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MAKING THE AUDIT WORK FOR YOU

E. J. Wilczynski

October 1991

Presented at the
Environmental Auditing
Conference
October 22-23, 1991
Seattle, Washington

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Auditing Conference Presentation

Pacific Northwest Laboratory's (PNL) Ed Wilczynski has been invited to give a presentation at the Environmental Auditing Conference, sponsored by the Institute for Environmental Auditing and scheduled to be held in Seattle, Washington, on October 22-23, 1991. The presentation was developed with PNL's Ken Krupka. The title of the presentation is "Making the Audit Work for You."

The presentation will take the form of a slide presentation with accompanying observations and commentary. No written speech will be given, nor will materials be handed out. An outline of the presentation follows.

[THIS DOCUMENT, INCLUDING THE FOLLOWING OUTLINE, IS INCLUDED IN THIS CLEARANCE PACKAGE MERELY TO PROVIDE REVIEWERS WITH A BETTER UNDERSTANDING OF THE INTENT AND CONTEXT OF THE PROPOSED PRESENTATION FOR WHICH THE ATTACHED SLIDES WILL BE USED. NEITHER THIS DOCUMENT NOR THE SLIDES SUBMITTED FOR CLEARANCE WILL BE DISTRIBUTED AT THE CONFERENCE.]

Outline

The presentations at this Auditing Conference will provide a thorough composite of the practice and processes of the rapidly growing field of environmental auditing. A number of incisive legal, regulatory, and ethical aspects of this evolving, multi-disciplinary practice will also be addressed. In my presentation, I will focus on yet another aspect of environmental auditing: its important role in the even broader practice of Environmental Management. The use of audits by the Department of Energy will be examined within the context of sound environmental management to illustrate the delicate practice of "Making the Audit Work for You." A summary of the main points to be covered follows.

1. Brief discussion of DOE Environmental Audit process; disciplines covered (e.g., air, groundwater, quality assurance, waste management), DOE Orders reviewed, management/operations evaluated.
2. Brief discussion of DOE/Secretary Watkin's Tiger Team initiative as the cornerstone of his plan to strengthen the Department's Environment, Safety, and Health (ESH) programs. Explanation of the complementary evaluations performed during the course of a comprehensive Tiger Team Assessment:
 - A. Environmental Assessment
 - B. Safety and Health Assessment
 - C. Management and Organization Assessment
3. Examples given of the types of findings presented in each of these areas, along with brief examples of root causes, lessons learned, trends, and noteworthy practices.
4. Discussion of the relationships between environmental audits, safety and health assessments, and management and organization assessments. Note how these relationships are part of an even larger picture that could include

budgetary, technical, and regulatory considerations. This larger picture is the arena in which Environmental Management takes place. From this point of view, it is evident that environmental audits/assessments play a central role in balanced, proactive Environmental Management.

5. Discussion of Environmental Auditing/Assessment and its recurring role in the Environmental Management continuum. Give examples of the role auditing plays in the prevention, minimization, characterization, and remediation of environmental contamination.

6. In summation, DOE is cited as an example of an organization that uses audits as a powerful environmental management tool to help achieve its objectives and multiple goals. The impacts of the audit can extend far beyond a listing of environmental weaknesses and deficiencies. The audit's utility touches many aspects of the environmental manager's responsibility: budget development, prioritization, policy and guidance development, and public relations.

MAKING THE AUDIT WORK FOR YOU

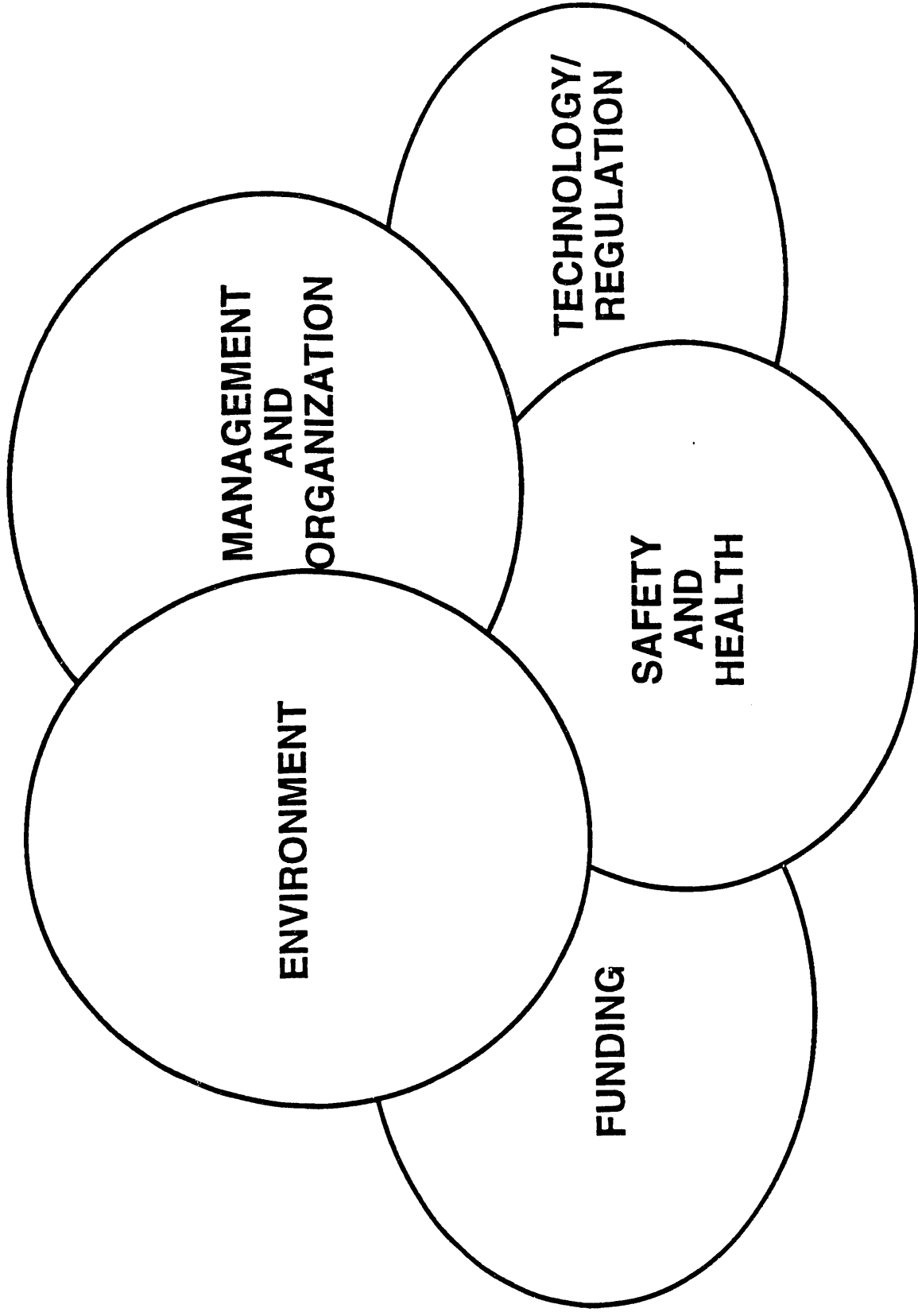
**Ed Wilczynski
Ken Krupka
Pacific Northwest Laboratory
October 23, 1991**

ENVIRONMENTAL AUDIT- AN INTEGRAL PART OF OTHER ENVIRONMENTAL MANAGEMENT CONSIDERATIONS:

- **Safety and Health**
- **Technology**
- **Management and Organization**
- **Regulation**
- **Funding**

ENVIRONMENTAL MANAGEMENT

THE BIG PICTURE



TIGER TEAM INITIATIVE

"The Tiger Team initiative is the cornerstone of my June 27, 1989, Ten-Point plan to strengthen the Department's Environmental, Health and Safety Program."

Adm. J.D. Watkins

TIGER TEAM ASSESSMENT

- **ENVIRONMENT**
 - **HEALTH AND SAFETY**
 - **MANAGEMENT AND ORGANIZATION**
-

ENVIRONMENTAL ASSESSMENT

Categories of Media

- **Air**
- **Soils/Sediment/Biota**
- **Surface Water**
- **Groundwater**
- **Waste Management**
- **Toxic and Chemical Materials**
- **Quality Assurance**
- **Radiation and Radiological Materials**
- **NEPA**

SAFETY AND HEALTH ASSESSMENT

- Organization and Administration
- Training and Certification
- Emergency Preparedness
- Nuclear Criticality Safety
- Site/Facility Safety Review
- Radiological Protection
- Worker Safety and Health (OSHA) compliance
- Industrial Hygiene
- Fire Protection

MANAGEMENT AND ORGANIZATION ASSESSMENT

- **Commitment**
- **Organization**
- **Planning**
- **Human Resource Management**
- **Management Systems**
- **Public and Institutional Interactions**
- **DOE Oversight**

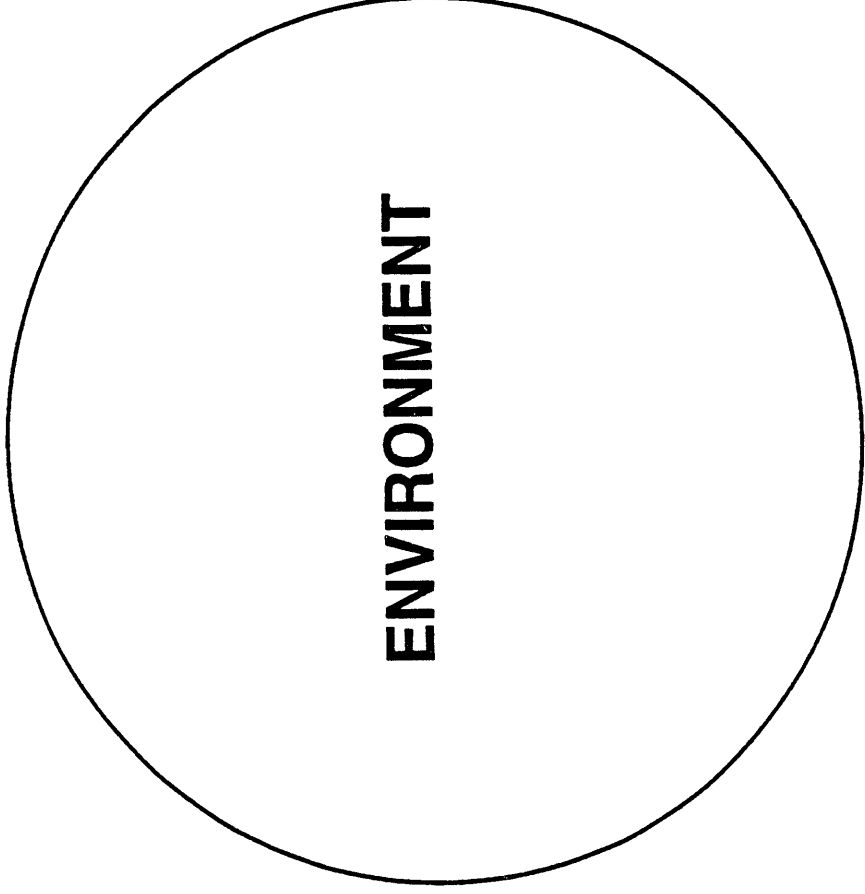
PRINCIPAL TYPES OF TIGER TEAM AND ENVIRONMENTAL AUDIT FINDINGS

- **Compliance Findings**
- **Best Management Practices**
- **Noteworthy Practices**

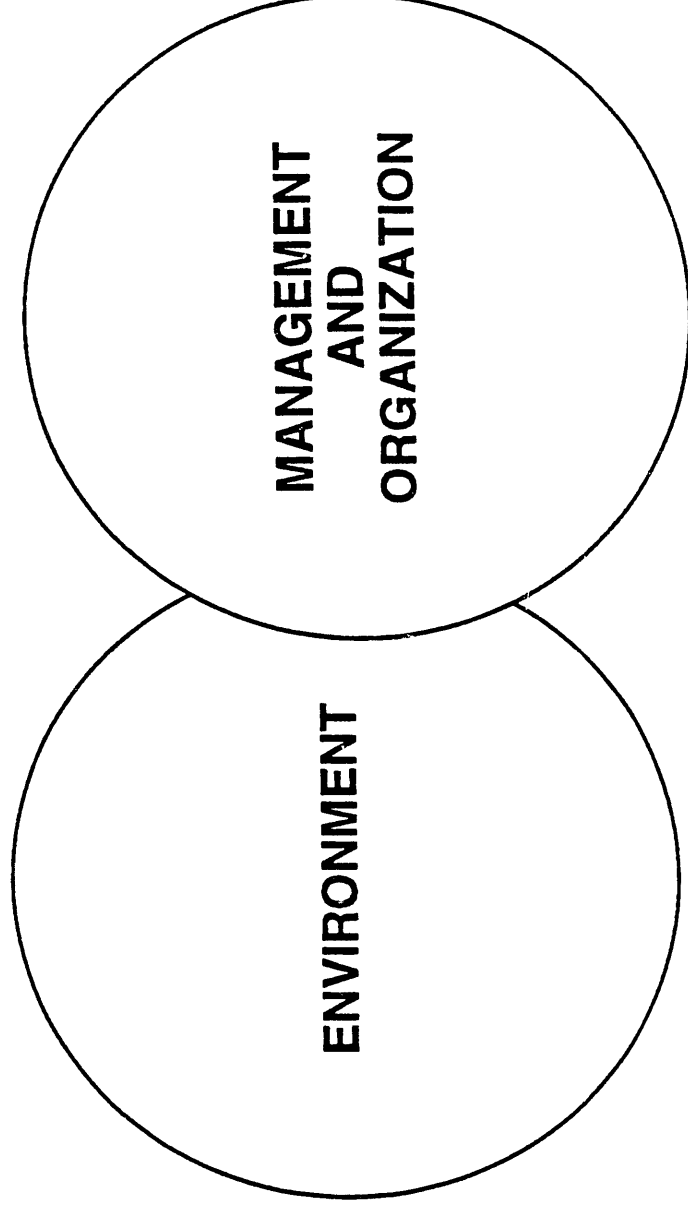
LESSONS LEARNED

- **Noteworthy Practices**
- **Key Findings**
- **Causal Factors**
- **Root Causes**
- **Summary Analysis/Trends**

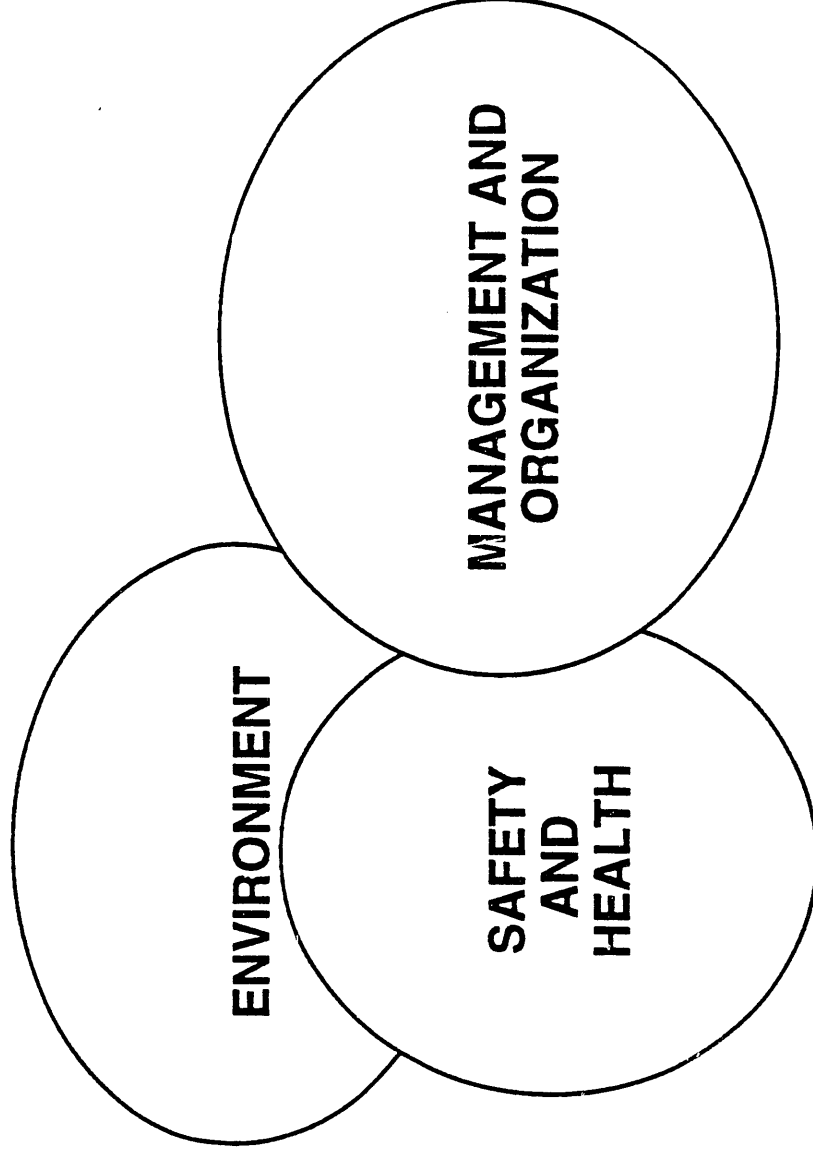
ENVIRONMENTAL ASSESSMENT



RELATIONSHIP BETWEEN ENVIRONMENT AND MANAGEMENT AND ORGANIZATION

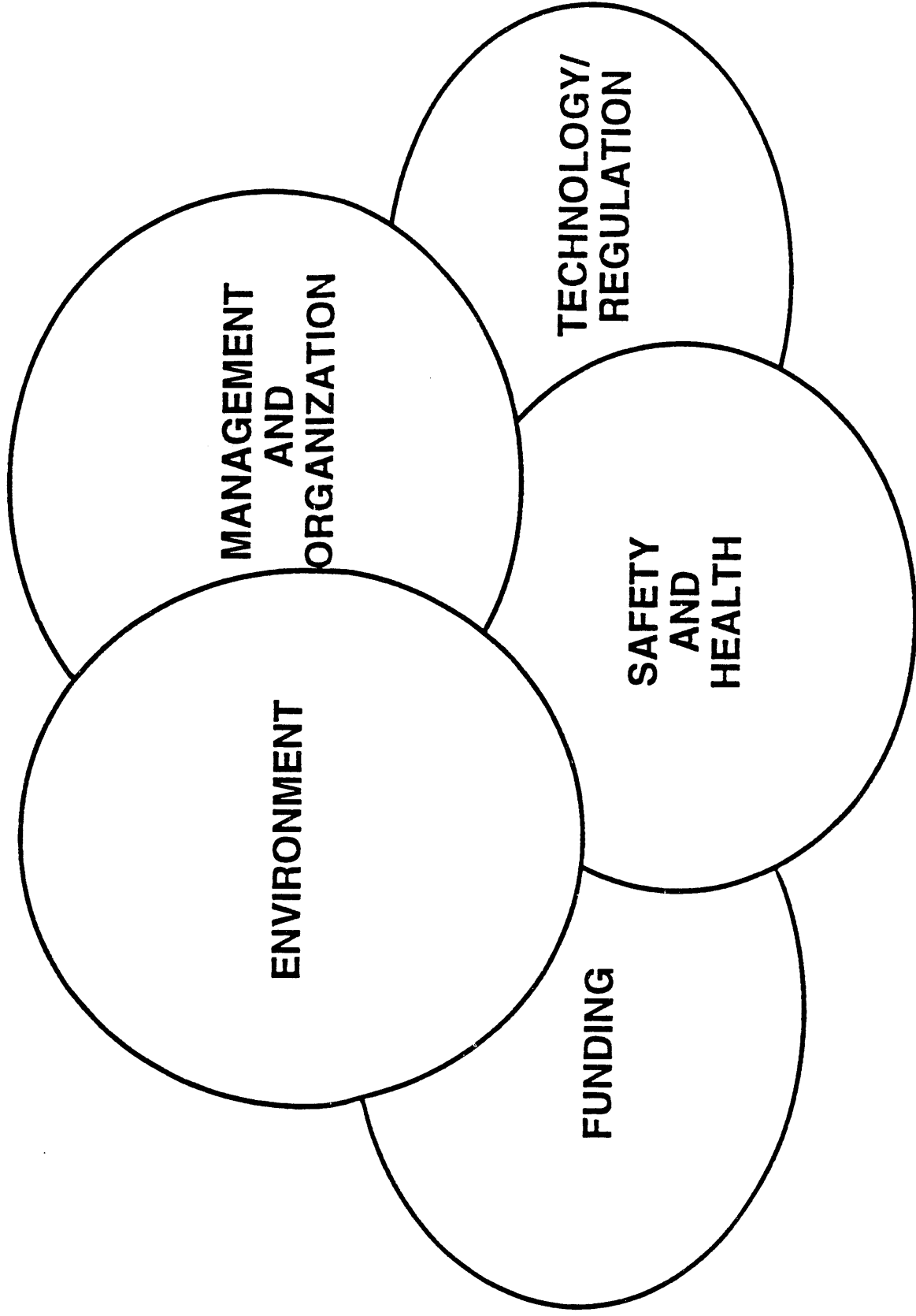


TIGER TEAM ASSESSMENT



ENVIRONMENTAL MANAGEMENT

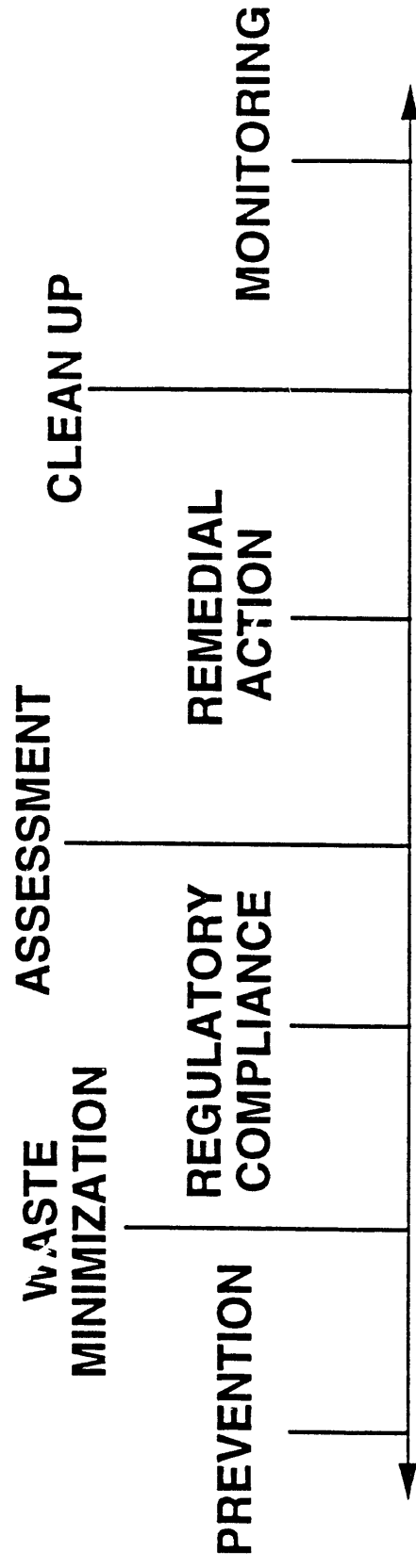
THE BIG PICTURE



PRIME ROLE OF AUDITING IN ENVIRONMENTAL MANAGEMENT DECISION MAKING

- **Budget Development**
- **Prioritization**
- **Policy and Guidance Development**
- **Public Relations**

AUDITING'S ROLE IN RESPONSIBLE ENVIRONMENTAL MANAGEMENT



ENVIRONMENTAL MANAGEMENT IS
A CONTINUAL PROCESS

END

**DATE
FILMED**

12 / 16 / 91

