

RICE Certification Audit Form

Overview

RICE Certification Audits are conducted to ensure compliance with the representations made in the certification application and the terms of the certification MOA. To remain in good standing a certified RICE should provide the U.S. IOOS Program Office with written notification of substantive changes to the information provided during certification when needed.

When the audit is conducted, it will verify some or all of the representations made in the certification application including any conditions stipulated in the Certification MOA.

Besides the primary purpose of verification, audits also serve to inform future IOOS policy and identify best practices to improve RICE performance. Each RICE should have at least one audit during the term of its certification.

Audits may be conducted on-site, virtually, as a document review or any combination of these.

- On site – Audit team member(s) physically visit a site to verify compliance.
- Interview – Audit team member(s) communicates with the RICE one-on-one to verify compliance.
- Virtual – Audit team member(s) access websites and data to verify compliance.
- Document review – Audit team member(s) review current documentation on published websites or provide by the RICE in response to an audit request.

There are three types of audits:

- Standard audits are structured samplings of representations made in the certification application. Standard audits are part of IOOS annual planning and focus on RICEs in their second, third, or fourth year of certification.
- Directed Audits occur when a higher authority directs the IOOS Program to conduct an Audit.
- Special Audits occur when the IOOS Deputy Director finds that an event, incident or report justifies executing an audit or when directed by the IOOS Program Director.

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Upon notifying the RICE of the audit, the U.S. IOOS Program Office will coordinate the details of the audit with the RICE. Once the audit is completed, a summary of findings will be provided to the RICE for comment. The RICE is provided the opportunity to:

- Provide additional information that may affect the findings.
- Take actions to address the findings.
- Document their disagreement with the findings.

After consideration of the RICE comments, the audit team will create the final audit report.

The audit team will then create the transmittal memorandum including any suggested or required actions for the RICE. The RICE receives the final audit report once the Director approves it.

Findings in the final audit report may be categorized as:

- No deficiencies noted – the audit uncovered no deficiencies requiring action.
- Minor – minor corrective actions are required. Compliance will be checked in a future audit.
- Substantive – the RICE must correct the issue or update its Certification Application to reflect the changes by a specified date.
- Major – Information uncovered during the audit demonstrates failure to comply with the representations made in the certification application or the terms of certification. The RICE must take action to be in conformance or decertification action may ensue.

Barring special circumstances audits will:

- Not be conducted in the first year after certification.
- Not conducted in the last year of a certification term.
- Not conducted within 1 year of a previous audit, unless:
 - The last audit was focused on a subset of areas of interest and the new audit is focused on other areas, and there is a compelling need approved by the Director, U.S. IOOS Program Office.
 - The audit is focused on specific deficiency areas and remedial actions resulting from the previous audit.

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1. Type of Application: New Renewal Revision Audit

2. Applicant Name: PacIOOS

3. Name and contact information of the U.S. IOOS Program Certification Process Owners:

Certification Process Owner: Dave Easter

Telephone Number: (240) 533-9453

Email: Dave.Easter@noaa.gov

DMAC Lead: Kathy Bailey

Telephone Number: (240) 533-9449

Email: Kathleen.Bailey@noaa.gov

4. Certification Audit Type:

Standard

Directed

Special

5. Audit Methods (select all that apply):

On-Site

Interview

Virtual

Document Review

6. Certification Audit Plan (select all that apply):

Commitments made during certification

RICE Employees

DMAC

Organizational Structure

Member Policy

Financial Oversight

Strategic Operating Plan

Gaps ID

_____ Not included in the current audit.

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1) Commitments made during certification:

The PacIOOS certification application references several actions to be completed in the future. In approving the PacIOOS as a certified RICE, NOAA recognizes that PacIOOS has agreed to complete the following actions:

- Begin archiving the data collected from their near-shore buoys and water quality sensors with NOAA's National Centers for Environmental Information by the end of March 2017.
- Are all near-shore buoy and water quality sensor data archived with NCEI?

Yes No

If no, please provide a brief plan of action with an updated implementation date.

Plan of action:

Implementation date: _____

Comment:

- Send all profiling glider data to the U.S. IOOS Glider Data Assembly Center (DAC) for archiving when it receives notification from the U.S. IOOS Program Office that the DAC is ready to accept archival data.

Have the data been sent to the DAC?

Yes No

If no, when will this be completed?

Date: _____

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Comment:

- Send all animal telemetry data to the U.S. IOOS Animal Telemetry Network Data Assembly Center for archiving when it receives notification from the U.S. IOOS Program Office that the DAC is ready to accept archival data.

Have the data been sent to the DAC?

Yes No

If no, when will this be completed?

Date: _____

Comment:

- For variables with approved QARTOD manuals, QARTOD QC tests will be in place no later than December 2015.

Have QARTOD QC tests been implemented?

Yes No

If no, please provide a brief plan of action with an updated implementation date.
Plan of action:

Implementation date: _____

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- For variables with QARTOD manuals in development, QARTOD QC tests will be in place within 6 months of publication of the manual.

- Have QARTOD manuals (required tests) that were published since the RICE Certification date been implemented by the RICE, if applicable?

Phytoplankton	Yes	No	N/A
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Passive Acoustics	Yes	No	N/A
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Stream Flow	Yes	No	N/A
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Comment:

If no, please provide a brief plan of action with an implementation date.
Plan of action:

Implementation date: _____

- Remove all Liquid Robotics wave glider data from PacIOOS data servers and data portals until the data are quality-controlled by Liquid Robotics.

- Have the Liquid Robotics wave glider data been removed from PacIOOS data servers and portals?

Yes	No
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If no, are the data quality-controlled?

Yes No

If the data are published but are not quality-controlled, please provide a date for when the data will be removed from public access:

Date: _____

Comment:

2) RICE Employees:

The RICE Certification Application listed a total of 8 individuals as filling the three roles (overall RICE management, observations management, and data management) that qualify as employees of the RICE.

- Do all of the identified/approved employees still work for the RICE? If so, are they still fulfilling their position in the same capacity as defined in the certification application? If not, please provide the names of those employees.

1. Chris Ostrander: overall RICE management

Yes No

If no, provide the name and contact information for the individual that replaced them, if applicable:

N/A

Name: _____

Email: _____

Comment:

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2. Melissa Iwamoto: overall RICE management

Yes No

If no, provide the name and contact information for the individual that replaced them, if applicable:

N/A

Name: _____

Email: _____

Comment:

3. Pierre Flament: observations systems across region

Yes No

If no, provide the name and contact information for the individual that replaced them, if applicable:

N/A

Name: _____

Email: _____

Comment:

4. Kim Holland: observations systems across region

Yes No

If no, provide the name and contact information for the individual that replaced them, if applicable:

N/A

Name: _____

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Email: _____

Comment:

5. Margaret McManus: observations systems across region

Yes No

If no, provide the name and contact information for the individual that replaced them, if applicable:

N/A

Name: _____

Email: _____

Comment:

6. Mark Merrifield: observations systems across region

Yes No

If no, provide the name and contact information for the individual that replaced them, if applicable:

N/A

Name: _____

Email: _____

Comment:

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7. Jim Potemra: coordination and management of observation data

Yes No

If no, provide the name and contact information for the individual that replaced them, if applicable:

N/A

Name: _____

Email: _____

Comment:

8. John Mauer: coordination and management of observation data

Yes No

If no, provide the name and contact information for the individual that replaced them, if applicable:

N/A

Name: _____

Email: _____

Comment:

- Please submit the CVs of the new employees to the U.S. IOOS Program Office for approval.

Comment:

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3) DMAC Audit Plan:

- ✓ Quality Control of Real Time Oceanographic Data (QARTOD)
- ✓ Data Sharing/Access Services

3a) Quality Control of Real Time Oceanographic Data (QARTOD)

As documented within the Certification application, the data quality control procedures that have been applied to data not obtained through a federal data source, that are distributed by the RICE shall be quality controlled and QARTOD procedures shall be employed for data with QARTOD manuals. For each data stream, describe the quality control procedure applied to the data, by the RICE or other named entity, between the data's collection and publication by the RICE. The description will also include a reference to the procedure used.

- Data streams selected for audit:
 - 1) Currents
 - 2) Salinity
 - 3) Water temperature
- Are there quality control procedures in place for these data streams, either by the RICE or by the data provider?

Currents	Yes	No
Salinity	Yes	No
Water temperature	Yes	No

If no, please provide a brief plan of action with an implementation date.
Plan of action:

Implementation date: _____

Comment:

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3b) Data Sharing/Access Services

As documented within the Certification application, when data are collected in part or in whole with funds distributed to a RICE through the U.S. IOOS Program Office, the RICE should strive to make the data available as soon as logistically feasible for each data stream. When data are not collected with funds distributed to a RICE through the U.S. IOOS Program Office, the data may be made available in accordance with any agreement made with the data provider.

- Are the datasets identified in the certification application publicly available in real-time or near real-time?

Yes No

If no, provide a date for when the data will be available:

Comment:

- Are the data access services described in the application fully functional?

Yes No

If no, provide a date for when the services will be available:

Comment:

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4) Organization Structure

The Certification application documented a description of the established process for identifying how the governing body is selected. The process should address representation of geographic, sector, expertise, and stakeholder considerations. Approval does not require specific numbers of board members or how they are distributed across the categories listed, but acknowledges that a governing body that is representative of the regional observing system interests is desirable, encouraged, and actively pursued. The RICE should document the by-laws, signed articles of agreement, or any binding agreements that demonstrate how the RICE establishes and maintains a Governing Board or governing body.

- What is the composition of the Governing Board or governing body selected, and how is it representative of regional ocean observing interests?

- Has the composition of the Governing Board or governing body changed since the RICE received certification?

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- Have any of the by-laws been amended, removed, or added since certification? If so, provide an explanation.

Yes

No

5) Membership Policy - not included in current audit

6) Financial Oversight - not included in current audit

7) Strategic Operational Plan - not included in current audit

8) Gaps Identification - not included in current audit

I certify that to the best of my knowledge and belief all of the information on this form is correct.

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Signature of RICE Executive Director

Date