



Assessment Report.  
Donaldson Company Inc.  
Baldwin WI

Report Author **Rose Koronkiewicz**  
Visit Start Date 02/24/2014

## Introduction.

This report has been compiled by Rose Koronkiewicz and relates to the assessment activity detailed below:

Visit Ref/Type/Date/Duration	Certificate/Standard	Site address
7837722 Continuing Assessment (Surveillance) 02/24/2014 1 Day(s) No. Employees: 148	EMS 546560 BS EN ISO 14001:2004	Donaldson Co. Inc. 980 Locust Street Baldwin Wisconsin 54002 USA

The objective of the assessment was to conduct a surveillance assessment and look for positive evidence to ensure that elements of the scope of certification and the requirements of the management standard are effectively addressed by the organization's management system and that the system is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements and the organizations specified objectives, as applicable with regard to the scope of the management standard, and to confirm the on-going achievement and applicability of the forward strategic plan and where applicable to identify potential areas for improvement of the management system.

The scope of the assessment is the documented management system with relation to the requirements of the ISO 14001:2004 standard, plus associated support documentation and additional customer requirements (as appropriate), and company objectives, policies, procedures and work instructions, and BSI Conditions of Contract, and the defined assessment plan provided in terms of locations and areas of the system and organization to be assessed.

## Management Summary.

### Overall Conclusion

The objectives of this assessment have been achieved. I would like to thank all the audit participants for their assistance and co-operation which enabled the audit to run smoothly and to schedule. Based on the objective evidence detailed within this report, the areas assessed during the course of the visit were found to be effective.

There are no notices of violations, consent orders or pending litigation.

There were no outstanding nonconformities to review from previous assessments.

No new nonconformities were identified during the assessment. Enhanced detail relating to the overall assessment findings is contained within subsequent sections of the report.

## Areas Assessed & Findings.

### **Management Processes, Communication : 4.6, 4.2, 4.4.3, 4.5.4**

Management Reviews are held twice per year. Minutes from 18FEB14 were reviewed. There is comprehensive reporting on the environmental management system. This includes the state of regulatory compliance and reporting, permit updates, internal and external audits, and summary of the status of environmental objectives targets and programs. All input and output requirements of the standard are addressed. There is a good summary of external communications, and changes in environmental. The management process is effective.

### **Internal Audits : 4.5.5, 4.5.4**

The FY2014 internal audit schedule and completed audits were reviewed. There is good objective evidence of conformance in the completed checklists. No new internal auditors have been added. There was evidence of corrective actions for nonconformities, and follow-up verification of implementation and effectiveness. Internal audit process is effective.

### **Nonconformity, Corrective and Preventive Action : 4.5.3, 4.5.4**

There is an environmental audit NCR log that is used to track that issues are corrected. There have been five internal nonconformities identified and addressed since the last BSI audit. There are also corrective actions, root cause analysis, and verification of implementation and effectiveness. Issues identified from external audits or inspections are also entered and tracked. The process for nonconformity, corrective and preventive actions is effective.

### **Environmental Aspects and Impacts : 4.3.1, 4.5.4**

There is a documented process for identification of environmental aspects and for determining their significance. Aspects were assessed for the facility and processes including; machining, forming, welding, paint/dip tank wash, assembly, tool & die/ model shop, and maintenance/ facility. Aspects are ranked based on regulatory, severity, probability and public concerns. There is a definition for each scoring. There were six (6) significant aspects identified from the list and all have documented operational controls. Line crawls are scheduled throughout the year to confirm and update the environmental aspects. The legal and other requirements are identified for the environmental aspects. For Capital Expenditure Requests (CER), there is now an EHS checklist 424.020.000. This checklist was completed for the new lasers installed at the plant. The environmental aspects and impacts process is effective.

### **Objectives, Targets and Environmental Programs : 4.3.3, 4.5.4**

Significant aspects were considered when establishing the five objectives and targets for FY 2014. The five are: 1) Improve Waste Management - Remove mercury, dumpster covers, zero landfill plan, 2) Improve Chemical Management - Natural hand cleaners, 3) Improve Environmental Compliance Management - Natural Weed killers, planting prairie grass, 4) Reduce Energy Consumption - HVAC upgrade, recommendations from energy assessment such as use of variable feed drives, 5) Control of Oil and Fuel - maintaining levels below SPCC threshold. Documented evidence of monitoring was reviewed and found to be effective. Those projects have assigned responsibilities, means and timeframe to accomplish each. The process for objectives, targets and programs is effective.

### **Legal and Other Requirements and Compliance : 4.3.2, 4.5.2, 4.5.4**

Federal, State, Local and "Other" Requirements are identified in procedure 500.000.432. The Legal and other requirements are linked to the Environmental Aspects in the Environmental Aspects Matrix. The site has an Air Permit, General Storm Water Permit and General Industrial Waste Water Agreement with the Village of Baldwin. Updates to the Federal and State regulations are reviewed by Corporate EHS and relayed to the plant each year, and there was evidence of this on 10/17/13. Updates to the local regulations are maintained by the plant, and are reviewed annually and were completed 9/30/13. The organization had an environmental compliance audit conducted by corporate on 1/3/12 using Dakota Software. Compliance evaluations are conducted every five years. The format of the audit is broken up in Air, Water, Chemical, General, Universal and Hazardous waste plus Safety and other requirements. There is a new Corporate procedure for environmental compliance charts(425.013.000) that requires plants to post these to a Corporate sharepoint site. The plant also maintains a compliance calendar to



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track completion of all regulatory and other requirements throughout the year. The process for legal and other requirements plus compliance was found to be effective.

### **Contractor Management : 4.4.2, 4.4.6, 4.5.4**

There is a contractor brochure that covers EHS requirements with contractors. There is a list of types of vendors and contractors and their environmental impact. A contractor checklist is completed with contractors when they are on site and perform work. All personnel on site for the contractor are required to comply and there is a point of contact person for the contractor. This checklist is completed for different scopes of work performed by the contractor. Audits are then performed when contractors are performing work to ensure they are following the requirements. Audit records for the waste hauler were also reviewed. A sample of environmental licenses and certifications were also reviewed. The contractor management process is effective.

### **Emergency Response : 4.4.7, 4.5.4**

The organization has a written emergency contingency plan that was updated 2/19/14 to clarify various types of spills and actions to take. The emergency contingency plan cover various topics to include emergency procedures, alarms, communicating with the media, telephone contact information, fire emergency, tornado emergency, power outages, bomb threat, evacuation emergency and spill control procedures, chemical release and compressed gas release. Within the contingency plan, training/drill requirements were specified. Verified the annual training records of employees on first and second shift. The fire inspection included a review of fire extinguishers, exit lights, alarms, suppression systems and general fire preventions. Also, reviewed the organization internal maintenance records showing routine verifications of fire extinguishers. The emergency response process is effective.

### **Energy Management : 4.4.6, 4.5.1, 4.5.4**

An energy assessment was completed by an outside organization 10/23/13. The assessment identified four energy savings opportunities. Variable speed drives was one opportunity and has already been implemented on the boiler and is being reviewed on other drives. Energy efficiency was reviewed on the new laser project. Gas and electrical usage improvements are tracked by project. The energy management process is effective.

## Assessment Participants.

On behalf of the organization:

Name	Position
Ron DeMotts	Environmental Coordinator
Joe Hemenway	Quality Manager
Thomas L. Carlson	Operations Manager
Sheri Weber	Production Manager
Nan McMurrin	PC Manager
Darcy Larson	HR Manager
Ray Sislo	Maintenance Supervisor & Safety Coordinator

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Author

Rose Koronkiewicz

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## Assessment Report.

The assessment was conducted on behalf of BSI by:

Name	Position
Rose Koronkiewicz	Team Leader

## Continuing Assessment.

The program of continuing assessment is detailed below.

Site Address	Certificate Reference/Visit Cycle	
Donaldson Co. Inc. 980 Locust Street Baldwin Wisconsin 54002 USA	EMS 546560	
	Visit interval:	6 months
	Visit duration:	1 Days
	Next re-certification:	08/01/2015

Re-certification will be conducted on completion of the cycle, or sooner as required. An entire system re-assessment visit will be required.

## Re-certification Plan.

DONALD-0009500186-027|EMS 546560

Business area/Location	Date (mm/yy):	Visit1	Visit2	Visit3	Visit4	Visit5	Visit6
		02/13	8/13	2/14	8/14	2/15	8/15
	Duration (days):	1.0	1.0	1.0	1.0	1.0	4.0
Air Management			X		X		X
Aspects/Legal & Other Requirements		X	X	X	X	X	X
Chemical Management		X			X		X
Communication				X	X		X
Contractor Management				X		X	X
Corrective/ Preventive Action		X	X	X	X	X	X
Effectiveness of last visit corrective actions		X				X	X

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Emergency Response			X			X
Energy Management			X		X	X
Inside and Outside Walkabout				X	X	X
Internal Audits/Compliance Evaluation	X	X	X	X	X	X
Management Processes - Performance	X	X	X	X	X	X
Training/ Competence	X	X	X	X	X	X
Waste Management	X				X	X
Water Management		X		X		X

## Next Visit Plan.

### Visit objectives:

The objective of the assessment is to conduct a surveillance assessment and look for positive evidence to ensure the elements of the scope of certification and the requirements of the management standard are effectively addressed by the organization's management system and that the system is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements and the organizations specified objectives, as applicable with regard to the scope of the management standard, and to confirm the on-going achievement and applicability of the forward strategic plan.

The scope of the assessment is the documented management system with relation to the requirements of the ISO 14001:2004 standard, plus associated support documentation and additional customer requirements (as appropriate), and company objectives, policies, procedures and work instructions, and BSI Conditions of Contract, and the defined assessment plan provided in terms of locations and areas of the system and organization to be assessed.

Date	Assessor	Time	Area/Process	Clause
07/21/14	Rose Koronkiewicz	8:00	Opening Meeting	
		8:20	Org/ EMS Changes	
			Management Processes, Communication	4.6
			Environmental Aspects	4.3.1
			Objectives, Targets and Programs	4.3.3
			Corrective/Preventive Actions	4.5.3
			Internal Audits	4.5.5
			Legal and Other Requirements	4.3.2
			Compliance Evaluation	4.5.2

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		12:00	LUNCH	
		12:30	Chemical Management	4.4.6, 4.5.1, 4.5.4
			Air Management	4.4.6, 4.5.1, 4.5.4
			Water Management	4.4.2, 4.4.6, 4.5.4
			Roof & Grounds	4.4.6, 4.5.1, 4.5.4
		3:30	Write Report/ Prep for Closing	
		4:30	Closing Meeting - EMS	
		5:00	Auditors Depart	

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organization within 30 days of an agreed visit date. It is a condition of Registration that a deputy management representative be nominated. It is expected that the deputy would stand in should the management representative find themselves unavailable to attend an agreed visit within 30 days of its conduct.

## Notes.

The assessment was based on sampling and therefore nonconformities may exist which have not been identified.

If you wish to distribute copies of this report external to your organization, then all pages must be included.

BSI, its staff and agents shall keep confidential all information relating to your organization and shall not disclose any such information to any third party, except that in the public domain or required by law or relevant accreditation bodies. BSI staff, agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.

'Just for Customers' is the website that we are pleased to offer our clients following successful registration, designed to support you in maximising the benefits of your BSI registration - please go to [www.bsigroup.com/j4c](http://www.bsigroup.com/j4c) to register. When registering for the first time you will need your client reference number and your certificate number

As part of BSI's Terms, it is necessary for you to notify BSI of any of the following: Major changes to Management System; Change of ownership, merger or acquisition; Significant change to employee numbers; Introduction of new products/processes; Introduction of new customers; Initiation of customer-enforced sanctions. Notification should be made to your Client Manager within 5 business days of occurrence. Your Client Manager will evaluate the impact of the notification, review this with the BSI Scheme Manager and contact you as necessary to discuss any additional activities required as a result.

This report and related documents is prepared for and only for BSI's client and for no other purpose. As such, BSI does not accept or assume any responsibility (legal or otherwise) or accept any liability for or in connection with any other purpose for which the Report may be used, or to any other person to whom the Report is shown or in to whose hands it may come, and no other persons shall be entitled to rely on the Report.

Should you wish to speak with BSI in relation to your registration, please contact our Operations Support Team:

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## Assessment Report.

BSI Management Systems  
12110 Sunset Hills Road  
Suite 200  
Reston  
VA  
20190  
Tel: +1 (800) 862 4977 Fax: +1 (703) 437 9001

### Regulatory Compliance.

BSI conditions of contract for this visit require that BSI be informed of all relevant regulatory non-compliance or incidents that require notification to any regulatory authority. Acceptance of this report by the client signifies that all such issues have been disclosed as part of the assessment process and agreement that any such non-compliance or incidents occurring after this visit will be notified to the BSI client manager as soon as practical after the event.

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Baldwin, WI

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## Introduction.

This report has been compiled by Rose Koronkiewicz and relates to the assessment activity detailed below:

Visit Ref/Type/Date/Duration	Certificate/Standard	Site address
8019455 Continuing Assessment (Surveillance) 07/21/2014 1 Day(s) No. Employees: 154	EMS 546560 BS EN ISO 14001:2004	Donaldson Co. Inc. 980 Locust Street Baldwin Wisconsin 54002 USA

### Client management system version(s):

EMS Manual 401.010.000 Rev. 2/10/13

The objective of the assessment was to conduct a surveillance assessment and look for positive evidence to ensure that elements of the scope of certification and the requirements of the management standard are effectively addressed by the organization's management system and that the system is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements and the organizations specified objectives, as applicable with regard to the scope of the management standard, and to confirm the on-going achievement and applicability of the forward strategic plan and where applicable to identify potential areas for improvement of the management system.

The scope of the assessment is the documented management system with relation to the requirements of the ISO 14001:2004 standard, plus associated support documentation and additional customer requirements (as appropriate), and company objectives, policies, procedures and work instructions, and BSI Conditions of Contract, and the defined assessment plan provided in terms of locations and areas of the system and organization to be assessed.

## Management Summary.

### Overall Conclusion

The objectives of this assessment have been achieved. I would like to thank all the audit participants for their assistance and co-operation which enabled the audit to run smoothly and to schedule. Based on the objective evidence detailed within this report, the areas assessed during the course of the visit were generally found to be effective, except for the minor nonconformities identified.

There were no outstanding nonconformities to review from previous assessments.

2 Minor nonconformities requiring attention were identified. These, along with other findings, are contained within subsequent sections of the report.

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A minor nonconformity relates to a single identified lapse, which in itself would not indicate a breakdown in the management system's ability to effectively control the processes for which it was intended. It is necessary to investigate the underlying cause of any issue to determine corrective action. The proposed action will be reviewed for effective implementation at the next assessment.

## Areas Assessed & Findings.

### **Management Processes, Communication : 4.6, 4.2, 4.4.3, 4.5.4**

Management Reviews are held twice per year. Minutes from 17JUL14 were reviewed. There is comprehensive reporting on both the environmental and quality management system, and is considered a best practice. This includes reporting the state of regulatory compliance and reporting, permit updates, internal and external audits, and summary of the status of environmental objectives targets and programs. FY14 comes to a close at the end of July and FY15 begins August 1st. All input and output requirements of the standard are addressed. There is a good summary of external communications, and changes in environmental. There was a DNR Air Permit inspection completed in April 2014 with no findings, and a Plumbing Code Compliance audit in May 2014 with only two minor miscellaneous issues that were fixed immediately. The Annual earth Day week in April went well, where employees can bring in wastes to be recycled. The largest quantity collected was e-waste. A summary of all categories collected was included in the management review. The management process is effective.

### **Internal Audits : 4.5.5, 4.5.4**

The FY2014 internal audit schedule and completed audits were reviewed. Two internal audits were completed since the last BSI audit, and there is one internal EMS audit to complete by the end of the month. There is good objective evidence of conformance in the completed checklists. No new internal auditors have been added. There was evidence of corrective actions for two minor nonconformities, and follow-up verification of implementation and effectiveness. Internal audit process is effective.

### **Nonconformity, Corrective and Preventive Action : 4.5.3, 4.5.4**

There is an environmental audit NCR log that is used to track that issues are corrected. There has only been one internal nonconformities identified and addressed since the last BSI audit. There are also corrective actions, root cause analysis, and verification of implementation and effectiveness. Issues identified from external audits or inspections are also entered and tracked. The process for nonconformity, corrective and preventive actions is effective.

### **Environmental Aspects and Impacts : 4.3.1, 4.5.4**

There is a documented process for identification of environmental aspects and for determining their significance. There have only been minor changes for chemicals used on the line. Aspects were assessed for the facility and processes including; machining, forming, welding, paint/dip tank wash, assembly, tool & die/ model shop, and maintenance/ facility. Aspects are ranked based on regulatory, severity, probability and public concerns. There is a definition for each scoring. There are six (6) significant aspects identified from the list and all have documented operational controls. Line crawls are scheduled throughout the year to confirm and update the environmental aspects. The legal and other requirements are identified for the environmental aspects. The environmental aspects and impacts process is effective.

### **Objectives, Targets and Environmental Programs : 4.3.3, 4.5.4**

Significant aspects were considered when establishing the five objectives and targets for FY 2014. The five are: 1) Improve Waste Management - Remove mercury, dumpster covers, zero landfill plan, 2) Improve Chemical Management - Natural hand cleaners, 3) Improve Environmental Compliance Management - Natural Weed killers, planting prairie grass, 4) Reduce Energy Consumption - HVAC upgrade, recommendations from energy assessment such as use of variable feed drives, 5) Control of Oil and Fuel - maintaining levels below SPCC threshold. The completed projects for FY14 were reviewed, along with the planned projects for FY15 which begins in August. The projects have assigned responsibilities, means and timeframe to accomplish each. The process for objectives, targets and programs is effective.



**Legal and Other Requirements and Compliance : 4.3.2, 4.5.2, 4.5.4**

Federal, State, Local and "Other" Requirements are identified in procedure 500.000.432. The Legal and other requirements are linked to the Environmental Aspects in the Environmental Aspects Matrix. The site has an Air Permit, General Storm Water Permit and General Industrial Waste Water Agreement with the Village of Baldwin. Updates to the Federal and State regulations are reviewed by Corporate EHS and relayed to the plant each year. Updates to the local regulations are maintained by the plant, and are reviewed annually and are included on the compliance calendar. The organization had an environmental compliance audit conducted by corporate on 1/3/12 using Dakota Software and the next one is planned for 2017. The format of the audit is broken up in Air, Water, Chemical, General, Universal and Hazardous waste plus Safety and other requirements. The plant also maintains a compliance calendar to track completion of all regulatory and other requirements throughout the year, and report this completion as part of management review. The process for legal and other requirements plus compliance was found to be effective.

**Chemical Management : 4.4.6, 4.5.1, 4.5.4**

Reviewed the completed and submitted Tier II report and TRI report. There are three reportable chemicals: lead, paints/solvents, and sulfuric acid (from forklift batteries). MSDS On line was checked for various chemicals sampled throughout the plant and were available. Review and approval of new chemicals since the last BSI audit were reviewed. Secondary containers were labeled throughout the shop. The paint vault was reviewed, and containers are grounded. Those used at the plant line are also grounded. A new 528 gallon bulk oxygen tank has been added since the last audit. The chemical management process is effective.

**Air Management : 4.4.6, 4.5.1, 4.5.4**

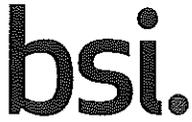
The 2013 air emissions summary reporting was reviewed, along with the annual compliance certification. There is an air calculation spreadsheet that is used, based on purchases and usage. The new air operating permit was issued in February 2014, and there were records of review of the draft. The new permit was reviewed. The semi-annual monitoring report for the first half of 2014 was reviewed. The organization is working with the WI DNR to apply as a minor source rather than a major source based on their operations. The air management process is effective.

**Water Management : 4.4.6, 4.5.1, 4.5.4**

The organization has a general storm water discharge permit. Quarterly and annual inspection records were reviewed. Discharge to the local POTW is monitored at the time of discharge. During the fence to fence walk, there are 7 outfalls that are identified and marked. The water management process is effective.

**Roof And Grounds/ Shop Walk : 4.4.6, 4.5.1, 4.5.4**

There have not been any changes to the roof, and the stack map was reviewed. A fence to fence walk was conducted. The completed product in the lot is covered with plastic wrap. The organization is addressing the issue of leaking dumpsters with the vendor and is looking at alternate sources, that would provide better control to prevent leaks that impact stormwater. The new oxygen tank is along the facility wall. There are plans to change the CO2 tanks that will be outside along the facility wall. The grounds are well maintained. There are plans to put in rain gardens. The organization is working with the DNR and plan to make application for any required permits with the Village of Baldwin. There were two issues identified during the shop walk: 1) Laser dust waste was misidentified and 2) the access to the fire suppression system was blocked. (See NCRs)



## Minor Nonconformities Arising from this Assessment.

Ref	Area/Process	Clause
1080926N1	Roof And Grounds/ Shop Walk	4.4.6
Scope	EMS 546560	
Details:	The process for waste labeling is not effectively maintained.	
Requirements:	<p>Operational control</p> <p>The organization shall identify and plan those operations that are associated with the identified significant environmental aspects consistent with its environmental policy, objectives and targets, in order to ensure that they are carried out under specified conditions, by</p> <p>a) establishing, implementing and maintaining a documented procedure(s) to control situations where their absence could lead to deviation from the environmental policy, objectives and targets, and</p> <p>b) stipulating the operating criteria in the procedure(s), and</p> <p>c) establishing, implementing and maintaining procedures related to the identified significant environmental aspects of goods and services used by the organization and communicating applicable procedures and requirements to suppliers, including contractors.</p>	
Objective Evidence:	There was a 55 gallon drum in the laser area that was labeled Paint Filter Dust/Debris that was actually laser dust from the dust collector.	

Ref	Area/Process	Clause
1080926N2	Roof And Grounds/ Shop Walk	4.4.7
Scope	EMS 546560	
Details:	The emergency management process is not effectively maintained.	
Requirements:	<p>Emergency preparedness and response</p> <p>The organization shall establish, implement and maintain a procedure(s) to identify potential emergency situations and potential accidents that can have an impact(s) on the environment and how it will respond to them.</p> <p>The organization shall respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental impacts.</p> <p>The organization shall periodically review and, where necessary, revise its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations.</p> <p>The organization shall also periodically test such procedures where practicable.</p>	
Objective Evidence:	There were fans blocking the access to the fire suppression system.	



## Shift Details.

The shifts are identical in terms of process outputs and as a result it has been determined that the effectiveness of all shifts can be seen from outputs records and coverage within the normal assessment times.

## Assessment Participants.

On behalf of the organization:

Name	Position
Ron DeMotts	EHS Supervisor
Thomas L. Carlson	Operations Manager
Joe Hemenway	Quality Manager
Darcy Larson	HR Manager
Ben Haefner	Engineering Manager

The assessment was conducted on behalf of BSI by:

Name	Position
Rose Koronkiewicz	Team Leader

## Continuing Assessment.

The program of continuing assessment is detailed below.

Site Address	Certificate Reference/Visit Cycle	
Donaldson Co. Inc. 980 Locust Street Baldwin Wisconsin 54002 USA	EMS 546560	
	Visit interval:	6 months
	Visit duration:	1 Days
	Next re-certification:	06/01/2015

Re-certification will be conducted on completion of the cycle, or sooner as required. An entire system re-assessment visit will be required.

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## Re-certification Plan.

DONALD-0009500186-027|EMS 546560

		Visit1	Visit2	Visit3	Visit4	Visit5	Visit6
Business area/Location	Date (mm/yy):	02/13	8/13	2/14	8/14	2/15	6/15
	Duration (days):	1.0	1.0	1.0	1.0	1.0	4.0
Air Management			X		X		X
Aspects/Legal & Other Requirements		X	X	X	X	X	X
Chemical Management		X			X		X
Communication				X	X	X	X
Contractor Management				X		X	X
Corrective/ Preventive Action		X	X	X	X	X	X
Effectiveness of last visit corrective actions		X				X	X
Emergency Response				X			X
Energy Management				X		X	X
Inside and Outside Walkabout					X		X
Internal Audits/Compliance Evaluation		X	X	X	X	X	X
Management Processes - Performance		X	X	X	X	X	X
Training/ Competence		X	X	X		X	X
Waste Management		X				X	X
Water Management			X		X		X

## Next Visit Plan.

### Visit objectives:

The objective of the assessment is to conduct a surveillance assessment and look for positive evidence to ensure the elements of the scope of certification and the requirements of the management standard are effectively addressed by the organization's management system and that the system is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements and the organizations specified objectives, as applicable with regard to the scope of the management standard, and to confirm the on-going achievement and applicability of the forward strategic plan.

The scope of the assessment is the documented management system with relation to the requirements of ISO 14001:2004 standard,

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plus associated support documentation and additional customer requirements (as appropriate), and company objectives, policies, procedures and work instructions, and BSI Conditions of Contract, and the defined assessment plan provided in terms of locations and areas of the system and organization to be assessed.

Date	Assessor	Time	Area/Process	Clause
02/10/2015	Rose Koronkiewicz	8:00	Opening Meeting	
		8:20	Org/ EMS Changes	
			Management Processes, Communication	4.6
			Environmental Aspects	4.3.1
			Objectives, Targets and Programs	4.3.3
			Corrective/Preventive Actions	4.5.3
			Internal Audits	4.5.5
			Legal and Other Requirements	4.3.2
			Compliance Evaluation	4.5.2
		11:00	HR/ Training	4.2.2, 4.5.4
		12:00	LUNCH	
		12:30	Contractor Management	4.4.6, 4.5.1, 4.5.4
			Waste Management	4.4.6, 4.5.1, 4.5.4
			Energy Management	4.4.2, 4.4.6, 4.5.4
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Author

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If you wish to distribute copies of this report external to your organization, then all pages must be included.

BSI, its staff and agents shall keep confidential all information relating to your organization and shall not disclose any such information to any third party, except that in the public domain or required by law or relevant accreditation bodies. BSI staff, agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.

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## Regulatory Compliance.

BSI conditions of contract for this visit require that BSI be informed of all relevant regulatory non-compliance or incidents that require notification to any regulatory authority. Acceptance of this report by the client signifies that all such issues have been disclosed as part of the assessment process and agreement that any such non-compliance or incidents occurring after this visit will be notified to the BSI client manager as soon as practical after the event.

Report Author **Rose Koronkiewicz**  
Visit Start Date **07/21/2014**

**Internal Audit  
Nonconformance Report  
Baldwin Plant**



Report Number: ENV00030/1080926N1 Area:Dept. 45

Auditor:Rose Koronkiewicz Standard/Element:4.4.6

**Standard/Element Requirement:**Operational control-The organization shall identify and plan those operations that are associated with the identified significant environmental aspects consistent with its environmental policy, objectives and targets, in order to ensure that they are carried out under specified conditions, by a) establishing, implementing and maintaining a documented procedure(s) to control situations where their absence could lead to deviation from the environmental policy, objectives and targets, and b) stipulating the operating criteria in the procedure(s), and c) establishing, implementing and maintaining procedures related to the identified significant environmental aspects of goods and services used by the organization and communicating applicable procedures and requirements to suppliers, including contractors.

**Nonconformance/Observation:** Details: The process for waste labeling is not effectively maintained.  
**Objective Evidence:** There was a 55 gallon drum in the laser area that was labeled Paint Filter Dust/Debris that was actually laser dust from the dust collector.

Investigated By:Ron DeMotts    Plan Due Date: 8/21/14    Implementation Due  
Date:8/18/14

Root Cause of Nonconformance:

1) The dept. material handler who loads our waste into the truck is given these preordered labels during each waste pick-up and then he delivers the labels to each department. No documentation existed to show which department received a specific label or who was responsible to process the labels throughout the plant. 2) The operator responsible for applying the correct label did not verify he was using the incorrect label on the full drum.

Correction of non-conformance:

The material handler will no longer be responsible for delivering these labels to each department. Instead the material handler will deliver all labels and waste manifests to the EHS Supervisor's office where the EHS Supervisor will determine the correct labels are processed for each department (using D00474). Operators responsible for properly labeling waste drums will be trained on identifying waste properly by verifying they are using the label that correctly identifies the waste.

Corrective Action (system):

QMS Document D00474 was created to show the correct flow of waste labels to each department. Affected Supervisors were given instruction to train affected employees with this document and submit proof of training. Training sign-offs were completed 8/4/14.

Verify Effectiveness of Corrective Action:

I have determined this corrective action to be effective.

Verified By: \_\_\_\_\_ Date: \_\_\_\_\_

(Signature)

Internal Audit  
Nonconformance Report  
Baldwin Plant



Report Number: ENV00031/1080926N2 Area: Shop floor-dept. 40

Auditor: Rose Koronkiewicz Standard/Element: 4.4.7

Standard/Element Requirement: Emergency preparedness and response

The organization shall establish, implement and maintain a procedure(s) to identify potential emergency situations and potential accidents that can have an impact(s) on the environment and how it will respond to them. The organization shall respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental impacts. The organization shall periodically review and, where necessary, revise its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations. The organization shall also periodically test such procedures where practicable.

Nonconformance/Observation: There were fans blocking the access to the fire suppression system.

Investigated By: Ron DeMotts    Plan Due Date: 10/21/14    Implementation Due Date: 8/29/14

Root Cause of Nonconformance:

During hot weather, employee placed fan in area that inadvertently blocked access to emergency equipment.

Correction of non-conformance:

Fire suppression equipment on both north and south ends shall be identified by posting signage and/or floor striping. This will also be discussed in toolbox meetings.

Corrective Action (system):

None

Verify Effectiveness of Corrective Action:

I have determined this corrective action to be effective.

Verified By: \_\_\_\_\_ Date: \_\_\_\_\_

(Signature)

# **FY 2014 - 2015**

## **ISO 14001 Targets and Objectives**

### **Baldwin, WI**

- Linked to annual department line crawls.
- Addresses significant aspects that have a high or potential impact to the environment.
- Includes actions to reduce the impacts through upgrades, cost controls, or elimination of the aspect and addresses regulatory compliance.



# 1) Improve Waste Management

- a) Remove mercury from the plant: Review building thermostats for presence of mercury and replace with electronic controls. COMPLETE
- b) Add dumpster covers for outdoor metal scrap dumpsters. Tried a variety of covers. Very cumbersome.

F'15

Reviewing replacing current dumpsters with luggers and purchase more roll-off covers. This will lessen the impact of contaminated storm water from our outdoor dumpsters.

- c) Continue our zero landfill plans. F15-Reviewing plastic bottles, aluminum cans, and office paper from Waste Management to Badger Recycling by Sept. 2014 when WM contract expires. Donaldson will now get reimbursed for these recyclables and be able to track these wastes separately.



## 2) Improve Chemical Management

### a) Look into more natural hand cleaners-

Current cleaners are as environmentally friendly as others that were researched. No action at this time.

COMPLETE

### F'15

- a) Review recycled solvent and still in dept. 35- Feb 2015. Reclaiming our solvents is more cost effective and less wasteful.
- b) Review eliminating MEK in paint departments - Feb. 2015. We currently purchase reclaimed solvents that contain MEK. This is a more hazardous solvent.
- c) Review mist collector for machining center – Oct. 2014. Install to capture and contain emissions of oily mist from machining center.



### 3) Improve Environmental Compliance Management

- a) Use a natural weed killer that is more environmentally friendly. Fall 2013 & Spring 2014. Update: We will not use any herbicides on the lawn. **COMPLETE**
- b) Review planting prairie grass in south lawn to eliminate the need for mowing and maintenance- Spring 2014. Explored rain gardens and prairie grass with local DNR and EcoGrow Consulting. **COMPLETE**

F'15

- a) Install air/fume collectors for dept. 43 weld- Oct. 2014. This will control airborne weld smoke/fumes in the plant and keep the work areas more clean.
- b) Plan for planting prairie grass/rain garden in south lawn to eliminate the need for mowing and maintenance- Spring 2015.



## 4) Reduce Energy Consumption

- a) Upgrade HVAC in front offices to a more energy efficient system February 2014. **COMPLETE**. New system is 10% more efficient with an average energy savings of 20%/year. The refrigerant was changed from R-22 to a more environmentally friendly R-410a.
- b) Energy review to include boilers and paint oven efficiency and emissions. **COMPLETE**. We replaced the constant speed drive pumps of the boilers to variable speed and received a \$1000 incentive. Reduced our annual energy costs of these pumps by 50%!

### F15

- a) Upgrade plant floor HVAC to a more energy efficient system. Multiple phases June 2015
- b) Replace north lunchroom with more efficient HVAC system June 2015.
- c) Update outdoor parking lot lighting from halide to LED. More energy efficient and improved light levels. Sept. 2014



## 5) Control of Oil and Fuel

Maintain above ground storage of oils below threshold of 1,320 gallons- COMPLETE

F15

Maintain above ground storage of oils below threshold of 1,320 gallons



# RESULTS OF 3<sup>rd</sup> ANNUAL EARTH DAY ACTIVITIES

Week of April 21, 2014

Employees were allowed to bring in special wastes for disposal



- Spent Fluorescent bulbs- 50#'s collected
- Batteries- 100 pounds collected
- E-waste (small appliances)- 4,425 pounds
- Ink cartridges- 53 collected
- Cell phones - 12 used phones collected. These will be donated to local Domestic Abuse Shelters.
- Private documents shredding- over 1000#'s



200 White spruce trees were donated by Donaldson to our employees

# F14 Vendor recognition



## *Recognition of being **GREEN** in 2013*

RIGHTAWAY ROLLOFF LLC is proud to recognize

*Donaldson Company Inc.*

as our *Partner in being Green!*

Donaldson Company Inc. has demonstrated exceptional environmental commitment by recycling its waste. RightAway RollOff LLC certifies that Donaldson Company Inc. diverted 19.94 tons of waste from ever being placed into a landfill. Your 19.94 tons of waste was either renewed or used in the waste to energy program.

Donaldson Company Inc. and RightAway RollOff LLC, committed to preserving the Earth for future generations.



# RECYCLE REDUCE REUSE



Donaldson.  
FILTRATION SOLUTIONS