

The Client's Needs

A global manufacturer of **specialty chemicals and pharmaceuticals** needed to independently **evaluate the health, safety, and environmental management systems** in place within their business units worldwide. The company's key goals were to evaluate whether and how the management systems adhered to corporate expectations and industry best practices and to identify company best practices and opportunities for improvement. The company also wanted to use this corporate-sponsored assessment process as a mechanism to **train key personnel** on management systems and assessment practices, and to increase awareness of these issues across the company.

The company had conducted two business unit assessments using in-house methodologies prior to involving KCI. Different systems were in place within each of the business units, as well as within different operational sites within a single business unit. Additional project challenges included cultural and logistical issues.

Project Scope

Assessments were conducted at eight of the company's business units during 2001-2003. Site visits were conducted at a total of **30 manufacturing and business locations located in nine countries** on three continents. In addition to **physical inspections** and extensive **document reviews**, a total of nearly **500 interviews** were conducted with personnel at all levels of the company. All assessment teams included both KCI and company personnel, with company personnel drawn from a pool spanning six countries. Written reports were generated for all assessments.

Program Results

As a result of KCI's involvement in this assessment program, the company and its business units gained a **much better understanding of the strengths and weaknesses** in their management systems, and was able to **achieve significant improvements**. Particularly important for the success of this project were the following:

- KCI's depth of experience in conducting and managing assessments of a similar nature;
- KCI's independence from the company and business units;
- Establishment of a formalized and ongoing assessment process, including methods, tools, and guidance developed by KCI;
- KCI's organizational and planning skills, which helped overcome the significant logistical challenges of the assessments;
- Training provided by KCI to company personnel before and during the assessments;
- Ensuring consistency of approach, methodology, and level of effort from among the different business unit assessments; and
- Achieving an increased awareness and understanding of the importance of management systems throughout the company.

KCI's Activities

During this extensive assignment KCI was integrally involved in all aspects of the assessment program. Key activities included:

- **Clarifying Expectations** – Working together with company management from the outset, KCI helped refine the expectations of the assessment program, including details regarding scope, approach, and reporting. By clearly defining how results were to be used, we were able to develop a formalized assessment program to meet those particular needs.
- **Building Assessment Protocol** – Using KCI's own protocol as a foundation, KCI developed an integrated written protocol for use during the assessment program. The resulting protocol incorporated not only KCI assessment items and relevant international standards, but also company-specific requirements set forth in internal company documents, including the company's management systems policy and related procedures. An important goal was to develop a protocol that accurately reflected the company's performance expectations for the business units, without dictating exactly how the business units were to operate.
- **Developing Assessment Tools** – KCI developed a range of tools and informational resources to assist corporate managers, assessment team members, and company personnel within the business units. Tools included: standardized report format; interview questionnaires; assessment plans; and informational program overview documents.
- **Training** – Prior to serving on assessment teams, all company personnel received formal training from KCI. These multi-day training sessions covered health, safety, and environmental management systems, company requirements and standards, and assessment methodologies and best practices.
- **Managing Logistics** – KCI managed and coordinated the logistics for all assessments, including arranging site visit schedules, making team assignments, developing daily interview schedules, and managing travel-related logistics.
- **Leading Assessment Teams** – Before, during, and after each assessment KCI personnel served as team leaders and team members, managing all aspects of the assessments. KCI team leader responsibilities included managing logistics, leading all meetings, managing initial information collection and coordination with the business unit, scheduling and management of all followup meetings and conference calls.
- **Reporting** – KCI managed the development of all written reports, which followed a draft-comment-final process and required extensive team collaboration. KCI also managed the post-assessment comment period with the business units and issued final reports.
- **Providing Corporate Feedback** – KCI provided feedback to corporate program managers during and after the assessments regarding lessons learned about the process and common trends in assessment findings. This feedback led to improvements in the assessment program and guided related efforts at the corporate level.

Topics Investigated

Strengths and weaknesses were evaluated across a wide range of systems topics by following the established assessment methodology and protocol for each of the following topics.

- policy development and communication
- risk assessment and management
- regulatory tracking
- goals and objectives
- emergency response systems
- standard operating procedures
- data management systems
- document control and recordkeeping systems
- training programs
- change control systems
- incident/accident management and investigation
- internal and external reporting
- internal audit & inspection programs
- personnel reward and recognition programs
- roles, responsibilities, organizational structure
- resources

KCI Assessment Checklist – Topics	
A	Commitment and Policy
A1	Management Commitment
A1.1	EHS Awareness
A1.2	Active and Visible Role
A1.3	Integration of EHS
A1.4	Awareness of Responsibility
A1.5	Employee Participation
A1.6	EHS Given Priority
A1.7	Commitment To Zero-Goal
A2	EHS Policy
A2.1	Policy Exists
A2.2	Content
A2.3	Communicated To Employees
A2.4	Visible & Accessible
A2.5	Review & Update
B	Planning
B1	Legal/Regulatory Requirements
B1.1	Identifying existing requirements
B1.2	Tracking new requirements
B1.3	Implementation
B1.4	Regulatory Dossiers
B1.5	Permits/Licenses
B1.6	Regulatory Reporting
B2	EHS Risk Assessment
B2.1	Risk Identification & Assessment
B2.2	Scope
B2.3	Appropriate Goals/Targets
B2.4	Review & Update
B2.5	Property Acquisition
B2.6	Job/Task Risk Assessment
B3	EHS Objectives and Targets
B3.1	Goals and Targets
B3.2	Scope
B3.3	Budgeting
C	EHS Programs
C1	EHS Management Programs (General)

About KCI

Krupp Consulting, Inc. (KCI) specializes in helping companies streamline and improve their performance, particularly in areas of management systems and regulatory compliance in the health, safety, and environmental fields. KCI personnel, formerly senior managers at Arthur D. Little, Inc., have extensive experience helping clients in a broad range of industries.

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