



DOC Environmental Management System (EMS) Review

December 2010



Background

- OFEE “full EMS implementation” requires
 - Formal internal audit
 - Management review of “Elements”
 - Written self-declaration by top management



Formal Internal Audit

Audit completed Nov.16-17, 2010

Results: 3 non-conformances to ISO 14001:2004(E)
standard:

1 will prevent self-declaration if not corrected prior to
December 30, 2010 (Policy statement)

2 do not affect ability to self-declare



Management Review Elements (ISO 14001:2004 (E))

- Results of Internal Audits and Status of Corrective Actions
- Evaluation of Environmental Compliance
- Communications from external interested parties
- Environmental performance of the organization
- Extent to which objectives & targets have been met
- Follow-up actions from previous management reviews
- New legal and other requirements
- Recommendations for improvement



Evaluation of Environmental Compliance

- Census: Last audit 2008 conducted by GSA
 - 5 findings
- NOAA: FY10 Audits
 - 2 regulatory inspections by EPA;
 - 13 third-party audits;
 - 13 second-party audits
- NIST Gaithersburg: FY10 Audit
 - 14 findings
- NIST Boulder: Unknown; no audits completed in FY10
- Other Bureaus: Status unknown; no audits



External Communications

- None received during this period



Environmental Performance

- DOC Notice of Violations (NOVs) in FY 2010: None
- Bureau SSPP Implementation Plans received. Assimilating data into Departmental SSPP Implementation Plan
- Scorecard data received from bureaus. On track for Jan. 7, 2011 submission to OMB
- 4 of 6 annual EMS reports have been submitted by bureau or departmental EMSs
 - DOC EMS report to be submitted upon conclusion of self-declaration, NLT 7 Jan 2011
 - NOAA EMS report in progress and on-track for timely submission
- NIST & NOAA planning EMS Surveillance Audits in FY 2011



DOC Objectives and Targets

<u>Objective</u>	<u>Target</u>	<u>Status</u>
Reduce scopes 1 & 2 GHG emissions	4%	New Requirement
Reduce scope 3 GHG emissions	1%	New Requirement
Renewable energy	5%	Achieved in FY09. FY10 data collection & assimilation in progress
Sustainable buildings	5% owned/3% leased	Achieved in FY09. FY10 data collection & assimilation in progress
Reduce potable water consumption	8%	Achieved in FY09. FY10 data collection & assimilation in progress
Waste diversion	30%	Achieved in FY09. FY10 data collection & assimilation in progress
Green purchasing	95%	Achieved in FY09. FY10 data collection & assimilation in progress
Implement IT power-saving features	95%	Achieved in FY09. FY10 data collection & assimilation in progress
Data center operating efficiency	Multiple targets	Achieved in FY09. FY10 data collection & assimilation in progress



Follow-up Actions from Previous Management Reviews

- First Management Review
- None to report



New Legal and Other Requirements

- New compliance dates for oil pollution spill prevention, control, and countermeasures (SPCC) plan
 - All subject facilities must implement SPCC plan by November 10, 2011
 - Required to be signed by licensed Professional Engineer
- NOAA: In compliance
- NIST: On target to revise SPCC
- Other Bureaus: Guidance provided; coordination in progress



Recommendations for Improvement

- Publish Energy & Environmental (E&E) DAO
 - Update & publish E&E Manual
- Comprehensive environmental compliance auditing program is needed
 - Mtg to be scheduled for Jan 2011 w/NOAA, NIST, USPTO, & Census to review NECSAS and CPTrack capabilities, then select & implement 1 common system across DOC
- Establish a DOC-HQ first-tier EMS Executive Steering Committee
 - Charter drafted, stand-up in progress



Back-Up Slides



Audit Results/ Corrective Action Status

NC#1: Environmental policy has not been signed, issued, communicated to all staff, or made available to the public.

Secretary signature required for successful self-declaration

Corrective Action:

- Policy with Secretary for signature (12/9 status)
- Issue via broadcast & website once the policy is signed



Audit Results/ Corrective Action Status

NC #2: Environmental compliance information is not reported from bureaus to DOC level

Does not prevent DOC from self-declaring

Corrective Action: One DOC-wide compliance tracking system

- o Decision meeting scheduled with bureaus (Dec. 14, 2010)
- o Fielding of system is contingent on receiving FY 2011 WCF base increase (approved but not received)



Audit Results/ Corrective Action Status

NC #3: Roles and responsibilities have not been fully implemented or communicated; top management has not been identified

Does not prevent DOC from self-declaring

Corrective Action:

- Define and communicate responsibilities in Ops Manual
 - o Ops manual in draft with responsibilities defined
- Establish Executive Steering Committee
 - o Draft Charter under development



Audit Results/ Corrective Action Status Executive Steering Committee

- Chair: SSO
- Members
 - Director, Office of Administrative Services (Deputy Chair)
 - Bureau CFOs and/or CAOs
 - DOC Office of Acquisition Management
 - DOC Chief Information Officer
 - Director for Program Evaluation and Risk Management
 - Director for Human Resources Management
 - DOC Office of General Counsel
 - DOC Chief Budget Officer
 - Director for Financial Management
- Purpose:
 - Establish management oversight for EMS and SSPP implementation in the Department
 - Cross-functional team with authority to manage and implement SSPP
- Timeline: Convene Jan. 2011, quarterly thereafter



Evaluation of Census Environmental Compliance

- 1 Internal Facility Audit (2008)
 - Performed by GSA
 - Suitland, MD Headquarters
- 5 Findings
 - No indication in audit report of open/closed status
- Findings Summary
 - **Water Pollution: 40%**
 - Hazardous Waste: 20%
 - EPCRA: 20%
 - Underground Storage Tanks: 20%



Evaluation of NOAA Environmental Compliance

- 2 EPA Compliance Inspections (RCRA Focused)
 - Western Regional Center (Sept. 14, 2010)
 - Northwest Fisheries Science Center (Sept. 14, 2010)
 - As of Dec. 6, 2010 EPA, Region 9 has not issued findings
- 26 Internal Facility Audits (Contractor/NOAA personnel)
 - Approx. 7% of owned/leased sites
 - 13 Contractor Led (Tier I)
 - 13 NOAA Led (Tier II)
- 47 Findings
 - 31 Open (65%)/16 Closed (35%)



Evaluation of NOAA Environmental Compliance

- Findings Summary
 - Used Oil: 17%
 - **Hazardous Waste: 28%**
 - Underground/Aboveground Storage Tanks: 13%
 - **SPCC: 23%**
 - Solid Waste: 4%
 - Misc.: 11%



Evaluation of NIST Environmental Compliance

- 1 Internal Facility Audit (2010)
 - Performed by NIST Personnel
 - Gaithersburg, MD
- 14 Findings
 - 8 open (57%)/6 closed (43%)
- Findings Summary
 - Air: 21%
 - **Stormwater: 43%**
 - Hazardous Waste: 29%
 - Wastewater: 7%



Compliance Conclusions

- Departmental guidance is lacking as to frequency and standards
- Only one bureau uses an auditing tool
- Most bureaus don't audit and therefore environmental compliance status is unknown
- Of the 3 bureaus who had audit results 2 of the 3 had 40% of their findings related to hazardous waste or UST/ASTs (RCRA) and for the 3rd it was the second ranked
- Too early to make any definitive conclusions



Environmental Performance

- EMSs implemented at
 - NIST
 - o Last audited 2008
 - NOAA: 4 subordinate EMSs, no viable bureau-level EMS
 - o Last audited 2008
- Each reports status directly to OFEE every January via online reporting tool
- EMS may be appropriate at other facilities and organizational levels
- DOC goal is to review facility and organizational levels for “appropriateness” for EMS implementation



Further Information

Visit the DOC EMS web portal at:

http://www.osec.doc.gov/oas/DoC_portal/index2010_v4.html