



**D1.6 PROTOCOLS AND PROCEDURES FOR THE  
IMPLEMENTATION OF ENVIRONMENTAL  
MANAGEMENT SYSTEM (EMS) – ISO 14001**

## **DISCLAIMER**

The opinion stated in this report reflects the opinion of the authors and not the opinion of the European Commission. The Agency is not responsible for any use that may be made of the information it contains.

All intellectual property rights are owned by GreenTU consortium members and are protected by the applicable laws. Reproduction is not authorized without prior written agreement.

---

The commercial use of any information contained in this document may require a licence from the owner of that information.

## **ACKNOWLEDGEMENT**

This document is a report of the project “GREENING THE TOURISM SECTOR IN UGANDA”. This project is co-financed by the Switch Africa Green Programme, which is implemented by UN Environment with the financial support of the European Union (Grant Contract – External Actions of the European Union – ENV/2017/391-388).

## EXECUTIVE SUMMARY

In the framework of the GREENTU Project, funded by the European Commission under the Switch Africa Green Programme, a set of procedures and records for the implementation of Environmental Management System (EMS) – ISO 14001 in the MSMEs of the Ugandan Tourist Accommodation Sectors has been prepared.

This set of documented information has been prepared in order to facilitate the implementation, monitoring and support during the implementation process of the EMS in the 30 tourist accommodations involved in the project.

Special emphasis has been laid on making the information clearly understandable for the people in charge of managing the implementation of EMS in hotels, who usually does not have specific environmental background.

GreenTU team shares this set of documented information in order to foster the replication of the EMS implementation among other MSMEs of the Tourism Sector in Uganda. Thus, all the procedures and record can be downloaded in the website of the project:

[http://www.greenttu.eu/wp-content/uploads/2020/02/Templates\\_GreenTU\\_ISO14001.pdf](http://www.greenttu.eu/wp-content/uploads/2020/02/Templates_GreenTU_ISO14001.pdf)

## INDEX

---

EXECUTIVE SUMMARY	4
1 GREENTU PROJECT	6
2 DOCUMENTED INFORMATION	7
3 ANNEX I: DOCUMENTED INFORMATION TEMPLATES	11

## 1 GREENTU PROJECT

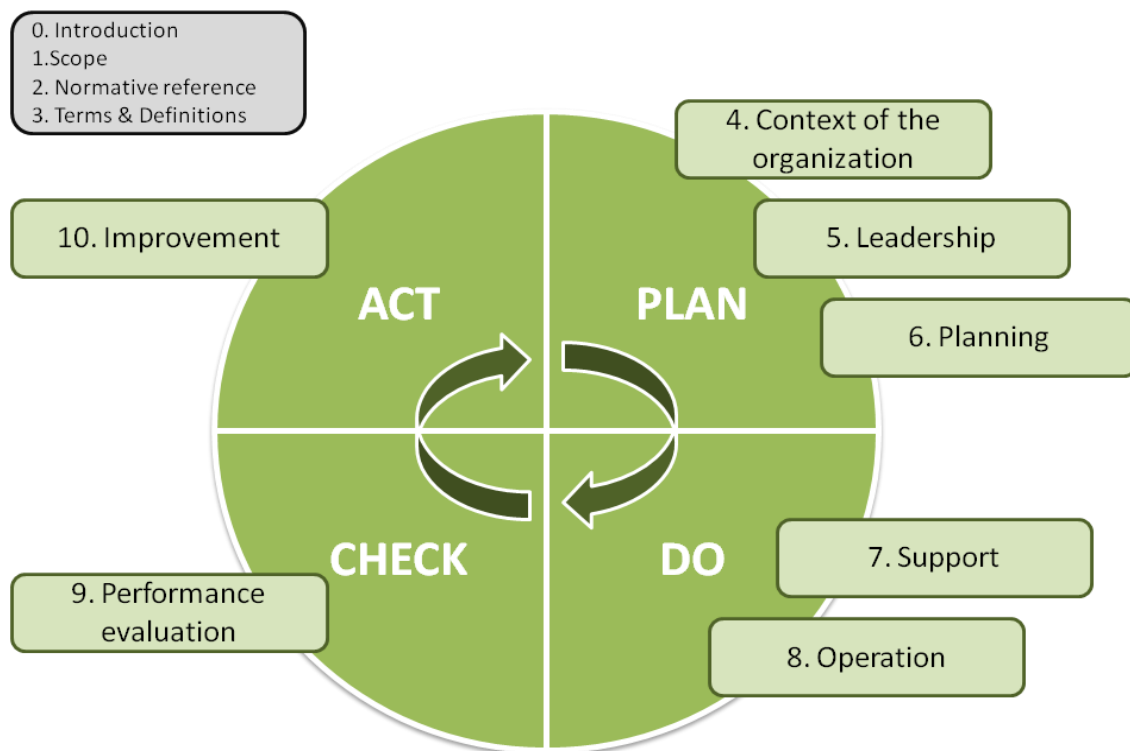
The GREENTU Project (Greening the Tourism Sector in Uganda), funded by the European Commission under the Switch Africa Green Programme, is being implemented by Fundación GAIKER (GAIKER, Spain, Project Coordinator), Uganda Tourism Association (UTA, Uganda, Partner) and Uganda Community Tourism Association (UCOTA, Uganda, Partner).

The action has an overall duration of 36 months and aims at boosting the transformation of Uganda towards an inclusive green economy by enhancing the sustainability and competitiveness of a key sector for the country, as it is the Tourism Sector. To attain this, the action aims at equipping MSMEs of the Tourist Accommodation Sector in Uganda to implement Best SCP practices and Environmental Management Systems (ISO 14001). At the same time, the action will foster sustainable consumption by consumer awareness raising campaigns and supporting MSMEs of the Tourism Sector on ecolabelling scheme implementation.

This deliverable “D 1.6 Protocols and procedures for the implementation of Environmental Management System (EMS) according to ISO 14001, in the Ugandan Tourist Accommodation Sector” is a set of documentation developed in the context of “Output 1 – Improved sustainability and resource efficiency of the Tourist Accommodation Sector in Uganda and compliance with internationally recognized EMS ISO14001”.

## 2 DOCUMENTED INFORMATION

The ISO 14001:2015 requirements are broadly separated into 10 sections (called ISO 14001 clauses), with clauses one through three describing the standard and clauses four through 10 containing the requirements for an EMS.



The documented information requested in order to meet all the requirements of the ISO 14001 standard has been prepared, and compiled in the Annex I of this deliverable. This documented information includes the templates of both, procedures and records or associated documents. Procedures describe the specified way to carry out an activity or a process, while the records are the documents stating results achieved or providing evidence of activities performed.

The templates of the procedures and the records have been codified and organised in accordance with the structure of the standard.

### Context of the organisation

With regards to the “context of the organisation” two procedures have been prepared. The first one is related to the context and the needs and expectations of the interested parties, and

two associated documents are suggested for the identification of the strengths, weaknesses, opportunities y threats (SWOT analysis) and the needs and expectations of interested parties. The second procedure is just a brief introduction to the EMS and its scope.

SECTION	CHAPTER	PROCEDURE TITLE	ASSOCIATED DOCUMENTS
<b>1</b> <b>CONTEXT OF THE ORGANIZATION</b>	P1.1	Context of the organization. Needs and expectations of interested parties	D1.1-1 Context - SWOT analysis D1.1-1 Needs and expectations of interested parties
	P1.2	EMS's description	-

### Leadership

For the fulfilment of the requirements related to “leadership”, two procedures have been prepared. The first procedure is named leadership commitment, and its associated document, the environmental policy, is a very important document of the EMS, and an evidence of the commitment of the Top Management. The second procedure, related the organisational roles, has an associated document for the definition of the personnel profiles.

SECTION	CHAPTER	PROCEDURE TITLE	ASSOCIATED DOCUMENTS
<b>2</b> <b>LEADERSHIP</b>	P2.1	Leadership and commitment	D2.1-1 Environmental policy
	P2.2	Organizational roles, responsibilities and authorities	D2.2-1 Personnel profiles

### Planning

In order to meet the requirements included within the section named “planning” of the ISO 14001 standard, 4 procedures and associated documents have been prepared. The first procedure and its associated document are related to the identification and assessment of the risks and opportunities. The second procedure and its associated document, or record, is related to a key process of the EMS, the identification and evaluation of the environmental aspects. The third procedure and record are related to the compliance obligations related to hotel’s environmental aspects. The hotel has to comply not only with the legal requirements, but also with other interested party requirements. Finally, within the fourth procedure, and its associated document, the definition of environmental objectives and planning action is pursued.

SECTION	CHAPTER	PROCEDURE TITLE	ASSOCIATED DOCUMENTS
<b>3</b>	P3.1	Risks and opportunities	D3.1-1 Risks and opportunities record



SECTION	CHAPTER	PROCEDURE TITLE	ASSOCIATED DOCUMENTS
<b>PLANNING</b>	P3.2	Identification of environmental aspects and impacts. Significant environmental aspects/impacts.	D3.2-1 Identification and evaluation of environmental aspects
	P3.3	Compliance obligations	D3.3-1 Compliance obligations record
	P3.4	Environmental objectives and planning actions	D3.4-1 Environmental objectives and planning action record

### Support

With regards to the section named “support”, 4 procedures and their associated documents have been especially designed. The first procedure is related to the identification of the resources, and it has 2 associated documents related to the definition of a maintenance programme and the monitoring the maintenance activities. The second procedure is related to the competence and training of the staff and it has 3 associated documents for planning the training activities, recording the people attending to a training activity and the collecting the data related to the personnel. The third procedure and its associated document are closely related to the communication, both internal and external. The last procedure and its associated documents are related to the control of the documented information.

SECTION	CHAPTER	PROCEDURE TITLE	ASSOCIATED DOCUMENTS
<b>4 SUPPORT</b>	P4.1	Identification of resources	D4.1-1 Maintenance programme and planning D4.1-2 Maintenance monitoring record
	P4.2	Competence, training and awareness	D4.2-1 Training/awareness planning and evaluation D4.2-2 Training attendance sheet D4.2-3 Personnel form
	P4.3	Communication	D4.3-1 Communication record
	P4.4	Documented information	D4.4-1 Master list of forms D4.4-2 Distribution list D4.4-3 Master list of external documents

### Operation

For the fulfilment of the requirements related to “operation”, 3 procedures have been prepared. The first procedure and its associated documents are related to the control of suppliers and contractors. The second procedure and its associated documents are focused on operational control and planning, where the establishment of operating criteria and the implementation of control of the processes are pursued. The third procedure and the associated documents are focused on emergency preparedness and response.

SECTION	CHAPTER	PROCEDURE TITLE	ASSOCIATED DOCUMENTS
<b>5 OPERATION</b>	P5.1	Control of suppliers and contractors	D5.1-1 Supplier evaluation form D5.1-2 Service provider/supplier performance assessment form
	P5.2	Operational control	D5.2-1 Operational control instructions
	P5.3	Emergency preparedness and response	D5.3-1 Emergency report & accident report D5.3-2 Emergency/drill report

### Performance evaluation

In order to meet the requirements included within the section named “performance evaluation” of the ISO 14001 standard, 3 procedures and associated documents have been prepared. The first procedure and its associated document are related to the monitoring, measurement, analysis and evaluation of the environmental performance. The second procedure and its associated document, or record, are focused on the internal audit process. The third procedure describes the management review process.

SECTION	CHAPTER	PROCEDURE TITLE	ASSOCIATED DOCUMENTS
<b>6 PERFORMANCE EVALUATION</b>	P6.1	Environmental performance	D6.1-1 Environmental performance
	P6.2	Internal audit	D6.2-1 Audit planning D6.2-2 Internal audit checklist D6.2-3 Internal audit report
	P6.3	Management review	D6.3-1 Top Management annual review

### Improvement

Finally, with regards to the “improvement” one procedure and 2 associated documents have been prepared. These documents are directly related to the identification and management of non-conformities.

SECTION	CHAPTER	PROCEDURE TITLE	ASSOCIATED DOCUMENTS
<b>7 IMPROVEMENT</b>	P7.1	Non-conformity and corrective action	D7.1-1 Non-conformities record D7.1-2 Non conformity and corrective actions report

### 3 ANNEX I: DOCUMENTED INFORMATION TEMPLATES

All the templates of the documented information listed in the table below have been attached in this Annex I.

SECTION	CHAPTER	PROCEDURE TITLE	ASSOCIATED DOCUMENTS
<b>1</b> CONTEXT OF THE ORGANIZATION	P1.1	Context of the organization. Needs and expectations of interested parties	D1.1-1 Context - SWOT analysis D1.1-1 Needs and expectations of interested parties
	P1.2	EMS's description	-
<b>2</b> LEADERSHIP	P2.1	Leadership and commitment	D2.1-1 Environmental policy
	P2.2	Organizational roles, responsibilities and authorities	D2.2-1 Personnel profiles
<b>3</b> PLANNING	P3.1	Risks and opportunities	D3.1-1 Risks and opportunities record
	P3.2	Identification of environmental aspects and impacts. Significant environmental aspects/impacts.	D3.2-1 Identification and evaluation of environmental aspects
	P3.3	Compliance obligations	D3.3-1 Compliance obligations record
	P3.4	Environmental objectives and planning actions	D3.4-1 Environmental objectives and planning action record
<b>4</b> SUPPORT	P4.1	Identification of resources	D4.1-1 Maintenance programme and planning D4.1-2 Maintenance monitoring record
	P4.2	Competence, training and awareness	D4.2-1 Training/awareness planning and evaluation D4.2-2 Training attendance sheet D4.2-3 Personnel form
	P4.3	Communication	D4.3-1 Communication record
	P4.4	Documented information	D4.4-1 Master list of forms D4.4-2 Distribution list D4.4-3 Master list of external documents
<b>5</b> OPERATION	P5.1	Control of suppliers and contractors	D5.1-1 Supplier evaluation form D5.1-2 Service provider/supplier performance assessment form
	P5.2	Operational control	D5.2-1 Operational control instructions
	P5.3	Emergency preparedness and response	D5.3-1 Emergency report & accident report D5.3-2 Emergency/drill report
<b>6</b>	P6.1	Environmental performance	D6.1-1 Environmental performance

SECTION	CHAPTER	PROCEDURE TITLE	ASSOCIATED DOCUMENTS
PERFORMANCE EVALUATION	P6.2	Internal audit	D6.2-1 Audit planning D6.2-2 Internal audit checklist D6.2-3 Internal audit report
	P6.3	Management review	D6.3-1 Top Management annual review
<b>7</b> IMPROVEMENT	P7.1	Non-conformity and corrective action	D7.1-1 Non-conformities record D7.1-2 Non conformity and corrective actions report