




UNITED STATES DEPARTMENT OF COMMERCE  
National Oceanic and Atmospheric Administration  
NATIONAL OCEAN SERVICE  
National Centers for Coastal Ocean Science  
Silver Spring, Maryland 20910

March 5, 2008

TO: Gary C. Matlock, Ph.D.  
Director, NCCOS

FROM: Rick Meitzler   
NCCOS Environmental Management Representative

SUBJECT: NCCOS FY08 EMS Audit Plan

The NCCOS Environmental Management System (EMS) Team, which includes the NCCOS Center/Laboratory EMS Representatives, proposes that the following NCCOS EMS Audits be conducted during FY08:

**External NCCOS EMS Audits.** No External NCCOS EMS Audit is proposed for FY08. However, an External NCCOS EMS Audit will be necessary during the first quarter of FY09, in order to meet the DOC requirement that an External EMS Audit be conducted every three years. (The last External NCCOS EMS Audit, conducted in December 2005, determined that the NCCOS EMS did conform to the controlling Executive Order.) In order to be fully prepared for a first quarter FY09 External Audit, most of the considerable and extensive preparations must be completed during FY08; only a very small portion of the preparations would carry over into FY09.

Preparation for the FY09 External NCCOS EMS Audit will require that a full Internal NCCOS EMS Audit and Review be conducted on-site at each NCCOS facility during FY08: 1) Silver Spring Metro Center (NCCOS Headquarters, CCMA, and CSCOR); (2) Beaufort, NC (CCFHR); (3) Oxford, MD (COL); (4) Charleston, SC (CCEHBR and HML); and (5) Kasitsna Bay, AK (KBL). **All documents, permits, and licenses, and the NCCOS Web site must all be fully ready for the Internal Audits by June 16, 2008. All other preparation efforts for the External Audit must be completed by October 3, 2008.**

The FY09 External Audit must be conducted by an organization outside NCCOS. The most appropriate and usual organization to conduct an External Audit would be a commercial one, under contract. At the present time, it is planned that DOC, NOAA or NOS will fund the External Audit contract. NCCOS will have to fund travel of NCCOS EMS Team members associated with the External Audit, though. (Note that such travel to KBL will involve only the NCCOS Lead Auditor – the NCCOS Environmental Management Representative – who will accompany the contractor.) The **contract**



**should require that no parts of the External Audit are conducted concurrently.** To help in establishing the contract, the following periods of time, in FY09, presented in decreasing order of preference, are deemed best in which to conduct the External Audit:

Oct 14 (Tue) – Oct 17 (Fri)	This period and the next two periods need to be set aside just for the External Audit of the Kasitsna Bay Laboratory. Because of potential inclement weather problems in Alaska during autumn, the earlier the Internal Audit is conducted there, the better.
Oct 20 (Mon) – Oct 24 (Fri)	
Oct 27 (Mon) – Oct 31 (Fri)	

Only one of those days in these three periods of time will actually be needed to conduct the External Audit at the Kasitsna Bay Laboratory. However, two days of associated travel will also be needed.

Nov 03 (Mon) – Nov 07 (Fri)	During this first period, or during one of the three periods that follow, External Audits of the remaining four facilities must be conducted, in a five-day period. One day each must be set aside for: SSMC, Oxford, and Beaufort. Two days must be set aside for Charleston.
Nov 17 (Mon) – Nov 21 (Fri)	
Dec 01 (Mon) – Dec 05 (Fri)	
Dec 08 (Mon) – Dec 12 (Fri)	

Travel on the Sunday before the period selected, and/or on the Saturday after the period selected must be expected by the contractor – and by the NCCOS EMS Team members who are participating in the External Audit. Attachment 1 shows the overall Timeline for the External NCCOS EMS Audit and for the associated Internal NCCOS EMS Audits.

Auditors under contract must be fully certified to conduct External EMS Audits.

### **Internal NCCOS EMS Audits.**

The schedule proposed for conducting the five parts of the NCCOS Internal EMS Audit during FY08 is contained in two periods:

Jun 16 (Mon) – Jun 21 (Fri)
Jun 17 (Tue) – Opening Meeting at 1PM EST
Jun 23 (Mon) – Jun 26 (Thu)
Jun 25 (Wed) – Closing Meeting at 3PM EST

Concurrent Internal NCCOS EMS Audits will be conducted at SSMC, Oxford, Beaufort, Charleston, and Kasitsna Bay in accordance with the Schedule for Internal NCCOS EMS Audits that is contained in Attachment 2. The Schedule includes personnel assignments, and associated travel. The NCCOS EMS Lead Auditor, Rick Meitzler, will be assisted by a Principal Auditor at each of the five Internal Audits indicated on Attachment 2 by an asterisk.

A single Internal NCCOS EMS Audit Report will be sent by the NCCOS EMS Lead Auditor to Gary Matlock (with a copy to Alicia Jarboe), through Center Directors and the Oxford and Kasitsna Laboratory DROs, no later than 30 days after completion of the Internal Audit. The designated Principal Auditors will provide individual site-related inputs to the Lead Auditor to assist in the preparation of the Internal NCCOS EMS Audit Report.

### **Audit Personnel for the NCCOS EMS Audits.**

- o **External NCCOS EMS Audits.** The NCCOS Environmental Management Representative and the NCCOS EMS Facility Representative (who is also a member of the NCCOS EMS Team) will both be on-site during the External Audit to provide any assistance to the contract Auditor(s), as needed. The NCCOS EMS Facility Representative will serve as the principal on-site facility representative/coordinator during the External Audit. The Facility Representative will be assisted by the person on the Local Facility EMS Team who has received formal EMS training (see Training Requirements Associated with the NCCOS EMS Audits below).

- o **Internal NCCOS EMS Audits.** The Lead Auditor and all other site Auditors will be from the NCCOS EMS Team. Two Auditors will perform each Internal Audit. The NCCOS EMS Facility Representative will be on-site during the Internal Audit to provide any assistance to the two Auditors, as needed. The NCCOS EMS Facility Representative will serve as the principal on-site facility representative/coordinator during the Internal Audit. The NCCOS EMS Facility Representative will be assisted by the person on the Local Facility EMS Team who has received formal EMS training (see Training Requirements Associated with the NCCOS EMS Audits below). Additional members of the Local Facility EMS Team may participate as observers with approval from the designated Audit Team Lead.

### **Planning Sessions.**

NCCOS EMS Team personnel met at HML for a one-week workshop, February 25-29 to:

- o Complete planning and scheduling for both the Internal and External Audits.
- o Review, change and update the NCCOS EMS Web site (where up-to-date and complete documents that are essential to the Internal and External Audits are maintained).
- o Update the NCCOS EMS Objectives to reflect the goals of Executive Order 13423.

In addition, the same personnel will meet at CCFHR for a one-week session, September 15-19 (not including travel, which will occur on Sunday September 14, and Saturday, September 20), to:

- o Make final plans and last-minute changes for the External NCCOS EMS Audit (scheduled for the first quarter of the following fiscal year).

- o Develop plans and approaches for corrective actions approved by the Director of NCCOS, and by the Center Directors in their responses to the results of the Internal NCCOS EMS Audits.

**Training Requirements Associated with the NCCOS EMS Audits.**

EMS training courses are being taken by the CCFHR Environmental Management Representative. These include: (1) a five-day introductory EMS course; and (2) a two-day EMS Auditor course. Scheduled completion is March 2008.

The Lead Auditor for the Internal EMS Audits, Rick Meitzler, will take a training course for serving as a Lead Auditor. Scheduled completion is March 2008.

One person from each facility EMS Team must take a two-day or a three-day introductory course, in order to assist the NCCOS EMS Facility Representative in preparing for and undergoing the facility Internal NCCOS EMS Audit and the facility External EMS Audit, as needed. Other members of the facility EMS Team must also be made available, in a more limited fashion, to assist the NCCOS EMS Facility Representative in preparing for and undergoing the facility Internal EMS Audit and the facility External EMS Audit, as needed.

Attachment 3 lists required and recommended training and associated costs.

**Projected Costs for the External and Internal NCCOS EMS Audits.**

o <u>Intensive Planning Session</u> at HML. Travel for BG (\$1,500), HS (\$1,500), JL (\$1,500), and JB (\$1,300)	\$ 5,800
o <u>Internal NCCOS EMS Audits.</u> Travel for JL (to SSMC; \$300; and to CCFHR; \$1,000), RS (to CCFHR; \$1,000 – placed in JHT contract), BG (to COL; \$500; and to HML/CCEHBR; \$1,500), HS (to HML/CCEHBR; \$1,500), RM (to KBL; \$2,500), and JB (to KBL; \$2,500)	\$10,800
o <u>External NCCOS EMS Audits.</u> Travel for BG, JL, HS, and RS (funds placed in JHT contract), and JB to SSMC, COL, HML/CCEHBR, and CCFHR – each at \$2,500; and for RM (to COL, SSNC, CCFHR, and KBL; \$4,500)	\$17,000
o <u>Planning and Corrective Action Session</u> at CCFHR. Travel for BG (\$1,500), JL (\$1,500), HS (\$1,500), RM (\$1,300), RS (\$1,200 – placed in JHT contract)	\$ 7,000
TOTAL	\$40,600

Each Center will cover costs for their members of the EMS Team. Note that the cost of the Contract for Conducting the External EMS Audit, and the cost of travel for the NOS Representative on the NCCOS EMS Team are to be covered by NOS Headquarters.

**Center/Laboratory Commitments to All NCCOS Audit Matters.**

Center and Laboratory Directors must accommodate the commitments of time needed by each and every one of the NCCOS personnel on the NCCOS EMS Team to participate in the NCCOS commitments presented in this memorandum

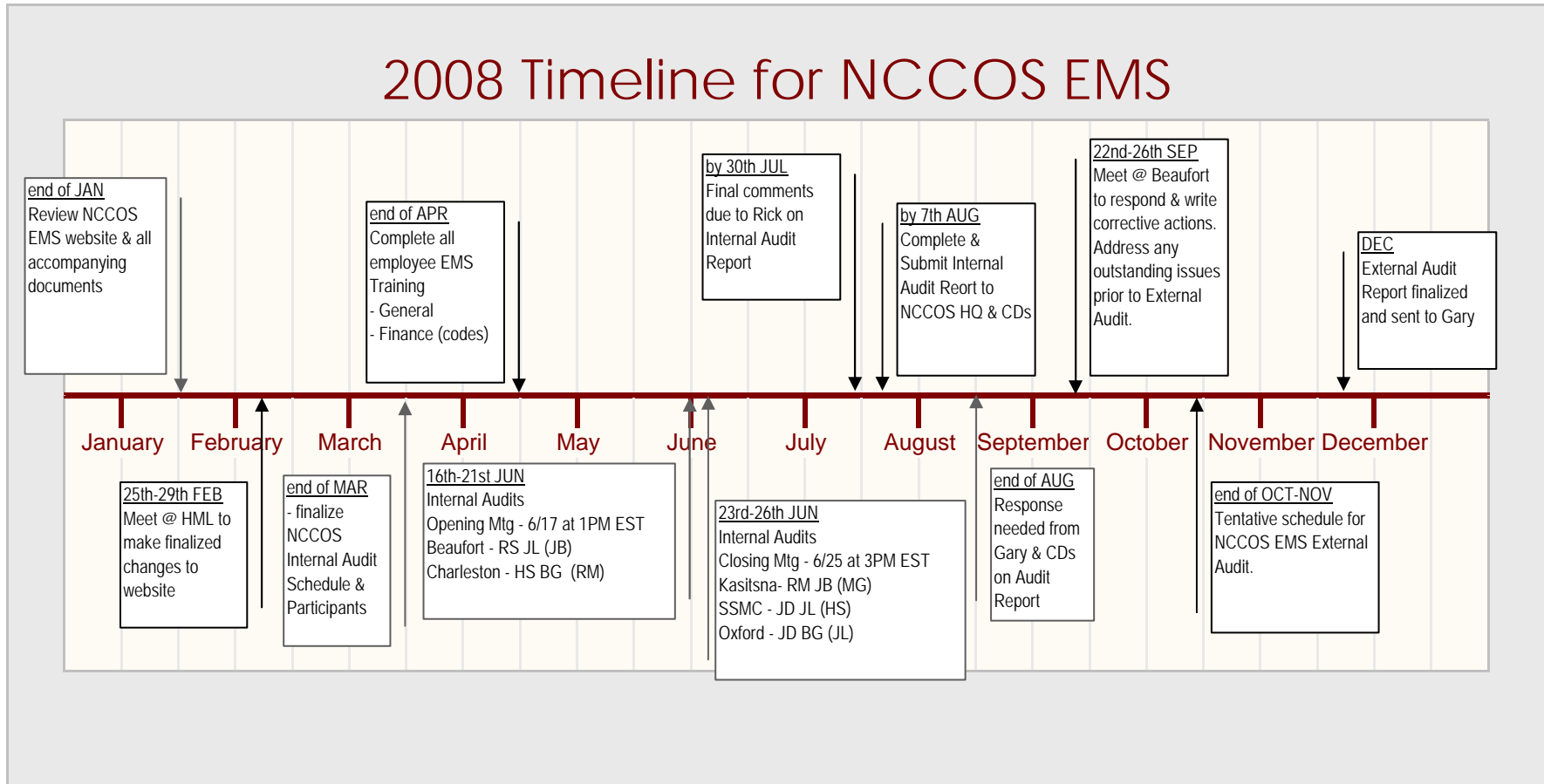
Approve: ✓ gcm      Disapprove: \_\_\_\_\_      Let's Discuss: \_\_\_\_\_

Date: 3/12/08

Attachment:

Cc: Alicia Jarboe, N/SCI

## 2008 Timeline for NCCOS EMS



**June 16 (Mon) to June 21 (Sat)**

	RM	JD	BG	JL	HS	RS	JB
16			TR	TR	TR	TR	
17	OS CH		ADT CH*	ADT BT	ADT CH	ADT BT*	OS BT
18	OS CH		ADT CH*	ADT BT	ADT CH	ADT BT*	OS BT
19	OS CH		ADT CH*	ADT BT	ADT CH	ADT BT*	
20			ADT CH*	TR	ADT CH	TR	
21			TR		TR		

**June 23 (Mon) to June 27 (Fri)**

	RM	JD	BG	JL	HS	RS	JB	KH	MG
23	TR	ADT SS		TR/ADT SS/TR*	OS SS		TR		
24	ADT KB*	TR/ADT OX*	TR/ADT OX	OS OX			ADT KB	OS KB	OS KB
25	ADT KB*	ADT OX/TR	ADT OX/TR	OS OX			ADT KB	OS KB	OS KB
26	TR						TR		
27									

Opening Meeting will be Tuesday, June 17 at 1:00PM EST

Closing Meeting will be Wednesday, June 25 at 3:00PM EST

ADT = Conduct audit at the audit site.

OS = On-site representative.

TR = Travel to/from the audit site.

BT = Beaufort

CH = Charleston

KB = Kasitsna Bay

OX = Oxford

SS = Silver Spring

\* = Principal Auditor for the designated audit

RM = Rick Meitzler

JD = Jean Durosko

BG = Bernie Gottholm

JL = Jay Lewis

HS = Hal Stanford

RS = Raluca Semeniuc

JB = Joseph Bizzell

KH = Kris Holdereid

MG = Mike Geagel

Priority 1 = Required 2 = High Priority	Training Course (or Equivalent)	Potential Locations	Date	Suggested Attendees	Initial Training/Refresher Requirements	Estimated Cost (Each Attendee)
1	ABS Certified Lead Auditor Training	Houston, TX Seattle, WA Other locations	3/10-14/08 6/16-20/08 Other	Designated Lead Auditor for 2008 - R. Meitzler Other EMS Audit Team members	Initial Requirement	\$ 3,800
1	EPA Internal Auditor Training	Various Locations	Variable	EMS Audit Team and EMS Facility Team Leads (Initial Training)	Every 3 Years	\$ 900
1	EPA Introductory EMS Training	Various Locations	TBD	New NCCOS EMS Team Member - Joseph Bizzell	Initial Requirement	\$ 1,200
1	ABS Implementing & Auditing Your EMS	San Antonio, TX Hilton Head, SC	3/25-27/08 6/24-26/08	NCCOS EMS Team Members	Every 3 Years	\$ 2,600
2	Federal Environmental Symposium	Bethesda, MD	6/2-4/08	NCCOS EMS Team and Facility Team Leads	Annual	\$ 1,400
2	EPA Annual EH&S Symposium	Research Triangle Park, NC	Spring	NCCOS EMS Team Members	Annual	\$ 900
2	NOAA EH&S Workshop	Silver Spring, MD	Spring or Summer	Facility EH&S Representatives	Annual	\$ 1,400

The following training is required for NCCOS Facility EH&S Representatives

(fulfillment of training requirements and certification of facility EH&S representatives will be examined as part of the NCCOS External Audit)

1	DGI DOT 49CFR and IATA Dangerous Goods Transportation	Atlanta, GA Orlando, FL Other locations	3/10-13/08 7/21-24/08 Other	All NCCOS EH&S Reps	Required Every 2 Years	\$ 2,600
2	ABS Environmental Compliance Bootcamp	Philadelphia, PA Williamsburg, VA Other locations	4/28-5/2/08 7/14-18/08 Other	All NCCOS EH&S Reps	Advanced Training	\$ 3,500
2	Bloodborne Pathogens and Infectious Wastes – General Awareness Training	Various Locations	TBD	All NCCOS EH&S Reps	Required	\$ 2,280