

ACTION: U.S. Department of Transportation (DOT)
Environmental Management Systems (EMS)
Self-Declaration Protocol for Appropriate Facilities

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Assistant Administrator for Aviation Policy, Planning, and Environment, FAA
Associate Administrator for Policy and Program Management, FMCSA
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DOT Order 5641.1A, DOT Internal EMS, requires all appropriate DOT facilities to implement an EMS by December 31, 2005. This memorandum serves as guidance to all departmental elements regarding self-declaration protocols for those EMS's. Self-declaration protocols outline procedures for ensuring the credibility of Operating Administration (OA) EMS's for their appropriate facilities as set forth by the EMS Self-Declaration Protocol memorandum issued by the Office of the Federal Environmental Executive (OFEE) on January 27, 2004, and under the authority of Executive Order 13148, Greening the Government Through Leadership in Environmental Management. EMS self-declaration is more than an internal EMS evaluation. It is the declaration made to outside parties verifying that a facility's EMS is in place and current. Self-declaration protocols are designed to satisfy the following principles:

- Result in accurate and reliable information on OAs' progress as they adopt improved practices associated with EMS implementation.
- Focus responsibility for initial EMS verification and on-going quality assurance at the OA level.
- Provide OA's with sufficient flexibility to implement EMS in ways that support their missions.
- Provide a means for verifying the status of a facility EMS, and appropriately communicating that status to internal and external entities.

- Ensure that EMS verification is more than a documentation review, and that the effectiveness of EMS implementation is reviewed.
- Use existing EMS elements where possible so that self-declaration becomes an integral part of the OA EMS.

Examples of self-declaration protocols may be found on the OFEE website at:
<<http://www.ofee.gov>>.

Regardless of the EMS model (e.g., Code of Environmental Management Principles, ISO 14000, etc.) that OA's use, the following requirements for EMS self-declaration must be met:

1. At a minimum, internal EMS reviews will be conducted annually.
2. OA's shall establish qualifications and training requirements for internal and external EMS reviewers.
3. External reviewers shall mean reviewers from outside the scope of the EMS in question (e.g. reviewers from another OA). However, for purposes of this protocol, reviewers may still be from inside the same OA but must be outside the covered EMS.
4. External reviews will be conducted, at a minimum and where appropriate, every 3 years to determine the effectiveness of EMS implementation.
5. OA's shall include appropriate guidance to ensure that facilities desiring to participate in a federal or state EMS recognition program (e.g., National Environmental Performance track, Oregon Green Permits Program, New Jersey Silver Environmental Performance track, etc.) reflect the respective requirements in their self-declaration procedures. OA's may also adopt other EMS recognition programs (e.g., International Standards Organization, National Sanitary Foundation, etc.). Such EMS recognition obtained by a facility will be considered as fulfilling the requirements of EMS self-declaration so long as the EMS recognition remains current.
6. OA's must transmit to the Office of the Assistant Secretary for Administration the following statement signed by the OA Environmental Executive:

“As the (OA Environmental Executive), I certify that the following list of OA facilities have environmental management systems in place. Furthermore, I certify that all provisions of the OA EMS criteria have been completed and were reviewed by me and senior management.”

This statement will become part of the submission of the OA annual Calendar Year Executive Order 13148 Report.

For additional information or assistance, please call Catherine Johnson of my staff on (202) 366-0266.