

Risk-based licensing Environmental management systems guidelines

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1 Introduction

1.1 About this document

This guidance document has been developed by the Environment Protection Authority (EPA) to assist holders of environment protection licences to answer questions 5 to 11 in Section G of their Annual Return. These questions need to be answered when a licence holder does not have an environmental management system (EMS) certified to ISO14001 or any other demonstrated equivalent system place.

This document should be read in conjunction with the [Environmental Management Calculation Protocol](#) which sets out the matters and methods the EPA will use to determine the environmental management category allocated to holders of licences issued under the [Protection of the Environment Operations Act 1997](#).

1.2 Overview of the environmental management category

The environmental management category (EMC) is calculated for a licence by considering the environmental management performance of the licensee at the licenced premises. The EPA will take into account:

- a licensee's environmental performance
- the regulatory actions the EPA has taken
- environmental management systems and practices the licensee has in place and
- environmental improvement programs.

Based on this assessment a licensee will be allocated an environmental management category: A, B, C, D or E for each licence.

1.3 Licensee environmental management systems and practices

Where a licensee has implemented environmental management systems and practices for a licensed activity they will receive a reduction from their total environmental management score. The environmental management systems and practices form one component of the total environmental management score reduction.

The EPA will consider whether a non-certified environmental management system is a demonstrated equivalent environmental management system, on a case by case basis. To determine if a non-certified environmental management system is considered a demonstrated equivalent environmental management system, contact your local [EPA regional office](#). A demonstrated equivalent environmental management system would need to be equal to or substantially comparable to a certified ISO14001 EMS in terms of accountability, procedures, documentation and record keeping requirements.

Licenses that do not have an environmental management system certified to ISO14001 or any other demonstrated equivalent system in place can receive a reduction in the total environmental management score of up to 60 points for demonstrating management practices and activities that are considered to be equivalent to components of an environmental management system.

To receive a reduction to the environmental management score for having the components of an environmental management system licensees must have documented practices and procedures in place. Table 1 provides examples of the types of documented evidence that may be required to answer 'yes' to these questions.

Table 1 Examples of the documented evidence that may be required

<p>If the licensee does not have an environmental management system certified to ISO 14001 or any other demonstrated equivalent system, the following questions should be answered in relation to any documented environmental practices, procedures and systems in place:</p>	<p>EMC score reduction</p>	<p>Considerations</p> <p>Note that you do not need to submit this documentation with the Annual Return. However, you need to consider whether you meet the requirements to satisfy a 'yes' response.</p>
<p>5) Has the licensee assessed their activities/operations to identify the aspects that have a potential to cause environmental impacts and implemented operational controls to address these aspects?</p>	<p>18</p>	<p>Environmental Aspects (activities) – elements of an organisations activities or products or services that can interact with the environment</p> <p>a. Have you undertaken a documented environmental review of all your activities, products or services that would apply across the whole organisation?</p> <p>b. Have you identified those environmental aspects associated with your past, ongoing and planned activities, products and services (including normal and abnormal operating conditions) that can be controlled or influenced by your organisation?</p> <p>Environmental Impacts – any change to the environment, whether adverse or beneficial, wholly or partially resulting from an organisations environmental aspects</p> <p>c. Have you identified the environmental impacts of each of the environmental aspects?</p> <p>Determine significance (potential to cause environmental impacts)</p> <p>d. Have environmental aspects been assigned a level of significance; considering the scale, severity and duration of the impact, type, size and frequency?</p> <p>Legal Requirements</p> <p>e. Have procedures been established, implemented and maintained to identify legal requirements related to the environmental aspect?</p> <p>Operational Controls</p> <p>f. Have you identified and established operational controls for each environmental aspect to ensure compliance with legal requirements?</p> <p>Review and Documentation</p> <p>g. Have documented procedures been established for setting priorities for management action to address the environmental aspect?</p>

If the licensee does not have an environmental management system certified to ISO 14001 or any other demonstrated equivalent system, the following questions should be answered in relation to any documented environmental practices, procedures and systems in place:	EMC score reduction	Considerations Note that you do not need to submit this documentation with the Annual Return. However, you need to consider whether you meet the requirements to satisfy a 'yes' response.
		<p>h. Are there documented procedures in place to ensure the environmental aspects and impacts are kept up to date to allow for operational change?</p> <p>i. Has all the relevant information and decisions been documented in a legible form, for example in a table?</p> <p>Suggested reading: ISO 14001:2004 Environmental management systems sections: 4.3.1 Environmental Aspects 4.3.2 Legal and other requirements 4.4.4 Documentation 4.4.6 Operational Control</p>
6) Has the licensee established and implemented an operational maintenance program including preventative maintenance?	12	<p>a. Has a plan been developed that includes routine (scheduled) operation and maintenance procedures?</p> <p>b. Does the plan include critical and preventative maintenance?</p> <p>c. Does the plan include a list and describe the tasks performed, including the frequency and who is responsible for performing those tasks?</p> <p>d. Does the plan include mechanisms to identify and review outstanding maintenance issues?</p> <p>e. Are records, including maintenance documentation, systems and procedures used to schedule maintenance and preventative maintenance kept?</p>
		<p>Suggested reading: ISO 14004:2004 Environmental management systems section 4.4.6 Operational Control</p>
7) Does the licensee keep records of regular inspections and maintenance of plant and equipment?	6	<p>a. Has a procedure been established, implemented and maintained, for the storage, protection and retention of records of regular inspections and maintenance of plant and equipment?</p> <p>b. Are records of regular site inspections kept?</p>

If the licensee does not have an environmental management system certified to ISO 14001 or any other demonstrated equivalent system, the following questions should be answered in relation to any documented environmental practices, procedures and systems in place:	EMC score reduction	<p>Considerations</p> <p>Note that you do not need to submit this documentation with the Annual Return. However, you need to consider whether you meet the requirements to satisfy a 'yes' response.</p>
		<p>c. Are records of maintenance carried out on plant and equipment kept?</p> <p>d. Have you ensured that all documents are legible and readily identifiable?</p> <p>Suggested reading: ISO 14001:2004 Environmental management systems -- Section 4.5.4 Control of records – results of operational controls (maintenance)</p>
8) Does the licensee conduct regular site audits to assess compliance with environmental legal requirements and assess conformance to the requirements of any documented environmental practices, procedures and systems in place?	7	<p>a. Has your organisation established, implemented and maintained a documented procedure to undertake site audits?</p> <p>b. Are site audits conducted at planned intervals?</p> <p>c. Do the site audits include an assessment of compliance with environmental legal requirements?</p> <p>d. Do the site audits include an assessment against documented environmental practices, procedures and systems?</p> <p>e. Is there a procedure for corrective action, review and follow up on issues identified?</p> <p>f. Are there processes in place to ensure ongoing compliance and/or conformance with any issues identified?</p> <p>g. Are records kept of site audits and results of the evaluation?</p> <p>Suggested reading: ISO 14004:2004 Environmental management systems sections: Section 4.5.2 Evaluation of compliance Section 4.5.5 Internal audit</p>
9) Are the audits of the documented environmental practices, procedures and systems in place undertaken by a third party?	2	<p>a. Who undertakes the compliance/conformance audits?</p> <p>b. Are audits undertaken by a third party external to the organisation?</p> <p>Suggested reading: ISO 14001:2004 Environmental management systems sections:</p>

If the licensee does not have an environmental management system certified to ISO 14001 or any other demonstrated equivalent system, the following questions should be answered in relation to any documented environmental practices, procedures and systems in place:	EMC score reduction	<p>Considerations</p> <p>Note that you do not need to submit this documentation with the Annual Return. However, you need to consider whether you meet the requirements to satisfy a 'yes' response.</p>
		<p>4.5.2 Evaluation of compliance</p> <p>4.5.5 Internal audit</p>
10) Does the licensee have an established and implemented environmental improvement or management plan?	12	<p>a. Has an environmental improvement or management plan been prepared that sets out a comprehensive approach to environmental management of the site?</p> <p>b. Does the environmental improvement or management plan contain the following?</p> <ul style="list-style-type: none"> i. environmental policy and objectives ii. identification, assessment and evaluation of options for improved performance iii. commitments, targets and contingency arrangements iv. operational arrangements to achieve objectives v. performance monitoring and reporting vi. auditing and review of the plan vii. endorsement by senior management. <p>c. Has the environmental improvement or management plan been audited?</p> <p>d. Was the audit undertaken by an independent auditor?</p>
11) Are staff trained in environmental issues that may arise from the licensee's activities/operations and are records of training kept?	3	<p>Competence, training and awareness</p> <p>a. Have staff been trained about the risks to the environment from undertaking activities that have the potential to cause a significant environmental impact?</p> <p>b. Have staff been trained on how to respond to environmental issues?</p> <p>c. Is training competency based?</p> <p>d. Are staff required to demonstrate understanding of their role, responsibility and potential impacts of their work activities?</p> <p>e. Are training records kept for each staff member?</p> <p>f. Is there a procedure in place to ensure training needs are regularly reviewed and kept up to date?</p>

<p>If the licensee does not have an environmental management system certified to ISO 14001 or any other demonstrated equivalent system, the following questions should be answered in relation to any documented environmental practices, procedures and systems in place:</p>	<p>EMC score reduction</p>	<p>Considerations</p> <p>Note that you do not need to submit this documentation with the Annual Return. However, you need to consider whether you meet the requirements to satisfy a 'yes' response.</p>
		<p>Suggested reading: ISO 14001:2004 Environmental management systems: Section 4.4.2 Competence, training and awareness</p>

Environmental management systems guidelines

For further information on how the environmental management category is calculated refer to [Risk-based licensing](#) EPA website.

It is important to note that it is an offence to supply any information in the Annual Return that is false or misleading in a material respect, or to certify a statement that is false or misleading in a material respect. There is a maximum penalty of \$250,000 for a corporation or \$120,000 for an individual.