

Compliance Tools for Assessing Risk: Top Ten Tips When Conducting an Environmental Audit

Midwest Environmental Compliance
Conference, Chicago
November 1-3, 2016

Risk



Tune up....



Check up....



Audit



Why?



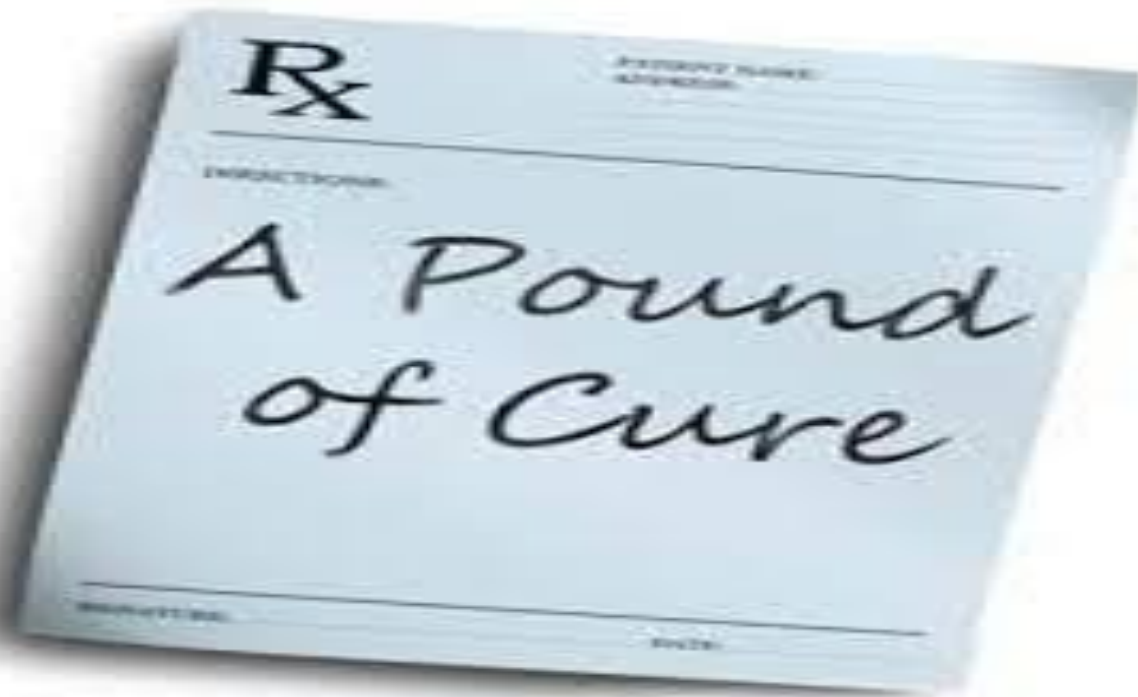
- Do we have to?
- Is it required by law?



So, if we don't HAVE to, then why do we audit?

- Because what you don't know CAN hurt you.
- Avoid liability
- Continuous improvement
- Identify and resolve compliance issues
- Develop employee skills
- Share best practices AND
- TO IDENTIFY RISKS

An Ounce of Prevention...



When?



How?



The Nuts and Bolts

- Opening Conference
- Facility Tour
- Audit (desk, detailed facility tour and interviews)
- Wrap Up Report Out Conference
- Draft Report
- Final Report

Follow Up

- Priority rankings
- Audit tracking
- Updates
- Documenting follow up

And the Top Ten



10. Be Prepared.



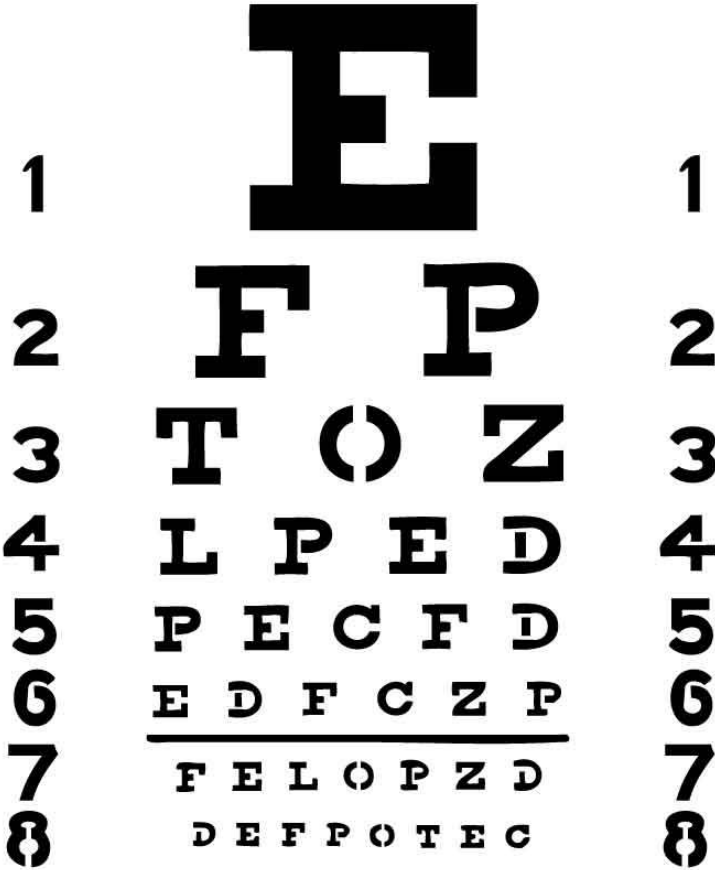
9. Use a Qualified Audit Team.



8. Start making observations from the highway.



Look at your facility through the eyes of a regulator



Better this way?



Or this way?

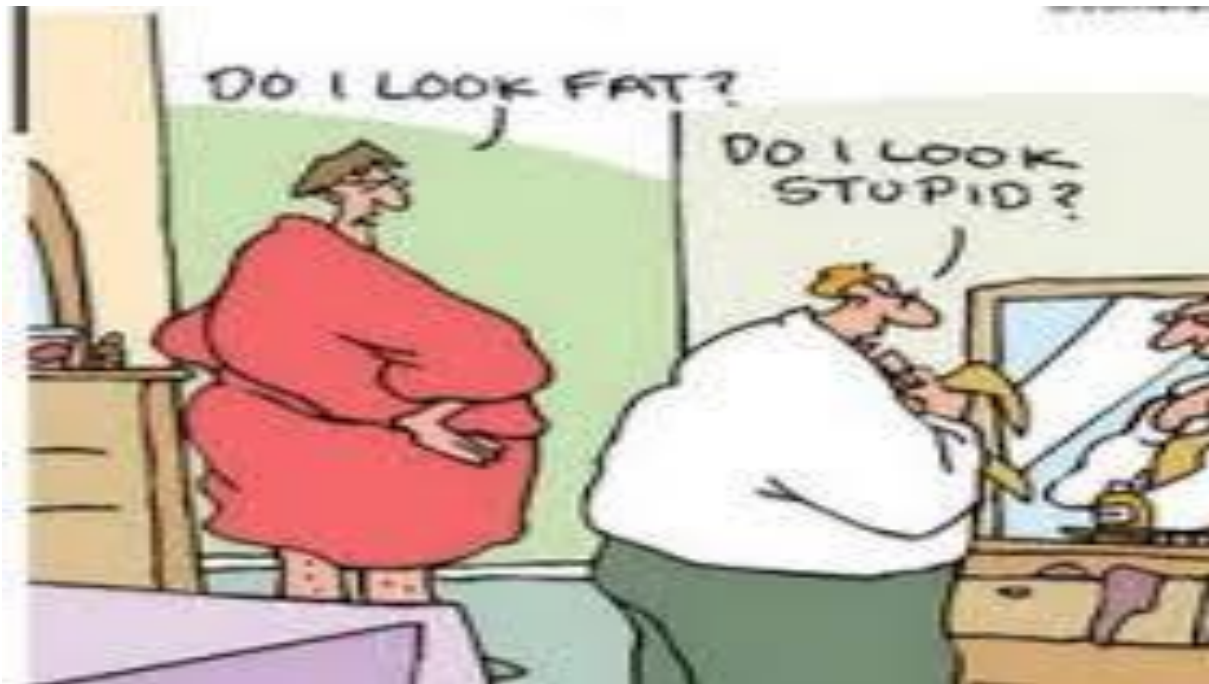


8.5. Everything you know....

Can be overheard in the Company cafeteria....



7. Be Honest and Objective.



6. Don't be punitive.



"It was embarrassing to be called out in front of my coworkers, but even worse when I had to spend 10 minutes in the Time Out Chair."

5. If you can't think of something nice to say.....



4. Incorporate Training and Coaching.



3. Set Realistic Follow Up Plans....

...and implement them.

2. Clearly Communicate Findings to All Stakeholders.



1. What's worse than not auditing at all?



QUESTIONS?

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