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Environmental management systems — General guidelines on principles, systems and supporting techniques

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*Systemes de management environnemental — Lignes directrices
générales concernant les principes, les systèmes et les techniques de
mise en œuvre*

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

International Standard ISO 14004 was prepared by Technical Committee ISO/TC 207, *Environmental management*, Subcommittee SC 1, *Environmental management systems*.

Annexes A and B of this International Standard are for information only.

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Introduction

0.1 Overview

As concern grows for maintaining and improving the quality of the environment and protecting human health, organizations of all sizes are increasingly turning their attention to the potential environmental impacts of their activities, products or services. The environmental performance of an organization is of increasing importance to internal and external interested parties. Achieving sound environmental performance requires organizational commitment to a systematic approach and to continual improvement of the environmental management system (EMS).

The general purpose of this International Standard is to provide assistance to organizations implementing or improving an EMS. It is consistent with the concept of sustainable development and is compatible with diverse cultural, social and organizational frameworks.

It should be noted that only ISO 14001 contains requirements that may be objectively audited for certification/registration purposes or for self-declaration purposes. Alternatively, this International Standard includes examples, descriptions and options that aid both in the implementation of an EMS and in strengthening its relation to the overall management of the organization.

An EMS provides order and consistency for organizations to address environmental concerns through the allocation of resources, assignment of responsibilities, and ongoing evaluation of practices, procedures and processes.

This International Standard considers the elements of an EMS and provides practical advice on implementing or enhancing such a system. It also provides organizations with advice on how to effectively initiate, improve or sustain an environmental management system. Such a system is essential to an organization's ability to anticipate and meet its environmental objectives and to ensure ongoing compliance with national and/or international requirements.

Environmental management is an integral part of an organization's overall management system. The design of an EMS is an ongoing and interactive process. The structure, responsibilities, practices, procedures, processes and resources for implementing environmental policies, objectives and targets can be coordinated with existing efforts in other areas (e.g. operations, finance, quality, occupational health and safety).

Key principles for managers implementing or enhancing an environmental management system include, but are not limited to, the following.

- Recognize that environmental management is among the highest corporate priorities.

- Establish and maintain communication with internal and external interested parties.
- Determine the legislative requirements and environmental aspects associated with the organization's activities, products or services.
- Develop management and employee commitment to the protection of the environment, with clear assignment of accountability and responsibility.
- Encourage environmental planning throughout the product or process life cycle.
- Establish a process for achieving targeted performance levels.
- Provide appropriate and sufficient resources, including training, to achieve targeted performance levels on an ongoing basis.
- Evaluate environmental performance against the organization's environmental policy, objectives and targets and seek improvement where appropriate.
- Establish a management process to audit and review the EMS and to identify opportunities for improvement of the system and resulting environmental performance.
- Encourage contractors and suppliers to establish an EMS.

Organizations can consider the following different uses of the EMS International Standards.

- Using ISO 14001:1996, *Environmental management systems — Specification with guidance for use* to achieve third-party certification/registration, or self-declaration of an organization's EMS.
- Using this International Standard, or parts of it, to initiate and/or improve its EMS. It is not intended for certification/registration purposes.
- Using this International Standard as a guideline or ISO 14001 as a specification for second-party recognition between contracting parties, which may be suitable for some business relationships.
- Using related ISO documents.

The choice will depend on factors such as:

- organization policy;
- level of maturity of the organization: whether systematic management that can facilitate the introduction of systematic environmental management is already in place;
- possible advantages and disadvantages, influenced by such things as market position, existing reputation and external relations;
- size of the organization.

This International Standard can be used by organizations of any size. Nonetheless, the importance of small and medium-sized enterprises (SMEs) is being increasingly recognized by governments and business. This International Standard acknowledges and accommodates the needs of SMEs.

0.2 Benefits of having an environmental management system

An organization should implement an effective environmental management system in order to help protect human health and the environment from the potential impacts of its activities, products or services; and to assist in maintaining and improving the quality of the environment.

Having an EMS can help an organization provide confidence to its interested parties that

- a management commitment exists to meet the provisions of its policy, objectives, and targets;
- emphasis is placed on prevention rather than corrective action;
- evidence of reasonable care and regulatory compliance can be provided; and
- the systems design incorporates the process of continual improvement.

An organization whose management system incorporates an EMS has a framework to balance and integrate economic and environmental interests. An organization that has implemented an EMS can achieve significant competitive advantages.

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Economic benefits can be gained from implementing an environmental management system. These should be identified in order to demonstrate to interested parties, especially shareholders, the value to the organization of good environmental management. It also provides the organization with the opportunity to link environmental objectives and targets with specific financial outcomes and thus to ensure that resources are made available where they provide the most benefit in both financial and environmental terms.

The potential benefits associated with an effective EMS include

- assuring customers of commitment to demonstrable environmental management;
- maintaining good public/community relations;
- satisfying investor criteria and improving access to capital;
- obtaining insurance at reasonable cost;
- enhancing image and market share;
- meeting vendor certification criteria;
- improving cost control;
- reducing incidents that result in liability;
- demonstrating reasonable care;
- conserving input materials and energy;
- facilitating the attainment of permits and authorizations;
- fostering development and sharing environmental solutions;
- improving industry-government relations.

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Environmental management systems — General guidelines on principles, systems and supporting techniques

1 Scope

This International Standard provides guidance on the development and implementation of environmental management systems and principles, and their coordination with other management systems.

The guidelines in this International Standard are applicable to any organization, regardless of size, type, or level of maturity, that is interested in developing, implementing and/or improving an environmental management system.

The guidelines are intended for use as a voluntary, internal management tool and are not intended to be used as EMS certification/registration criteria.

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2 Normative references

ISO 14004:1996

There are no normative references at present.

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3 Definitions

For the purposes of this International Standard, the following definitions apply.

3.1

continual improvement

process of enhancing the environmental management system to achieve improvements in overall environmental performance in line with the organization's environmental policy

NOTE — The process need not take place in all areas of activity simultaneously.

3.2

environment

surroundings in which an organization operates, including air, water, land, natural resources, flora, fauna, humans, and their interrelation

NOTE — Surroundings in this context extend from within an organization to the global system.

- 3.3 environmental aspect**
element of an organization's activities, products or services that can interact with the environment
- NOTE — A significant environmental aspect is an environmental aspect that has or can have a significant environmental impact.
- 3.4 environmental impact**
any change to the environment, whether adverse or beneficial, wholly or partially resulting from an organization's activities, products or services
- 3.5 environmental management system**
that part of the overall management system that includes organizational structure, planning activities, responsibilities, practices, procedures, processes and resources for developing, implementing, achieving, reviewing and maintaining the environmental policy
- 3.6 environmental management system audit**
systematic and documented verification process of objectively obtaining and evaluating evidence to determine whether an organization's environmental management system conforms to the environmental management system audit criteria set by the organization, and for communication of the results of this process to management
- 3.7 environmental objective**
overall environmental goal, arising from the environmental policy, that an organization sets itself to achieve, and which is quantified where practicable
- 3.8 environmental performance**
measurable results of the environmental management system, related to an organization's control of its environmental aspects, based on its environmental policy, objectives and targets
- 3.9 environmental policy**
statement by the organization of its intentions and principles in relation to its overall environmental performance which provides a framework for action and for the setting of its environmental objectives and targets
- 3.10 environmental target**
detailed performance requirement, quantified where practicable, applicable to the organization or parts thereof, that arises from the environmental objectives and that needs to be set and met in order to achieve those objectives
- 3.11 interested party**
individual or group concerned with or affected by the environmental performance of an organization
- 3.12 organization**
company, corporation, firm, enterprise, authority or institution, or part or combination thereof, whether incorporated or not, public or private, that has its own functions and administration

NOTE — For organizations with more than one operating unit, a single operating unit may be defined as an organization.

3.13

prevention of pollution

use of processes, practices, materials or products that avoid, reduce or control pollution, which may include recycling, treatment, process changes, control mechanisms, efficient use of resources and material substitution

NOTE — The potential benefits of prevention of pollution include the reduction of adverse environmental impacts, improved efficiency and reduced costs.

4 Environmental management system (EMS) principles and elements

The EMS model (see figure 1) follows the basic view of an organization which subscribes to the following principles.

Principle 1 — Commitment and policy

An organization should define its environmental policy and ensure commitment to its EMS.

Principle 2 — Planning

An organization should formulate a plan to fulfil its environmental policy.

Principle 3 — Implementation

For effective implementation, an organization should develop the capabilities and support mechanisms necessary to achieve its environmental policy, objectives and targets.

[ISO 14004:1996](https://standards.iteh.ai/catalog/standards/sist/5a30fd54-b1bf-4a93-a39f-525a860f1b1c/iso-14004-1996)

Principle 4 — Measurement and evaluation

An organization should measure, monitor and evaluate its environmental performance.

Principle 5 — Review and improvement

An organization should review and continually improve its environmental management system, with the objective of improving its overall environmental performance.

With this in mind, the EMS is best viewed as an organizing framework that should be continually monitored and periodically reviewed to provide effective direction for an organization's environmental activities in response to changing internal and external factors. Every individual in an organization should accept responsibility for environmental improvements.

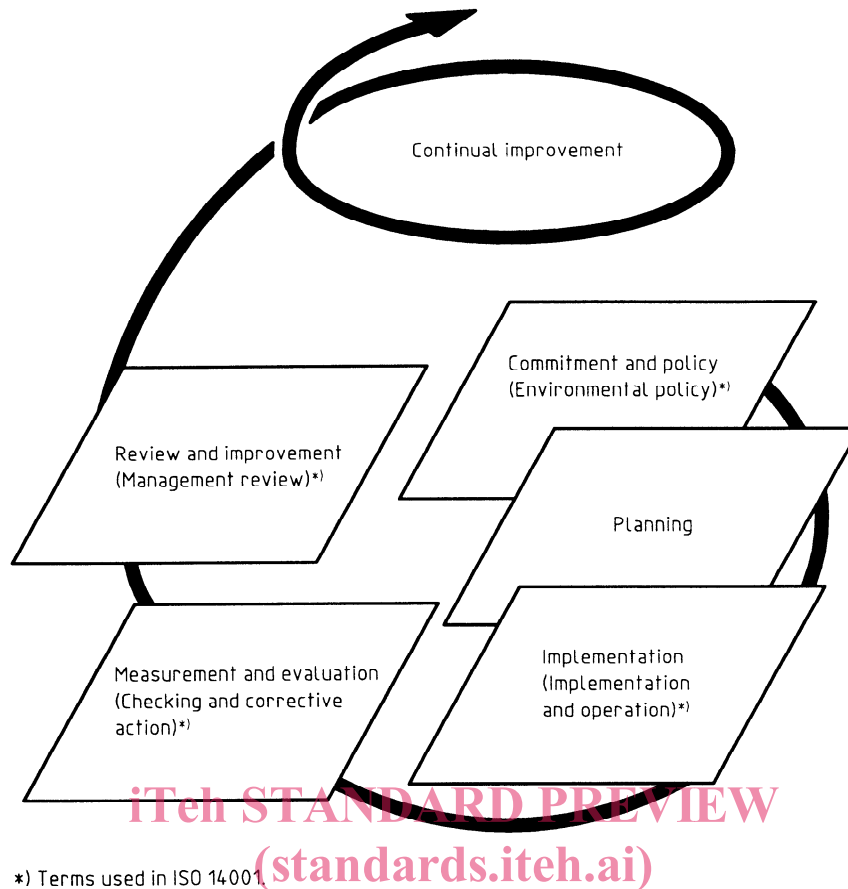


Figure 1 — Environmental management system model for this International Standard

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4.1 Commitment and policy

Principle 1 — Commitment and policy

An organization should define its environmental policy and ensure commitment to its EMS.

4.1.1 General

The organization should begin where there is obvious benefit, for example, by focusing on regulatory compliance, by limiting sources of liability or by making more efficient use of materials.

As the organization grows in experience, and its EMS starts to take shape, procedures, programmes and technologies can be put in place to further improve environmental performance. Then, as the EMS matures, environmental considerations can be integrated into all business decisions.

4.1.2 Top management commitment and leadership

To ensure success, an early step in developing or improving an EMS involves obtaining commitment from the top management of the organization to improve the environmental management of its activities, products or services. The ongoing commitment and leadership of the top management are crucial.

4.1.3 Initial environmental review

The current position of an organization with regard to the environment can be established by means of an initial environmental review. The initial review can cover the following:

- identification of legislative and regulatory requirements;
- identification of environmental aspects of its activities, products or services so as to determine those that have or can have significant environmental impacts and liabilities;
- evaluation of performance compared with relevant internal criteria, external standards, regulations, codes of practice and sets of principles and guidelines;
- existing environmental management practices and procedures;
- identification of the existing policies and procedures dealing with procurement and contracting activities;
- feedback from the investigation of previous incidents of non-compliance;
- opportunities for competitive advantage;
- the views of interested parties;
- functions or activities of other organizational systems that can enable or impede environmental performance.

In all cases, consideration should be given to the full range of operating conditions, including possible incidents and emergency situations.

The process and results of the initial environmental review should be documented and opportunities for EMS development should be identified.

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Practical help — Initial environmental review

An important first step is to develop the list of areas to be reviewed. This can include organization activities, specific operations or a specific site.

Some common techniques for conducting a review include

- questionnaires,
- interviews,
- checklists,
- direct inspection and measurement,
- record review,
- benchmarking¹⁾.

Organizations, including SMEs, can consult a number of outside sources such as:

- government agencies in relation to laws and permits;
- local or regional libraries or databases;
- other organizations for exchange of information;
- industry associations;
- larger customer organizations;
- manufacturers of equipment in use;
- business relations (e.g. with those who transport and dispose of waste);
- professional help.

1) Benchmarking is a technique for studying best practice, whether within the organization, in a competitor's organization or in a different industry, to enable the organization to adopt or improve on it.