



DOE Guide 450.1A- α ***Implementation Guide*** ***for Use with DOE O 450.1A***

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Draft Contents



- Background: EMS and ISMS
- The Elements and Framework of ISO 14001
- Increased Scope of the EMS
- Compliance Management in the EMS
- Auditing the EMS
- Top Management Review of the EMS
- Declaration of “Fully Implemented”
- Keeping the ISMS/EMS Updated
- Determining Need for A New EMS
- Implementing DOE Field Office Requirements



“Fully Implemented” EMS



DOE O 450.1A (and E.O. 13423) require for EMSs:

1. Independent audit
2. Senior management recognition of, and response to, audit findings
3. Declaration of conformance



Fully Implemented: EMS Audit



- EMS must be the subject of “a formal audit by a qualified party outside the control or scope of the EMS”
- Guide will include the clarifications issued by the Federal Environmental Executive January 2008 on:
 - “Formal Audit”
 - “Qualified party”
 - “Outside the control or scope of the EMS”



Fully Implemented: Address Audit Findings



- “the EMS has been through at least one full cycle of implementation”
- “information on whether the EMS is *suitable, adequate* and *effective* has been presented to senior management for their consideration and action”



Fully Implemented: Address Audit Findings (cont)



- “in order for the EMS process to be effective and worthwhile, the findings from the formal audit must be presented to senior decision makers with authority over policy and resources within the EMS AND, in order to address the findings and affirm their EMS policy commitment to continual improvement, those individuals must follow through on recommendations”



Fully Implemented: Declare Conformance



- E.O. refers to “the appropriate senior manager accountable for implementation of the EMS”
- Because most DOE sites are GOCO, DOE O 450.1A refers to “the appropriate senior manager accountable for implementation of the EMS” and also to “the cognizant Field Office Manager” [4.d.(1)(c)]
- The Field Office Manager will issue a conformance memo based on
 - Declaration by the contractor senior manager
 - Results of field office oversight of contractor



Phased Issuance



- Plan to issue Guide to address near-term implementation questions
- Some sections are reserved – i.e., for establishing a new EMS
- Updated information on implementing a new EMS contained in existing DOE G 450.1-1 and DOE G 450.1-2 will be provided later



For Further Information:



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