



114 Hercules Road • Hopewell, Virginia 23060
804-458-0700 • FAX 804-458-0794

GDF SUEZ

Appendix 4.

Environmental Assessment Report Form

EMS Assessment Report

The purpose of this Analysis is to indicate the relative degree of conformance between the facility's current approach to environmental management against the requirements of ISO14001.

Instructions:

In the General Information Sheet, complete the blanks, where it asks for details about the facility, who completed the checklists, and when the checklists was completed. Hit the "Set Footers" tab once completed to set the footers for all of the worksheets.

Each checklist tab (worksheet) corresponds to an element of the ISO14001 EMS implementation. When completing a checklist, put a number between 1 and 5 in the box next to the question (see the "Scoring Key" tab for scoring criteria).

Your score will automatically be calculated and summarized within the "Scoring Summary" worksheet.

EMS Assessment Report Checklists

<i>Facility Name:</i>	[Enter Your Facility Name Here]
<i>Facility Location:</i>	[City/Town, State/Province, Country]
<i>Checklists Completed by:</i>	[Enter Your Name Here]
<i>Date Completed:</i>	[Day/Month/Year]

EMS Assessment Report

Scoring Key		
Score	Criteria	Value
1	Not in place - Not yet - Never done - Only an Idea - Early Planning Stage	5%
2	Not very much - Some efforts made but still a long way to go - Late Planning Stage/Early Implementation Stage	15%
3	Partially - In place, but only some of the time OR across only parts of the facility - Major gaps remain with clear scope for improvement in most areas - Middle Implementation Stage	40%
4	Quite a lot - Generally working most of the time and/or across most of the facility - Minor gaps remain with most opportunities for improvement involving 'fine tuning' - Late Implementation Stage	80%
5	Fully in place - Working to a high quality across the entire facility - Part of the way we do business - Fully Implemented	100%

EMS Assessment Report

Structure & Responsibility		
Issue	Question	Score (1-5)
Structure & Responsibility	Are roles, responsibilities and authorities	
	a) defined,	
	b) documented, and	
	c) communicated?	
	Does the system facilitate effective environmental management?	
	Management has provided the resources essential to the implementation and control of the environmental management system?	
	An environmental management team has been established?	
	The management team has been provided with an adequate resource base to effectively manage environmental issues?	
	Resource base include:	
	a) human resources and specialized skills?	
	b) technology and financial resources?	
	A management representative has been appointed?	
	The management representative has the following roles, responsibilities and authority, irrespective of other responsibilities:	
	a) ensuring that environmental management system requirements are established, implemented and maintained ?	
	b) reporting on the performance of the environmental management system to top management for review and as a basis for improvement of the environmental management system?	
c) environmental auditing?		
d) emergency response and crisis communications?		
e) accident and incident investigations?		
Total Score		0%

EMS Assessment Report

Legal & Other Requirements		
Issue	Question	Score (1-5)
Legal & Other Requirements	A procedure to identify the legal and other requirements to which the facility subscribes directly applicable to the environmental aspects of its activities, products or services has been developed?	
	The procedure provides for access to the information?	
	The directly applicable legal and other requirements are fully identified?	
	Procedure provide for keeping the information up-to-date?	
	Procedure provides for the information to be available for use in setting environmental objectives and targets?	
	The information has been incorporated into general operating criteria and decision making processes?	
Total Score		0%

EMS Assessment Report

Environmental Aspects		
Issue	Question	Score (1-5)
Environmental Aspects	A procedure to identify the environmental aspects of the facilities's activities, products or services that it can control and over which it can be expected to have an influence has been developed?	
	The concept of "control" and "influence" has been consistently and effectively applied?	
	The procedure has been effectively applied (have all of the obvious environmental aspects of the business been identified)?	
	Have you identified key environmental aspects and legal requirements associated with on-site activities, including:	
	· routine and complex operations?	
	· non-routine operations?	
	· emergency situations?	
	· future activities?	
	· past activities?	
	· 'other' activities?	
	Information has been kept up-to-date?	
Total Score		0%

EMS Assessment Report

Significant Environmental Aspects		
<i>Issue</i>	<i>Question</i>	<i>Score (1-5)</i>
Assessment of Significance	The relative significance of key environment aspects have been assessed, considering:	
	· regulatory pressure?	
	· environmental impacts?	
	· customer expectations?	
	· potential liabilities?	
	· best practice principles?	
	· other business concerns?	
	The criteria for evaluating significance relevant, are appropriate and consistently applied (have all of the obviously significant environmental impacts been classified as such)?	
Follow-up on Assessment Results	The results from the assessment activities have been followed up to provide the basis of:	
	· Objectives & Targets	
	· Training Needs	
Update of Assessment Results	The assessment results have been updated in light of temporary or permanent changes to activities, staffing or other interests?	
Total Score		0%

EMS Assessment Report

Objectives & Targets		
<i>Issue</i>	<i>Question</i>	<i>Score</i>
Objectives & Targets	The facility has established and maintained documented environmental objectives and targets, at each relevant function and level within the facility?	
	The following areas have been considered in the establishment of the environmental objectives and targets:	
	a) legal and other requirements?	
	b) significant environmental aspects?	
	c) technological options?	
	d) financial, operational and business requirements?	
	e) the views of interested parties?	
	The objectives reflect facility policies and commitments?	
	Objectives address environmental issues where current levels of compliance, performance or risk are below standard?	
	Objectives are consistent with the environmental policy and inclusive of the commitment to prevention of pollution?	
	Environmental objectives are integrated with overall business objectives?	
	Objectives and targets have been reviewed?	
	Setting Targets	Shorter term targets been defined?
Will meeting the targets help the facility to achieve its objectives?		
Each environmental targets is:		
a) quantified where practicable?		
b) set with a relevant timeframe?		
c) relevant to each functional level?		
d) understood by the relevant staff at each level?		
Targets are integrated with business plans/objectives?		
Total Score		0%

EMS Assessment Report

Environmental Management Programs		
<i>Issue</i>	<i>Question</i>	<i>Score (1-5)</i>
Management Programs	The facility has developed an environmental management program(s) to achieve the Objectives & Targets?	
	Do the programmes include a designation of responsibility for achieving objectives and targets?	
	Do the programmes include the means and timeframe by which they are to be achieved?	
	Do the programmes relate to new developments and new or modified activities, products or services?	
Total Score		0%

EMS Assessment Report

Environmental Policy		
Issue	Question	Score (1-5)
Environmental Policy	Environmental policy has been defined and approved by top management (at the site)?	
	Is it appropriate to the nature, scale and environmental impacts of your activities, products or services?	
	A representative group of business functions was involved in drafting the Policy?	
	Policy includes a commitment to continual improvement?	
	Policy includes a commitment to prevention of pollution?	
	Policy includes a commitment to comply with relevant environmental legislation and regulations requirements?	
	Policy includes a commitment to comply with other requirements to which your facility subscribes?	
	Policy provides a framework for setting and reviewing environmental objectives and targets?	
	Policy is documented, implemented and maintained?	
	Policy has been communicated to ALL employees?	
	Policy is available to the public?	
Total Score		0%

EMS Assessment Report

Document Control		
<i>Issue</i>	<i>Question</i>	<i>Score</i>
Document Control	A document control procedure has been established and maintained?	
	The relevant documents:	
	a) readily locatable?	
	b) periodically reviewed, revised as necessary and approved for adequacy by authored personnel?	
	c) available at all locations where operations essential to the effective functioning of the system are performed in the current version	
	d) removed from all points of issue and points of use or otherwise assured against unintended use when they become obsolete?	
	e) suitably identified as obsolete if retained for legal and/or knowledge preservation purposes?	
	The documents are:	
	a) legible?	
	b) dated (with dates of revision)?	
	c) readily identifiable?	
	d) maintained in an orderly manner?	
	e) retained for a specified period?	
Appropriate procedures and responsibilities have been established and maintained concerning the creation and modification of the various types of documents?		
Total Score		0%

EMS Assessment Report

EMS Records		
Issue	Question	Score (1-5)
EMS Records	The facility has established and maintained procedures for the identification, maintenance and disposition of environmental records?	
	These records include:	
	a) training records?	
	b) audits?	
	c) management reviews?	
	The environmental records for each activity, product or service involved are:	a)
	legible?	
	b) identifiable?	
	c) traceable?	
	Environmental records are stored and maintained in such a way that they are:	
	a) readily retrievable, and	
	b) protected against damage, deterioration or loss?	
	Record retention times are established and recorded?	
	Records are appropriate to the system and facility?	
	Have individual accountabilities and responsibilities been documented?	
	Are environmental objectives and improvement programmes in writing?	
	Are relevant environmental procedures and work instructions in writing?	
	Are applicable legislation and permits available on-site?	
	Are emergency plans in written form?	
	Are training needs, records and assessment results kept?	
Are calculation results, monitoring records, inspection and audit reports kept?		
Are reports from rehearsal of emergency and crisis communication plans kept?		
Are minutes from Management Reviews and relevant committee meetings kept?		
Are Corrective Action plans and follow up actions kept?		
Are written communications with regulatory authorities kept?		
Are Incident and Emergency reports, Quarterly Reports and Annual Reports kept?		
Total Score		0%

EMS Assessment Report

Communication		
Issue	Question	Score (1-5)
Communication	The facility has established and maintained procedures for: a) internal communication between the various levels and functions of the facility?	
	b) receiving, documenting and responding to relevant communication from external interested parties?	
	c) communicating relevant procedures and requirements related to the identifiable significant environmental aspects to suppliers and contractors?	
	Processes for external communication on its significant environmental aspects have been considered?	
	Decision on external communication of SEA's has been recorded?	
Total Score		0%

EMS Assessment Report

Environmental Management System Documentation		
<i>Issue</i>	<i>Question</i>	<i>Score (1-5)</i>
EMS Documentation	Documentation to describe the environmental management system has been established and maintained?	
	The documentation describe the core elements of the management system and their interaction?	
	The documentation provides direction to related documentation?	
Total Score		0%

EMS Assessment Report

Training, Awareness and Competence		
Issue	Question	Score (1-5)
Training & Competence	Facility has identified environmental training needs?	
	All personnel whose work may create a significant impact upon the environment have received appropriate training?	
	Procedures for environmental training have been established?	
	Procedures ensure that employees or members at each relevant function and level are aware of:	
	a) the importance of conformance with the environmental policy and procedures and with the requirements of the environmental management system?	
	b) the significant environmental impacts, actual or potential, of their work activities and the environmental benefits of improved personal performance?	
	c) their roles and responsibilities in achieving conformance with the environmental policy and procedures and with the requirements of the environmental management system?	
	d) the potential consequences of departures from specified operating procedures?	
	Competency requirements for tasks, which can cause significant environmental impacts, have been developed?	
	Are the training and competency requirements subject to review and have they been kept up-to-date?	
Training Scope	Members of emergency and crisis communication teams have been trained on relevant environmental risks and response plans?	
	Do environmental training and awareness-raising programmes cover:	
	full-time employees?	
	temporary/seasonal staff?	
	contractors?	
	new hires?	
Effectiveness Assessment	The effectiveness of training and awareness raising programmes has been assessed? (e.g. through post-training competence-assurance)	
Total Score		0%

EMS Assessment Report

Operational Control		
<i>Issue</i>	<i>Question</i>	<i>Score (1-5)</i>
Operational Control	Operations and activities that are associated with the identified significant environmental aspects have been identified?	
	Are the operations identified in line with its policy, objectives and targets?	
	The facility planned these activities, including maintenance, in order to ensure that they are carried out under specified conditions by: a) establishing and maintaining documented procedures to cover situations where their absence could lead to deviations from the environmental policy and the objectives and targets?	
	b) stipulating operating criteria the procedures	
	c) establishing and maintaining procedures related to the identifiable significant environmental aspects of goods and services used by the facility?	
	d) communicating relevant procedures and requirements related to the identifiable significant environmental aspect of goods and services used by the facility to suppliers and contractors?	
	Do the specified conditions result in conformance with the system, legislative compliance, prevention of pollution and continual improvement?	
Total Score		0%

EMS Assessment Report

<i>Incidents and Emergencies</i>		
<i>Issue</i>	<i>Question</i>	<i>Score (1-5)</i>
<i>Plan Content</i>	The facility has established and maintained procedures to identify potential for and respond to accidents and emergency situations?	
	The existing emergency response plan addresses all incident scenarios that may have significant on-site and off-site environmental impacts?	
	The procedure provides for the prevention and mitigation of the environmental impacts that may be associated with them?	
	The emergency response plan addresses indirect environmental effects of the incident (e.g. post-emergency disposal of wastes generated during the response effort)?	
	Crisis communications are adequately addressed in the plan?	
<i>Testing of Plan</i>	The response to environmental incidents scenarios has been tested?	
	Crisis communications has been tested?	
	The emergency plan has been tested in conjunction with the relevant authorities, emergency services and local communities likely to be affected?	
	The procedures are reviewed after the occurrence of any accidents or emergency situations?	
Total Score		0%

EMS Assessment Report

Monitoring & Measurement		
<i>Issue</i>	<i>Question</i>	<i>Score</i>
Monitoring	The facility has established and maintained documented procedures to monitor and measure on a regular basis the key characteristics of its operations and activities that can have a significant impact on the environment?	
	This includes:	
	a) the recording of information to track performance?	
	b) relevant operational controls?	
	c) conformance with the facility's objectives and targets?	
	Environmental discharges/releases are suitably monitored?	
	The site has adequate sampling and analysis protocols?	
	Monitoring equipment is calibrated and maintained?	
	Records of this process have been retained according to the facility's procedures?	
Inspections	Are environmental issues covered during site inspections?	
	Site has defined a comprehensive set of key environmental indicators?	
Total Score		0%

EMS Assessment Report

<i>Non-Conformance, Corrective and Preventive Action</i>		
<i>Issue</i>	<i>Question</i>	<i>Score (1-5)</i>
<i>Non-Conformance, Corrective and Preventive Action</i>	The facility has established and maintained procedures for: a) defining responsibility and authority for handling and investigating non-conformances?	
	b) taking action to mitigate any impacts caused?	
	c) for initiating and completing a corrective and preventive action?	
	Corrective or preventive action taken to eliminate the causes of actual and potential non-conformances has been appropriate to the magnitude of problems and commensurate wit the environmental impact encountered?	
	The facility has implemented and recorded any changes in the documented procedures resulting from corrective and preventive action?	
Total Score		0%

EMS Assessment Report

<i>Environmental Regulatory Compliance</i>		
<i>Issue</i>	<i>Question</i>	<i>Score (1-5)</i>
<i>Environmental Regulatory Compliance</i>	The facility has established and maintained a documented procedure for periodically evaluating compliance with relevant environmental legislation and regulations?	
	Records of this evaluation have been retained according to the facility's procedures?	
Total Score		0%

EMS Assessment Report

EMS Audit		
<i>Issue</i>	<i>Question</i>	<i>Score</i>
EMS Audit	The facility has established and maintained programme(s) and procedures for periodic environmental management system audits?	
	Is information on the results of audits provided to management?	
	Is the audit programme, including any schedule, based on the environmental importance of the activity concerned and the results of previous audits?	
	Audit procedures cover the	
	a) audit scope?	
	b) frequency?	
	c) methodologies?	
	d) responsibilities and requirements for conducting audits?	
	e) the reporting of results?	
	All relevant activities are within the scope of the environmental audit?	
Auditors identified underlying causes of deficiencies found during the audit?		
Corrective action plan have been put in place and tracked to follow up all audit findings?		
Total Score		0%

EMS Assessment Report

Management Review		
<i>Issue</i>	<i>Question</i>	<i>Score (1-5)</i>
Management Review	The facility has established a procedure for a management review of the environmental management system been completed in accordance with the facility procedures?	
	Top management has determined an interval for review of the environmental management system?	
	A management review of the environmental management system has been completed in accordance with the facility procedures?	
	The management review process ensured that the necessary information is collected to allow management to carry out this evaluation?	
	The reviews have been documented?	
	Do the reviews address the possible need for changes to:	
	a) policy	
	b) objectives?	
	c) other elements of the environmental management system?	
	Does the review consider the effects of the following:	
	a) environmental management system audit results?	
b) changing circumstances?		
c) the commitment to continual improvement?		
Total Score		0%

TERRASTAR EMS GAP ANALYSIS

<i>EMS Assessment Report</i>	<i>SCORE</i>
Structure & Responsibility	0%
Legal & Other Requirements	0%
Environmental Aspects	0%
Significant Environmental Aspects	0%
Objectives & Targets	0%
Environmental Management Programs	0%
Environmental Policy	0%
Document Control	0%
Records Control	0%
Communication	0%
Environmental Documentation	0%
Training, Awareness and Competence	0%
Operational Control	0%
Emergency Preparedness & Response	0%
Monitoring & Measurement	0%
Non-conformance, Corrective & Preventive Action	0%
Environmental Regulatory Compliance	0%
EMS Audit	0%
Management Review	0%

Environmental Assessment Report

