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# Coronado National Forest Environmental Management System Guide

Approved by: \_\_\_\_\_

Date: \_\_\_\_\_

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## **Chapter 1 Introduction and Scope**

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The Coronado National Forest (CNF) has implemented an environmental management system (EMS) based on the ISO 14001 international standard. To ensure the development and maintenance of a complete and effective EMS, this guide has been prepared in compliance with the requirements of the ISO 14001. This EMS guide is the central document for identifying and controlling all EMS related information and material, and provides reference to all supporting documents and records. This guide is intended to be the primary EMS reference for CNF employees. This guide includes links to many other existing documents, but the Forest Service Directive System consisting of the Forest Service Manual and Handbooks are the primary source for the agency's policy, practice, and procedures.

The scope of the EMS includes the management of the land and resources within the boundaries of the Coronado National Forest. The EMS addresses all environmental aspects that may have a significant impact on the environment arising from activities within the Forest boundary. The EMS covers only those aspects for which the CNF is responsible for or which it can reasonably expect to have control over. Excluded from the EMS are activities conducted by other agencies and individuals on the CNF in which the CNF has no control over.

The following list of acronyms will appear throughout the EMS guide:

CNF – Coronado National Forest

DR – District Rangers

EMR – Environmental Management Representative

EMS – Environmental Management System

FLT – Forest Leadership Team

FS – Forest Supervisor

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## Chapter 2 Environmental Policy

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### Purpose

To define and maintain an environmental policy that is appropriate to the activities of the Coronado National Forest.

### Scope

This Chapter defines the procedure for approval, adoption, and communication of the environmental policy.

### Roles

- FLT
- FS
- DR

### Procedure

The Forest Leadership Team will:

- Approve an environmental policy and review it annually for its continuing suitability and appropriateness.

The Forest Supervisor and District Rangers will:

- Communicate the environmental policy to all Coronado employees, special use permittees, contractors, and the general public.
- Ensure the policy is prominently displayed and available at the Supervisor's and District Offices.

### ISO 14001 Reference

#### **Clause 4.2 Environmental policy**

*Top management shall define the organization's environmental policy and ensure that, within the defined scope of its environmental management system, it*

- a) is appropriate to the nature, scale and environmental impacts of its activities, products or services,*
- b) includes a commitment to continual improvement and prevention of pollution,*
- c) includes a commitment to comply with applicable legal requirements and with other requirements to which the organization subscribes which relate to its environmental aspects,*
- d) provides the framework for setting and reviewing environmental objectives and targets,*
- e) is documented, implemented and maintained,*
- f) is communicated to all persons working for or on behalf of the organization, and*
- g) is available to the public.*

### Related Documents

- Environmental Policy (Document 1331-42-EP)

## **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
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## **Chapter 3 Environmental Aspects**

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### **Purpose**

To ensure that the Coronado National Forest periodically assesses the elements of its activities, this can interact with the environment, in such a way as to determine those with potential for significant environmental impact.

### **Scope**

This Chapter defines the procedures for addressing and maintaining a list of significant environmental aspects.

### **Roles**

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

- EMR
- FLT
- Forest Supervisor

### **Procedure**

The FLT will:

- Address any changes to the environmental aspects, presented by the EMS Team, taking into consideration any information presented during the annual management review (Chapter 18).

The EMR will:

- Maintain the Environmental Aspect List (Document 1331-431-T1) and Significant Environmental Aspects List (Document 1331-431-T2).

The EMS Team will:

- Periodically compile input on aspects including new processes or technology, and from Coronado employees, interested parties, special use permittees, and contractors.
- Following the procedure described in Environmental Aspect Procedure (Document 1331-431-P), conduct a review of Environmental Aspect List (Document 1331-431-T1) and Significant Environmental Aspects List (Document 1331-431-T2) annually.
- Submit recommendations for revision to the Significant Environmental Aspects List (Document 1331-431-T2), as required to the FLT for their consideration in the management review.

The Forest Supervisor will:

- Approve the list of significant environmental aspects.

### **ISO 14001-2004 Reference**

### **Clause 4.3.1 Environmental Aspects**

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

- a) *To identify the environmental aspects of its activities, products and services within the defined scope of the environmental management system that it can control and those that it can influence taking into account planned or new developments, or new or modified activities, products and services and*
- b) *To determine those aspects that have or can have significant impact(s) on the environment (i.e. significant environmental aspects)*

*The organization shall document this information and keep it up to date.*

*The organization shall ensure that the significant environmental aspects are taken into account in establishing, implementing and maintaining its environmental management system.*

### **Related Documents**

- Environmental Aspect List (Document 1331-431-T1)
- Significant Environmental Aspects List (Document 1331-431-T1)
- Significant Environmental Aspects Procedure (Document 1331-431-P)

### **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
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## Chapter 4 Legal and Other Requirements

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### Purpose

To ensure that Coronado National Forest employees have access to legal and other requirements that are applicable to the management of the Coronado National Forest.

### Scope

This Chapter defines the procedure for the access, review, evaluation and communication of current pertinent legislation and other requirements or commitments.

### Roles

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

- EMR

### Procedure

The EMR will:

- Ensure that Coronado employees have access to the current pertinent legislation.
- Evaluate relevancy of legislation and other requirements to the activities and aspects of the Coronado National Forest and maintain this information within Table #
- Review changes to legal and other requirements and evaluate the need for changes to EMS documents.
- Evaluate the requirements for further training of employees / permittees / contractors.

The Program Managers and/or relevant employees will:

- Monitor changes in legislation for relevancy to the Coronado's activities
- Communicate changes to legal and other requirements or commitments and changes in EMS procedures to appropriate employees / permittees / contractors through in-house communication, in-house training sessions as applicable and pre-work meetings.

### ISO 14001-2004 Reference

#### **Clause 4.3.2 Legal and other requirements**

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

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

*The organization shall ensure that these applicable legal requirements and other requirements to which the organization subscribes are taken into account in establishing, implementing and maintaining its environmental management system.*

### Related Documents

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## **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
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## Chapter 5 Objectives, Targets, and Programs

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### Purpose

To ensure that the Coronado National Forest establishes and maintains documented environmental objectives, targets, and program(s) for achieving its objectives and targets consistent with the environmental policy.

### Scope

This Chapter provides the procedures for the development, approval, maintenance and review of the environmental objectives and targets of the EMS and identifies the procedures for the development of Environmental Management Programs, which ensure that the Coronado's activities are consistent with:

- Objectives and targets established in the EMS.
- Available resources and time frames for achieving the objectives and targets.

### Roles

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

### Procedure

The Forest Supervisor will:

- Approve objectives and targets.
- Approve the environmental management programs.

The EMR will:

- Maintain Objectives and Targets in the \_\_\_ Template (Table ) as approved by the FS.

The EMS Team will:

- Establish Objectives.
- Develop and maintain measurable targets to meet the objectives.
- Develop environmental management programs (Table ) that encompass the Coronado National Forest's objectives and targets

The FLT will:

- Ensure objectives are developed and reviewed annually and are consistent with the environmental policy and any direction from the FS based on the results of the management review (Chapter 18).

The \_\_\_ will:

- Implement the environmental management programs according to the plan.

## **ISO 14001-2004 Reference**

### **Clause 4.3.3 Objectives, targets and programme(s)**

*The organization shall establish, implement and maintain documented environmental objectives and targets, at relevant functions and levels within the organization.*

*The objectives and targets shall be measurable, where practicable, and consistent with the environmental policy, including the commitments to prevention of pollution, to compliance with applicable legal requirements and with other requirements to which the organization subscribes, and to continual improvement.*

*When establishing and reviewing its objectives and targets, an organization shall take into account the legal requirements and other requirements to which the organization subscribes, and its significant environmental aspects. It shall also consider its technological options, its financial, operational and business requirements, and the views of interested parties.*

*The organization shall establish, implement and maintain a programme(s) for achieving its objectives and targets. Programme(s) shall include*

- a) designation of responsibility for achieving objectives and targets at relevant functions and levels of the organization, and*
- b) the means and time-frame by which they are to be achieved.*

## **Related Documents**

- EMP Template (Table EMS 006-1)

## **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
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## Chapter 6 Resources, Roles, Responsibility, and Authority

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### Purpose

To ensure that the resources, roles, responsibilities and authorities for the Coronado National Forest's environmental management system (EMS) are defined, documented and communicated in order to facilitate effective environmental management performance.

### Scope

This Chapter provides the procedure for the designation of the responsibility for all EMS roles within the Coronado National Forest, including Coronado employees, contractors, and permittees.

### Roles

### Procedure

The FS will designate specific management representative(s) who, irrespective of other responsibilities, will have responsibilities and authority for:

- Ensuring that environmental management system requirements are established, implemented and maintained in accordance with the ISO 14001 Standard.
- Reporting on the performance of the EMS to the FLT for review and as a CNFsis for continual improvement of the EMS.
- Documenting the assignment of roles and responsibilities.

The FS will be responsible for providing resources necessary to ensure effective environmental management and implementation.

All program managers and others with a role in the EMS will communicate the roles and responsibilities to the people that report to them.

Participating licensees / permittees / contractors and their sub-contractors and CNF employees will ensure that their operations conform to the EMS requirements for environmental field procedures and emergency response plans. They will ensure that their workers receive appropriate training according to Chapter 7 Competence, Training, and Awareness.

Roles and responsibilities for implementation, maintenance and reporting on the performance of the EMS are defined in the various components of the relevant documents including:

- EMS Guide Chapters
- EMS Procedures

- Emergency Preparedness and Response Manual

The reporting structure for the EMS is illustrated in the EMS Organization Charts, Table #. The roles and responsibilities for the EMS are summarized in the Responsibility Matrix, Table #. These documents are maintained by the EMR.

## **ISO 14001-2004 Reference**

### **Clause 4.4.1 Resources, roles, responsibility and authority**

*Management shall ensure the availability of resources essential to establish, implement, maintain and improve the environmental management system. Resources include human resources and specialized skills, organizational infrastructure, technology and financial resources.*

*Roles, responsibilities and authorities shall be defined, documented and communicated in order to facilitate effective environmental management.*

*The organization's top management shall appoint a specific management representative(s) who, irrespective of other responsibilities, shall have defined roles, responsibilities and authority for*

- a) ensuring that an environmental management system is established, implemented and maintained in accordance with the requirements of this International Standard,*
- b) reporting to top management on the performance of the environmental management system for review, including recommendations for improvement.*

## **Related Documents**

EMS Organization Chart (Table )

Key EMS Responsibilities (Table )

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## Chapter 7 Competence, Training and Awareness

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### Purpose

To ensure that all personnel with responsibilities within the scope of the Coronado National Forest EMS have an appropriate level of understanding of the principles of their roles within the EMS.

To deliver training to personnel based on their roles within the EMS.

To verify the competency of persons performing roles within the EMS.

### Scope

This Chapter provides the procedures for the development, assessment and maintenance of training needs and responsibility awareness. The EMS training program includes:

- Awareness of their responsibility in meeting the requirements of the EMS and of the potential impact of their work on the environment.
- Awareness of their responsibility in meeting the requirements of the SFMP(s).
- The skills and knowledge to competently fulfill their roles and to minimize the impact of Coronado National Forest activities on the environment.

### Roles

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

- permittee / contractor

### Procedure

The EMR will:

- Maintain the CNF Training Needs Matrix (Table )
- Maintain a set of EMS awareness training packages
- Assess EMS awareness training needs for CNF employees and prepare a schedule of training.
- Maintain records of training.
- Provide access to EMS training information and materials to permittees / contractors.
- Monitor the effectiveness of the training programs.

\_\_\_ will:

- Require permittees / contractors to train their workers in the EMS materials and keep records of their training.
- Evaluate the competency of the permittees / contractors with regard to awareness of the potential environmental impacts of the tasks they perform.

The permittees / contractors will:

- Provide an appropriate level of EMS awareness training to their workers, and ensure that their workers meet the relevant training requirements.

- Maintain records of the training on Form -- or equivalent.

## **ISO 14001 Reference**

### **Clause 4.4.2 – Training, awareness and competence**

*The organization shall ensure that any person(s) performing tasks for it on its behalf that have the potential to cause a significant environmental impact(s) identified by the organization is (are) competent on the CNFsis of appropriate education, training or experience, and shall retain associated records.*

*The organization shall identify training needs associated with its environmental aspects and its environmental management system. It shall provide training or take other action to meet these needs, and shall retain associated records.*

*The organization shall establish, implement and maintain a procedure(s) to make person working for it or on its behalf aware of*

- a) the importance of conformity with the environmental policy and procedures and with the requirements of the environmental management system,*
- b) the significant environmental aspects and related actual or potential impacts associated with their work, and the environmental benefits of improved personal performance,*
- c) their roles and responsibilities in achieving conformity with the requirements of the environmental management system and,*
- d) the potential consequences of departure from specified procedures*

## **Related Documents**

- EMS Training packages
- Table (Training Matrix)
- Form (L/P/C/ Training Summary)

## **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
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## **Chapter 8    Communication**

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### **Purpose**

To ensure that communication procedures are established and maintained which convey environmental expectations and performance regarding the EMS.

### **Scope**

This Chapter provides the procedure and defines the responsibility for internal and external communication of the EMS.

### **Roles**

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

### **Procedure**

#### **Internal Communication**

The CNF employees on a day-to-day basis will communicate:

- On environmental issues internally and to various permittees/contractors as required by Operational Control Procedures (EOP) (Chapter 11 Operational Control).
- On incidents of potential / alleged non-compliance and non-conformance to the CNF FS.
- Document and evaluate input from the general public and interested parties about the EMS environmental activities.

The FLT will:

- Meet quarterly to review environmental performance and related issues.
- Provide advice to the FS for the ongoing management of the EMS.
- Communicate status of environmental management programs to the FS.

The FS will ensure:

- Communication of any change in the EMS Guide and notable legislation to the .
- Communication of changes to legal and other requirements or commitments and changes in EMS procedures to appropriate employees and permittees / contractors through in-house communication, in-house training sessions as applicable, and pre-work meetings.

The Program Managers will:

- Provide direction to the FS for the ongoing maintenance of the EMS.
- Communicate the environmental policy and other relevant policies to all employees.

#### **External Communication**

The EMR will:

- Ensure that the environmental policy, EMS Guide, and audit results are made available to the public and interested parties.
- Ensure the EMS Guide that will be posted and maintained on the CNF Intranet sites.

The FS will:

- Respond in a timely manner, in an appropriate way, to all public inquiries about the EMS.

## **ISO 14001 Reference**

### **Clause 4.4.3 Communication**

*With regard to its environmental aspects and environmental management system, the organization shall establish, implement and maintain a procedure(s) for*

- a) internal communication among the various levels and functions of the organization;*
- b) receiving, documenting and responding to relevant communication from external interested parties.*

*The organization shall decide whether to communicate externally about its significant environmental*

*aspects, and shall document its decision. If the decision is to communicate, the organization shall establish and implement a method(s) for this external communication*

## **Related Documents**

- n/a

## **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
Documented public inquiries and written responses		

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## Chapter 9 Documentation

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### Purpose

To ensure the CNF establishes and maintains EMS documents.

### Scope

This Chapter defines EMS documents..

### Roles

### Procedure

All documents that describe core elements of the EMS shall be defined as controlled documents. These shall include at a minimum:

- the Environmental Policy
- Procedures and other documented operational controls necessary to conform to the policy and to achieve the objectives and targets
- Procedures to monitor and measure operations and activities that can have significant impact on the environment
- Procedures to assess compliance with legal and other requirements.

All controlled documents shall be identified by a document title and number, which will be recorded on the document and listed on a Document Control Matrix.

### ISO 14001 Reference

#### **Clause 4.4.4 Documentation**

*The environmental management system documentation shall include*

- a) the environmental policy, objectives and targets,*
- b) description of the scope of the environmental management system,*
- c) description of the main elements of the environmental management system and their interaction, and reference to related documents,*
- d) documents, including records, required by this International Standard, and*
- e) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of processes that relate to its significant environmental aspects.*

### Related Documents

### Records

Name	Responsibility	Retention
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## **Chapter 10 Control of Documents**

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### **Purpose**

To ensure that the CNF establishes and maintains procedures for controlling EMS documents.

### **Scope**

This Chapter defines the creation, maintenance and distribution of EMS documents.

### **Roles**

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

### **Procedure**

#### **Creating and Approving Controlled Documents**

The Responsible Person for developing and approving each controlled document shall be defined and recorded on the Document Control Matrix. The document shall then be developed and / or revised as necessary until it is acceptable to the Responsible Person, who will then approve it. The effective date of approval of each document will be recorded on the Document Control Matrix and on the controlled document itself.

#### **Maintaining EMS Documents**

All controlled documents will be subject to periodic review in one or more the following:

- Audits,
- Document reviews made following a change to a related or linked controlled document,
- Document reviews made following a change to legal requirements and/or
- Management Review.

Where a need to revise a controlled document is identified, the Responsible Person for the document is informed. The document shall then be revised as necessary until it is acceptable to the Responsible Person, who will then approve it. The effective date of approval of each revised document will be recorded on the Document Control Matrix and on the controlled document itself.

#### **Document Distribution**

The most current version of all controlled documents shall exist in electronic form, and shall be made available on the CNF internet website.

The CNF CSO will:

- Ensure the maintenance of the CNF internet website.
- Retain obsolete documents in archives as per the requirements of the ----.

CNF employees may view the documents on the CNF network and/or internet website and print copies of various portions for their use. Printed versions of the controlled documents are not official versions and are considered uncontrolled documents. The distribution of controlled documents shall be controlled to ensure that out-of-date or obsolete versions of these documents are removed from use. Holders of printed controlled documents must ensure that they are current and discard obsolete versions.

## **ISO 14001-2004 Reference**

### **Clause 4.4.5 Control of Documents**

*Documents required by the environmental management system and by this International Standard shall be controlled. Records are a special type of document and shall be controlled in accordance with the requirements given in 4.5.4.*

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

- a) approve documents for adequacy prior to issue,*
- b) review and update as necessary and re-approve documents,*
- c) ensure that changes and the current revision status of documents are identified,*
- d) ensure that relevant versions of applicable documents are available at points of use,*
- e) ensure that documents remain legible and readily available,*
- f) ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the environmental management system are identified and their distribution controlled, and*
- g) prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained for any purpose*

## **Related Documents**

- Document Control Matrix

## **Records**

**Name**

**Responsibility**

**Retention**

Obsolete controlled documents

## **Chapter 11 Operational Controls**

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### **Purpose**

To ensure that operational control procedures are established and maintained for activities associated with the significant environmental aspects and in line with environmental policy and the objectives and targets.

### **Scope**

This Chapter identifies operational controls for the EMS and provides the procedures for their development and maintenance.

### **Roles**

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

### **Procedure**

Operational controls for the EMS include:

- Environmental operating procedures (EOP) that provides direction to CNF employees and permittees / contractors.
- Environmental field procedures (EFP) that provide direction to CNF employees and permittees / contractors and their workers.
- Forms and checklists which are used by CNF employees to monitor environmental performance.
- Emergency Response Manual and Plans.

The FS will approve any new or revised controls, and will assign responsibility for tasks within the EOPs.

The EMR ensures that:

- All required operational controls are developed and maintained according to the requirements of this Guide.
- Operational controls are available to the respective employees, and permittees / contractors.

The FLT will review and make recommendations on required new controls, and any new or revised controls submitted for review and approval.

The employees and participating permittees /contractors are responsible for implementing new or revised operational controls.

### **ISO 14001 Reference**

***Clause 4.4.6 Operational Control***

The organization shall identify and plan those operations that are associated with the identified significant environmental aspects consistent with its environmental policy, objectives and targets, in order to ensure that they are carried out under specified conditions, by

- a) establishing, implementing and maintaining a documented procedure(s) to control situations where their absence could lead to deviation from the environmental policy, objectives and targets, and
- b) stipulating the operating criteria in the procedure(s), and
- c) establishing, implementing and maintaining procedures related to the identified significant environmental aspects of goods and services used by the organization and communicating applicable procedures and requirements to suppliers, including contractors.

## **Related Documents**

\_ n/a

## **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
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## Chapter 12 Emergency Preparedness and Response

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### Purpose

To ensure that the CNF establishes and maintains procedures to identify the potential for appropriate response to accidents and emergency situations, and for preventing and mitigating the environmental impacts that may be associated with them.

To ensure that employees and participating permittees/contractors are able to respond to accidents and emergency situations in an appropriate manner to minimize environmental damage.

### Scope

This Chapter provides the procedures for the development, maintenance, evaluation and approval of the Emergency Response Manual, and the development and maintenance of Emergency Response Plans.

### Roles

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

### Procedures

The --- will:

- Approve the Emergency Response Manual.
- Ensure that employees are appropriately trained in emergency preparedness and response.

--- will:

- Make available the Emergency Response Manual to employees
- Establish and maintain a template for Emergency Response Plans including relevant preparedness and response information for:
  - Fire preparedness and response
  - Spill preparedness and response
  - Other emergency events as necessary.

The FLT will:

- Periodically evaluates the efficacy of the Emergency Response Plans.
- Annually reviews the Emergency Response Manual to recommend appropriate improvements.

Participating Permittees / Contractors will:

- Submit copies of reports of environmental incidents to CNF employees.

- Ensure that all employees are appropriately trained in emergency preparedness and response.

## **ISO 14001-2004 Reference**

### **Clause 4.4.7 Emergency Preparedness and Response:**

*The organization shall establish, implement and maintain a procedure(s) to identify potential emergency situations and potential accidents that can have an impact(s) on the environment and how it will respond to them.*

*The organization shall respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental impacts.*

*The organization shall periodically review and, where necessary, revise its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations.*

*The organization shall also periodically test such procedures where applicable.*

## **Related Documents**

- Emergency Response Manual
- Emergency Response Plan Template

## **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
Records of Emergency Response Plan testing		

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## **Chapter 13 Monitoring and Measurement**

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### **Purpose**

To ensure that the CNF maintains procedures for monitoring activities for EMS requirements. Monitoring is a key activity to help ensure achievement of objectives and targets, and satisfy the environmental policy. It also provides the CNFsis for determining if the EMS and is working appropriately, and the CNFsis for securing continual improvement.

### **Scope**

This Chapter provides the procedures for the monitoring of conformance with environmental operating procedures (EOP), environmental field procedures (EFP), and compliance with legal requirements, progress on completing environmental management programs, and achievement of EMS objectives and targets.

### **Roles**

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

### **Procedure**

Permittees and Contractors will monitor themselves by:

- Monitoring their activities for conformance with the requirements of the EMS and compliance to legal requirements. CNF employees will ensure that the acceptance of this monitoring responsibility is acknowledged through signing of permit or contract documents and pre-work forms.

CNF employees will monitor Permittees / Contractors and other CNF employees:

- Conducting inspections of CNF permittees / contractors operations. Inspections are conducted at a frequency that reflects the potential risk of the project, as guided by the risk assessment framework. In the course of conducting inspections, assessing:
  - Compliance with relevant environmental legislation
  - Conformance with the project plan, and
  - Conformance with the requirements of the EMS as appropriate depending on the phase of the project.
- Documenting potential non-compliance information resulting from these inspections on CNF inspection forms (EMS checklists).
- Documenting Permittees / Contractors non-conformance information on CNF inspection forms (EMS checklists).
- Assessing conformance with EOPs and other EMS requirements for those CNF employees reporting to them.
- Tracking instances of potential non-compliance and/or significant non-conformance in a tracking system, where a significant non-conformance is one that:
  - cannot be resolved during the course of the inspection, and/or

- resulted or could result in environmental impact related to the significant environmental aspects, and/or
- where the information is relevant for performance monitoring purposes (e.g.: trending).

CNF --- will:

- Review the information in the compliance and conformance tracking system (e.g.: for trending, new or developing issues, etc.).
- Prepare recommendations for EMS improvements on their review of compliance and conformance data prior to the annual Management Review.
- The CNF ---- will prepare a summary of:
  - The status of environmental management program implementation and performance measures related to the Objectives and Targets on Table -- (EMP Template);
  - Communicate status of environmental management program to the FS at least annually, prior to the Management Review.

## **ISO 14001 Reference**

### **Clause 4.5.1 Monitoring and measurement**

*The organization shall establish, implement and maintain a procedure(s) to monitor and measure, on a regular CNFsis, the key characteristics of its operation that can have a significant environmental impact. The procedure(s) shall include the documenting of information to monitor performance, applicable operational controls and conformity wit the organization's environmental objectives and targets.*

*The organization shall ensure that calibrated or verified monitoring and measurement equipment is used and maintained and shall retain associated records.*

## **Related Documents**

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## **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
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## Chapter 14 Evaluation of Compliance

### Purpose

To define and maintain an environmental policy that is appropriate to the activities of the Coronado National Forest.

### Scope

This Chapter defines the procedure for approval, adoption, and communication of the environmental policy.

### Roles

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### Procedure

#### ISO 14001 Reference

##### **Clause 4.5.2 Evaluation of compliance**

*4.5.2.1 Consistent with its commitment to compliance, the organization shall establish, implement and maintain a procedure(s) for periodically evaluating compliance with applicable legal requirements.*

*The organization shall keep records of the results of the periodic evaluations.*

*4.5.2.2 The organization shall evaluate compliance with other requirements to which it subscribes. The organization may wish to combine this evaluation with the evaluation of legal compliance referred to in 4.5.2.1 or to establish a separate procedure(s)*

*The organization shall keep records of the results of the periodic evaluations.*

### Related Documents

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### Records

Name	Responsibility	Retention
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## Chapter 15 Nonconformity, Corrective Action and Preventive Action

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### Purpose

To ensure that the CNF establishes and maintains procedures for handling and investigating noncompliance and non-conformance, taking action to mitigate any impacts and to initiate and complete corrective and preventive action.

### Scope

This Chapter provides procedures for the investigation, monitoring and reporting of noncompliance with legal requirements and non-conformance with Environmental Field Procedures and Environmental Operating Procedures.

### Roles

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

### Procedure

#### CNF employees will:

#### **In relation to non-compliance with legal requirements and non-conformance with this EMS:**

- Monitor activities in accordance with Chapter 13 - Monitoring and Measurement.
- Investigate instances of non-compliance and/or non-conformance to determine the root cause. The investigation may entail discussions with the supervisor or other workers to determine the extent of the non-conformance.
- Provide direction regarding corrective actions (actions required to achieve conformance).

#### **In relation to Incident Reports ( ) received from Permittees or Contractors, or notification of an incident received from another source;**

- The CNF employees responsible will investigate the incident and determine if the root cause of the incident is the result of:
  - non-conformance with the EMS requirements,
  - a weakness or failure in the EMS procedures or guidance,
  - operator error,
  - an uncontrollable act, and
- Determine if there are any requirements to report the incident as a non-compliance to a regulatory agency. The CNF employees will determine if corrective or preventive actions are required and will initiate the corrective/preventive action accordingly.

- Document actions, recommendations and deadline for completion in the EMS tracking system. Recommendations that involve revising the EMS must be passed to the FS for consideration.
- Confirm that the corrective or preventive action has been taken before the deadline.
- Document follow up on the corrective and preventive action in the EMS tracking system.

### **CNF EMS Committee will:**

#### **In relation to non-compliance with legal requirements and non-conformance with this EMS as tracked in the tracking system:**

- Periodically review the compliance and conformance results.
- Identify repetitive or significant non-conformances and determine if further preventive and corrective action is required. Determining appropriate action requires considering the identified root causes, the pervasiveness and severity of non-conformance and documented input on corrective/preventive action taken (i.e. from permittees / contractors or CNF employees).
- Document actions, recommendations and deadline for completion in the EMS tracking system. Recommendations that involve revising the EMS must be passed to the FS for consideration.
- Track the completion of the corrective or preventive action. Document the completion of the corrective and preventive action in the EMS tracking system.
- Periodically review the effectiveness of corrective or preventive actions.

#### **In relation to conformance with the Environmental Management Program(s):**

- Assess achievement with the EMPs, including progress towards achievement of the Objectives and Targets, at least annually. If the targets or activities have not been completed or are not on track, and the objectives may not be met, determine the root cause by identifying the impediments to achievement of the Objectives and Targets.
- Document achievement of Objectives and Targets on the EMP Template (Table ).
- Determine corrective or preventive actions to ensure achievement of the Objectives and Targets.

## **ISO 14001 Reference**

### **Clause 4.5.3 Nonconformity, corrective action and preventative action**

*The organization shall establish, implement and maintain a procedure(s) for dealing with actual and potential nonconformity(ies) and for taking corrective action and preventative action. The procedure(s) shall define requirements for*

- a) identifying and correcting nonconformity(ies) and taking action(s) to mitigate their environmental impacts,*
- b) investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence,*
- c) evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence,*
- d) recording the results of corrective action(s) and preventive action(s) taken, and*
- e) reviewing the effectiveness of corrective action(s) and preventive action(s) taken*

*Actions taken shall be appropriate to the magnitude of the problems and the environmental impacts encountered.*

*The organization shall ensure that any necessary changes are made to environmental management system documentation.*

## **Related Documents**

- n/a

## **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
Incident Reports		

## Chapter 16 Control of Records

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### Purpose

To ensure that the CNF identifies, maintains and disposes of all records generated by the EMS from implementation of the procedures in the relevant documentation.

### Scope

This Chapter provides the procedure for the administration and control of all EMS records.

### Roles

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

### Procedure

The EMR will administer and control all EMS records by:

- Developing a record matrix indicating the “record” to be kept, the source and the retention period.
- Implementing, maintaining and monitoring records management systems and operations
- according to government policy standards and procedures (see Forest Service -----).
- Scheduling records identified as inactive for disposal according to the timetable applicable for each records classification.

The --- is responsible for:

- Receiving, sorting, filing, maintaining and disposing of correspondence and documents relating to the EMS in accordance with the Forest Service ----.
- Ensuring that records are readily retrievable and protected against damage, deterioration or loss.

### ISO 14001 Reference

#### **Clause 4.5.4 Control of Records**

*The organization shall establish and maintain records as necessary to demonstrate conformity to the requirements of its environmental management system and of this International Standard, and the results achieved.*

*The organization shall establish, implement and maintain a procedure(s) for the identification, storage, protection, retrieval, retention and disposal of records*

*Records shall be and remain legible, identifiable and traceable.*

### Related Documents

FSH 6209.11 - RECORDS MANAGEMENT HANDBOOK, Chapter 41 FILE PLAN FOR FILE DESIGNATIONS AND RETENTION PERIODS

## **Records**

**Name**

see Records Matrix

**Responsibility**

**Retention**

## **Chapter 17 Internal Audit**

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### **Purpose**

To establish and maintain an audit program to determine whether or not the EMS is being properly implemented and maintained, and is effective.

To provide information to the FS on environmental performance of the EMS.

### **Scope**

Audit procedures for the EMS apply to all activities of the CNF.

### **Roles**

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

### **Procedure**

#### **Planning**

The FS will:

- Require the conduct of an annual internal audit of the EMS.
- Allocate resources for the audit program.

The CNF \_\_\_ will:

- Establish and maintain the CNF Audit Program and Audit Protocol.
- Prepare an audit plan annually detailing the scope and schedule, and provide recommendations for budgets and adequate resources.
- Reviewing audit summaries, action plans and management reviews to implement changes to the EMS.
- Prepare summaries of audit reports and the status of action plans for management review.

#### **Implementation**

The CNF ----- will:

- Select the audit team(s) and appoint the lead auditor(s). Employees may be auditors provided they audit EMS components outside their direct responsibility.
- Schedule the audits and ensure that the purpose and scope of each audit is conveyed to the auditee(s).
- Ensure that the Audit Protocol is followed in the planning and execution of internal audits.
- Review draft and final audit report received from the lead auditor.
- Maintain audit records.
- Prepare summaries of audit reports along with the outcome of action plans for the CNF EMS Committee.

## **Audit Report**

The lead auditor will:

- Produce a final audit report within # weeks of the exit meeting and submit to the ----.

The CNF --- will:

- Prepare an audit action plan within # weeks of receiving the audit report and submit it to the ----.
- Prepare summaries of audit reports and the outcome of action plans for management review.

The CNF EMS Committee will:

- Review draft and final audit reports.
- Make recommendations to the CNF FS on changes to the EMS.

## **Audit Action Plan**

The CNF EMS Committee will:

- Review final audit reports.
- Make recommendations to the CNF FS on changes to the EMS and other actions to be documented in an Audit Action Plan.

The ----- will:

- Implement the audit action plan.

The ---- will:

- Document the Audit Action Plan on input from the CNF EMS Committee and others as appropriate
- Monitor progress toward completion of audit action plans.
- Submit progress reports to the FS bi-annually until all action plan items are completed

All employees and others assigned actions in an Audit Action Plan will:

- Prepare and submit action plan progress reports to the CNF FS bi-annually until all action plan items are completed.

## **ISO 14001-2004 Reference**

### **Clause 4.5.5 Internal Audit**

*The organization shall ensure that internal audits of the environmental management system are conducted at planned intervals to*

- a) determine whether the environmental management system*
  - 1) conforms to planned arrangement for environmental management including the requirements of this International Standard, and*
  - 2) has been properly implemented and is maintained, and*
- b) provide information on the results of audits to management*

*Audit programme(s) shall be planned, established, implemented and maintained by the organization, taking into consideration the environmental importance of the operation(s) concerned and the results of previous audits.*

*Audit procedure(s) shall be established, implemented and maintained that address*

- *the responsibilities and requirements for planning and conducting audits, reporting results and retaining associated records,*
- *the determination of audit criteria, scope, frequency and methods*

*Selection of auditors and conduct of audits shall ensure objectivity and the impartiality of the audit process.*

## **Related Documents**

- Audit Protocol

## **Records**

**Name**

**Responsibility**

**Retention**

## **Chapter 18 Management Review**

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### **Purpose**

To ensure that a management review of the EMS is conducted annually by the FLT to ensure that:

- The EMS continues to be suitable, effective and adequate.
- Appropriate direction and resources are provided
- The EMS will achieve continual improvement in environmental performance by the CNF.

### **Scope**

A management review will be conducted annually, and will include an assessment of each of the EMS elements as follows:

- Communications from external interested parties
- Suitability (given changing circumstances including legal and other requirements) of:
  - Policy
  - Environmental aspects
  - Objectives and targets
  - EMS audit program
- Progress on:
  - Environmental programs
  - Actions arising from previous management reviews
- Results of:
  - Monitoring and measurement
  - Non-conformance and corrective actions
  - Audits of the EMS
- Adequacy of resources for the implementation and maintenance of the EMS

### **Roles**

(see Chapter 6: Resource, Roles, Responsibility, and Authority)

### **Procedure**

Senior Management is responsible for:

- Meeting annually for the purpose of conducting an EMS management review to ensure the ongoing suitability, adequacy and effectiveness of the EMS.
- Reviewing the elements of the EMS according to the scope of this procedure.
- Providing comments, recommendations and directions to the CNF EMS --- for the ongoing implementation and continual improvement of the EMS.
- Resolving concerns and issues that are brought up by relevant interested parties.
- Reviewing other relevant recommendations presented by the CNF employees.

EMR is responsible for:

- Assembling information reports and analysis, as well as recommendations as appropriate, for the management review.
- Scheduling and preparing the agenda for the management review meeting.
- Ensuring that the discussion and any recommendations, actions and directions resulting from the management review were recorded.
- Communicating the results of the management review to the appropriate employees.

## **ISO 14001-2004 Reference**

### **Clause 4.6 Management Review**

*Top management shall review the organization's environmental management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. Reviews shall include assessing opportunities for improvement and the need for changes to the environmental management system, including the environmental policy and environmental objectives and targets. Records of the management reviews shall be retained.*

*Input to management reviews shall include:*

- a) results of internal audits and evaluations of compliance with legal requirements and with other requirements to which the organization subscribes,*
- b) communication(s) from external interested parties, including complaints,*
- c) the environmental performance of the organization,*
- d) the extent to which objectives and targets have been met,*
- e) status of corrective and preventive actions,*
- f) follow-up actions from previous management reviews,*
- g) changing circumstances, including developments in legal and other requirements related to its environmental aspects, and*
- h) recommendations for improvement*

*The outputs from management reviews shall include any decisions and actions related to possible changes to environmental policy, objectives, targets and other elements of the environmental management system, consistent with the commitment to continual improvement.*

## **Related Documents**

- n/a

## **Records**

<b>Name</b>	<b>Responsibility</b>	<b>Retention</b>
Management Review meeting minutes		