



## Department of Energy

Washington, DC 20585

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### MEMORANDUM FOR DISTRIBUTION

FROM:

BEVERLY A. COOK *Beverly A Cook*  
ASSISTANT SECRETARY  
OFFICE ENVIRONMENT, SAFETY AND HEALTH

SUBJECT:

DOE Consolidated Audit Program Implementation as Complex Wide Program

For fiscal year 2004, the responsibility for the Environmental Management's Consolidated Audit Program (EMCAP) transitioned to the Office of Environment Safety & Health's Office of Quality Assurance Programs (EH-31). The Office of Environment Safety and Health is seeking to improve field participation across program offices to achieve greater efficiencies and cost savings. In addition, federal points-of-contact are needed to participate in coordination of the program.

In April 2000, EM implemented a consolidated audit program (EMCAP) of commercial analytical laboratories that produce analytical data in support of its operations. EMCAP established a formal management system to schedule and conduct about 40 laboratory audits annually and provide sharing of the results of these audits. All EM program offices participated to some degree in the EMCAP program by providing auditors to support the audits, participating in development of audit criteria and checklists, and working on teams and committees geared at improving the quality of the auditing service. EMCAP was expanded during FY 2002 to include audits of commercial mixed and low-level waste treatment storage and disposal facilities (mixed/LLW TSDFs); thereby supplying a crucial service for meeting the needs for DOE Order 435.1 exemption request assessments. A detailed information sheet regarding the EMCAP Program is provided in Attachment 1.

EH is changing the name of EMCAP to the DOE Consolidated Audit Program (DOECAP) and making the program more accessible for all field organizations effective immediately. It provides a formally structured and well-documented management system that substantially reduces the need for redundant audits and provides a high quality audit service.

If your organization is interested in utilizing this effective program, please contact Mr. George Detsis of my staff at 301-903-1488 or Mr. David Carden at the Oak Ridge Operations Office at 865-576-9262. DOECAP is a service program that is there to assist you in your auditing needs and contribute to program success.

Attachment

cc:  
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## DEPARTMENT OF ENERGY CONSOLIDATED AUDIT PROGRAM

### Purpose and Scope

In the mid-1990's, the General Accounting Office and Office of the Inspector General reports were critical of the DOE's inefficient and redundant oversight of analytical services. The Department responded by initiating the formation of the Environmental Management Consolidated Audit Program (EMCAP) to manage an audit program, as coordinated through the Oak Ridge Operations Office (ORO), for commercial and internal analytical laboratories; and for commercial waste treatment, storage and disposal facilities for disposition of mixed/low-level radioactive waste. The intent was to streamline DOE audits by consolidation and standardization of audit protocols and procedures, rather than have *each* participating DOE site conduct their own audits. The Consolidated Audit Program ensured that the data results were reliable and defensible for making DOE decisions while eliminating redundant audits.

### EMCAP Under the Office of Environmental Management (EM)

EMCAP performed its first multi-site audit in early 2000 with voluntary participation from EM sites. Over the next three years, EM continued to promote usage of the EMCAP program and during 2003 made the program mandatory for all EM sites.

EMCAP, today, conducts consolidated audits of approximately 40 analytical laboratories. Most of these are commercial facilities; however, a few DOE-owned laboratories are also audited as requested by certain EM sites. In addition, EMCAP conducts approximately 7 audits of commercial waste treatment, storage and disposal facilities; thereby, supplying a crucial service for meeting the needs of DOE Order 435.1 exemption requests. An electronic database system is maintained at the Oak Ridge Operations Office (ORO) to log and track audit reports and findings, completion of corrective actions, audit schedules, team membership, trends, and auditor training. This database also serves as an information sharing network for the DOE complex.

The EMCAP operates under an established management system that includes a complete set of operating procedures, auditor checklists, audit implementation tools, and a full training program for ensuring that only qualified and competent auditors lead and participate in the EMCAP audits. Approximately 60 auditors are qualified to participate in EMCAP audits which include 4 federal personnel. Additionally, 22 federal and 63 contractor personnel have already been formally designated as EMCAP Points-of-Contact (POC) from across the DOE complex. The EMCAP management system also includes a fully dedicated contractor EMCAP operations team to implement the centralized operational functions for EMCAP.

Weekly teleconference calls are conducted to up-date the POCs and auditors of Program-related activities. Additionally, the Program has representatives who participate with international and national organizations concerning environmental sampling data collection and analytical laboratory methodologies, as well as conduct training on data

quality assurance for DOE sites, Environmental Protection Agency regional offices, State organizations, and Indian Reservations.

**DOECAP Under the Office of Environment, Safety and Health (EH)**

With the approval of the FY04 budget, the EMCAP was transferred to EH to ensure a more corporate, crosscutting resource for the DOE complex, while EM sites could focus on more programmatic closure and remediation completion project goals. The Program is now known as the DOE Consolidated Audit Program (DOECAP); thereby, making it more accessible for all field organization participation. Weekly conference calls continue, and consolidated audits continue to be scheduled and conducted. Planning is presently on going for an annual DOECAP workshop, preparation of DOECAP Annual Summary Report, increased federal auditor participation and training, and increased expansion for other Program Line Organization field site participation.