

**Summary Sheet**  
**NH Rota CY-2012 EMS Review**

| <b>ISO Element</b> | <b>ISO CRITERIA</b>                                    | <b>Percent Complete</b> |
|--------------------|--|-------------------------|
| 4.1                | General Requirements                                   | 100                     |
| 4.2                | Environmental Policy                                   | 100                     |
| 4.3.1              | Environmental Aspects                                  | 100                     |
| 4.3.2              | Legal and Other Requirements                           | 100                     |
| 4.3.3              | Objectives Targets and Programs                        | 100                     |
| 4.4.1              | Resources, Roles, Responsibility and Authority         | 100                     |
| 4.4.2              | Competence, Training and Awareness                     | 98                      |
| 4.4.3              | Communication  | 100                     |
| 4.4.4              | Documentation  | 100                     |
| 4.4.5              | Control of Documents                                   | 100                     |
| 4.4.6              | Operational Control                                    | 100                     |
| 4.4.7              | Emergency Preparedness and Response                    | 100                     |
| 4.5.1              | Monitoring and Measurement                             | 95                      |
| 4.5.2              | Evaluation of Compliance                               | 100                     |
| 4.5.3              | Nonconformity, corrective action and preventive action | 100                     |
| 4.5.4              | Control of Records                                     | 100                     |
| 4.5.5              | Internal Audit   | 100                     |
| 4.6                | Management Review                                      | 100                     |

**General Requirements  
(ISO 4.2)**

**NH Rota CY-2012 Review**

| ISO 14001:2004:4.1   |             | Progress Status     |                           |                        | Responsible Individual |              |  |  |
|--|-------------|---------------------|---------------------------|------------------------|------------------------|--------------|--|--|
| ISO CRITERIA   | ISO Element | % Complete          | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes  |
| The organization has established, documented, implemented, maintained and continually improved EMS in accordance with ISO 14001. | 4.1         | <a href="#">100</a> | Sep-09                    | May-09                 | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS established in October 2005. Progress towards full implementation & compliance verified externally during our April 2009 Environmental Assessment conducted by the BUMED EMS program manager (Ms. Polly Kendall) and a NAVFAC-Europe EMS auditor (only three minor non-conformance findings note for NH Rota's EMS). Based upon this excellent result we were permitted to formerly self-declare our EMS as fully implemented & functional in May 2009--well ahead of the Navy-wide September 2009 deadline. <b>NH Rota was the first Naval activity in the European theater to Self Declare a compliant EMS.</b> EMS maintained throughout CY-2012. |
| The scope of the EMS has been defined.   | 4.1         | <a href="#">100</a> |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Last NH Rota EMS Policy SOP revision was January 2013  |

Summary Score 100

| Color Key    | % Complete   |
|--------------|--------------|
| Green Status | 100          |
| Yellow       | 70 - 99      |
| Red          | less than 69 |

**ENVIRONMENTAL  
POLICY (ISO 4.2)**

**NH Rota CY-2012 Review**

| ISO 14001:2004   |             | Progress Status |                           |                        | Responsible Individual |              |  |   |
|--|-------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|---|
| ISO CRITERIA   | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes   |
| The senior management has defined the organization's environmental policy.   | 4.2         | 100             |                           | 28-Nov-05              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NHROTA EMS SOP 5090 Environmental Management Procedure (EMP) 001, " <b>EMS Description</b> " describes the vision, core elements and primary roles / responsibilities within the Environmental Management System (EMS) of NH, Rota Spain. |
| Policy is appropriate to nature, scale, and environmental impacts of its practices/processes, products or services.  | 4.2 (a)     | 100             |                           | 28-Nov-05              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | The scope of this document covers all staff and contractor activities within NH, Rota Spain.  |
| Policy includes commitment to continual improvement and prevention of pollution.   | 4.2 (b)     | 100             |                           | 28-Nov-05              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| Policy includes commitment to comply with applicable legal requirements and with other requirements to which the organization subscribes which relates to its environmental impacts. | 4.2 (c)     | 100             |                           | 28-Nov-05              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| Policy provides the framework for setting and reviewing environmental objectives and targets.  | 4.2 (d)     | 100             |                           | 28-Nov-05              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| Policy is documented, implemented and maintained.  | 4.2 (e)     | 100             |                           | 28-Nov-05              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| Policy is communicated to all persons working for or on behalf of the organization.  | 4.2 (f)     | 100             |                           | 28-Nov-05              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| Policy is available to the public.   | 4.2 (g)     | 100             |                           | 28-Nov-05              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | On Naval Hospital Rota Spain Public Web page  |

Summary Score 100

| Color Key    | % Complete   |
|--------------|--------------|
| Green Status | 100          |
| Yellow       | 70 - 99      |
| Red          | less than 69 |

**Environmental Aspects  
(ISO 4.3).  
NH Rota CY-2012 Review**

| ISO 14001:2004  |             | Progress Status     |                           |                        | Responsible Individual |              |  |   |
|---|-------------|---------------------|---------------------------|------------------------|------------------------|--------------|--|---|
| ISO CRITERIA  | ISO Element | % Complete          | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes   |
| A procedure is established, implemented and maintained for environmental aspects.   | 4.3.1       | <a href="#">100</a> |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NHROTA EMS EMP-002, <b>Environmental Aspect Assessment &amp; Significance Determination</b> " describes the procedure for identifying activities and processes with potential environmental aspects and impacts; and their significance upon NH Rota staff and contractors. |
| The environmental aspect procedure identifies environmental aspects.  | 4.3.1 (a)   | <a href="#">100</a> |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The environmental aspect procedure determines those aspects that have or can have significant impact(s) on the environment.                           | 4.3.1 (b)   | <a href="#">100</a> |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Any changes in significant environmental aspects (SEAs) rated & re-ranked in EMX database per 2012 IAD review.  |
| The organization documents this information and keeps it up to date.  | 4.3.1       | <a href="#">100</a> |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Environmental aspect inventory revised annually via facility walk-thru audits.  |
| The organization has ensured that the significant environmental aspects are taken into account in establishing, implementing and maintaining its EMS. | 4.3.1       | <a href="#">100</a> |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | EMS objectives & targets driven by Significant Env. Aspect (SEA) rankings   |

Summary Score [100](#)

| Color Key    | % Complete   |
|--------------|--------------|
| Green Status | 100          |
| Yellow       | 70 - 99      |
| Red          | less than 69 |

| Legal & Other Requirements (ISO 4.3.2)   |              |                 |                           |                        |                        |              |  |  |
|--|--------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|--|
| NH Rota CY-2012 Review   |              |                 |                           |                        |                        |              |  |  |
| ISO 14001:2004   |              | Progress Status |                           |                        | Responsible Individual |              |  |  |
| ISO CRITERIA   | ISO Element  | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes  |
| A procedure is established, implemented and maintained for legal and other requirements.   | 4.3.2        | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NHROTA EMS EMP-003, " <b>Legal &amp; Other Requirements</b> ," describes the means for identifying and accessing legal and other requirements which are directly applicable to the environmental aspects of NH Rota activities, processes and services. The procedure has been developed in accordance with the requirements of EMS, DOD and DON guidance. |
| The procedure for legal and other requirements identifies, and has access to, applicable legal and other requirements.                     | 4.3.2 a      | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |
| The procedure for legal and other requirements determines how these requirements apply to its environmental aspects.                       | 4.3.2 b      | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |
| Ensure that these applicable legal and other requirements are taken into account while establishing, implementing and maintaining its EMS. | 4.3.2        | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |
| Summary Score  |              | 100             |                           |                        |                        |              |  |  |
| Color Key  | % Complete   |                 |                           |                        |                        |              |  |  |
| Green Status   | 100          |                 |                           |                        |                        |              |  |  |
| Yellow   | 70 - 99      |                 |                           |                        |                        |              |  |  |
| Red  | less than 69 |                 |                           |                        |                        |              |  |  |

| Objectives, Targets and Programs (ISO 4.3.3)  |             |                 |                           |                        |                        |              |  |  |
|---|-------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|--|
| NH Rota CY-2012 Review  |             |                 |                           |                        |                        |              |  |  |
| ISO 14001:2004  |             | Progress Status |                           |                        | Responsible Individual |              |  |  |
| ISO CRITERIA  | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes  |
| Environmental objectives and targets are established, documented and maintained.  | 4.3.3       | 100             | Dec-05                    | Dec-05                 | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NHROTA EMS EMP-004, is the process for setting environmental objectives and targets for developing / executing NH Rota's environmental Mission Improvement Programs (MIPs). Our MIPs are tools for achieving an environmental objective and target for selected significant env. aspects (SEAs).   |
| The objectives and targets are measurable where practicable and consistent with the environmental policy.   | 4.3.3       | 100             | <a href="#">2-Feb-10</a>  | Mar-09                 | Env. of Care Committee |              |  | Water & electricity consumption meters replaced in 2009 -10 to ensure the most accurate measurement for year-over-year metrics comparison.   |
| In establishing and reviewing its objectives and targets, the organization has considered the legal and other requirements, its significant environmental aspects, its technological options, and its financial, operational, and business requirements, and the views of interested parties. | 4.3.3       | 100             | <a href="#">Dec-06</a>    | Dec-06                 | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |
| The organization has established and maintained a POAM(s) for achieving its objectives and targets.   | 4.3.3       | 100             | <a href="#">31-Dec-10</a> | 4-Feb-10               | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | POA&Ms developed with the EMX soft ware program for Significant Environmental Aspects from processes needing EMS improvement (e.g., resource consumption, hazardous / medical waste management, etc.per NH Rota EMS targets & objectives; with quantitative target reductions / increases (e.g., reduction in electricity / water use, etc.) where possible. |

| Objectives, Targets and Programs (ISO 4.3.3)   |             |                 |                           |                        |                                |         |         |   |
|--|-------------|-----------------|---------------------------|------------------------|--------------------------------|---------|---------|---|
| NH Rota CY-2012 Review   |             |                 |                           |                        |                                |         |         |   |
| ISO 14001:2004   |             | Progress Status |                           |                        | Responsible Individual         |         |         |   |
| ISO CRITERIA   | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                           | Phone   | Email   | Notes   |
| The POAM(s) include designation of responsibility for achieving objectives and targets at relevant functions and levels of the organization. | 4.3.3 (a)   | 100             | <a href="#">31-Dec-10</a> | 4-Feb-10               | Env. of Care Committee         | various | various | POA&M established for CY EMS Targets & Objectives list individual "Mission Improvement Process Managers (MIPMs) assigned Env. Aspect Control. Currently these remain: Head Facilities for Energy & Water conservation; Infection Control Officer for Medical Waste Management; Safety Manager for HAZMAT usage & EMS manager for Recycling program. |
| The POAM(s) include the means and time-frame by which they are to be achieved.   | 4.3.3 (b)   | 100             | <a href="#">31-Dec-10</a> | 4-Feb-10               | Env. of Care Committee / MIPMs | various | various | Annual CY POA&Ms include the means and time-frame by which Objectives & Targets are attempted to be achieved  |
| Summary Score  |             | 100             |                           |                        |                                |         |         |   |
| Color Key  |             | % Complete      |                           |                        |                                |         |         |   |
| Green Status   |             | 100             |                           |                        |                                |         |         |   |
| Yellow   |             | 70 - 99         |                           |                        |                                |         |         |   |
| Red  |             | less than 69    |                           |                        |                                |         |         |   |

| Resources Roles, Responsibility and Authority (ISO 4.4.1)  |             |                 |                           |                             |  |              |  |  |
|--|-------------|-----------------|---------------------------|-----------------------------|--|--------------|--|--|
| NH Rota CY-2012 Review   |             |                 |                           |                             |  |              |  |  |
| ISO 14001:2004   |             | Progress Status |                           |                             | Responsible Individual   |              |  |  |
| ISO CRITERIA   | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date      | Name   | Phone        | Email  | Notes  |
| Management has ensured the availability of resources essential to establish, implement, maintain and improve the EMS.  | 4.4.1       | 100             |                           | Ongoing fiscal budget years | Commanding Officer/<br>Board of Directors  |              |  | NHROTA EMS EMP-005, " <i>Management Actions to Support Objectives &amp; Targets/Mission Improvement(MIP)</i> " provides guidance for implementing environmental management actions and, if necessary, the funding of projects to achieve established objectives and targets to establish and maintain environmental compliance at NH Rota. |
| Roles, responsibilities, and authorities have been defined, documented, and communicated.  | 4.4.1       | 100             |                           | 21-Feb-06                   | David W Hiipakka   | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Per NH Rota EMS EMP--006 delineating EMS program Structure & Responsibility.   |
| The organization's senior management has appointed specific management representatives who, irrespective of other responsibilities, have defined roles, responsibilities, and authority. | 4.4.1       | 100             |                           | 21-Feb-06                   | (EOC) committee designated as EMS forum. Members include Safety Mgr., Infection Control Officer, Risk Manager, Facility Manager, Industrial Hygienist, Emergency Contingency manager, etc. |              |  |  |
| The management representative ensures that EMS requirements are established, implemented and maintained with ISO 14001.  | 4.4.1 (a)   | 100             |                           | 21-Feb-06                   | David W Hiipakka   | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |

| Resources Roles, Responsibility and Authority (ISO 4.4.1)   |              |                 |                           |                        |                        |              |  |       |
|---|--------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|-------|
| NH Rota CY-2012 Review  |              |                 |                           |                        |                        |              |  |       |
| ISO 14001:2004  |              | Progress Status |                           |                        | Responsible Individual |              |  |       |
| ISO CRITERIA  | ISO Element  | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes |
| The management representative reports to senior management on the performance of the EMS for review, including recommendations for improvement. | 4.4.1 (b)    | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |       |
| Summary Score   |              | 100             |                           |                        |                        |              |  |       |
| Color Key   | % Complete   |                 |                           |                        |                        |              |  |       |
| Green Status  | 100          |                 |                           |                        |                        |              |  |       |
| Yellow  | 70 - 99      |                 |                           |                        |                        |              |  |       |
| Red   | less than 69 |                 |                           |                        |                        |              |  |       |

| Competence, Training & Awareness (ISO 4.4.2)   |             |                 |                           |                           |                        |              |  |   |
|--|-------------|-----------------|---------------------------|---------------------------|------------------------|--------------|--|---|
| NH Rota CY-2012 Review   |             |                 |                           |                           |                        |              |  |   |
| ISO 14001:2004   |             | Progress Status |                           |                           | Responsible Individual |              |  |   |
| ISO CRITERIA   | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date    | Name                   | Phone        | Email  | Notes   |
| The organization has ensured that personnel performing tasks which can cause significant environmental impacts are competent on the basis of appropriate education, training and/or work experience and shall retain associated records. | 4.4.2       | 100             |                           | 21 Feb 2006 / Ongoing     | Dept. supervisors      |              |  | NHROTA EMS EMP-007 for <b>"Training, Awareness &amp; Competence."</b> Staff specialty training for specific environmental aspect management (e.g., medical waste SOP, HAZMAT, EMS, energy conservation, etc.) ongoing / tracked by MIPMs and/or Ed-Training dept.   |
| The organization has identified training needs associated with its environmental aspects and its EMS. The organization has provided training, or taken other actions to meet those needs, and has retained associated records.           | 4.4.2       | 85              |                           | Open --<br>Dec-11 Ongoing | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | (A) EMS manager received EMS Auditor certification in Naples Italy (July 2009).<br>(B) Special summary version of NH Rota EMS training translated & given to Spanish contractor for inclusion in their Company's internal training program. (C) <b>Alternate EMS manager should be identified &amp; trained .</b> |
| Procedures have been established, implemented and maintained for employee competence, training and awareness   | 4.4.2       | 100             |                           | 21 Feb 2006 / Ongoing     | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The above-mentioned procedures make employees aware of the importance of conformance with the environmental policy and procedures and with the requirements of the environmental management system.                                      | 4.4.2 (a)   | 100             |                           | 21 Feb 2006 / Ongoing     | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Particularly our new staff indoctrination training.   |

| Competence, Training & Awareness (ISO 4.4.2)   |             |                 |                           |                        |                        |              |  |       |
|--|-------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|-------|
| NH Rota CY-2012 Review   |             |                 |                           |                        |                        |              |  |       |
| ISO 14001:2004   |             | Progress Status |                           |                        | Responsible Individual |              |  |       |
| ISO CRITERIA   | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes |
| The above mentioned procedures make employees aware of the significant environmental aspects, related actual or potential impacts associated with their work, and the environmental benefits of improved personal performance. | 4.4.2 (b)   | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |       |
| The above mentioned procedures make employees aware of their roles and responsibilities in achieving conformance with the requirements of the EMS.   | 4.4.2 (c)   | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |       |
| The above mentioned procedures make employees aware of the potential consequences of departing from specified operating procedures.  | 4.4.2 (d)   | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |       |
| Summary Score  |             | 98              |                           |                        |                        |              |  |       |
| Color Key  |             | % Complete      |                           |                        |                        |              |  |       |
| Green Status   |             | 100             |                           |                        |                        |              |  |       |
| Yellow   |             | 70 - 99         |                           |                        |                        |              |  |       |
| Red  |             | less than 69    |                           |                        |                        |              |  |       |

| Communication (ISO 4.4.3)   |              |                 |                           |                        |                        |              |  |   |
|---|--------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|---|
| NH Rota CY-2012 Review  |              |                 |                           |                        |                        |              |  |   |
| ISO 14001:2004  |              | Progress Status |                           |                        | Responsible Individual |              |  |   |
| ISO CRITERIA  | ISO Element  | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes   |
| The organization has established, implemented and maintained procedures, with regard to its environmental aspects and EMS, for communication.   | 4.4.3        | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 008, " <b>Communication</b> " address communications, both internal and external, concerning environmental risks, incidents and regulatory compliance as required by DOD and DON EMS guidance. |
| The communication procedures include internal communication among the various levels and functions of the organization.   | 4.4.3 (a)    | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 008: Section V.A   |
| The communication procedures include receiving, documenting and responding to relevant communication from external interested parties.  | 4.4.3 (b)    | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 008: Section V.B   |
| The organization has considered and documented whether or not to communicate externally about its significant environmental aspects. If the organization has decided to communicate, the organization has established and implemented a method for this external communication. | 4.4.3        | 100             |                           | 31-Aug-10              | CO/ BOD                | varies       | <a href="#">varies</a>   | NH Rota publicizes how we successfully manage our Env. aspects to the base community <i>via periodic Rota base news paper articles &amp; posting to public web page).</i>   |
| Summary Score   |              | 100             |                           |                        |                        |              |  |   |
| Color Key   | % Complete   |                 |                           |                        |                        |              |  |   |
| Green Status  | 100          |                 |                           |                        |                        |              |  |   |
| Yellow  | 70 - 99      |                 |                           |                        |                        |              |  |   |
| Red   | less than 69 |                 |                           |                        |                        |              |  |   |

| Documentation (ISO 4.4.4)  |             |                 |                           |                        |                        |              |  |  |
|--|-------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|--|
| NH Rota CY-2012 Review   |             |                 |                           |                        |                        |              |  |  |
| ISO 14001:2004   |             | Progress Status |                           |                        | Responsible Individual |              |  |  |
| ISO CRITERIA   | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes  |
| The organization has established and maintained EMS documentation.   | 4.4.4       | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 009, "Documentation" has been developed for establishing and maintaining documents related to Command environmental protection efforts. It is consistent with the requirements set by DOD and DON EMS guidance. |
| The EMS documentation include the environmental policy and objectives and targets.   | 4.4.4 (a)   | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |
| The EMS documentation include the description of the scope of the EMS.   | 4.4.4 (b)   | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |
| The EMS documentation include the description of the main elements of the EMS and their interaction, and reference to related documents.   | 4.4.4 (c)   | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |
| The EMS documentation, includes document & records, required by ISO 14001.   | 4.4.4 (d)   | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |
| The EMS documentation include documents & records, determined by the organization to be necessary to ensure the effective planning, operation and control of processes that relate to its significant environmental aspects. | 4.4.4 (e)   | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |
| <b>Summary Score</b>   |             | 100             |                           |                        |                        |              |  |  |

| Control of Documents (ISO 4.4.5)   |             |                 |                           |  |                        |              |  |   |
|--|-------------|-----------------|---------------------------|--|------------------------|--------------|--|---|
| NH Rota CY-2012 Review   |             |                 |                           |  |                        |              |  |   |
| ISO 14001:2004   |             | Progress Status |                           |  | Responsible Individual |              |  |   |
| ISO CRITERIA   | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date                           | Name                   | Phone        | Email  | Notes   |
| Documents required by the EMS and ISO 14001 have been controlled. Records are a special type of document and have also been controlled in accordance with the requirements in 4.5.4. | 4.4.5       | 100             |                           | 21 Feb 2006 / Last Revised 12 May 2010 / Ongoing | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 010, " <b>Document Control</b> " controlling EMS documents is consistent with DOD / DON EMS guidance. Per the CY-11 EMS IAD review; the scope of NH Rota "Controlled" EMS documents was refined & narrowed to these documents:<br><br><ul style="list-style-type: none"> <li>• Environmental Policy</li> <li>• Environmental Mgmt. Procedures (EMPs)</li> <li>• Env Aspect inventory</li> <li>• Internal Assessment Documentation (IAD)</li> <li>• Internal Assessment Plan</li> <li>• EMS Goals &amp; Objectives, current &amp; Plans of Action &amp; Milestones (POA&amp;Ms).</li> </ul> |
| The organization has established, implemented and maintained procedures for the control of documents.  | 4.4.5       | 100             |                           | 21 Feb 2006 / Ongoing                            | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The control of records procedure approves documents for adequacy prior to issue.   | 4.4.5 (a)   | 100             |                           | 21 Feb 2006 / Ongoing                            | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The control of records procedure, reviews, updates as necessary, and re-approves documents.  | 4.4.5 (b)   | 100             |                           | 21 Feb 2006 / Ongoing                            | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The control of records procedure ensures changes and that the current revision status of documents is identified.  | 4.4.5 (c)   | 100             |                           | 21 Feb 2006 / Ongoing                            | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The control of records procedure, ensures that relevant versions of applicable documents are available at points of use.   | 4.4.5 (d)   | 100             |                           | 21 Feb 2006 / Ongoing                            | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Record owners & locations listed in EMP 015, Section II.  |

| Control of Documents (ISO 4.4.5)  |             |                 |                           |                        |                        |              |  |       |
|---|-------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|-------|
| NH Rota CY-2012 Review  |             |                 |                           |                        |                        |              |  |       |
| ISO 14001:2004  |             | Progress Status |                           |                        | Responsible Individual |              |  |       |
| ISO CRITERIA  | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes |
| The control of records procedure, ensures that documents remain legible and readily identifiable.   | 4.4.5 (e)   | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |       |
| The control of records procedure, ensures that documents of external origin, as determined by the organization to be necessary for the planning and operation of the EMS, are identified and their distribution controlled. | 4.4.5 (f)   | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |       |

| Control of Documents<br>(ISO 4.4.5)   |              |                 |                           |                        |                        |              |  |       |
|---|--------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|-------|
| NH Rota CY-2012 Review  |              |                 |                           |                        |                        |              |  |       |
| ISO 14001:2004  |              | Progress Status |                           |                        | Responsible Individual |              |  |       |
| ISO CRITERIA  | ISO Element  | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes |
| The control of records procedure, prevents the unintended use of obsolete documents and applies suitable identification to them if they are retained for any purpose. | 4.4.5 (g)    | 100             |                           | 21 Feb 2006 / Ongoing  | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |       |
| Summary Score   |              | 100             |                           |                        |                        |              |  |       |
| Color Key   | % Complete   |                 |                           |                        |                        |              |  |       |
| Green Status  | 100          |                 |                           |                        |                        |              |  |       |
| Yellow  | 70 - 99      |                 |                           |                        |                        |              |  |       |
| Red   | less than 69 |                 |                           |                        |                        |              |  |       |

| Operational Control (ISO 4.4.6)   |             |                 |                           |                        |   |              |  |  |
|---|-------------|-----------------|---------------------------|------------------------|---|--------------|--|--|
| NH Rota CY-2012 Review  |             |                 |                           |                        |   |              |  |  |
| ISO 14001:2004  |             | Progress Status |                           |                        | Responsible Individual  |              |  |  |
| ISO CRITERIA  | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name  | Phone        | Email  | Notes  |
| The organization has identified those operations that are associated with the identified significant environmental aspects in line with its policy, objectives and targets.   | 4.4.6       | 100             |                           | Jul-06                 | David W Hiipakka  | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 011, " <b>Operational Control</b> " designates Command subject matter experts as "Mission Improvement Process Managers (MIPMs) per their unique knowledge of specific environmental aspects for control purposes. |
| The organization has planned and maintained these operations in order to ensure that they are carried out under specific conditions by establishing, implementing and maintaining documented procedures to control situations where their absence could lead to deviation from the environmental policy and objectives and targets. | 4.4.6 (a)   | 100             |                           | Jul-06                 | <b>Various MIPMs.</b> For example: Infection Control officer for medical biowaste mgnt. Facility Mgr. for water / electricity conservation. Safety Mgr for HAZMAT, etc. |              |  | Specialized department procedural SOPs in place. In addition, EMS Mgr. has developed and periodically revises " <b>Env. Aspect Mgmt Plans</b> " (EAMPs) to aide MIPMs in their aspect operational control duties.                            |
| The organization has planned and maintained these operations in order to ensure that they are carried out under specific conditions by stipulating the operating criteria in the procedures.  | 4.4.6 (b)   | 100             |                           | Jul-06                 | <b>Various MIPMs.</b> For example: Infection Control officer for medical biowaste mgnt. Facility Mgr. for water / electricity conservation. Safety Mgr for HAZMAT, etc. |              |  | EMS Mgr. has developed and periodically revises Env. Aspect Mgmt Plans (EAMPs) to aide MIPMs in their aspect operational control duties.   |

| Operational Control (ISO 4.4.6)   |             |                 |                           |                        |   |               |  |  |
|---|-------------|-----------------|---------------------------|------------------------|---|---------------|--|--|
| NH Rota CY-2012 Review  |             |                 |                           |                        |   |               |  |  |
| ISO 14001:2004  |             | Progress Status |                           |                        | Responsible Individual                            |               |  |  |
| ISO CRITERIA  | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name  | Phone         | Email  | Notes  |
| The organization has planned and maintained these operations in order to ensure that they are carried out under specific conditions by establishing, implementing and maintaining procedures related to the identified significant environmental aspects of goods and services used by the organization and communicating applicable procedures and requirements to suppliers, including contractors. | 4.4.6 (c)   | 100             | <a href="#">Mar-09</a>    | Jul-06                 | David W Hiipakka EMS Mgr & Head, Facilities Dept. | 727-2783/3522 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Specific Dept. heads, EMS Mgr. & Head, Facilities Dept. coordinate control of environmentally "risky" operations so they're done under specific conditions. For example, by establishing, implementing and maintaining process SOPs related to identified significant environmental aspects (SEAs) and communicating applicable procedures and requirements to suppliers & contractors. Procedural controls for identified SEAs include: Env. Aspect Mgmt Plans (EAMPs), Command SOPs & instructions, private contractor Quality Control program, etc. |
| Summary Score   |             | 100             |                           |                        |   |               |  |  |
| Color Key   |             | % Complete      |                           |                        |   |               |  |  |
| Green Status  |             | 100             |                           |                        |   |               |  |  |
| Yellow  |             | 70 - 99         |                           |                        |   |               |  |  |
| Red   |             | less than 69    |                           |                        |   |               |  |  |

| Emergency Preparedness and Response (ISO 4.4.7)   |             |                 |                           |   |  |              |                               |   |
|---|-------------|-----------------|---------------------------|---|--|--------------|-------------------------------|---|
| NH Rota CY-2012 Review  |             |                 |                           |   |  |              |                               |   |
| ISO 14001:2004  |             | Progress Status |                           |   | Responsible Individual   |              |                               |   |
| ISO CRITERIA  | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date  | Name   | Phone        | Email                         | Notes   |
| The organization has established, implemented and maintained a procedure(s) to identify potential emergency situations and potential accidents that can have an impact(s) on the environment and how it will respond to them. | 4.4.7       | 100             |                           | 21-Feb-06   | LT Williams, NH Rota<br>Emergency Management/<br>Contingency Officer | 727-3488     | Brandon.Williams@med.navy.mil | Potential Env. emergencies possibly requiring specific emergency preparation plans include: Fuel tank releases, prolonged electricity outages, water rationing in extreme drought conditions & small (<10 gallons) of hazardous material/waste spills.  |
| The organization shall respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental impacts.   | 4.4.7       | 100             |                           | 21-Feb-06   | David W Hiipakka   | DSN 727-2783 | david.hiipakka@med.navy.mil   | NH Rota EMS SOP 5090 / EMP 012: Emergency Preparedness & Response. This EMP limits actual staff member emergency response to such env. incidents as small volume HAZMAT & HAZWASTE spills. Major emergencies (i.e., UST leaks) would be handled by special contract personnel.  |
| The organization has periodically reviewed and, where necessary, revised its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations.                        | 4.4.7       | 100             |                           | Variable per<br>Disaster<br>Control /<br>Contingency<br>Officer<br>guidance | LT Williams, NH Rota<br>Emergency Management/<br>Contingency Officer | 727-3488     | Brandon.Williams@med.navy.mil | Naval Hospital, Rota<br>Emergency<br>Management/Contingency<br>Officer should periodically<br>review onsite operations to<br>identify potential emergency<br>situations. The Command's<br>Emergency Management Plan<br>(EMP) should then be revised<br>to address any environmental<br>contingencies. In some cases,<br>emergency preparedness and<br>response plans are required;<br>which include (but not limited<br>to): losing our medical waste<br>disposal transporter & long-<br>term MEDWASTE storage,<br>hazardous chemical waste<br>handling, storage and spill<br>contingency, water shortages,<br>etc. |

|   |                        |                   |                                  |  |  |              |                               |   |
|---|------------------------|-------------------|----------------------------------|--|--|--------------|-------------------------------|---|
| <b>Emergency Preparedness and Response (ISO 4.4.7)</b>                      |                        |                   |                                  |  |  |              |                               |   |
| <b>NH Rota CY-2012 Review</b>   |                        |                   |                                  |  |  |              |                               |   |
| <b>ISO 14001:2004</b>   | <b>Progress Status</b> |                   |                                  | <b>Responsible Individual</b>                                  |  |              |                               |   |
| <b>ISO CRITERIA</b>   | <b>ISO Element</b>     | <b>% Complete</b> | <b>Projected Completion Date</b> | <b>Actual Completion Date</b>                                  | <b>Name</b>  | <b>Phone</b> | <b>Email</b>                  | <b>Notes</b>  |
| The organization has periodically tested such procedures where practicable. | 4.4.7                  | 100               |                                  | Varies per Emergency Management / Contingency Officer guidance | LT Williams, NH Rota Emergency Management/ Contingency Officer | 727-3488     | Brandon.Williams@med.navy.mil | The organization has periodically tested such procedures (i.e., small hazardous material spills) where practicable. |
| <b>Summary Score</b>  |                        | 100               |                                  |  |  |              |                               |   |
| <b>Color Key</b>  | <b>% Complete</b>      |                   |                                  |  |  |              |                               |   |
| Green Status  | 100                    |                   |                                  |  |  |              |                               |   |
| Yellow  | 70 - 99                |                   |                                  |  |  |              |                               |   |
| Red   | less than 69           |                   |                                  |  |  |              |                               |   |

| Monitoring and Measurement (ISO 4.5.1)   |             |                 |                           |                        |                        |              |  |   |
|--|-------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|---|
| NH Rota CY-2012 Review   |             |                 |                           |                        |                        |              |  |   |
| ISO 14001:2004   |             | Progress Status |                           |                        | Responsible Individual |              |  |   |
| ISO CRITERIA   | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes   |
| The organization has established, implemented and maintained documented procedures to monitor and measure, on a regular basis, the key characteristics of its operations that can have significant impact(s) on the environment. | 4.4.7       | 100             |                           | Jul-06                 | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 013, " <b>Monitoring &amp; Measurement</b> " designates Command subject matter experts as "Mission Improvement Process Managers (MIPMs) per their unique knowledge of specific environmental aspects for control purposes.   |
| The procedure, as referenced in Criteria #65, includes the documentation of information to monitor performance, applicable operational controls and conformity with the organization's environmental objectives and targets.     | 4.4.7       | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The organization ensures that calibrated or verified monitoring and measuring equipment is used and maintained and retains associated records.   | 4.4.7       | 85              |                           | Sep-05                 | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | --All technical monitoring equipment used (e.g., noise sound level meters, chemical gas detectors, indoor air quality meters, etc.) are maintained and calibrated per MFR guidance. --<br>During 2011 and this CY-2012 IAD surveys utility meters & the recycled materials scale had no recent calibration records. ECARs remain open for these non-conformances. |
| Summary Score  |             | 95              |                           |                        |                        |              |  |   |
| Color Key  |             | % Complete      |                           |                        |                        |              |  |   |
| Green Status   |             | 100             |                           |                        |                        |              |  |   |
| Yellow   |             | 70 - 99         |                           |                        |                        |              |  |   |
| Red  |             | less than 69    |                           |                        |                        |              |  |   |

| Evaluation of Compliance (ISO 4.5.2)   |                     |                 |                           |                        |                        |              |  |   |
|--|---------------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|---|
| NH Rota CY-2012 Review   |                     |                 |                           |                        |                        |              |  |   |
| ISO 14001:2004   |                     | Progress Status |                           |                        | Responsible Individual |              |  |   |
| ISO CRITERIA   | ISO Element         | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes   |
| The organization has established, implemented and maintained procedures to periodically evaluate compliance with applicable legal requirements, and kept records of the results of the periodic evaluations. | 4.5.2.1             | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| Records of the results of the periodic evaluations, as referenced in Criteria #68, have been kept.   | 4.5.2.1             | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Maintained on NH Rota LAN Archive & uploaded to EMX EMS program   |
| The organization has established, implemented and maintained procedures to periodically evaluate compliance with other requirements to which it subscribes.  | 4.5.2.2             | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Annual host installation NAVFAC Rota Env. office audits of Hazardous & Medical Waste programs per Spain Final Governing Stds. |
| Records of the results of the periodic evaluations, have been retained.  | 4.5.2.2             | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Maintained on NH Rota LAN Archive & uploaded to EMX EMS program   |
| Summary Score  |                     | 100             |                           |                        |                        |              |  |   |
| <b>Color Key</b>   | <b>% Complete</b>   |                 |                           |                        |                        |              |  |   |
| <b>Green Status</b>  | <b>100</b>          |                 |                           |                        |                        |              |  |   |
| <b>Yellow</b>  | <b>70 - 99</b>      |                 |                           |                        |                        |              |  |   |
| <b>Red</b>   | <b>less than 69</b> |                 |                           |                        |                        |              |  |   |

| Nonconformity, Corrective Action and Preventive Action (ISO 4.5.3)  |             |                 |                           |                        |                        |              |  |  |
|---|-------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|--|
| NH Rota CY-2012 Review  |             |                 |                           |                        |                        |              |  |  |
| ISO 14001:2004  |             | Progress Status |                           |                        | Responsible Individual |              |  |  |
| ISO CRITERIA  | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes  |
| The organization has established, implemented and maintained procedures to deal with actual and potential nonconformity(ies) and for taking corrective action and preventive action.                                    | 4.5.3       | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 014 "Non-conformance, Non-compliance & Corrective and Preventive Action" manages instances of non-conformance and/or non-compliance with environmental regulations and/or Command EMS policy. "Environmental Corrective Action Reports" (ECARs) are issued to document EMS deficiencies or instances of regulatory non-compliance. ECARs document the problem & assign responsibility for correction. |
| The established, implemented and maintained procedures define requirements for identifying and correcting nonconformity(ies) and taking action(s) to mitigate their environmental impacts.                              | 4.5.3 (a)   | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Included on NH Rota EMS SOP 5090 / EMP 014 "Non-conformance, Non-compliance & Corrective and Preventive Action" procedure "ECAR" form. <b>NOTE:</b> Four ECARs issued in CY-2012 .   |
| The established, implemented and maintained procedures define requirements for investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence.                      | 4.5.3 (b)   | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Included on NH Rota EMS SOP 5090 / EMP 014 "Non-conformance, Non-compliance & Corrective and Preventive Action" procedure "ECAR" form.   |
| The established, implemented and maintained procedures define requirements for evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence. | 4.5.3 (c)   | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Included on NH Rota EMS SOP 5090 / EMP 014 "Non-conformance, Non-compliance & Corrective and Preventive Action" procedure "ECAR" form.   |

| Nonconformity, Corrective Action and Preventive Action (ISO 4.5.3)   |              |                 |                           |                        |                        |              |  |  |
|--|--------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|--|
| NH Rota CY-2012 Review   |              |                 |                           |                        |                        |              |  |  |
| ISO 14001:2004   |              | Progress Status |                           |                        | Responsible Individual |              |  |  |
| ISO CRITERIA   | ISO Element  | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes  |
| The established, implemented and maintained procedures define requirements for recording the results of corrective action(s) and preventive action(s) taken.       | 4.5.3 (d)    | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Included on NH Rota EMS SOP 5090 / EMP 014 "Non-conformance, Non-compliance & Corrective and Preventive Action" procedure "ECAR" form. |
| The established, implemented and maintained procedures define requirements for reviewing the effectiveness of corrective action(s) and preventive action(s) taken. | 4.5.3 (e)    | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Included on NH Rota EMS SOP 5090 / EMP 014 "Non-conformance, Non-compliance & Corrective and Preventive Action" procedure "ECAR" form. |
| The organization has taken actions appropriate to the magnitude of the problems and the environmental impacts encountered.   | 4.5.3        | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Included on NH Rota EMS SOP 5090 / EMP 014 procedure "ECAR" form.  |
| The organization has ensured that any necessary changes are made to EMS documentation.   | 4.5.3        | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | During annual NH Rota EMS SOP 5090 document review. Revision of this 5090 SOP done bi-annually.  |
| Summary Score  |              | 100             |                           |                        |                        |              |  |  |
| Color Key  | % Complete   |                 |                           |                        |                        |              |  |  |
| Green Status   | 100          |                 |                           |                        |                        |              |  |  |
| Yellow   | 70 - 99      |                 |                           |                        |                        |              |  |  |
| Red  | less than 69 |                 |                           |                        |                        |              |  |  |

| Control of Records (ISO 4.5.4)   |              |            |                           |                        |                        |              |  |   |
|--|--------------|------------|---------------------------|------------------------|------------------------|--------------|--|---|
| NH Rota CY-2012 Review   |              |            |                           |                        |                        |              |  |   |
| ISO 14001:2004   |              |            | Progress Status           |                        | Responsible Individual |              |  |   |
| ISO CRITERIA   | ISO Element  | % Complete | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes   |
| The organization has established, and maintained records to demonstrate conformity to the requirements of its EMS, ISO 14001, and the results are achieved.        | 4.5.4        | 100        |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 015 "Records" procedure describes the process of identification, filing and maintenance of environmental records required by DOD, Navy and Spanish / European Community regulations. |
| The organization has established, implemented and maintained a procedure for the identification, storage, protection, retrieval, retention and disposal of records | 4.5.4        | 100        |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Maintained on NH Rota LAN Archive & uploaded to EMX EMS program   |
| Records shall be and remain legible, identifiable, and traceable.  | 4.5.4        | 100        |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NOTE: Many crucial record (i.e., fuel tank maintenance, repairs and leak testing) kept by NH Rota's maintenance contractor--overseen by the Facilities Dept. head.  |
| Summary Score  |              | 100        |                           |                        |                        |              |  |   |
| Color Key  | % Complete   |            |                           |                        |                        |              |  |   |
| Green Status   | 100          |            |                           |                        |                        |              |  |   |
| Yellow   | 70 - 99      |            |                           |                        |                        |              |  |   |
| Red  | less than 69 |            |                           |                        |                        |              |  |   |

| Internal Audit (ISO 4.5.5)  |             |                 |                           |                        |                        |              |  |   |
|---|-------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|---|
| NH Rota CY-2012 Review  |             |                 |                           |                        |                        |              |  |   |
| ISO 14001:2004  |             | Progress Status |                           |                        | Responsible Individual |              |  |   |
| ISO CRITERIA  | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes   |
| The organization has ensured that internal audits of the EMS are conducted at planned intervals.  | 4.5.5       | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 016 " <b>EMS Review</b> " procedure was developed to provide a format to periodically audit the EMS against the requirements of DOD and DON EMS guidance |
| The internal EMS audits determine whether the EMS conforms to planned arrangements for environmental management, including the requirements of ISO 14001.   | 4.5.5 (a)   | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The internal EMS audits determine whether the EMS has been properly implemented and is maintained.  | 4.5.5 (a)   | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The internal EMS audits determine whether the EMS has provided information on the results of audits to management.  | 4.5.5 (b)   | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | EMS audit information passed via EOC briefings and End-CY BOD Sr. Management review of NH Rota EMS.   |
| The organizations has planned, established, implemented and maintained audit programs, taking into consideration the environmental importance of the operation(s) concerned and the results of previous audits. | 4.5.5       | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Annual host installation NAVFAC Rota Env. office audits of Hazardous & Medical Waste programs per Spain Final Governing Stds.   |
| The organization has established, implemented and maintained audit procedures.  | 4.5.5       | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 016 "EMS Review" procedure developed per the US Navy Env. Quality Assessment (EQA) program.  |

| Internal Audit (ISO 4.5.5)   |             |                 |                           |                        |                        |              |  |   |
|--|-------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|---|
| NH Rota CY-2012 Review   |             |                 |                           |                        |                        |              |  |   |
| ISO 14001:2004   |             | Progress Status |                           |                        | Responsible Individual |              |  |   |
| ISO CRITERIA   | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes   |
| The audit procedures address the responsibilities and requirements for planning and conducting audits, reporting results and retaining associated records. | 4.5.5       | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The audit procedures address the determination of audit criteria, scope, frequency and methods.  | 4.5.5       | 100             |                           | 21-Feb-06              | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| Auditors have been selected, and the audits conducted, in a manner that ensures objectivity and the impartiality of the audit process.                     | 4.5.5       | 100             |                           | 1-Aug-09               | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Although NH Rota's EMS manager is certified to perform EMS audits, (DW Hiipakka); internal hospital auditors may lack external objectivity. To avoid this, the help of our host installation NAVFAC Rota environmental office was sought (i.e., their Navy-certified EMS auditor aided the hospital's internal review). |
| Summary Score  |             | 100             |                           |                        |                        |              |  |   |
| Color Key  |             | % Complete      |                           |                        |                        |              |  |   |
| Green Status   |             | 100             |                           |                        |                        |              |  |   |
| Yellow   |             | 70 - 99         |                           |                        |                        |              |  |   |
| Red  |             | less than 69    |                           |                        |                        |              |  |   |

| Management Review (ISO 4.6)  |             |                 |                           |                        |                        |              |  |   |
|--|-------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|---|
| NH Rota CY-2012 Review   |             |                 |                           |                        |                        |              |  |   |
| ISO 14001:2004   |             | Progress Status |                           |                        | Responsible Individual |              |  |   |
| ISO CRITERIA   | ISO Element | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes   |
| The organization's senior management has, at intervals that it determines, reviewed the environmental management system, to ensure its continuing suitability, adequacy and effectiveness. Records of the management reviews are retained. | 4.6         | 100             |                           | 12/12/2005 / Ongoing   | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS SOP 5090 / EMP 017 " <b>Management Review</b> " describes the process for conducting a senior level management review of the EMS at NH, Rota. Management reviews conducted annually to ensure the EMS's continuing sustainment, effectiveness & compliance. In this forum, the NH Rota Commanding Officer & Board of Directors review & address the possible need for changes to policy, objectives and other EMS elements. |
| The management review process takes into account the results of internal audits and evaluations of compliance with legal requirements and with other requirements to which the organization subscribes.                                    | 4.6 (a)     | 100             |                           | 12/12/2005 / Ongoing   | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Year-end management reviews normally conducted each January to review the previous calendar year's program activities (e.g., internal / external audits, POA&M completion, ECAR close-out, etc.).   |
| The management review process takes into account communication(s) from external interested parties, including complaints.  | 4.6 (b)     | 100             |                           | 12/12/2005 / Ongoing   | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |   |
| The management review process takes into account the environmental performance of the organization.  | 4.6 (c)     | 100             |                           | 12/12/2005 / Ongoing   | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | EMS performance measures (e.g., DoD EMS webpage metrics, internal Command Goals & Objectives, etc.) reviewed.   |
| The management review process takes into account the extent to which objectives and targets have been met.   | 4.6 (d)     | 100             |                           | 12/12/2005 / Ongoing   | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Specific Command env. aspects for which goals developed include: Recycling, electricity / water usage & medical waste management.   |

| Management Review (ISO 4.6)   |              |                 |                           |                        |                        |              |  |  |
|---|--------------|-----------------|---------------------------|------------------------|------------------------|--------------|--|--|
| NH Rota CY-2012 Review  |              |                 |                           |                        |                        |              |  |  |
| ISO 14001:2004  |              | Progress Status |                           |                        | Responsible Individual |              |  |  |
| ISO CRITERIA  | ISO Element  | % Complete      | Projected Completion Date | Actual Completion Date | Name                   | Phone        | Email  | Notes  |
| The management review process takes into account the status of corrective and preventive actions.   | 4.6 (e)      | 100             |                           | 12/12/2005 / Ongoing   | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Status of number of "Env. Corrective Action Reports ("ECARs) issues & still open reviewed.   |
| The management review process takes into account the follow-up actions from previous management reviews.  | 4.6 (f)      | 100             |                           | 12/12/2005 / Ongoing   | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> |  |
| The management review process takes into account changing circumstances, including developments in legal and other requirements related to its environmental aspects.   | 4.6 (g)      | 100             |                           | 12/12/2005 / Ongoing   | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Any new environmental regulations impacting NH Rota processes or waste streams / env. media streams briefed to BOD during annual management reviews.             |
| The management review process takes into account recommendations for improvement.   | 4.6 (h)      | 100             |                           | 12/12/2005 / Ongoing   | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | Recommendations for EMS program improvement and/or "course corrections actively solicited from BOD members   |
| The outputs from management reviews include all decisions and actions related to possible changes to environmental policy, objectives, targets and other elements of the EMS are consistent with the commitment to continual improvement. | 4.6          | 100             |                           | 12/12/2005 / Ongoing   | David W Hiipakka       | DSN 727-2783 | <a href="mailto:david.hiipakka@med.navy.mil">david.hiipakka@med.navy.mil</a> | NH Rota EMS review follows established NH Rota / BOD procedures for organizational excellence and continuous improvement for all such critical Command programs. |
| Summary Score   |              | 100             |                           |                        |                        |              |  |  |
| Color Key   | % Complete   |                 |                           |                        |                        |              |  |  |
| Green Status  | 100          |                 |                           |                        |                        |              |  |  |
| Yellow  | 70 - 99      |                 |                           |                        |                        |              |  |  |
| Red   | less than 69 |                 |                           |                        |                        |              |  |  |