

# Roles and Responsibilities During An Environmental Audit

## Initial Audit Notification

Six weeks prior to site visit

### NPS Commercial Services WASO

- Send out initial notification of upcoming audit.
- Provide blank audit questionnaire and pre-audit information to forward to concessioner.
- Audit Team Leader (ATL) contacts park POC to coordinate audit logistics. Audit logistics planning includes travel and lodging arrangements for audit team, directions, plan for site visit, scheduling in brief and exit brief, and ensuring proper equipment is available (i.e. projector for in brief presentation).

### Park

- Notify concessioner of upcoming audit.
- Forward blank audit questionnaire and pre-audit information to concessioner staff and provide deadline for completion.
- Gather the most current copies of the contract, including operating and maintenance plans.
- Gather copies of other relevant documents, such as operational evaluations discussing environmental issues, or the Superintendent's
- Compendium (if applicable).
- Coordinate with ATL to plan audit logistics.
- Liaison on behalf of NPS Commercial Services to ensure participation by concessioner staff and applicable park personnel (i.e. park superintendent).
- Communicate any questions or concerns about the audit to the NPS Commercial Services as soon as possible.

### Concessioner

- Complete audit questionnaire and return to park staff.
- Gather copies of relevant documents as described on the audit questionnaire.
- Communicate any questions or concerns about the audit to the park as soon as possible.
- Coordinate with park on audit logistics to ensure staff and facilities are available.

## Site Visit

### NPS Commercial Services WASO

- Conduct environmental audit.
- Provide technical assistance while onsite.

## **Preliminary EAR**

Three and a half weeks following site visit

### **Park**

- Provide park POC to accompany audit team throughout site visit, including in brief and exit brief.

### **Concessioner**

- Provide concession employee to accompany audit team throughout entire site visit.
- Make staff, facilities, and records available to audit team for interview, inspection, and review.

## **NPS Commercial Services WASO**

- Audit team will develop and document audit findings in the Preliminary Environmental Audit Report (EAR).
- Audit Coordinator will distribute Preliminary EAR to the park staff.

### **Park**

- Review PEAR thoroughly, documenting comments and questions.
- Forward PEAR to concessioner staff for review.
- Coordinate with NPS Commercial Services to schedule comment teleconference within allotted timeframe.

### **Concessioner**

- Review Preliminary EAR thoroughly, documenting comments and questions.
- Coordinate with park staff to schedule comment teleconference within timeframe.

## **NPS Commercial Services WASO**

- Lead comment teleconference, reviewing each audit finding and responding to questions and concerns from park and concessioner staff.
- Thoroughly record all comments and questions.
- Distribute documented comments to park staff for final review.

### **Park**

- Participate in comment teleconference and provide comments on audit findings.
- Thoroughly review documented comments received from NPS Commercial Services and provide feedback if any within timeframe.
- Forward documented comments to concessioner staff for final review.

## **Preliminary EAR**

### **Comment**

### **Teleconference**

Five and a half weeks following site visit

## Final EAR

One week following comment period

### Concessioner

- Participate in comment teleconference and provide comments on audit findings.
- Provide any audit closure data available.
- Thoroughly review documented comments received from park staff and provide feedback, if any, within timeframe.

### NPS Commercial Services WASO

- Audit team produces the Final EAR package (including Final EAR, memo to the superintendent from

### NPS Commercial Services WASO

- Chief, blank corrective action tracking form, and Final EAR Information documents).
- Audit coordinator distributes Final EAR package to park staff.

### Park

- Forwards FEAR to concessioner staff.

### Concessioner

- Closes out all compliance findings within noted timeframe.

### NPS Commercial Services WASO

- Semiannually requests updated corrective action data from parks and regions.
- Confirms closure of audits as indicated by park staff; distributes audit closure letters.

### Park

- Forwards all finding and audit closure information to NPS Commercial Services on an annual basis.

### Concessioner

- Forwards all finding and audit closure information to park staff on an annual basis.

## Corrective Action

### Updates

Annually

# Roles and Responsibilities During A Concessioner Environmental Audit Teleconference

## Initial Audit Notification

Two weeks prior to audit teleconference

### NPS Commercial Services WASO

- Send out initial notification of upcoming audit to park.
- Provide Audit Questions and pre-audit information to forward to concessioner.
- Audit team leader (ATL) contacts park POC to confirm scheduled audit date.

### Park

- Notify concessioner of upcoming audit.
- Forward Audit Questions to concessioner for review.
- Gather most current copies of contract operating and maintenance plans if applicable and send to ATL.
- Gather copies of other relevant documents such as operational evaluations discussing environmental issues or the Superintendent's
- Compendium; send to ATL.
- Act as liaison on behalf of NPS Commercial Services to ensure concessioner participation and other park personnel participation (e.g., park superintendent).
- Communicate any questions or concerns about the audit to the NPS Commercial Services as soon as possible.

### Concessioner

- Review Audit Questions and be prepared to respond during audit teleconference.
- Gather copies of relevant documents if applicable.
- Communicate any questions or concerns about the audit to the park as soon as possible.
- Coordinate with the park on audit schedule to ensure staff availability.

## Audit Teleconference

### NPS Commercial Services WASO

- Conduct environmental audit teleconference.
- Provide technical assistance while on the teleconference.

### Park

- Identify park POC to participate in the audit teleconference.

## **Preliminary EAR**

One week following the audit teleconference

### **Concessioner**

- Identify concessioner employee to participate in the audit teleconference.

### **NPS Commercial Services WASO**

- Audit team develops and documents audit findings in the Preliminary Environmental Audit Report (EAR).
- Audit Coordinator distributes Preliminary EAR to the park.

### **Park**

- Review Preliminary EAR thoroughly, documenting comments and questions.
- Forward Preliminary EAR to concessioner for review.
- Coordinate with NPS Commercial Services to schedule comment teleconference within timeframe.

### **Concessioner**

- Review Preliminary EAR thoroughly, documenting comments and questions.
- Coordinate with park to schedule comment teleconference within timeframe.

## **Preliminary EAR**

### **Comment**

### **Teleconference**

Two weeks following the audit teleconference

### **NPS Commercial Services WASO**

- Lead comment teleconference, reviewing each audit finding and responding to questions and concerns from park and concessioner.
- Thoroughly record all comments and questions.
- Distribute documented comments to park for final review.

### **Park**

- Participate in comment teleconference and provide comments on audit findings.
- Forward documented comments to concessioner for final review.
- Thoroughly review documented comments received from NPS Commercial Services and provide feedback if any within timeframe.

### **Concessioner**

- Participate in comment teleconference and provide comments on audit findings.
- Provide any audit closure data available.
- Thoroughly review documented comments received from park and provide feedback if any within timeframe.

**Final EAR**

One week following comment period

**NPS Commercial Services WASO**

- Audit team produces the Final EAR package (including Final EAR, memo to the Superintendent from NPS Commercial Services WASO
- Chief, blank corrective action tracking form, and Final EAR information documents)
- Audit Coordinator distributes Final EAR package.

**Park**

- Forwards Final EAR to concessioner.

**Concessioner**

- Closes out all compliance findings within noted timeframes.

**Corrective Action**

**Update**

Annually

**NPS Commercial Services WASO**

- Semiannually requests updated corrective action data from parks and regions.
- Confirms closure of audits as received from parks, distributes audit closure memos.

**Park**

- Forward all finding and audit closure information to NPS Commercial Services.

**Concessioner**

- Forward all finding and audit closure information to park.