

DOE 450.1 IMPLEMENTATION WORKSHOP

ASSESSING MY EMS

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Why Assess My EMS?

- Initial Assessment – *I know I have an EMS*
 - Third-party registration
 - Self-declaration
- Periodic Ongoing Assessment – *I know my EMS is still appropriate and effective*
 - Good management
 - ISO 14001 standard
 - E.O. 13148: conduct management system audits
 - Integrated Safety Management
 - ISMS Guide, Chapter IV “Maintaining an Approved ISMS”
 - DEAR clause: ISMS annual review

Compliance Audits and Management System Assessments

- Compliance Audits
 - Am I complying with applicable regulatory requirements and permit conditions?
- Management System Assessments
 - Is my management system functioning well?
 - Are my goals, objectives and targets still appropriate?
 - How can I improve the management system?
- Both are important, but they are not the same thing!

Existing Assessment Framework

- DOE P 450.5, *Line ES&H Oversight*
 - Contractor is to have a “robust, rigorous, and credible” ES&H self-assessment program
 - addresses compliance with applicable requirements
 - results are available to DOE
 - DOE role(s)
 - ensure that contractor has strong self-assessment program
 - operational awareness
 - review of performance
 - periodic appraisals

Existing Assessment Framework (cont.)

- ISMS Guidance (DOE G 450.4-1A Chapter IV)
 - contractor's self-assessment process
 - DOE line oversight of contractor's ISMS implementation and performance
 - Assess DOE's performance in compliance with organizational and departmental ISM requirements

Existing Assessment Framework (cont.)

- DEAR 970.5223-1 *Integration of ES&H into Work Planning and Execution*
 - contractor shall review and update annually
 - ES&H performance objectives
 - ES&H performance measures
 - ES&H commitments
 - DOE contracting officer provides
 - guidance on preparation , content, review, and approval of ISMS
 - Program and budget execution guidance and direction

DOE Order 450.1 and Compliance Audits

- O 450.1 requirements
 - EMS must provide for “...evaluation ... of programs for compliance with applicable environmental protection requirements” [4.a.(1)]
 - must “assess performance and implement corrective actions where needed” [4.a.(2)]

DOE Order 450.1 and EMS Assessments

- O 450.1 requirements
 - DOE Field Managers must report to CSO the status of implementation of EMS by 12/05 [5.d.(1)]
 - DOE Field Managers must ensure (through annual ISM review process) that contractor ES&H performance objectives, performance measures, and commitments include appropriate environmental elements [5.d.(17)]
 - DOE is to assess implementation of EMSs as part of implementing DOE P 450.5 [5.b.]
 - DOE is to ensure that contractor ES&H self-assessment programs are established under DOE P 450.5 and continue to be effective [5.d.(16)]

Tools For Assessment

- Training
 - Assessing management systems
 - ISO 14001 facility auditor
 - ISO 14001 lead auditor
- Guidance
- Assessment Protocols
 - EMS assessment protocols
 - ISMS annual review protocols
 - Revised ISMS verification CRADs

Options for Initial EMS Assessment -- *I Know I have an EMS*

- Independent third-party audit
 - e.g. ISO 14001 registration
- Self-Declaration
- Other Recognition Programs
 - EPA's National Environmental Performance Track
 - State Programs

Federal Environmental Executive's EMS Self-Declaration Protocol

- Developed by EO 13148 Inter-Agency Workgroup
- Provides a framework for facilities to “self-declare” their EMS
- Purpose: provide a process for ensuring the credibility of self-declaration of EMS at Federal facilities
- DOE expects to develop guidance within the framework of this protocol

FEE EMS Self-Declaration Protocol – Agency Responsibilities

- Establish one or more acceptable EMS “evaluation guides” (e.g. ISO 14001, CEMP, or other appropriate EMS framework)
- Establish a procedure for use of guide
 - frequency of self-evaluations
 - self-declaration statement
 - frequency of independent reviews
 - make up of review team

FEE EMS Self-Declaration Protocol – Agency Responsibilities (cont.)

- Establish procedure for documenting and using results of EMS evaluations
 - acknowledging adequate facility EMSs
 - follow-up for inadequacies in facility EMSs
 - reporting for agency-wide annual EMS reviews
- Establish a procedure and schedule to review self-declaration procedures
- Communicate decisions and procedures

Periodic EMS Assessment -- *I know my EMS is still appropriate and effective*

“Competent annual reviews of ISM systems are essential for effective implementation and continuous improvement” – Secretary Abraham

- Integrate into ISMS review and improvement process (ensure that E is fully addressed)
- Third-party registration audits provide an additional mechanism

Some Things to Assess about my EMS

- Identification of environmental impacts
- Identification of applicable requirements
- Environmental goals, targets and objectives
- Operational controls
- Checking and corrective action

Assessing Identification of Environmental Impacts

- What is the process for identifying the significant impacts of environmental activities? Who is involved? How do we identify new aspects?
- How do we include impacts on cultural resources? On ecosystems?
- Did we examine the impacts of accidents?
- How do we assess the impacts of new facilities or new activities?
- How are these impacts ('hazards') integrated into planning for work at the site?

Assessing Identification of Applicable Requirements

- How does my organization track laws, regulations and directives related to our activities?
- Is there a list of applicable requirements?
- Is a specific person in charge of updating that list?
- How are new laws, regulations and directives communicated?

Assessing Environmental Goals, Objectives, and Targets

- What environmental goals, objectives, and targets have we identified?
- How are these reflected in our budget and annual work plan?
- How are these tracked by our performance measures?
- Were they reviewed and updated annually?

Assessing Operational Controls

- How are environmental requirements and other controls flowed down into procedures/work packages for individual work activities?
- How are environmental training needs identified and training tracked?
- What workers perform activities which could have a significant impact on the environment?
- How is my management system (policies and procedures) documented?

Assessing Checking and Corrective Action

- What deficiencies have been identified (incidents, assessments, enforcement actions)?
- How were root causes and corrective actions identified?
- Were the corrective actions effective in remedying the deficiency?
- How am I monitoring and trending these?

Summary

- Management system assessment is an integral part of EMS and ISMS
- Regulatory compliance self-assessments are also required
- DOE already has an assessment framework in place
- We will work with you to develop EMS assessment guidance and protocols to ensure successful implementation of DOE O 450.1