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

<table>
<thead>
<tr>
<th>Objective</th>
<th>Target</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reduce scopes 1 &amp; 2 GHG emissions</td>
<td>4%</td>
<td>New Requirement</td>
</tr>
<tr>
<td>Reduce scope 3 GHG emissions</td>
<td>1%</td>
<td>New Requirement</td>
</tr>
<tr>
<td>Renewable energy</td>
<td>5%</td>
<td>Achieved in FY09. FY10 data collection &amp; assimilation in progress</td>
</tr>
<tr>
<td>Sustainable buildings</td>
<td>5% owned/3% leased</td>
<td>Achieved in FY09. FY10 data collection &amp; assimilation in progress</td>
</tr>
<tr>
<td>Reduce potable water consumption</td>
<td>8%</td>
<td>Achieved in FY09. FY10 data collection &amp; assimilation in progress</td>
</tr>
<tr>
<td>Waste diversion</td>
<td>30%</td>
<td>Achieved in FY09. FY10 data collection &amp; assimilation in progress</td>
</tr>
<tr>
<td>Green purchasing</td>
<td>95%</td>
<td>Achieved in FY09. FY10 data collection &amp; assimilation in progress</td>
</tr>
<tr>
<td>Implement IT power-saving features</td>
<td>95%</td>
<td>Achieved in FY09. FY10 data collection &amp; assimilation in progress</td>
</tr>
<tr>
<td>Data center operating efficiency</td>
<td>Multiple targets</td>
<td>Achieved in FY09. FY10 data collection &amp; assimilation in progress</td>
</tr>
</tbody>
</table>
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
- Decision meeting scheduled with bureaus (Dec. 14, 2010)
- 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
- 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: