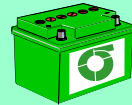


**Green Lead™**

**Site Visits for the Pilot  
Programme**

**Emma Tristán  
Green Lead Working Group**



Green Lead London Workshop 2005

**The Green Lead Project  
London Workshop**

**Site Visits for the Pilot Programme**

**Emma Tristán  
Green Lead Working Group**

**Australian High Commission  
April 27-28, 2005**

# The Presentation

- Why do these site visits?
- How will they be conducted?
- What are the deliverables?
- When to move to Green Lead?
- *Thoughts on 3rd party certification...*



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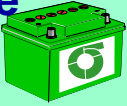
## The Presentation

During this presentation the following points will be addressed:

- Objectives of the site visits - why do site visits for Green Lead?
- Process of the site visits - how will they be conducted?
- Deliverables of the site visit - what will be produced at the end of the site visit and what is the added value to the companies participating in the Pilot Programme.
- These site visits will not be third-party certifiable audits. The Green Lead certification process will occur after these initial site visits. At the end of this presentation there will be some suggestions about audits for 3rd party certification - although that should be a wider subject for further discussion.

# Why do the Site Visits?

1. Test the clarity and adequacy of the **Green Lead Standards**
2. Examine how EHS impacts are being **managed**
3. Provide **training** and guidance



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## Why do the site visits?

The pilot site will not be a third-party independent assessment, but a reality check on the clarity and adequacy of the Green Lead standards and the audit process.

1<sup>st</sup> Objective:

To carry out a reality check on clarity and adequacy of the standards

2<sup>nd</sup> Objective:

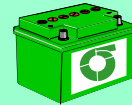
To assess how effectively the internal, upstream and downstream management processes work.

3<sup>rd</sup> Objective:

To provide some training and guidance to familiarize key staff in the Pilot Companies with the details of the standards, the record keeping, the risk assessments and how they can and should be applied in the workplace, the community, etc, and train some of the pilot program company staff to undertake Internal Audits.

# 1. Green Lead Standards

- In draft format and evolving
- Need to be “reality checked”
  - ✓ Flexible but able to capture specificity
  - ✓ Readily understood and clear
- Prescriptive - certifying a product



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## First Objective: The Green Lead Standards

Draft standards are being developed for Green Lead. The adequacy of the standards has to be tested “on-the-ground” to ensure that they are flexible to capture the variety of scenarios and settings in the Green Lead Product Chain, including retailers, mining, smelting, ULAB collection centers, etc..

It is expected that by the end of the Pilot Programme there will be a set of revised standards that will address any potential gaps or opportunities for improvement.

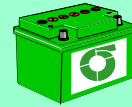
Feedback from the companies participating in the Pilot Programme is essential to refine and improve the standards.

The GL Standards differ from other certifications because they would be certifying a product, not a process. Site management needs to understand the difference between Green Lead and other certifications like ISO 14001 or OHSAS 18001.

## 2. How is EHS managed?

### *Site management team needs to:*

- **Use risk assessment to guide decisions**
  - **For site operations**
  - **For product life-cycle**



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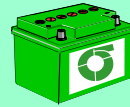
### **Second Objective: How is EHS Managed?**

Risk assessment should be the basis on how decisions are made, by on-site site personnel. The process should be robust and should ensure that risks are identified, evaluated, and managed (eliminated, reduced, isolated, controlled). The risk assessment process should incorporate all the requirements of the standards and the reasons for a specific prioritisation should be clear.

Green lead certification will be about the certification of a product, not a process. The awareness and assurance of adequate EHS management of each stage in the life cycle of the product is key. This will be evaluated during the visits.

## 3. Training and Guidance

- Clarification of standards, concepts, technical aspects
- Ensure the best use of resources
- Train key personnel to conduct Internal Audits



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### **Third Objective: Provide Training and Guidance**

An important part of the site visits for the pilot programme is the training and guidance that will be provided to the participating companies.

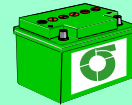
Clarification of standards will be provided, including the concepts and certain technical aspects presented

By providing this training, we would insure that we use the resources for the pilot programme in the best possible way.

Training personnel to adequately conduct internal audits is fundamental.

# The Site Visit Process

1. Contact with the site
2. Review of operations
3. Training for internal audits
4. Review of findings
5. Close out presentation
6. Follow up



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## The Site Visit Process

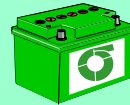
The process for carrying out the site visit can be subdivided in seven stages:

- § Contact with the site
- § Site visit
- § Review of initial findings
- § Management review
- § Training for Internal Audits
- § Close out presentation
- § Follow up

These are described in the following slides

## Contact with the Site

- ✓ Review logistics
- ✓ Discuss schedule
- ✓ How to best organise our time
  - At least 3 days on site



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### Contact with the Site

Travel arrangements and presence of key personnel during the site visit should be reviewed at this stage. Depending on the size and complexity of the operations, a site visit will be scheduled, for a minimum of three days on-site.

# Review of Operations

- Is the site meeting GL standards?
- Two assessors - a team working to identify gaps *and* provide solutions
  - Focus on *behaviours*, not just on documentation
  - Take pictures of issues
  - Understand underlying cause of issues, not just the quick fix



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## The Site Visits

There will be two assessors participating in each site visit.

The first will provide some input on ways to improve.

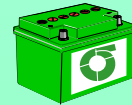
The second will have more of an independent role in “Green Lead Certification Style”, which means that no direct advice will be provided. Nevertheless, examples of good practice will be provided by both assessors.

The visit will focus on behaviours, not on documentation. We will not have the traditional approach of some certification companies to check whether the procedures match the records. Most of our time will be spent looking at people’s behaviours and attitudes to EHS concerns.

Pictures will be taken throughout the visit to show examples of good environmental management and opportunities for improvement. Pictures easily illustrate situations found during the visit.

# Training for Internal Audits

- Internal Audits are key for continual improvement
- Engage internal auditors in the review of operations to:
  - Help them lead audits
  - Provide feedback on their performance



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## Training on Internal Audits

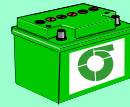
Internal Audits are a key element to ensure that EHS issues are managed adequately on-site.

It is suggested that one of the assessors observes an internal audit being carried out in order to provide some feedback.

In general, most internal audits tend to focus on a simplistic review of people following procedures. However, the full benefits of internal auditing come from a behavioural-based approach.

# Review of Findings

- Daily debriefs to clarify issues
- Ensure management understands the *underlying causes*
- Agree on actions to provide appropriate and lasting solutions



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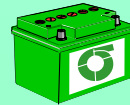
## Review of Findings

Daily debriefs will take place to provide clarification on issues found.

Given that one of the objectives of the visits is to review management processes, the assessors and local personnel will look into finding why “things” are occurring.

## What are the deliverables?

- Close out presentation
  - Summary of findings with pictures to illustrate issues
- Report including action plan
  - actions required
  - person in charge
  - timelines
- Update after 3 months



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### What are the deliverables?

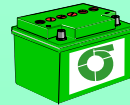
There are two deliverables from the site visits:

1. A Close out presentation with a summary of findings and pictures to illustrate issues
2. A report including action plan - action required, person in charge and timelines for completing the actions

There will be an update after three months.

## When to move to GL?

- When the standards are in place and robust
- Then .....  
independent third-party audits can begin



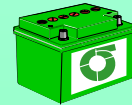
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### When to move to Green Lead Third Party Certification

Third party certification may begin once the standards have been checked through this pilot programme and interested parties and stakeholders have contributed to and approve the process.

## 3rd Party Certification...

- Independence of auditors is required
- No direct disclosure on what should be done and how
- Process that provides added value:
  - Ensures the effectiveness on the programmes.....
  - Not necessary “heavy” on documentation



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### Objectives of the visits

The site visits associated with the pilot programme are not third party certified audits of facilities, retailers, collection centres, etc. A third party audit, as such, requires independence of the auditors, so that no direct “consultancy” is provided to the audited party; i.e. there is no direct disclosure on what should be done and how.

If done in the right way - by looking at the effectiveness of the programmes - the 3rd party certification can provide added value to companies, including those which are already certified to ISO 14001 and OHSAS 18001.