

**ENVIRONMENTAL MANAGEMENT SYSTEM (EMS) METRICS  
FISCAL YEAR 2010**

**(Note: These metrics will be used for Years 2009 through 2011.)**

**Part I: Facility/Organization-level Information**

Please provide the following facility/organizational background information.

Agency / Department:	<b>United States Department of Agriculture</b>
Sub-Agency:	<b>Agricultural Research Service</b>
Facility Name:	
Point of Contact:	
POC E-mail:	

## Part II: EMS External Audit and Declaration of Conformance

*Background: The Implementing Instructions for EO 13423 state that for purpose of determining conformance to the EMS requirements of EO 13423, an EMS shall be considered fully implemented and in conformance when:*

- (1) The EMS has been the subject of an audit from SAA area office Safety, Health and Environmental Management Program. **AND***
- (2) The audit findings have been recognized by the appropriate level of the senior management at facility implementing the EMS. **AND***
- (3) The appropriate senior manager accountable for implementation of the EMS has declared conformance to the EMS requirements of EO 13423.*

*The Federal Environmental Executive issued clarification of these requirements in a document dated January 15, 2008, available at: <http://www.fedcenter.gov/Documents/index.cfm?id=8864>.*

*Note: EMS declarations made under EO 13148 are not valid for the purposes of declaration under EO 13423.*

*Once conformance of the EMS has been declared, the EMS shall then be audited at least every three years from the date of the initial declaration. An EMS audit may be considered completed “within three years” if the audit was scheduled within the three year deadline and was ultimately completed, but encountered unanticipated delays of up to three months. Based on this requirement, in reporting year 2010, these metrics will make available a response for EMSs that had an initial audit date of 2007*

In FY 2009:

**Not Currently In Conformance:** The EMS for the facility/organization is not “fully implemented,” in accordance with the requirements of the CEQ Implementing Instructions (cited above).

**Currently In Conformance:** The EMS is “fully implemented” in accordance with the requirements of the CEQ Implementing Instructions (cited above).

### Supplementary Data:

Date of Declaration of Conformance \_\_\_\_\_

Declaration issued by *(name)* \_\_\_\_\_

*(Title)* \_\_\_\_\_

Date of completion of most recent EMS audit by a qualified party outside the control or scope of the EMS \_\_\_\_\_

### Part III: EMS Performance Metrics for EMS Scorecard

Responses to these questions are scored as part of the agency EMS scorecard process.

#### 1. Environmental Aspects

A. **Environmental aspects have not been identified** for all of the facility's/organization's activities, products, and services (including transportation and energy related activities).

B. **Environmental aspects have been identified** for all of the facility's/organization's activities, products, and services (including transportation and energy related activities) but **without using an established procedure.**

OR

Using an established procedure, **environmental aspects have been identified** for all of the facility's/organization's activities, products, and services (including transportation and energy related activities). However, **significant aspects were not identified.**

C. Using an established procedure, **environmental aspects have been identified** for all of the facility's/organization's activities, products, and services (including transportation and energy related activities) **AND significant environmental aspects for those activities, products, and services have been identified.** However, previously identified **environmental aspects were not reevaluated OR were not reevaluated using an established procedure.**

D. Using an established procedure, both previously and newly identified **environmental aspects and significant environmental aspects were evaluated and updated** for all of the facility's/organization's activities, products, and services (including transportation and energy related activities).

## 2. Sustainable Practices

*Note 1: Executive Order 13423 requires that EMSs address the environmental aspects of agency transportation and energy related activities. Section 2 of the EO directs Federal agencies to implement sustainable practices for:*

- (a) Improvement in energy efficiency and reduction in greenhouse gas emissions,*
- (b) Use of renewable energy,*
- (c) Reduction in water consumption,*
- (d) Sustainable acquisition,*
- (e) Reduction of the use and disposal of toxic and hazardous chemicals and materials,*
- (f) Pollution and waste prevention/diversion and recycling programs,*
- (g) High performance and sustainable buildings,*
- (h) Vehicle fleet management, and*
- (i) Electronics stewardship.*

A. The facility/organization has **not established programs** through its EMS to address applicable sustainable practices as required by Executive Order 13423.

B. The facility/organization has **established some programs** through its EMS to address applicable sustainable practices as required by Executive Order 13423.

AND

The facility/organization has **implemented at least one** of the applicable sustainable practices through its EMS.

AND

The facility/organization has **established an implementation schedule** to implement the remainder of the applicable sustainable practices through its EMS.

C. The facility/organization has **established and implemented programs** to address all applicable sustainable practices as required by Executive Order 13423 through its EMS.

D. The facility/organization has **established and implemented programs** to address all applicable sustainable practices as required by Executive Order 13423 through its EMS.

AND

The facility/organization has **reviewed performance** of the EMS towards the objectives of the E.O. sustainable practices through their EMS monitoring and management review processes.

### 3. Objectives, Targets, and Programs

- A. Measurable environmental **objectives, targets, and programs were not established and documented OR previously established and documented objectives, targets, and programs were not reviewed and updated** as appropriate.
- B. Measurable environmental **objectives, targets, and programs were established and documented OR previously established and documented objectives, targets, and programs were reviewed and updated AND less than 50% of the established targets were on schedule** to be met.
- C. Measurable environmental **objectives, targets, and programs were established and documented OR previously established and documented objectives, targets, and programs were reviewed and updated AND 50-79% of the established targets were on schedule** to be met.
- D. Measurable environmental **objectives, targets, and programs were established and documented OR previously established and documented objectives, targets, and programs were reviewed and updated AND 80% or greater of established targets were on schedule** to be met.

### 4. Environmental Training

- A. **Training requirements** to ensure individual competence and responsibility **were not identified or updated.**
- B. **Training requirements** to ensure individual competence and responsibility **were identified or updated but training was not available or was not carried out.**
- C. **Training requirements** to ensure individual competence and responsibility **were identified or updated and training was available, carried out and documented** during this reporting period.
- D. **Procedures** to ensure that training requirements for individual competence and responsibility **were established; training requirements** to ensure individual competence and responsibility **were identified or updated; training (including refresher training) was available and carried out and documented; and training requirements for competence were monitored and revised.**

## 5. Operational Controls

- A. Documented **operational controls** to address activities associated with significant aspects and consistent with objectives and targets **were not established or updated**.
- B. Documented **operational controls** to address activities associated with significant aspects and consistent with objectives and targets **were established or updated and are partially implemented**.
- C. Documented **operational controls** to address activities associated with significant aspects and consistent with objectives and targets **were established or updated and are fully implemented**.
- D. Documented **operational controls** to address activities associated with significant aspects and consistent with objectives and targets **were established or updated and are fully implemented**, AND previously documented **operational controls were formally reviewed and/or updated** (i.e., supplemented, revised, deleted) as appropriate to ensure their ongoing effectiveness.

## 6. Contracts and Concessionaire Agreements

- A. During this reporting period or previously, the facility/organization **did not establish a procedure** to identify appropriate contracts or identify appropriate contracts in which to include EMS requirements.
- B. During this reporting period or previously, the facility/organization **established a procedure** to identify appropriate contracts; **identified appropriate contracts** and the contractors' roles and responsibilities under the EMS; and **established a schedule** to modify appropriate contracts.  
However, the facility/organization **did not modify appropriate contracts** to include EMS requirements and defined roles and responsibilities.
- C. During this reporting period or previously, the facility/organization **established a procedure** to identify appropriate contracts; **identified appropriate contracts** and the contractors' roles and responsibilities under the EMS; **established a schedule** to modify appropriate contracts; and was **in the process** of modifying contracts to include EMS requirements and defined roles and responsibilities in appropriate contracts.  
However, the facility/organization did **not complete modifications** to appropriate contracts or did **not review** whether contractors fulfilled defined roles and responsibilities.
- D. The facility/organization **established a procedure** to identify appropriate contracts; **identified appropriate contracts** and the contractors' roles and responsibilities under the EMS; and **EMS requirements and defined roles and responsibilities were included** in all appropriate contracts. The facility/organization **reviewed the contractor activities** and **determined the status of contractors' fulfillment** of their defined roles and responsibilities during this reporting period.

**7. Evaluation of Compliance with Regulatory Requirements**

- A. During this reporting period or previously, the facility/organization **did not establish** as part of the facility/organization's EMS, **a program for an environmental compliance** review and audit.
- B. During this reporting period or previously, the facility/organization **established** as part of the facility/organization's EMS, **a program for an environmental compliance** review and audit that includes:

- (a) Procedures to identify and account for applicable legal and other requirements,
- (b) Protocols to periodically evaluate compliance with those applicable legal and other requirements, including the frequency of compliance evaluations, and
- (c) A process or system for implementing corrective action based on that evaluation.

AND, The facility/organization has **identified applicable legal and other requirements**. However, the facility/organization **has not implemented the protocols to evaluate compliance**, or the process or system to implement **corrective action** based on compliance evaluations.

- C. During this reporting period or previously, facility/organization **established** as part of the facility/organization's EMS **an environmental compliance program** that includes:
- (a) Procedures to identify and account for applicable legal and other requirements,
  - (b) Protocols to periodically evaluate compliance with those applicable legal and other requirements, including the frequency of compliance evaluations, and
  - (c) A process or system for implementing corrective actions based on that evaluation.

AND The facility/organization has **identified applicable legal and other requirements**.

AND, The facility/organization has **conducted evaluations of compliance** with applicable legal and other requirements. However, the facility/organization **has not completed** the compliance **evaluation for the entire facility/organization** in accordance with the program established frequency, or **has not initiated corrective actions** for completed evaluations.

- D. During this reporting period or previously, the facility/organization **established** as part of the facility/organization's EMS **an environmental compliance program** that includes:

- (a) Procedures to identify and account for applicable legal and other requirements,
- (b) Protocols to periodically evaluate compliance with those applicable legal and other requirements, including the frequency of compliance evaluations, and
- (c) A process or system for implementing corrective actions based on that evaluation.

AND, The facility/organization has **identified applicable legal and other requirements**.

AND, The facility/organization has **completed evaluations of compliance** with applicable legal and other requirements for the entire facility/organization, in accordance with the established frequency. AND, **Corrective actions have been initiated, scheduled or completed**.

## **8. Management Review**

- A. Formal **senior leadership review** of the EMS was **neither planned/scheduled nor conducted**.
- B. Formal **senior leadership review** of the EMS was **planned/scheduled**, but **was not conducted**.
- C. Formal senior leadership review of the EMS **was conducted**. However, recommendations for continual improvement were neither **addressed** nor proposed by top management.
- D. Formal senior leadership review of the EMS **was conducted**, top management **responded to recommendations** or gave directions for continual improvement, and appropriate actions including modifications to elements of the EMS have been **initiated, scheduled or completed**.

## Part IV: EMS Implementation Information

The questions in this Part reflect the relationship identified in the Executive Order and Implementing Instruction between an EMS and the various programs that already respond to, or are being developed to respond to, the sustainable practices in Section 2 of the E.O. Responses to these questions **are not** scored as part of the agency EMS scorecard process.

### 1. Energy Use

- a. Has an assessment of the facility's/organization's energy use been conducted?  Yes  No
- b. Is energy use identified as a 'significant aspect'?  Yes  No
- c. Have objectives and targets been established to address energy use?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No
- e. Have plans and programs been implemented to address energy use?  Yes  No
- f. Are these plans and programs included in the EMS?  Yes  No

### 2. Greenhouse Gas Emissions

- a. Has an assessment of the facility's/organization's greenhouse gas emissions been conducted?  Yes  No
- b. Are greenhouse gas emissions identified as 'significant aspects'?  Yes  No
- c. Have objectives and targets been established for greenhouse gas emissions?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No
- e. Have plans and programs been implemented to address greenhouse gas emissions?  Yes  No
- f. Are these plans and programs included in the EMS?  Yes  No

### 3. Renewable Energy Use

- a. Has an assessment of the facility's/organization's renewable energy use been conducted?  Yes  No
- b. Is renewable energy use identified as a 'significant aspect'?  Yes  No
- c. Have objectives and targets been established for renewable energy use?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No
- e. Have plans and programs been implemented to address renewable energy use?  Yes  No
- f. Are these plans and programs included in the EMS?  Yes  No

### 4. Water Use

- a. Has an assessment of the facility's/organization's water use been conducted?  Yes  No
- b. Is water use identified as a 'significant aspect'?  Yes  No
- c. Have objectives and targets been established for water use?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No
- e. Have plans and programs been implemented to address water use?  Yes  No
- f. Are these plans and programs included in the EMS?  Yes  No

**5. Purchasing**

- a. Has an assessment of the facility's/organization's purchasing practices been conducted?  Yes  No
- b. Are environmental aspects associated with purchasing identified as 'significant aspects'?  Yes  No
- c. Have objectives and targets been established for aspects associated with purchasing practices?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No
- e. Have plans and programs been implemented to address purchasing practices?  Yes  No
- f. Are these plans and programs included in the EMS?  Yes  No

**6. Solid Waste Generation**

- a. Has an assessment of the facility's/organization's solid waste generation been conducted?  Yes  No
- b. Is solid waste generation identified as a 'significant aspect'?  Yes  No
- c. Have objectives and targets been established to address solid waste generation?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No
- e. Have plans and programs been implemented to address solid waste generation?  Yes  No
- f. Are these plans and programs included in the EMS?  Yes  No

**7. Purchasing and Using Toxic or Hazardous Chemicals**

- a. Has an assessment of the facility's/organization's practices for purchasing and using toxic or hazardous chemicals been conducted?  Yes  No  No purchasing or use of toxic or hazardous chemicals
- b. Is purchasing and using toxic or hazardous chemicals identified as a 'significant aspect'?  Yes  No
- c. Have objectives and targets been established for purchasing and using toxic or hazardous chemicals?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No
- e. Have plans and programs been implemented to address purchasing and using toxic or hazardous chemicals?  Yes  No
- f. Are these plans and programs included in the EMS?  Yes  No

**8. Construction/Lease/Operation/Maintenance of Buildings**

- a. Has an assessment of the facility's/organization's practices related to construction/lease/operation/maintenance of buildings been conducted?  Yes  No
- b. Are the environmental aspects associated with construction/lease/operation/ maintenance of buildings identified as 'significant aspects'?  Yes  No
- c. Have objectives and targets been established for aspects associated with construction/lease/operation/maintenance of buildings?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No

- e. Have plans and programs been implemented to address aspects associated with construction/lease/operation/maintenance of buildings?  Yes  No
- f. Are these plans and programs included in the EMS?  Yes  No

**9. Vehicle Fleet Use/Petroleum Products Use**

- a. Has an assessment of the facility's/organization's vehicle fleet use/petroleum product use been conducted?  Yes  No
- b. Are vehicle fleet use/petroleum products use identified as 'significant aspects'?  Yes  No
- c. Have objectives and targets been established for vehicle fleet use/petroleum product use?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No
- e. Have plans and programs been implemented to address vehicle fleet use/petroleum product use?  Yes  No
- f. Are these plans and programs included in the EMS?  Yes  No

**10. Purchase/Use/Disposal of Electronic Equipment**

- a. Has an assessment of the facility's/organization's purchase/use/disposal of electronic equipment been conducted?  Yes  No
- b. Are purchase/ use/disposal of electronic equipment identified as 'significant aspects'?  Yes  No
- c. Have objectives and targets been established for purchase/use/disposal of electronic equipment?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No
- e. Have plans and programs been implemented to address purchase/use/disposal of electronic equipment?  Yes  No

- f. Are these plans and programs included in the EMS?  Yes  No

**11. Environmental Regulatory Compliance**

- a. Has a compliance assessment of the facility's/organization's regulated products, activities and services been conducted?  Yes  No
- b. Is environmental regulatory compliance identified as a factor in determining 'significant aspects'?  Yes  No
- c. Have objectives and targets been established for environmental regulatory compliance?  Yes  No
- d. Are these objectives and targets included in the EMS?  Yes  No
- e. Have plans and programs been implemented to address environmental regulatory compliance?  Yes  No
- f. Are these plans and programs included in the EMS?  Yes  No

## **Part V: EMS Experiences**

### **1. EMS Best Practices / Lessons Learned:**

Please provide up to 3 bullet statements identifying any EMS best practices and/or lessons learned in the past year.

### **2. EMS Challenges:**

Please provide up to 3 bullet statements identifying EMS implementation challenges in the past year.

### **3. External Communication:**

Please provide up to 3 bullet statements identifying how your facility/organization uses the EMS to facilitate communication between your facility/organization, and your stakeholders and your neighbors.

### **4. Highest Priority Aspects:**

Please list up to 3 of your facility/organization's highest priority significant environmental aspects.

### **5. EMS Benefits to Agency Mission:**

Please provide up to 3 bullet statements identifying how EMS implementation has enabled your organization or agency to operate more effectively in accomplishing its missions.