DEFENCE ESTATES
Delivering Estate Solutions to Defence Needs

Section 8:

Linked Tools and Environmental Management Systems

CONTENTS

Linked Tools and Environmental Management Systems

HOW TO USE THIS GUIDANCE

This guidance forms Section 8 of the MOD Sustainability and Environmental Appraisal Tool Handbook ('the SEAT Handbook'). It provides information on the linked tools and management systems which have been referenced in Sections 1 to 7 of the Handbook. The structure of this guidance is summarised below.

Chapter 8.2: Provides an overview of Impact Assessments, which can identify impacts of policy changes on economic, social and environmental factors.

Chapter 8.3: Summarises the SD checklist for all submissions, which must be completed to confirm how SD issues have been taken into consideration during the development of the proposal or recommendation made in the submission.

Chapter 8.4: Provides a description of the key tools that are used to rate the environmental performance of building development.

Chapter 8.5: Sets out the method and provides tips for addressing potential archaeological sites, or historic buildings of interest, in proposed areas of development.

Chapter 8.6: Gives further detail on management system approaches designed to deal with the steady state management of sustainable development and environmental issues.

The text is interspersed with boxes that provide useful information for applying the tool or undertaking the process being described. The following symbols and box colours are used throughout the guidance to denote the type of information that is presented.

Hints and Tips These boxes provide hints and tips for completing relevant tasks or activities in support of the tool or processes described.	
Other Information These boxes provide general information to the reader.	

Frequently asked questions

A summary of where to find information in this guidance booklet (based on frequently asked questions) is provided below.

Frequently Asked Question	Relevant section of guidance booklet
What environmental and sustainability information must I include in submissions?	Chapter 8.3
What is DREAM?	Paragraph 8.4.7
Which environmental performance assessment tool should I use to assess my building project?	Chapter 8.4
What does a Cultural Heritage Assessment involve?	Chapter 8.5
How does POEMS link to sustainability appraisal?	Paragraphs 8.6.3 – 8.6.5
What is the Government target for Environmental Management Systems?	Paragraph 8.6.7

This guidance does not aim to provide in depth methodologies for the tools and processes described. Further information is signposted at the end of each section as appropriate.

8.1 INTRODUCTION

8.1.1 This section provides details on a number of additional tools that have been referenced in Sections 1 to 7 of the Handbook. A series of short summaries are provided covering where these tools should be applied for best effect and explaining any links to the main Appraisal Tool Hierarchy. The tools described in Chapter 8.4 are those that rate environmental performance of building development, and thus facilitate improvements in design or approaches to construction in line with sustainable development principles.

8.1.2 In chapter 8.5 the process for addressing potential archaeological sites or historic buildings of interest in areas of proposed development, is described. Understanding the requirement for Archaeological Assessments is particularly important following the removal of Crown Immunity in June 2006, and the need to comply with planning regulation for a wide range of development activity.

8.1.3 Chapter 8.6 provides further detail on some of the key management systems that should be used to incorporate the outcomes from appraisal tools and specialist assessments within day-to-day MOD business.

8.2 IMPACT ASSESSMENT (IA) WITHIN MOD

8.2.1 The Impact Assessment (IA) tool deals with the Government's commitment to better policy making and assessment of the potential impacts of policy changes on economic, social and environmental factors. The relationship between IA and other Appraisal Tools within the hierarchy is discussed in the Summary section of the Handbook and reference should be made to Figure S.3 if you are unsure which appraisal tool you should be using.

What is IA?

8.2.2 Impact Assessments are intended to ensure that policy makers consider thoroughly the consequences of possible policy choices for the public, private and third (voluntary) sectors. In general they are restricted to policies which are regulatory or legislative in nature, or which have an effect akin to that of regulation or legislation. They are essentially a mechanism for identifying and comparing various options in terms of the costs and benefits they would [or could] impose on external bodies. Impact Assessment is an ongoing process, which should form part of the options formulation, implementation, and post-implementation review stages of policy making; It is a comprehensive and flexible tool which considers:

- any form of regulation - for example formal legislation, codes of practice or guidance;
- the full range of potential impacts - economic, social and environmental;
- where the impact may fall - business, the public sector, the voluntary sector or other groups.

For what kinds of policy decision are Impact Assessments required?

8.2.3 Better Regulation Executive (BIS) Guidance states that Impact Assessments are required if a proposal:

- Imposes any additional cost or reduce existing costs on businesses or the third sector (this includes National Policy Statements)?
- Imposes any additional administrative or reporting burden on the public sector or bodies that deliver public services e.g. changes to reporting requirements, adding information burdens on front line services, revisions to criteria for releasing funding, and imposition of new targets?
- In the absence of imposing additional administrative or reporting burdens, introduces new regulatory costs on the public sector or bodies that deliver public services of more than £5m (annual equivalent costs) or which are likely to attract high levels of political or media interest?
- Involves some kind of redistribution affecting the public private or third sector– that is, where there is an exchange or 'transfer' of costs or benefits from one group to another - even where it does not yield an overall net change in costs and benefits, or a change in administrative costs?
- Involves seeking collective agreement for UK negotiating positions on EU proposals or other international agreements where the UK is represented at national level.

An Impact Assessment is not required:

- Where policy changes will not lead to costs or savings for business, public or third sector organisations regulators or consumers;
- Road closure orders;
- Changes to statutory fees or taxes covered by a predetermined formula e.g. rate of inflation, or in respect of other changes to taxes or tax rates, where there are negligible associated administrative costs or savings. Note that significant changes to fee structures should be guided by a formal Impact Assessment process.
- When a Post Implementation Review (PIR) previously planned is deferred.

8.2.4 For the MOD, we anticipate that Impact Assessments will continue to be required relatively infrequently. As far as MOD is concerned, it is important to remember that the majority of policy decisions made by the Department are not regulatory in nature, and do not impose costs or benefits on the private, public or third sectors. Procurement decisions are not covered by the requirement.

How does IA link to the Appraisal Tool Hierarchy?	
This assessment relates to policy and sits above Sustainability Appraisal (SA) in the appraisal tool hierarchy (see diagram S.1 in the summary booklet)	
For Further Information	The policy lead in this area is DASA DESA and they can provide further guidance. Their team page can be viewed HERE. 2007DIN05-029 Department for Business Innovation & Skills website – Includes IA guidance and IA Toolkit

8.3 SUSTAINABLE DEVELOPMENT CHECKLIST FOR SUBMISSIONS

8.3.1 All submissions, including to Ministers, must include a statement to confirm how SD issues have been taken into consideration during the development of the proposal or recommendation made in the submission. Where a proposal is going to have an impact on sustainability, or where SD has influenced or informed selection of the recommended way forward, your submission should describe how. But if SD is clearly not a factor, you should highlight this too.

How will I know if SD affects my submission and what should I include?

8.3.2 Taking SD considerations into account involves weighing the social and environmental as well as economic impacts in the decisions we make. While we are used to taking economic considerations into account, environmental issues might include how a proposal will affect energy consumption and hence emissions and the steps we are taking to manage the impact of any increase; the impact of using more water or natural resources; and how we manage the impact of any pollution and waste we generate. On the social side we need to consider how our actions will affect local communities. These are just a few illustrative examples.

8.3.3 If your submission is about a policy, plan, programme or project that has been subjected to sustainability or environmental appraisal in line with MOD policy and the direction in this Handbook, you can include a short summary of the findings. For anyone needing specific guidance on equipment systems and services acquisition, the Project Oriented Environmental Management System helps to identify and assess environmental impacts and risks to those projects and the Acquisition Operating Framework contains advice on embedding SD considerations in acquisition activities. If in doubt, contact the DE&S Sustainable Procurement Team, e-mail DES SustProc-MultiMailBox.

8.3.4 But if you are advising about other aspects of the Department's business (eg strategic policy, operations, the Defence budget, Defence relations, or some personnel matters) a short checklist has been produced in order to help identify SD issues and opportunities. You should:

- compare the proposal in your advice against the checklist to see if it will have an impact on sustainability. If it will, then
- make sure your advice explains briefly the negative and/or positive impacts, and describes mitigating action taken or benefits realised, and then
- keep a copy of the checklist for your records.

How does the SD Checklist for Submissions link to the Appraisal Tool Hierarchy?	
All submissions, including those to Ministers, must now consider SD. All submissions relating to policies, plans, programmes and projects covered by this Handbook, and which have been subjected to the sustainable or environmental appraisal tools in the Hierarchy, should report the findings of those appraisals and take them into account in their recommendations.	
For Further Information	• For further information on this area and to access the latest version of the checklist, please click here • Safety, Sustainable Development & Continuity Directorate – Sustainable Development Policy Team

8.4 TOOLS THAT RATE THE ENVIRONMENTAL PERFORMANCE OF BUILDING DESIGN AND CONSTRUCTION

8.4.1 This range of tools has been developed specifically to assess and improve the environmental performance of building design and construction. They include:

- Defence Related Environmental Assessment Methodology (DREAM);
- Building Research Establishment's (BRE) Environmental Assessment Method (BREEAM);
- The Civil Engineering Environmental Quality Assessment and Award Scheme (CEEQUAL); and
- The Defence Excellence Evaluation Process (DEEP).

8.4.2 DREAM, BREEAM and CEEQUAL are equivalent tools and only one need be applied for any given project. They focus directly on rating the performance of the design of buildings and the construction site. As a result they facilitate sustainable design improvements and opportunities with respect to factors such as energy efficiency, internal building environments and procurement of construction materials. Other tools such as Defence Excellence Evaluation Process (DEEP) focus on the purpose and use of buildings from an architectural and design life perspective.

8.4.3 The distinction between SA and these design tools is that SA takes a wider view across sustainable development issues at a more strategic, holistic level by evaluating and weighing the likelihood of significant issues against overarching objectives. SA may then specify these further studies (e.g. DREAM or equivalent) be undertaken to influence the design or the requirement for statutory permissions. SA operates strategically to aid internal decision-making on investments and options and external decisions on the acceptance of a development scheme and its effects. DREAM (and equivalents) and DEEP are tools dedicated to specifically improving and driving better design and performance of specific buildings or facilities.

8.4.4 The distinction is illustrated by looking at the level of detail in the question sets. An example from the design stage questions in DREAM is "Are spray taps and low water use shower heads specified for all hand wash basins and showers?". However, a question within the water theme of SA would look at the likelihood of an overall or significant change for the development proposal (e.g. Is there a change in number of people and processes that will alter the volume of water consumption?).

8.4.5 The relationship between SA and the detailed environmental performance assessment tools is illustrated in the Summary Section of the Handbook in **Figure S.1. The Appraisal Tool Hierarchy.**

8.4.6 Each of the tools that are commonly used for defence projects are described below. The specific links to other appraisal tools are also described.

The Defence Related Environmental Assessment Methodology (DREAM)

8.4.7 DREAM is the preferred MOD environmental performance assessment tool for defence building projects. DREAM was specifically developed for defence building types and covers new construction and refurbishment projects. This type of assessment is a means of evaluating the environmental performance of both new and existing buildings and their surroundings by measuring best practice in environmental design and management. The tool sets out MOD's preferred standards in relation to the design, construction management and construction standards for the building type. Please see section 6 of the Sustainability and Environmental Appraisal Tool Handbook for the complete DREAM guidance.

How does DREAM link to the Appraisal Tool Hierarchy?	
DREAM is one of the more detailed performance assessment tools that focus on the environmental issues of building design and construction sites. The requirement to conduct this assessment is identified by Sustainability Appraisal (SA) usually when there is the potential for significant environmental opportunities or adverse effects related to the design and construction (e.g. innovation in energy efficiency or significant changes to the energy required for the development). It is a supplementary study to SA that rates and encourages the attainment of environmental excellence. The DREAM assessment will give points for sustainable design considerations or prompt the inclusion of these beneficial mitigation measures and sustainable design criteria to add to the overall performance score.	
For Further Information	www.dreamassess.com MOD Sustainability and Environmental Appraisal Tool Handbook – Section 6 DREAM Defence Estates Business Management System process 2.7.5.7.1

Building Research Establishment's (BRE) Environmental Assessment Method (BREEAM)

8.4.8 BREEAM is a widely used means of reviewing and improving the environmental performance of buildings. It measures best practice in environmental design and management. BREEAM covers offices, homes, industrial units, retail units and schools. Bespoke BREEAM modules will have to be designed to make these generic modules relevant to defence projects such as hangers, defence workshops and messes.

8.4.9 BREEAM assessments must be carried out by independent assessors who are trained and licensed by BRE. There will be a cost involved in commissioning and undertaking BREEAM which will also have to take account of any bespoke requirements on defence projects. It is the responsibility of the Project Manager to ensure that this requirement is met.

How does BREEAM link to the Appraisal Tool Hierarchy?	
BREEAM is one of the more detailed assessment tools that focus on environmental performance issues of construction at the project level. The requirement to conduct this assessment is identified by a Sustainability Appraisal as for DREAM. However, the generic BREEAM modules do not allow for the unique design requirements and siting of defence buildings and facilities which can lead to misleading scores. To achieve a balanced assessment for Defence Buildings 'bespoke' BREEAM assessments are required. The BREEAM assessment will give points for sustainable design considerations or prompt the inclusion of these beneficial mitigation measures and sustainable design criteria to add to the overall performance score.	
For Further Information	Guidance and details of fees are available at www.breeam.org .

The Civil Engineering Environmental Quality Assessment and Award Scheme (CEEQUAL)

8.4.10 CEEQUAL is a performance assessment scheme similar to DREAM and BREEAM but is specifically designed for assessing the environmental quality of civil engineering projects. It is applicable to all types and sizes of civil engineering projects and works. Its objective is to encourage the attainment of environmental excellence in civil engineering projects, and thus to deliver improved environmental performance in project specification, design and construction.

8.4.11 When CEEQUAL is used on a MOD civil engineering project or the civil engineering elements of a development project, the Question Set which is applicable for the Whole Project Award should be used.

How does CEEQUAL link to the Appraisal Tool Hierarchy?
CEEQUAL is a detailed assessment tools that focuses on environmental issues of civil engineering projects. The requirement to conduct this assessment is identified by a Sustainability Appraisal when the project has a large civil engineering component. Where a project has both buildings and a large civil engineering component it is appropriate to carry out both a CEEQUAL assessment and DREAM/BREEAM assessment of the respective elements Two separate approaches can be taken in respect of using the CEEQUAL methodology. Firstly, Project Managers may wish to subject their particular project for a formal CEEQUAL award. Should they choose to do this, then they should secure the services of an accredited CEEQUAL assessor at the earliest opportunity. Otherwise, the question set pertaining to the CEEQUAL Whole Project Award should be used on a self assessment basis. Project Managers who elect not to seek a formal

CEEQUAL award but never the less still wish their projects to be subject of a CEEQUAL assessment, should appoint an appropriately trained person accordingly. The CEEQUAL Manual can be downloaded free of charge from CEEQUAL web site. The Manual explains the purpose of the scheme, why it was developed, what it covers and the assessment questions with and explanation of the question, the range of possible scores, guidance on how they are to be assessed and examples that might be accepted.	
For further information:	www.ceequal.com CEEQUAL Manual https://www.dreamassess.com/PDFs/DREAMPolicyInstv5-U.pdf

Design Excellence Evaluation Process (DEEP)

8.4.12 DEEP is a MOD design quality assessment tool based on a Design Quality Indicator (DQI) process. **It is Government policy to apply DQIs to Public Building Projects**. The tool is specifically aimed at delivering excellently designed Government architecture across the defence estate. DEEP determines both the design standard (usually expressed as a percentage) and compliance with required minimum standards, such as health and safety and sustainability for defence construction projects.

8.4.13 DEEP is undertaken as a collaborative assessment focusing on the following three key quality indicators;

FUNCTION	Does the design provide an operationally efficient solution?
IMPACT	How does the design relate to/impact on the external and internal environment?
BUILD	Is the design durable and fit for purpose?

8.4.14 The scoring system ranges from 0 for Below Minimum Standard through 5 for Acceptable Design Proposal to 10 for an Exemplary Proposal.

8.4.15 DEEP is intended to be applied at three key stages of a project:

- In defining the Output Specification;
- At design stage (at RIBA Stage C)[1]; and
- As part of the Post Occupancy Evaluation (POE).

[1] RIBA: Royal Institute of British Architects: Design development process, Stage C – Outline Planning to Area Freeze.

8.4.16 DEEP Assessments must be carried out by assessors appropriately qualified/experienced in DQI assessment. It is the responsibility of the Project Manager to ensure that this requirement is met.

How does DEEP link to the Appraisal Tool Hierarchy?	
DEEP focuses on the design of defence construction projects. The requirement to conduct this assessment is identified by a Sustainability Appraisal. DEEP should be undertaken if new, complex facilities are being designed or where it is important that multiple uses are de-conflicted. It is a supplementary study to SA or EIA to ensure that new buildings and facilities are 'fit for purpose' (i.e. meet the requirements of the user and are compliant with common minimum standards in design and construction).	
For Further Information	The DEEP website can be found here: http://defenceintranet.diiweb.r.mil.uk/DefenceIntranet/Library/CivilianAndJointService/BrowseDocumentCategories/DefenceEstate/EstateStrategyAndManagement/EstateImprovements/DefenceEstatesDesignExcellenceEvaluationProcessdeep.htm And the DEEP User Guide and can be found here: http://defenceintranet.diiweb.r.mil.uk/NR/rdonlyres/E3FF9810-25CC-417C-B2E6-C4222ADEDD02/0/6ppuserguide.pdf Design Quality Indicators Website Department for Business Innovation & Skills EBMS process 2.5.3

8.5 CULTURAL HERITAGE ASSESSMENT

8.5.1 Sustainability Appraisal incorporates the requirement to consider and address historic and archaeological assets. Although Crown exemption still exists for Scheduled Monuments (with MOD following the parallel 02/06 process), MOD no longer has planning exemption from cultural heritage considerations within the planning process. Early appraisal ensures that, in addition to the statutory requirements and consent processes required for development affecting listed buildings or scheduled monuments, wider historic environment issues are taken into account.

8.5.2 National and local government policies state that, the desirability of preserving an archaeological site or a historic building and its setting is a material consideration in determining planning applications, regardless of whether the monument is statutorily protected. Planning applications may be refused if there is insufficient supporting documentation (or a trial excavation report or historic building study) addressing areas of archaeological or historic interest.

Box 8.1 Planning Guidance

Local Planning Authorities (LPAs) are advised to take archaeological considerations into account from the outset of the planning process. Planning Policy Guidelines (PPGs) advises LPAs on how best to manage the impact of controlled developments on archaeological remains.

In England the following PPG notes apply:

- PPG15 Planning and the Historic Environment (1994)
- PPG16 Archaeology and Planning (1990)

(these will shortly be replaced by Planning Policy Statement 15 which will incorporate Planning Policy Guidance 15 and 16)

In Scotland, Wales and Northern Ireland the following guidance applies.

National Planning Policy Guidance (NPPG) in Scotland:

- NPPG5 Archaeology and Planning (1994)
- NPPG18 Planning and the Historic Environment

Planning Policy Wales (1999) brings together policy statements on archaeology and historic buildings

Northern Ireland: Planning Policy Statements (PPS)

- PPS6 Planning Archaeology and Built Heritage (1999)

Stages of Investigation

8.5.3 Where a known or potential archaeological site is present or where an existing historic building maybe of some interest/ value within the area of a proposed development, a stage programme of investigation which could involve a Desk Based Assessment, Recording, Evaluation and Mitigation will need to be undertaken. It is considered reasonable that the developer (MOD) pays for the cost of these investigations.

Assessment

8.5.4 In the early planning stage of a development project it is important to quantify the known Cultural Heritage within the study area. **Desk Based Assessments** which use historic environment records, record offices and libraries can provide valuable information of the location, extent, history and nature of cultural heritage sites which are known to exist in the area of development. A useful contact for such information is the Corporate Memory Record team. It may also be necessary to undertake a geophysical survey of the proposed development site at this stage.

Box 8.2 Desk Based Assessments	
Conducting a desk based assessment and providing information at an early stage in the life of the development project could assist the project designers in avoiding known sites and preserving archaeological remains. It may also provide opportunities to reuse or find alternative uses for buildings of heritage value.	

Evaluation

- If the Desk Based Assessment identifies archaeological assets on the site, or concludes that there is a potential for archaeological deposits to be present, it may be necessary to undertake an evaluation within the area of the proposed development site. The evaluation will usually involve the excavation of a number of **trial trenches** distributed over the area of proposed development. The main objectives of an evaluation are to:

- establish the nature, extent and condition of the archaeology on the site, and evaluate if present the standing buildings and structures of potential heritage value;
- evaluate the **impact** that the proposed development will have on any archaeological deposits.

The results of the evaluation will be used to inform a strategy to **mitigate the impact** of the proposed development on an archaeological monument, or seek informed re-use of any historic buildings.

A planning authority can require the results of an evaluation prior to determining a planning application, and may refuse to determine or register applications without one.

Box 8.3 UK Heritage Planning Policy

The following approach and advice is common throughout all UK Heritage Planning Policy.

- The desirability of preserving ***in-situ*** an archaeological site or locally important historic building and its setting is a material consideration in determining planning applications whether that monument is scheduled or unscheduled.
- Where early discussions with local planning authorities - or the developer's (MOD's) own research indicate that important archaeological remains may exist - it is reasonable for the planning authority to ask the developer to arrange for an archaeological field evaluation to be carried out before any decision on the planning application is taken.
- Where nationally important archaeological remains, whether scheduled or not, and their settings, are affected by proposed development there should be a presumption in favour of their physical preservation.
- Where planning authorities decide that the physical preservation ***in-situ*** of archaeological remains is not justified, it would be entirely reasonable for the planning authority to satisfy itself, that the developer has made appropriate and satisfactory provision for the excavation and recording of the remains and the publication of the results - before granting planning permission.
- It is reasonable for a LPA to require that an archaeological evaluation of a site, and its setting, is undertaken, if there is a known or potential site of archaeological significance. The LPA can, and almost always do, require that results are presented for their consideration before the application is determined.

Mitigation Strategy

8.5.5 Following due consideration of the evaluation and amendments of development proposals to accommodate findings, a mitigation strategy will be agreed with the planning authority and made legally binding either through Section 106 agreements or planning conditions.

8.5.6 Planning guidelines emphasise the preference of ***in situ*** preservation of archaeological remains (i.e. it is preferable to preserve a site rather than to excavate it) and re-use of historic buildings. Strategies could include amending the position of the development, reducing the depth of foundations or altering the design of the foundations so as to reduce their impact on buried archaeological deposits. The local planning authority can refuse a planning application if archaeological deposits deemed to be of national

importance are revealed by the evaluation process. The re-use of historic buildings or contextual design of new buildings, are also likely to be controlled in this way.

8.5.7 Where this is not feasible, **preservation by record** (i.e. excavation and recording of archaeological deposits) may be an acceptable alternative. Preservation by record strategies may include watching briefs, sample excavations or even total excavation over the whole area of the development.

8.5.8 Each of these 'preservation by record measures' can be time consuming and expensive and project managers should be encouraged to preserve in-situ if at all possible and sensibly re-use historic buildings through early consideration, planning and design.

How does Cultural Heritage Assessment link to the Appraisal Tool Hierarchy?	
Cultural Heritage Assessment involves desk based research and, where necessary, on site evaluation of possible archaeological and historic building interests. The requirement for an Archaeological Assessment should be identified as part of the Sustainability Appraisal process. It is particularly relevant where formal planning permission is required. The relationship between Archaeological Assessment and the suite of appraisal tools is illustrated in the Summary Section of the Handbook, **Figure S.1 The Appraisal Tool Hierarchy.**	
For further information:	JSP 362 Chapter 6: Historic Environment Chief Information Officer - Corporate Memory Record Team

8.6 MARITIME ENVIRONMENTAL AND SUSTAINABILITY APPRAISAL TOOL

8.6.1 The Maritime Environmental and Sustainability Appraisal Tool (MESAT) provides Naval planners with a structured process by which to consider the non-military impacts of intended activities at sea. It offers guidance on the sort of issues that ought to be considered early in the planning process. These considerations are required by the SoS for Defence and often by legislation. MESAT is thus intended to assist planners in the normal course of their duties by providing, if required, links to additional information or advice on environmental and sustainability subjects. In this way it can help to identify at the earliest stages whether additional consultations, assessments or license applications are required for the proposed activity to go ahead, thus safeguarding the activity from 11th hour external interference or prohibition.

How does MESAT link to the Appraisal Tool Hierarchy?	
MESAT is specially modified version of Sustainability Appraisal which is tailored to help identify and manage environmental and sustainability impacts related to MOD's maritime activities. Therefore, depending upon the activity being assessed, MESAT can be considered interchangeable with the SA process. MESAT can be applied at plan, programme and project stages.	
For further information:	MESAT has been created by CESO (RN) and is currently hosted on their intranet website. Questions regarding the use or amendment of MESAT should be directed to CESO(RN) EPM SO2C, 93 832 5979, *FLEET-CAP (CESO)RN EPM SO2C*.

8.7 INTEGRATING APPRAISAL TOOLS AND THEIR OUTCOMES INTO MOD MANAGEMENT SYSTEMS

8.7.1 Management Systems are designed to manage environmental and wider sustainable development issues that are relevant to the day-to-day business of operating a site, establishment or business. In particular, management systems are an important way of identifying and addressing environmental risk.

8.7.2 Management systems are the steady state mechanisms for capturing issues raised during appraisal and assessment activities. A formal approach should be taken to capturing any environmental mitigation, management or monitoring work identified through appraisal, and building these items into an existing Environmental Management System. The relationship between appraisal and assessment tools and the steady state environmental management tools is illustrated in the Summary Section of the Handbook in **Figure S.1. The Appraisal Tool Hierarchy.**

Project Oriented Environmental Management System (POEMS)

8.7.3 POEMS is a Defence Equipment and Support process that enables Environmental Managers to complete and deliver their project tasks for major equipment and platform programmes in a consistent and corporately approved manner. This EMS is a formally mandated business procedure for the equipment acquisition community in DE&S that aims to identify and manage potential environmental impacts, and any related risks, throughout the lifetime of defence procurement projects or the CADMID cycle.

8.7.4 SA should be dovetailed in to the POEMS procedures from the earliest opportunity. For example, undertaking a summary appraisal and completing a summary matrix during the Concept stage (i.e. EMP01 & 02) will identify any potential impacts across the sustainable development themes and in particular any estate related impacts. It will also ensure that any statutory compliance requirements such as an Environmental Impact Assessment and/or Habitats Regulations Assessment are identified. These issues can then be incorporated into the Impact Assessment Plan and managed as an integral part of the POEMS procedures.

8.7.5 It is important to note that the completion of an environmental impact assessment plan and report as part of DE&S POEMS **does not satisfy the statutory EIA requirements**. The terminology and approach in POEMS is used in a policy context to identify environment risks and impacts.

How does POEMS link to the Appraisal Tool Hierarchy?
The scope of POEMS is limited to acquisition projects for equipments and services. If the acquisition projects involve developments to the defence estate or acquisition of new estate or (equipment) assets that could be used on or based on the estate, then the project team must undertake Sustainability Appraisal in parallel with the

POEMS procedures. In practice there are three scenarios to consider: • The project is wholly estates based – *undertake Sustainability Appraisal*; • The project is equipment related only (for export or agreements where MOD acts on behalf of third parties) – *use Sustainability Appraisal at Concept stage to highlight any estate related effects*; and • The project is both estate-based and equipment or service- based - *use Sustainability Appraisal at Concept stage to highlight any estate related effects*.	
For Further Information	• Acquisition Safety and Environment Team • Acquisition Safety and Environmental Management Systems (ASEMS - including full POEMS guidance).

Sustainability or Environmental Management Systems (SMS or EMS)

8.7.6 S/EMS is a systematic approach to incorporating sustainability or environmental considerations into every business, running of a site or establishment. The system provides a framework for management of sustainability or environmental issues and for identifying impacts, tracking, evaluating and communicating performance. The S/EMS is usually developed at an establishment level (e.g. a site such as RAF Brize Norton) and appropriate to the specific impacts, organisation, resources available at that site and its area of responsibility. Each SMS or EMS must control all impacts on the environment and socio-economic factors arising from activities and occupation of the estate.

8.7.7 **It is a central government mandate that all Departments implement an EMS based or modelled on a recognised system.**[2] Developing and maintaining management systems within MOD is an ongoing process.

How does S/EMS link to the Appraisal Tool Hierarchy?

Mitigation and monitoring measures that are identified by Sustainability Appraisal or other appraisal tools such as Environmental Impact Assessment and the results of any specialist studies (e.g. management of effects of new training) should be incorporated into the establishment SMS or EMS.

Examples of these links would include the following;

- The conditions attached to a town and country planning consent should be incorporated into the sites S/EMS e.g. control of noise levels, sustainable travel to work arrangements or liaison arrangements with the local community;

- Commitments made to annual surveys of nature conservation interests on a

[2] The Environmental Management System target can be viewed at http://www.sustainable-development.gov.uk/government/estates/targets.htm

site; or • Maintenance arrangements for a sustainable urban drainage scheme and habitat creation area.	
For Further Information	JSP 418 – Sustainable Development and Environment Manual, Volume 1: Chapters 11 and 14 JSP 815 – Defence Environment and Safety Management

Integrated Rural Management Plans (IRMPs)

8.7.8 IRMPs are rurally focused environmental management systems and include a suite of Component Management Plans (CMPs) to address significant interests, such as biodiversity, cultural heritage, estate management, tenant farmers, access and recreation. A Military Requirement CMP guides the overarching land management for the establishment or training area. The management planning process creates a set of inter-linked plans that optimise the military training potential of training areas in a manner that is consistent, economic and includes environmental good practice, in consultation with a wide range of stakeholders. Developing and maintaining these management plans is an ongoing process within the MOD.

How does IRMP link to the Appraisal Tool Hierarchy?	
Mitigation and monitoring measures that are identified by Sustainability Appraisal or other appraisal tools such as Environmental Impact Assessment and the results of any specialist studies (e.g. management of effects of new training) should be incorporated into the relevant CMP within the IRMP in the same way as described above for EMS (see paras 6.3.7 to 6.3.8).	
For Further Information	JSP 362, Vol 3, Section 3, Leaflet 9 Defence Estates BMS process 1.5.4.7

Construction Environmental Management Plans (CEMP)

8.7.9 A CEMP is a management plan that is developed for the duration of a construction phase, usually for large scale projects which have a range of environmental or social impacts. These impacts could include noise and vibration from heavy construction traffic, noise to the disturbance and potential damage to sensitive habitats, dust and dirt or visual intrusion created by the construction activity.

8.7.10 CEMPs provide the management framework needed for the planning and implementation of construction activities to minimise and mitigate the impacts of the activity. This will often be in accordance with commitments identified by the appraisal

tools such as SA or EIA and any requirements of planning conditions or Section 106 legal agreements. .

8.7.11 Its purpose is to reduce the risk of adverse impact of construction activities (e.g. noise, air emissions etc.) on sensitive environmental resources and to minimise disturbance to local residents. The CEMP should describe the checking, monitoring and audit processes that must be implemented to ensure works are being undertaken in accordance with these requirements, together with measures to ensure that appropriate corrective actions or mitigation measures are taken.

8.7.12 It should be developed at the 'Secure Contract Commitment/Implement Project' stage of the project process. When a building becomes operational, ongoing environmental impacts should be captured by the establishment S/EMS. The Contractor for the project should produce a CEMP. It is the responsibility of the Project Manager to ensure this requirement is met.

How does CEMP link to the Appraisal Tool Hierarchy?	
Mitigation and monitoring measures relating to construction activities of a project are identified by a Sustainability Appraisal which informs the development of a CEMP. The CEMP should take the issues identified in the appraisal and address each item in a systematic way. The CEMP provides assurance to the project manager that environmental issues are being managed in line with legislative and policy commitments. The CEMP should feed the long term steady state EMS for the site.	
For Further Information	JSP 418 Sustainable Development and Environment Manual, Volume 1, Chapters 11 and 14