

## LESA Assessment Final Report

### Assessment ID: 12443

## 08000 EMS ISO 14011 Surveillance Audit SNL/CA 2011

### Assessment Summary

**ID:** 12443

**Title:** 08000 EMS ISO 14011 Surveillance Audit SNL/CA 2011

**Description:** Annual surveillance audit of SNL/CA's Environmental Management System against the ISO 14001 Standard. Elements reviewed: communication, competence/training/awareness, control of documents, control of records, environment...

**Purpose:** Annual surveillance audit is a requirement of the ISO 14001 standard.

**Originating Mgt. Entity:** Policy Area » Environmental Safety & Health

	<i>Org</i>	<i>Manager</i>	<i>Division</i>
<b>Assessing Org:</b>	08516	Shamber,Gary W.	08000

**Org(s) Being Assessed:** None

**Lead Assessor:** Shamber,Gary W. (08516)

**POC Assessed:** Shamber,Gary W. (08516)

**Type:** Policy Implementation

**Status:** Conducted

**Dates:** 06/07/2011 - 06/10/2011

**Result Summary:** 0 Significant Findings, 3 Minor Findings, 0 Observations, 0 Noteworthy Practices, 0 None (Acceptable Practices)

**IA Summary:** 4 Total IAs, 4 Open IAs, 0 IAs Pending Verification, 0 Closed IAs, 0 Required IAs Missing, 4 On Track IAs, 0 Past Due IAs, 4 Causal Analyses

### Assessment Final Report Review

**Submitted To:** TBD

**Submitted By:** TBD

**Submitted Date:** TBD

### Assessment Detail

#### Description

Annual surveillance audit of SNL/CA's Environmental Management System against the ISO 14001 Standard. Elements reviewed: communication, competence/training/awareness, control of documents, control of records, environmental aspects, evaluation of compliance, internal audits, management review, monitoring and measurement, nonconformity and corrective/preventive action, objectives, targets, and programs,

operational control.

### Purpose

Annual surveillance audit is a requirement of the ISO 14001 standard.

### Analysis, Conclusions, and Additional Comments

Analysis:

Conclusions:

Additional Comments:

### Location(s) Assessed

Site - Area	Building/Structure	Room	Other
n/a	n/a	n/a	SNL/CA site wide

### Scope/Criteria

- ES&H » Other » : Environmental Management System

### Checklist Used

None

### Associated Document Link(s)

None

### Assessment Team Members

Name	Org.	Role	Additional Role Description
LARSEN,BARBARA L.	08516	Creator	
DICKER,DEANNA M.	08516	Environmental Protection	Env Program Rep
BRYNILDSON,MARK E.	08516	Subject Matter Expert	Haz Mat / Waste Lead
GARDIZI,LESLIE P.	08516	Subject Matter Expert	AQ Lead
HARRIS,JANET S.	08516	Subject Matter Expert	P2
HOLLAND,ROBERT C.	08516	Subject Matter Expert	Env Monitoring Lead
LARSEN,BARBARA L.	08516	Subject Matter Expert	
SANDOVAL,ANGELINA	08517	Authorized User	

### Personnel Interviewed

None

### Documents Reviewed

None

## Significant Findings

This Assessment resulted in 0 Significant Finding(s).

## Minor Findings

This Assessment resulted in 3 Minor Finding(s).

### Minor Finding No. 1

EMS Manual (April 2011) requires in 12.2 that visitors are encouraged to review the EMS Briefing card in the badge office. Facility did post the briefing information but failed to encourage visitors to read it. This was issued as a Minor during the previous audit and now is changed into a Major.

**Trending Code:** Work Processes

**Result Location(s):**

Site - Area	Building/Structure	Room	Other
California	M53		n/a

**Result Criterion:** ES&H » Other » : Environmental Management System

**Result Associated Document Link(s):**

None

**Improvement Actions(s):**

**IA No: 12443-MF1-IA1**

**IA Type:** Further Action Required      **IA Status:** Open

**Owner:** Name: Larsen, Barbara L.    Org: 08516      **Assigned Date:** 06/15/2011

**Estimated Completion Date:** 04/30/2012      **Revised Completion Date:** n/a

**Actual Completion Date:** TBD

**Description:** A poster will be created and posted at the Badge Offices located in MO53 and Building 911 to relay the appropriate EMS information to visitors. Text in the EMS Manual stating that Badge Office personnel will encourage visitors to read the ES&H Awareness briefing will be removed. The poster will be placed in a visible and accessible location, eliminating the need for Badge Office personnel to point it out specifically to incoming visitors.

**Comments:** None

**Causal Analysis Summary:** The heightened awareness and concerns surrounding security in the last year have resulted in the scaling back of add-on responsibilities for personnel involved in security functions, including badge office personnel. The verbal EMS/ES&H encouragement from badge office personnel became a nice-to-do rather than a must-do part of the overall badge office briefing. Sandia failed to recognize the potential impact tightening of security personnel responsibilities would have on implementing the previous EMS awareness corrective action as part of the badging function.

**Causal Analysis Associated Document Link(s):**

None

**IA Associated Document Link(s):**

None

**Actions taken to verify satisfactory completion:**

TBD

**Evaluation of improvement actions** (satisfactory completion, not satisfactory / why):

TBD

**Verified By:** Name: TBD Org: TBD **Verification Date:** TBD

## Minor Finding No. 2

ISO Standard Element 4.4.5 in (d) requires that relevant versions of applicable documents are available at point of use. In (g) the requirement is that retained obsolete copies are suitably identified. This requirement was not maintained in Landscaping Services and the Polymer Laboratory. In landscaping Services a hard copy of procedure OP 471741 Version C was noted in file. Current version is Version F. In Polymer Lab hard copies of obsolete MSDS are maintained. Also there was a copy of PHS 9718142848- 018 (11/04/09), while the current version is - 019 (10/18/2010), as well as a Hazard Analysis HA 9718142848-003 (10/19/1999) while the current version is the one created 10/18/2010. The obsolete versions and binders were not "suitably identified."

**Trending Code:** Documents and Records

### Result Location(s):

Site - Area	Building/Structure	Room	Other
California	963		n/a
California	942		1313

**Result Criterion:** ES&H » Work Controls » Work Controls

### Result Associated Document Link(s):

None

### Improvement Actions(s):

#### IA No: 12443-MF2-IA1

**IA Type:** Further Action Required **IA Status:** Open

**Owner:** Name: Shamber, Gary W. Org: 08516 **Assigned Date:** 06/15/2011

**Estimated Completion Date:** 11/30/2011 **Revised Completion Date:** n/a

**Actual Completion Date:** TBD

**Description:** Revisit the issue of obsolete documents found at point of use with the site management team at SSHEAC.

**Comments:** None

**Causal Analysis Summary:** Sandia's procedures allow for use of paper copies of documents as the electronic version may not be readily accessible at point of use or a paper copy is preferred. The importance of marking obsolete documents as "obsolete" is not well understood by the workforce at large. Consequently, paper copies that are maintained for reference do not receive proper marking.

### Causal Analysis Associated Document Link(s):

None

### IA Associated Document Link(s):

None

### Actions taken to verify satisfactory completion:

TBD

### Evaluation of improvement actions (satisfactory completion, not satisfactory / why):

TBD

**Verified By:** Name: TBD Org: TBD **Verification Date:** TBD

**IA No: 12443-MF2-IA2**

**IA Type:** Further Action Required **IA Status:** Open

**Owner:** Name: Larsen, Barbara L. Org: 08516 **Assigned Date:** 06/15/2011

**Estimated Completion Date:** 09/30/2011 **Revised Completion Date:** n/a

**Actual Completion Date:** TBD

**Description:** Implement an awareness campaign to communicate the requirements for obsolete document control using available communication tools (TNT, targeted emails, website).

**Comments:** None

**Causal Analysis Summary:** Sandia's procedures allow for use of paper copies of documents as the electronic version may not be readily accessible at point of use or a paper copy is preferred. The importance of marking obsolete documents as "obsolete" is not well understood by the workforce at large. Consequently, paper copies that are maintained for reference do not receive proper marking.

**Causal Analysis Associated Document Link(s):**

None

**IA Associated Document Link(s):**

None

**Actions taken to verify satisfactory completion:**

TBD

**Evaluation of improvement actions** (satisfactory completion, not satisfactory / why):

TBD

**Verified By:** Name: TBD Org: TBD **Verification Date:** TBD

**Minor Finding No. 3**

ENV112CA and Hazardous Waste Accumulation Quick Reference list specific maximum retention time for storage of hazardous waste in the satellite accumulation area. Three containers with hazardous waste were noted where the 1 year accumulation period allowed appeared to have been exceeded.

**Trending Code:** Work Processes

**Result Location(s):**

Site - Area	Building/Structure	Room	Other
California	916	126	

**Result Criterion:** ES&H » Waste Management » Hazardous Waste Management

**Result Associated Document Link(s):**

None

**Improvement Actions(s):**

**IA No: 12443-MF3-IA1**

**IA Type:** Further Action Required **IA Status:** Open

**Owner:** Name: Brynildson, Mark E. Org: 08516 **Assigned Date:** 06/16/2011

**Estimated Completion Date:** 10/01/2011      **Revised Completion Date:** n/a

**Actual Completion Date:** TBD

**Description:** Waste Management Program personnel will implement quarterly monitoring of voided tags in the Waste Information Management System (WIMS). Monitoring will be used to evaluate trends and to identify members of the workforce that may need additional training or awareness on hazardous waste management. Environmental Management personnel will provide training and awareness to the workforce, as needed.

**Comments:** None

**Causal Analysis Summary:** The heightened awareness and concern by the Line hazardous waste generators over the cost of hazardous waste disposal started in 2008 when the corporate disposal subsidy was discontinued by Sandia. This has resulted in Line hazardous waste generators concern about the cost of hazardous waste disposal and the impact to their operation budgets. The perceived high disposal costs encourage non-compliant behavior resulting in significant risk of legal noncompliance.

**Causal Analysis Associated Document Link(s):**

None

**IA Associated Document Link(s):**

None

**Actions taken to verify satisfactory completion:**

TBD

**Evaluation of improvement actions** (satisfactory completion, not satisfactory / why):

TBD

**Verified By:** Name: TBD    Org: TBD      **Verification Date:** TBD

## Observations

This Assessment resulted in 0 Observation(s).

## Noteworthy Practices

This Assessment resulted in 0 Noteworthy Practice(s).

## None (Acceptable Practices)

This Assessment resulted in 0 None(s) (Acceptable Practices).