by its top management and assigned responsibility for overseeing the development, implementation, application, and maintenance of the organization's EMS. EMS Coordinators serve as permanent members of the EMS Steering Committee. Use the EMS Coordinator and EMS Management Representative titles interchangeably for a single position in the organization, or use these titles to create separate positions to differentiate between executive and operational responsibilities for the organization's EMS.
- 6. EMS Program Manager.** A person appointed by top management who, irrespective of other responsibilities, has defined roles, responsibilities, and authority for ensuring that an EMS is established, integrated, and maintained based on the requirements of ISO-14001 and for reporting to top management on the performance of the EMS for review, including providing recommendations for improvement.
- 7. EMS Steering Committee.** The FAA Headquarters committee of environmental representatives under the leadership of AEE. The Committee coordinates and guides the development, implementation, application, and maintenance of EMSs. Its members include the EMS Coordinators of the appropriate organizations (Appendix G).
- 8. 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 fulfilled. The organization conducts internal EMS

Audits and uses the audit for management reviews and other internal purposes, as well as for forming the basis of the FAA Self-Declaration of Conformance Statement.

9. Internal EMS Audit Team. AEE declares one or more individuals competent to conduct EMS audits, supported, if needed, by technical experts with specific knowledge or expertise. The EMS Coordinator or the EMS Management Representative as the Audit Lead, appoints one auditor on the team.

10. Self-Declaration of Conformance Statement. A public declaration by an organization that it has met a set of specific requirements (Appendix E).

11. Programmatic EMPs. Higher-tier EMPs maintained by AEE that apply to all of the FAA's appropriate organizations. AEE requires each appropriate organization to submit information on its progress toward meeting the objectives and targets in the programmatic EMPs to the EMS Program Manager in AEE.

Chapter 3. Professional Qualifications and Training

Introduction. The following paragraphs provide definitions of the types of training required to prepare the FAA staff to support EMSs. Persons under the scope of an EMS who are directly involved in operations with significant environmental aspects may need additional training. Each appropriate organization's EMS Coordinator decides on the need for training as part of the EMS implementation.

a. Awareness Training. Members of an organization that has implemented an EMS need to be 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 if they are not following those procedures.

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

c. Training Records. Keep written declarations of the qualifications of EMS Coordinators, Internal EMS Auditors, and persons responsible for implementing EMPs qualification with the personnel training records or document these qualifications in the EMPs.

Chapter 4. Requirements and Guidance for Appropriate Organizations

- 1. Introduction.** The following paragraphs identify and describe the content of the EOs and policy directives governing the implementation and management of EMSs.
- 2. EO 13423.** This EO, published on January 24, 2007, requires implementation of EMSs at all agencies at appropriate organizations. It requires the head of each Agency to ensure:
 - a. Use of the EMS as the primary management approach for addressing environmental aspects of internal Agency operations and activities, including those associated with energy and transportation functions, including aspects of the SSPP;
 - b. Establishment of energy objectives and targets to ensure implementation of EO 13423; and
 - c. Collection, analysis, and reporting of information to measure performance in the implementation of EO 13423.
- 3. EO 13514.** This EO, published on October 5, 2009, expands on the energy reduction and environmental performance requirements identified in EO 13423. It requires each Agency to sustain environmental management by:
 - a. Continuing implementation of formal EMSs at all appropriate organizations; and
 - b. Ensuring appropriate implementation and maintenance of these formal systems to achieve the performance necessary to meet the goals of this order.
- 4. DOT Order 5641.1A.** This order, published on December 18, 2003, requires all appropriate DOT facilities to implement an EMS.
- 5. The FAA Environmental Management Policy.** This policy sets out the FAA's overall intentions and commitments with respect to its interactions with the natural environment (Appendix A).
- 6. The FAA EMS Self-Declaration Protocol.** This protocol establishes ISO 14001 as the environmental standard on which designated appropriate EMS organizations will base their respective EMSs (Appendix E). Per the requirements of the Self-Declaration Protocol, published by the Inter-Agency Working Group on EMS, each appropriate Federal facility must make a tri-annual self-declaration that its EMS conforms to the specifications of an appropriate EMS framework. The FAA EMS Self-Declaration Process (Appendix F) calls for an annual combination of Internal EMS Audits (conducted by the FAA personnel and/or designees), Tri-Annual Self-Declaration Audits (conducted by the FAA personnel not responsible for the EMS /designee and led by AEE), and the annual FAA Management Review to prepare the annual FAA Self-Declaration of Conformance Statement to DOT, by the DOT established submission date.

Chapter 5. Responsibilities

1. Introduction. Key responsibilities are defined for those involved in managing EMSs.

2. Administrator or Assigned Designee.

a. Approve the FAA Environmental Management Policy.

b. Participate in the annual FAA Management Review and in the submission of the FAA's Self-Declaration of Conformance Statement to DOT, by the DOT established submission date.

c. Ensure the availability of resources essential to establish, implement, maintain, and improve the higher-tier and appropriate organization's EMSs.

3. Executive Director, Office of Environment and Energy or Assigned Designee.

a. Approve the listing and delisting of appropriate organizations.

4. Associate and Assistant Administrators, Air Traffic Organization (ATO) Chief Operating Officer (COO), and others or Designees.

They ensure the following:

a. Employees are aware of the FAA Environmental Management Policy.

b. All appropriate organizations have implemented suitable EMSs.

c. Organizational EMPs address the objectives and targets reflected in the higher-tier EMPs issued by AEE.

d. Adequate funds and resources are allocated for EMS development, implementation, and maintenance.

e. When requested, the EMS Program Manager in AEE is provided with the required information on the LOB's EMS.

5. Appropriate Organizational Management.

a. Ensure appropriate funding consideration and prioritization for EMS development, implementation, and maintenance, including training. Include, as part of each organization annual budget planning, estimates of funds necessary to comply with this order. This will ensure the integration of environmental funding requirements with the other FAA requirements.

b. Ensure EMPs address the objectives and targets reflected in the higher-tier EMPs issued from AEE.

c. Ensure Internal EMS Audits are conducted annually, in coordination with AEE, and the appropriate organizations complete their Tri-Annual Self-Declaration Audit.

- d. Participate actively in the annual Management Reviews.
- e. Appoint an EMS Coordinator for the organization who will advise top management regarding the operation of the system and conduct internal and Tri-Annual Self-Declaration Audits or designate a Lead Auditor to conduct auditing functions.
- f. Sign an annual Self-Declaration of Conformance Statement.
- g. Ensure the EMS Program Manager in AEE is provided with the Internal Audit Report on the organization's EMS.
- h. Ensure the appropriate personnel are invited to and involved in the Management Review.
- i. Ensure employees of the organization and contractors working on behalf of the organization have EMS Awareness training to carry out their roles and responsibilities with the least environmental impact.

6. Appropriate Organizational Personnel.

- a. Have a basic understanding of the EMS applicable to their organization.
- b. Be familiar with the provisions of both the FAA Environmental Management Policy and their organization's internal environmental policy.
- c. Know how to respond to an environmental incident or emergency.
- d. Be familiar with the key environmental issues identified for their organization.
- e. Know their role with respect to the significant environmental aspects involved in their work area and/or job function.

7. Office of Chief Counsel (AGC).

- a. Provides legal advice on regulatory requirements and upcoming legislative initiatives that may be needed in each organization's EMS.

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

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

- b. Provides 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 the FAA.

8. EMS Program Manager, Office of Environment and Energy.

- a. Organize and provide leadership for EMS Steering Committee meetings.
- b. Designate qualifying organizations in the FAA as appropriate.
- c. Maintain the FAA's Higher-Tier EMPs and issue yearly updates that reflect the objectives and targets to be achieved by the FAA in compliance with the EOs and applicable regulatory requirements.
- d. Prepare the annual FAA Management Review, as necessary.
- e. Bring issues of EMS effectiveness to the attention of AEE-1.
- f. Organize and execute each appropriate organization's External Tri-Annual Self Declaration Audit.
- g. Provide technical and other support to any newly-identified appropriate organizations that needs to develop, implement, and maintain an EMS.
- h. Provide periodic EMS updates and training for personnel and management at appropriate organizations, as needed.

9. EMS Steering Committee.

- a. Provide guidance and assistance to AEE-1 in identifying the FAA organizations to comply with requirements in EO 13423 and EO 13514.
- b. Prepare and submit suitable analysis to AEE-1 on the designation of appropriate organizations.
- c. Promote and support the efficient and effective management of the potential environmental impacts of the FAA operations, ensuring that the development, implementation, and improvement of EMSs fully support the FAA's Mission.

10. The FAA Environmental Networks. In accordance with the FAA Order 1054.1A, Environmental Network, the Environmental Network will provide the following EMS support:

- a. Provide assistance to the EMS Steering Committee, as requested.
- b. Promote and support the efficient and effective management of the FAA organizations' potential environmental impacts, and the development, implementation, and improvement of EMSs that fully support the FAA's Mission.

11. EMS Coordinators. The organization implementing the EMS may, at their discretion, combine the roles of EMS Coordinator and EMS Management Representative. EMS Coordinators are determined competent by their organizations to carry out their roles and responsibilities on the basis of appropriate education, training, or experience, and must retain associated records.

- a. Oversee the proper and effective implementation of their organization's EMS.
- b. Incorporate the objectives and targets specified in the yearly updated programmatic EMPs from AEE into the EMPs of the EMSs they are responsible for.
- c. Appoint lead auditors for EMS audits, schedule their organization's audits, and ensure the audits are conducted in an appropriate and timely manner.
- d. Oversee the execution of EMS corrective and preventive actions, and follow up on management decisions that are the result of Management Reviews.
- e. Identify training needs for the general awareness of all employees and for competence training of individuals associated with significant environmental aspects.
- f. Provide necessary EMS training to appropriate organizational-level personnel through the implementation of the EMS.
- g. Requests 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.
- h. Interfaces with the EMS Program Manager in AEE.
- i. Forwards the results of the organization's yearly Internal EMS Audit to the EMS Program Manager in AEE.
- j. Serves as a permanent member of the EMS Steering Committee.

12. EMS Management Representatives. The roles of EMS Management Representative and EMS Coordinator for each appropriate organization may, at the discretion of the organization implementing the EMS:

- a. Serve as the appropriate organization's EMS Program Manager.
- b. Promote top management visibility and obtain support from other organizations.
- c. Schedule the organization's Management Reviews and conduct the review in an appropriate and timely manner.

Chapter 6. Reporting Requirements

1. EMS Data. For the FAA to track its overall environmental performance and meet DOT, OFEE, and CEQ requirements, all appropriate organizations must provide the Higher-Tier EMS Program Manager in AEE with timely data on the state of their EMSs, including their progress and achievements in meeting the objectives and targets laid out in the EMPs.

a. Appropriate data must 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 Self-Declaration Conformance Statements.

b. Internal EMS Audits must 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.

c. The appropriate data will be used by AEE to prepare for the annual FAA Management Review and ultimately for the FAA Self-Declaration of Conformance Statement to DOT, by the DOT established submission date.

2. Self-Declaration of Conformance. The FAA's official statement of conformance, with the requirements of EO 13423 and EO 13514 (FAA Self-Declaration of Conformance Report), will be transmitted to DOT, by the DOT established submission date, when the Higher-Tier EMS has been fully implemented.

3. Audit Reporting Requirements. To continually improve their EMSs, each of the FAA-designated EMS organizations must conduct the following:

a. Internal EMS Audit. Each appropriate organization must conduct, at a minimum, an annual Internal EMS Audit. Internal EMS Audits are conducted by Internal EMS Audit Teams (team members may be the FAA personnel and/or designees) created in each organization that has implemented an EMS. The members of these audit teams are required to be declared competent by the designated EMS Environmental Management Representative to conduct such audits. Competence for EMS auditors is normally acquired through training and/or experience. The EMS Coordinator for the organization 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.

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

(2) Internal EMS Audit Teams must be composed of individuals from within the organization or designees that have been named by the EMS Coordinator to conduct Internal EMS Audits. The guidelines for training, qualification, formation, and management of Internal EMS Audits are included in the Internal EMS Audit Procedure for each appropriate organization level.

b. Management Review. Each appropriate organization must conduct an annual Management Review for top management to assess the effectiveness of its organization's EMS. The organization's EMS Coordinator/EMS Management Representative will prepare the review and will follow the steps prescribed in the Management Review Procedure implemented with each EMS.

(1) The Management Review must contain information on the environmental performance of the organization, including regulatory compliance status, the most recent Internal EMS Audits (conducted by the FAA personnel and/or designees), and External Tri-Annual Self-Declaration Audit Reports (conducted by the FAA personnel not responsible for the EMS and/or designee), corrective and preventive actions status, and any other indications of system operation.

(2) The Self-Declaration of Conformance Report records Management Review proceedings and decisions. This report summarizes the proceedings and outputs of the annual EMS Management Review.

c. External Tri-Annual Self Declaration Audits. All appropriate organizations must be subject to External Tri-Annual Self Declaration Audits.

(1) External Tri-Annual Self-Declaration Audits verify that the EMS is properly implemented and that it continues to conform to planned arrangements for environmental management. It is an audit of the system and findings are expressed as nonconformances. External Tri-Annual Self-Declaration Audits are conducted by the FAA personnel not responsible for the EMS /designee and led by AEE. All appropriate organizations must be subject to External Tri-Annual Self Declaration Audits except those organizations that obtain Third-Party Registration of conformance from an American National Standards Institute-American Society of Quality National Accreditation Board Accredited. External Tri-Annual Self-Declaration Audits must be conducted as soon as practicable, but no later than four months from the date of the appropriate organization's Management Review.

(2) If a third party auditor performs the audit, then the LOB does not have to do a self-declaration audit.

(3) Appropriate organizations that obtain Third-Party Registration of conformance from an American National Standards Institute-American Society of Quality (ANSI-ASQ) National Accreditation Board Accredited Registrar are exempt from conducting External Tri-Annual Self-Declaration Audits. Submit evidence of valid registration status to the EMS Program Manager in AEE annually for this exemption to apply.

d. Declaration to DOT. AEE must make a yearly self-declaration of the FAA's conformance with the requirements of EO 13423 and EO 13514 to DOT, by the DOT established submission date. The FAA Self-Declaration of Conformance Statement must be based on the yearly Management Review of the EMS. The EMS Program Manager in AEE will prepare the information for the Management Review, and include the most recent External Self-Declaration of Conformance Report and Internal EMS Audit Reports from each appropriate organization (Appendix E).

Chapter 7. Review of The FAA Directives

Introduction. Before the release and implementation by the FAA operating units and organizations, submit all the proposed FAA directives and guidance with environmental consequences to AEE for a 30-day review period. If AEE-I finds the documentation to be consistent with this order, then AEE must notify the program office and the program office may adopt and implement the directive and/or guidance. All the FAA LOB/SOs that have previously issued such directives and guidance must update those documents to be consistent with this order. This order supersedes any inconsistent directives and guidance.

Appendix A. The FAA Environmental Management Policy for Internal Agency Operations and Activities.

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

- 1. Senior Management.** The FAA senior management will implement EMSs where appropriate. Senior managers will ensure their organizations conduct annual EMS audits and make appropriate improvements where necessary.
- 2. Regulatory Compliance.** The FAA will identify, evaluate, and fully comply with all applicable environmental and natural resource laws, regulations, and Executive Orders (EOs) at each location where it conducts business.
- 3. Pollution Prevention.** The 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.** The FAA will be an environmentally responsible neighbor in the communities where it works. The FAA will act quickly and responsibly to correct incidents or conditions that endanger health, safety, or the environment, and to inform affected individuals promptly.
- 5. Communication.** The 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.

The FAA personnel commit to being good stewards of the environment.

Appendix B. List of The FAA Higher-Tier and Organizational EMSs

1. Higher-Tier.

a. Environmental Policy and Operations Division of the Office of Environment and Energy (AEE)

2. Support Centers:

- a. Mike Monroney Aeronautical Center (MMAC)
- b. William J. Hughes Technical Center (Tech Center)

3. Lines of Business (LOBs).

- a. Airports (ARP)
- b. Air Traffic Organization (ATO)
 - (1) Flight Inspection Services (FIS)
- c. Aviation Safety (AVS)
- d. Commercial Space Transportation (AST)

4. Staff Offices (SOs).

- a. Finance and Management (AFN)
- b. NextGen (ANG)

Appendix C. Related Publications

1. Executive Orders (EOs) and Directives.

- a. EO 13514, Federal Leadership in Environmental, Energy, and Economic Performance, dated October 9, 2009.
- b. EO 13423, Strengthening Federal Environmental, Energy, and Transportation Management, dated January 24, 2007.
- c. EO 13150, Federal Workforce Transportation, dated April 26, 2000.
- d. EO 13149, Greening the Government Through Federal Fleet and Transportation Efficiency, dated April 26, 2000.
- e. EO 13101, Greening the Government Through Waste Prevention, Recycling, and Federal Acquisition, dated September 14, 1998.
- f. EO 11991, Protection and Enhancement of Environmental Quality, dated May 24, 1977.
- g. EO 11593, Protection and Enhancement of the Cultural Environment, dated May 13, 1971.
- h. EO 11472, Establishing the Environmental Quality Council and the Citizens' Advisory Committee on Environmental Quality, dated May 29, 1969.
- i. Inter-Agency Working Group on EMS, Information Note on Self-Declaration Protocol, dated December 7, 2004.
- j. Inter-Agency Working Group on EMS, Self-Declaration Protocol, dated September 10, 2003.

2. Department of Transportation (DOT) Orders and Directives.

- a. DOT Order 5641.1A, DOT Internal EMS, dated December 18, 2003.
- b. DOT Manual 5640.1D, Environmental and Natural Resources Program Manual, dated September 12, 1996.

3. The FAA Orders and Directives.

- a. The FAA Environmental Management Policy, dated August 23, 2013.
- c. The FAA Environmental Management Systems Self-Declaration Protocol, dated July 16, 2013.

- c. The FAA Order 5100.38A, Change 1, Airport Improvement Program (AIP), dated December 1, 2001.
- d. The FAA Order 1054.1, Environmental Network, dated October 9, 1998.
- e. The FAA Order 1050.1E Policies and Procedures for Considering Environmental Impacts, dated December 5, 1986, as amended.
- f. The FAA Order 5050.4B National Environmental Policy Act (NEPA) Implementing Instructions for Airport Actions, dated April 28, 2006.”
- g. The FAA Acquisition Management System.

4. Other Publications: ISO Environmental Management System (EMS) Standard 14001:2004

Appendix D. Administrative Information

1. Distribution. This order is distributed to all offices in Washington Headquarters, Regions, Centers, Service Areas, Field Offices, and Facilities.

2. Background.

a. ISO 14001, Environmental Management Systems-Requirements With Guidance for Use (revised in 2004). The Environmental Management System (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) published the ISO 14001 standard, which codified the systematic approach that had been developed in the late 1980s.

b. EO 13423, Strengthening Federal Environmental, Energy, and Transportation Management. On January 24, 2007, President Bush signed EO 13423 and reconfirmed that Federal Agencies must implement EMSs at all appropriate organizations. The change of language from appropriate facilities to appropriate organizations broadens the use of EMSs within the Federal Government as directed by EO 13423. The 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 EO 13423.

c. EO 13514, Federal Leadership in Environmental, Energy, and Economic Performance. On October 5, 2009, President Obama signed Executive Order (EO) 13514, which requires continued implementation of existing EMS programs, and stresses their importance as the means to manage the various environmental aspects of agency operations. The Federal Aviation Administration (FAA) will continue to implement EMSs at appropriate levels of the Agency to comply with requirements of EO 13514.

d. The 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 FAA designated appropriate organizations implemented EMSs consistent with their commitment to meet EO requirements. The FAA will continue to fulfill the commitments in its Environmental Management Policy by ensuring that the EMS framework is consistently applied to all the appropriate FAA levels.

3. Delegation of Authority. The FAA EMS Steering Committee, which includes EMS Coordinators from each appropriate organization, derives its authority from the Administrator through the EMS Steering Committee Charter (Appendix G). Except where the Administrator

otherwise provides, the EMS Steering Committee is delegated full authority to take all actions necessary to carry out its assigned responsibilities, within approved Agency policies, program plans, guidelines, standards, systems, and procedures.

4. Authority to Change this order.

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

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

5. Related Publications. Documents referenced in, or related to, this order are listed in Appendix C.

6. Forms and Reports. The following templates and audit criteria are available from the designated EMS Coordinators at each of the appropriate organizations:

- a. The FAA Self-Declaration of Conformance Report Template.
- b. Internal EMS Audit Report Template,
- c. Internal EMS Audit Criteria, and
- d. Tri-Annual Self-Declaration Audit Criteria.

These templates and audit criteria are also available on the FAA EMS Web site.

Appendix E. The FAA EMS Self-Declaration Protocol

- 1. Executive Orders 13423 and 13514.** EO 13423, Strengthening Federal Environmental, Energy, and Transportation Management, establishes the requirement to implement Environmental Management Systems (EMSs) at the appropriate organizations within Federal agencies and self-declare agency conformance with EMS requirements. EO 13514 further supports this requirement by ensuring these formal systems are appropriately implemented and maintained to achieve the performance necessary to meet the goals of the order.
- 2. The Office of the Federal Environmental Executive (OFEE).** In January 2007, OFEE re-issued an earlier memorandum that directed Operating Administrations, such as the FAA, to create their own EMS protocols for self-declaring conformance to EO 13423 in the Instructions for Implementing EO 13423. In response, the Office of the Secretary of Transportation has provided minimum criteria the FAA must meet in its protocol.
- 3. Requirements.** 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:
 - a.** The FAA must create an Environmental Management Policy that is signed by the FAA Administrator and that is updated, as needed.
 - b.** Each appropriate organization (i.e., Lines of Business, staff office or center) must create an EMS based on the ISO 14001 standard.
 - c.** Internal EMS Audits must be conducted *annually* at each appropriate organization.
 - d.** External Self-Declaration Audits must be conducted tri-annually at each appropriate organization. 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 and field personnel.
 - e.** The FAA's internal and external EMS Auditors must be trained to conduct EMS audits. Auditors must have received a certificate of satisfactory completion of an auditor training course. The training must be a minimum of two days.
 - f.** The criteria used for each internal or external EMS audit covers requirements based upon ISO-14001 or auditing protocols and procedures developed in accordance with E.O. 13423. (Audit criteria will be documented for each appropriate organization as part of its EMS.)
 - g.** The top management of each identified appropriate organizations must conduct an annual Management review of its EMS.
 - h.** The top management of each identified appropriate organization must make a tri-annual self-declaration statement (see paragraph 4 and sample below) to the AEE EMS Program Manager that their EMS is in place, based on this protocol and in conformance with EO 13423. Organizations that are ISO 14001-certified do not need to self-declare.

i. On behalf of FAA, AEE must conduct an annual Management Review of the summary status of the EMSs at the FAA, by the DOT established submission date. The Higher-Tier EMS Program Manager prepares an annual status report on the FAA's EMSs (based on the self-declaration statements) and arranges the review with AEE, as necessary. Each appropriate organization's top management is responsible for addressing issues and suggestions that result from the Management Review.

j. AEE, on behalf of the FAA will make an annual self-declaration statement to Department of Transportation (DOT), by the DOT established submission date that the FAA's EMSs are in place, based on this protocol and in conformance with EO 13423 and EO 13514.

k. FAA's Self-Declaration Protocol must be reviewed tri-annually and revised as necessary to reflect any changes in the FAA activities, programs, or priorities.

4. The FAA Appropriate Organizational EMS Self-Declaration Statement. Each identified appropriate organization will forward a statement (see the following sample) to the AEE EMS Program Manager as provided in the FAA Self-Declaration Protocol. The statement should be subscribed by the organization's designated management and a copy sent to the EMS Program Manager. This statement can only be made by an appropriate organization following successful completion of its tri-annual external Self-Declaration EMS Audit.

Sample The FAA Appropriate Organizational EMS Self-Declaration Statement

Date: (Date of this communication to AEE)
To: AEE
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.

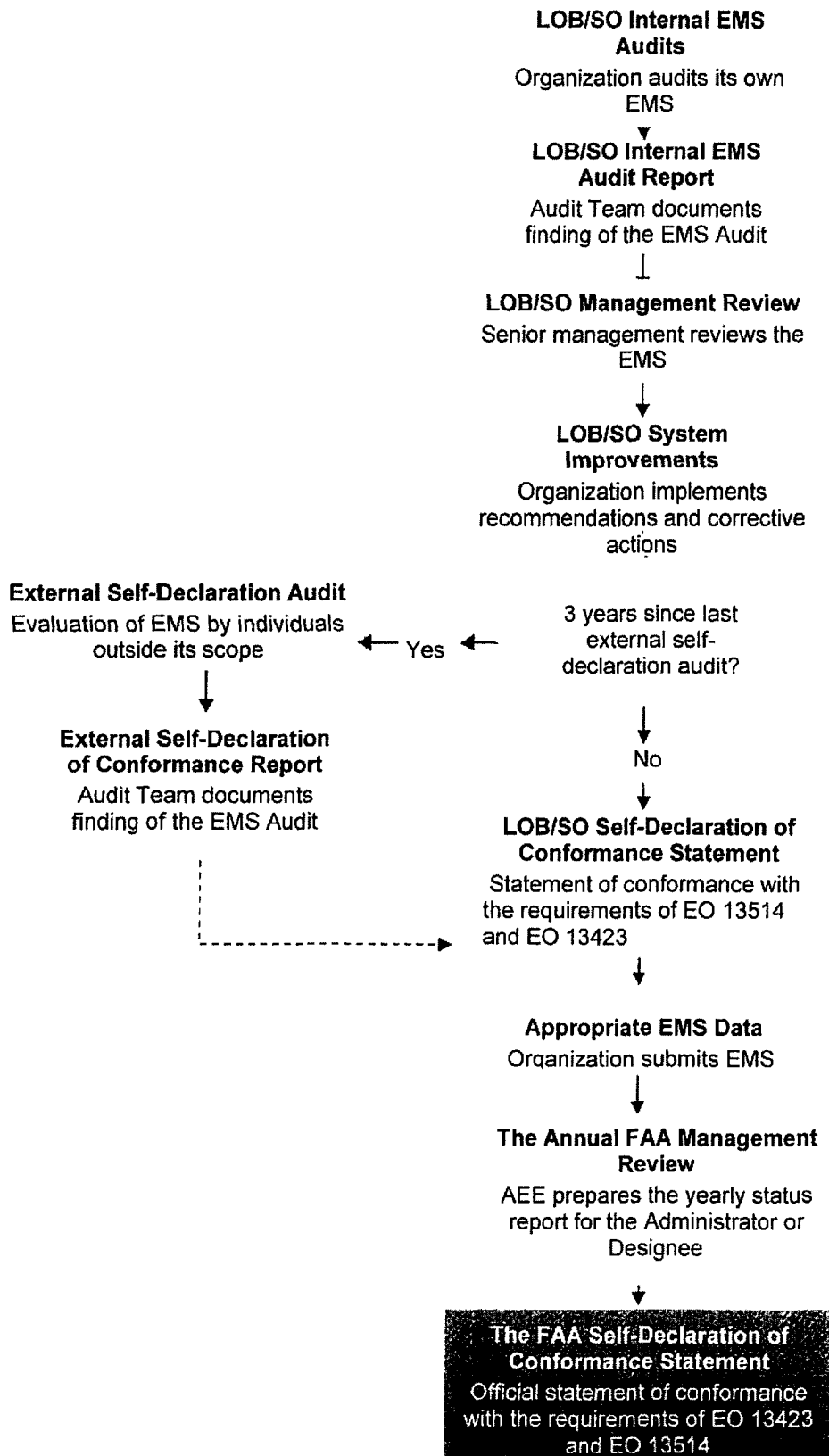
The current scope of the EMS is (*Current Scope of Appropriate Organization's EMS*).

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 of briefing.

Appendix F. The FAA EMS Audit and Self-Declaration Process



Appendix G. Environmental Management System Steering Committee Charter

The U.S. Federal Aviation Administration
Environmental Management System
Steering Committee Charter

Date

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

2. Responsibilities. The 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 for the Higher-Tier EMS and integrating environmental planning into the FAA activities. The group also provides leadership and coordination (e.g., lead auditors) for the yearly Internal EMS Audits conducted by the appropriate facilities.

b. Cross-Cutting Issues. Provide a forum to address cross-cutting issues, maintain consistency and exchange of lessons learned and best practices in the development, implementation and application of EMSs within the FAA.

c. Feedback. Assist AEE in providing feedback on proposed environmental initiatives and decisions that have broad ramifications across all LOB and the other FAA units.

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

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

f. Objectives and Targets. Assist in the development of the yearly updated objectives and targets specified in the higher-tier EMPs.

g. Audits and Management Reviews. Assist the FAA EMS Program Manager in preparing EMS audit and management review information for the Agency's use in the annual FAA EMS Management Review, as required by the FAA EMS Self-Declaration Protocol.

h. Self-Declaration Audits. Assist the FAA EMS Program Manager in organizing the yearly EMS self-declaration audit.

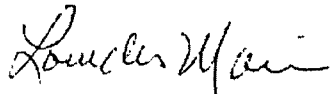
3. Roles and Membership.

a. The FAA Higher-Tier EMS Program Manager. The FAA Higher-Tier EMS Program Manager provides the administrative leadership of the EMS Steering Committee. AEE-1 or a designee must serve as chair of the EMS Steering Committee.

b. Appropriate Organizations. Each of the FAA appropriate organizations must have representation on the EMS Steering Committee. Each member organization must be represented on the Committee by its functional Environmental Lead or by its EMS Coordinator.

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

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



Lourdes Maurice
Executive Director, Office of Environment and Energy
Federal Aviation Administration