

**EFCOG
Environmental Subgroup Meeting**

Best Practice

Improved Assessment Strategy

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Why this topic

- Feedback from Customer is
 - **Too many assessments !**

Summary of FY10 BNL Assessments

	Number and Type of Assessment						
	TOTAL	DOE	BSA	External Agencies	Advisory Panel	Independent Audit	Other
ES&H	37	16		7			14
F&O	18	8				2	8
S&T	70	38	3	13	7	3	6
LAB	50	16	10	1		16	7
Total	175	78	13	21	7	21	35
Complete	28	13	2	2	4		7

Notes:

Does not include org self-assessment with no 'line' impact.

Does not include independent oversight assessments.

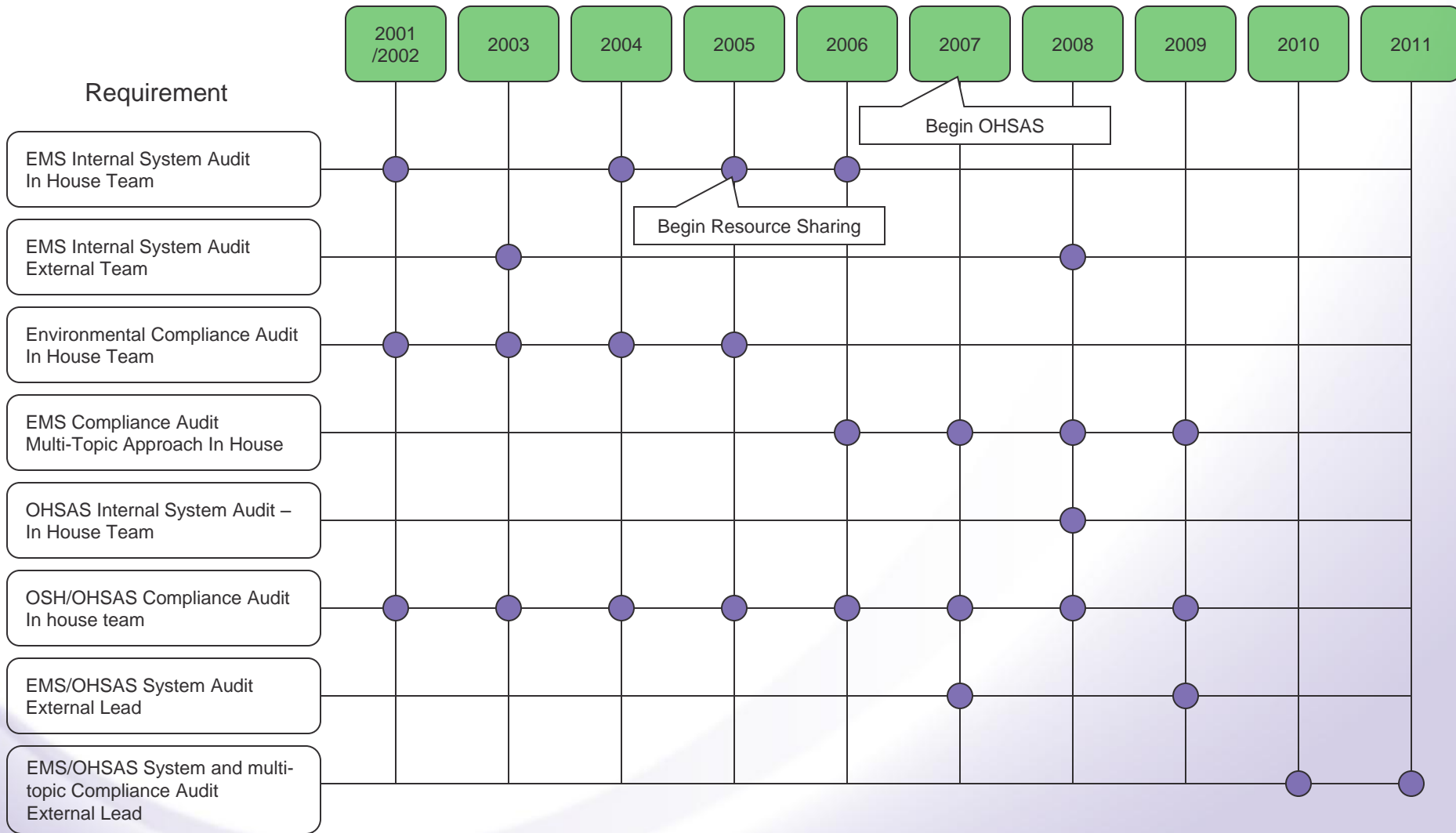
Status (i.e., 'complete') is as of February 2010.

EMS/OHSAS Required Assessments

- ISO 14001
 - Element 4.5.5 - Internal Audit (18 elements over time)
 - Element 4.5.2 - Evaluation of Compliance (multiple media)
 - Registrar Surveillance

- OHSAS 18001
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BNL EMS/OHSAS Assessment Progression over time



EMS/OHSAS Internal System Audit In House Team

Pros

- Manage and Schedule together (less time)

Cons

- Heavy Burden on staff
- Reprisals
- Lots of cooks in the kitchen when done individually

Discussion:

Started auditing all Elements in all Directorates each year

Migrated to 1/3 of the Elements per year all Directorates

Migrated to 1/3 of the elements with a sampling approach

EMS/OHSAS Internal System Audit External Team

Pros

- Less Burden for Line
- One Lead writes report
- Use of Battelle Lab resources (Resource Sharing)

Cons

- Use of outside Environmental consultant caused over-burdensome learning curve

Discussion:

Resource Sharing invaluable for Best Practice Sharing

Continued use of one Lead Auditor from PNNL with rotating contributed resources

Environmental/OSH Compliance Audit In House Team

Pros

- SME Involvement

Cons

- SME Involvement (too close)
- Many single audits with no overall schedule
- Several reports one Directorate
- Confusing and burdensome
- Even more cooks in the kitchen when done Individually

Discussion:

This method allowed SME's to schedule all audits independently –
Contributed to “Too Many Audits” Syndrome

EMS/OSH Compliance Audit Multi-Topic Approach In House

Pros

- Reduces burden
- Allows sampling approach
- Led to a Multi-Year Assessment Plan
- One list of findings

Cons

- Harder to organize and schedule
- In house auditors are already busy

Discussion:

Must have a Program Manager to organize

EMS/OHSAS System and multi-topic Compliance Audit

External Lead and DOE

Pros

- Reduces burden
- One list of findings
- Allows sampling approach
- Use of Extent of Condition rather than same findings in many areas
- Concurrent DOE Audits
- Daily Email Summaries for Senior Staff

Cons

- Even Harder to organize and schedule
- Harder to find Qualified Auditors
- Time pressure
- Tricky to combine schedules and reports
- Findings can overlap between media

Discussion:

Must have a VERY competent Lead auditor

Expect to improve over time

Combined Audit Approach

Week 2

	Accelerators	Small Science	Balance of Plant	Accelerators	Small Science	Balance of Plant	Accelerators	Small Science	Balance of Plant	Accelerators	Small Science	Balance of Plant	Accelerators	Small Science	Balance of Plant
	22-Feb			23-Feb			24-Feb			25-Feb			26-Feb		
Opening Meeting	400 Large 9:00 - 10:00														
EMS/OSH	x		x - Bet		x				x						
IH			x	x				x			x	x	Open		Open
SE		x				x	x						Open		Open
Env										x		x BHSO EPP	Open	x	Open
Auditor Caucus	902 C 4:00-5:00			902 C 4:00-5:00			902 C 4:00-5:00			902 C 4:00-5:00			902 C 4:00-5:00		
BNL POC's	R. Karol 10:00 - 3:00	R. Dinardo 10:00 - 11:00	Selva (w/Bet) 10:00 - 12:00	R. Karol 9:00 - 4:00	A. Moodenbaugh 9:00 - 4:00	R. Costa 9:00 - 4:00	R. Karol 9:00 - 12:00	See R. Selvey Schedule	R. Lee (w/Bet) 9:00 - 11:00	R. Karol 9:00-12:00	See R. Selvey Schedule	See R. Selvey Schedule		R. Dinardo 9:00-10:00	
All times are approximate. SME's will confirm.		A. Moodenbaugh 11:00 - 12:00	E. Nowak (w/Bet) 2:00-3:00			SPOC with F&O See J. Remien	A. Ackerman / S. Hoey 1:00 - 4:00		Anna Bou / John Collins (w/Bet) 1:30 - 2:30	A. Ackerman 1:30 - 4:00		J. Collins/ see A. Bou		D. Cabelli 10:30-12:00	
		A. Emrick 1:00-3:00	G. Goode/Selva (W/Bet) 1:00-2:00			H. Todowso (w/Bet) 2:00- 3:00			BHSO Granzen(W/Bet) 2:30-3:30			Nowak/Peters w/bet 11:00 - 12:00		A. Emrick 1:30 - 4:00	
		Bowerman/Carr 3:00-4:00	R. Lee/Selva (w/Bet) 3:00 - 4:00			Les Hill (With Bet)1:00 - 2:00			R. Kelly (W/Bet) 11:00-12:00						
									R. Costa 9:00 - 4:00						

Note: Compliance Audit Leads summarize team findings and submit at end of day

Week 3

	Accelerators	Small Science	Balance of Plant	Accelerators	Small Science	Balance of Plant	Accelerators	Small Science	Balance of Plant	Accelerators	Small Science	Balance of Plant	Accelerators	Small Science	Balance of Plant
	1-Mar			2-Mar			3-Mar			4-Mar			5-Mar		
EMS/OSH															
IH	Open				Open				Open	Open					
SE	Open		x	x	Open			x	Open	Open					
Env	Open	x			Open	x	x		Open	Open	1/2	1/2	All Guidance Cards due / Draft Findings complete		
Auditor Caucus	902 C 4:00-5:00			902 C 4:00-5:00			902 C 4:00-5:00			902 C 4:00-5:00					
BNL POC's		R. Dinardo 9:00-10:00	R. Costa 9:00 - 4:00	R. Karol 9:00 - 12:00		R. Costa 9:00 - 12:00	R. Karol 9:00-12:00	R. Dinardo 9:00 - 11:00			R. Dinardo TBD if needed	R. Costa TBD			
All times are approximate. SME's will confirm.		D. Cabelli 10:30-12:00		A. Ackerman / S. Hoey 1:00 - 4:00		A. Bou/Ayse Frosina 1:30 -2:30	A. Ackerman 1:30 - 4:00	A. Moodenbaugh 11:00 - 12:00			D. Cabelli TBD if needed	A. Bou/Ayse Frosina TBD			
		A. Emrick 1:30 - 4:00				J. Collins / A. Bou 3:00-4:00		A. Emrick 1:00-3:00			A. Emrick TBD if needed	J. Collins / A. Bou TBD			
								Bowerman/Carr 3:00-4:00							

Note: Compliance Audit Leads summarize team findings and submit at end of day

Summary of Lessons Learned

- Self identified findings may reduce DOE audits
- Need for Audit Checklists in all Media prior to audit
- Sub-Schedules came out late
- Separate E and S findings in report
- Longer Closeout meeting (More to review) might look like a lot of findings
- Team members need to participate fully during planning stages
- Make auditors available during the specified week
- Group like findings (treat as an extent of condition)
- Stick to a sampling approach (tendency to over audit)
- USE SME's as auditors
- Combine with required DOE audits (However, Tricky to combine schedule and reports)
- Line up ISO and OHSAS elements with Management Systems
- Findings can overlap between media
- Daily debriefs are a MUST to keep control (Daily email summaries as well for senior staff)

Continuous Improvement message to Senior Management

- ESH Assessment Consolidation – The ESH Directorate is committed to improve the quality and delivery of assessments.
- Toward that end three Institutional ESH assessments were combined. The EMS Internal Audit, OHSAS Internal Audit and ESH Compliance Assessments were conducted over a four week period, two weeks of which were onsite activities.
- The previous burden for these assessments was more than ten weeks over the course of the fiscal year. In addition, what would have been more than five separate reports was consolidated into one report. This approach allows a more focused set of Institutional improvement initiatives.

Future

- ESH Directorate Multi-topic Assessment Schedule
- More use of Shared resources for Compliance Assessments
- Continue concurrence with DOE Audits
- Risk Based Approach to reduce overall number of assessments