

Operational Risk Management • Process Improvement • Management Systems • Compliance Assurance • Business Continuity



ASSESSING RISK: TOP TEN TIPS FOR CONDUCTING AN ENVIRONMENTAL AUDIT



dynaQ

Who am I

- Kestrel Management
 - ▣ Operational Risk Management Consulting
 - ▣ Includes compliance and management system compliance
- Evan Fitzgerald
 - ▣ Information Systems Partner at Kestrel Management
 - ▣ Been in EHS consulting for 20 years
 - ▣ Manage applications (custom and commercial) for regulatory management

1. Have a Computerized System

- Any system is better than nothing
- Impacts of “Smart People” Audits
- Functional is better than perfect



“I want you to find a bold and innovative way to do everything exactly the same way it’s been done for 25 years.”

2. Most Important Time is Before Audit

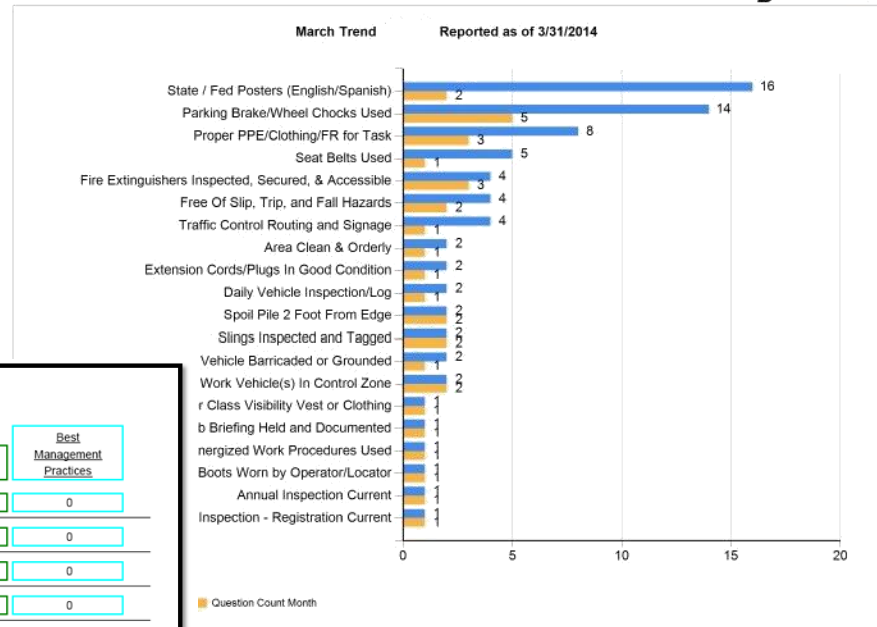
- Know the scope of the Audit
- Question lists ready
- Understand how you get to the Final Report



3. Capture Data

- Data vs. Information
- Countable
- Sortable
- Comparable

dynaQ



Print Date

Assessment Scorecard

Assessment Subject	Priority A	Priority B	Priority C	Acceptable Practices	Best Management Practices
OSHA 1910 - Confined Space Entry	1	2	0	4	0
OSHA 1910 - Cranes and Hoists	2	1	0	2	0
OSHA 1910 - Electrical Safety	0	1	1	1	0
OSHA 1910 - Fire Extinguishers	0	2	0	0	0
OSHA 1910 - First Aid	0	1	0	0	0
OSHA 1910 - Ladders	1	2	0	0	0
OSHA 1910 - Personal Protective Equip	0	1	0	0	0
OSHA 1910 - Walking and Working Surf.	1	1	0	1	0
Assessment Totals	5.00	11.00	1.00	8.00	0.00

This Report Includes Data from the Following Assessments:

AssessmentObjectName	AssessmentDate
Phoenix Corporate Center	

4....but Information is Important Too

- Descriptions
- Directions
- Photos/Media



5. Reports Must be Timely

- Serve as a permanent record
- Begin the process of remediation
- Staff needs to know that Audits matter



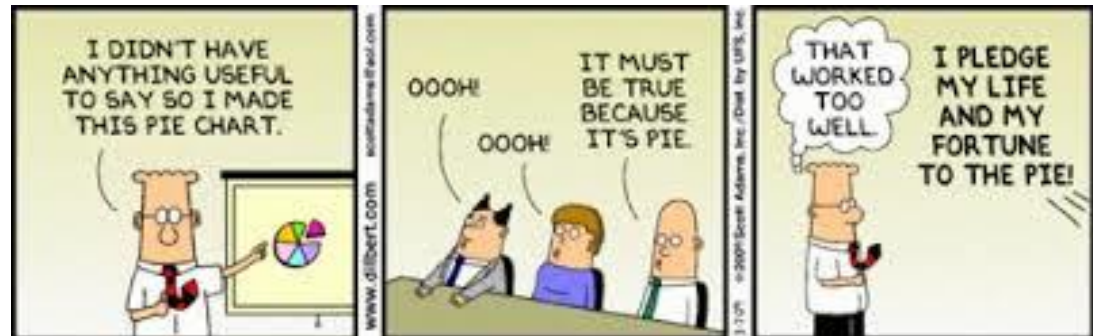
6. Immediate Fixes Should be Noted

- Unrecorded items
“never happened”
- Build a culture where individuals are not punished for findings



7. Understand Report Audience

- Not all data presentation is useful
- Value of automated outputs
- Identify key data



8. Compare to Previous Audits

- ❑ Must have a common scope
- ❑ Must have a common checklist
- ❑ Focuses on the key of improving/maintaining compliance



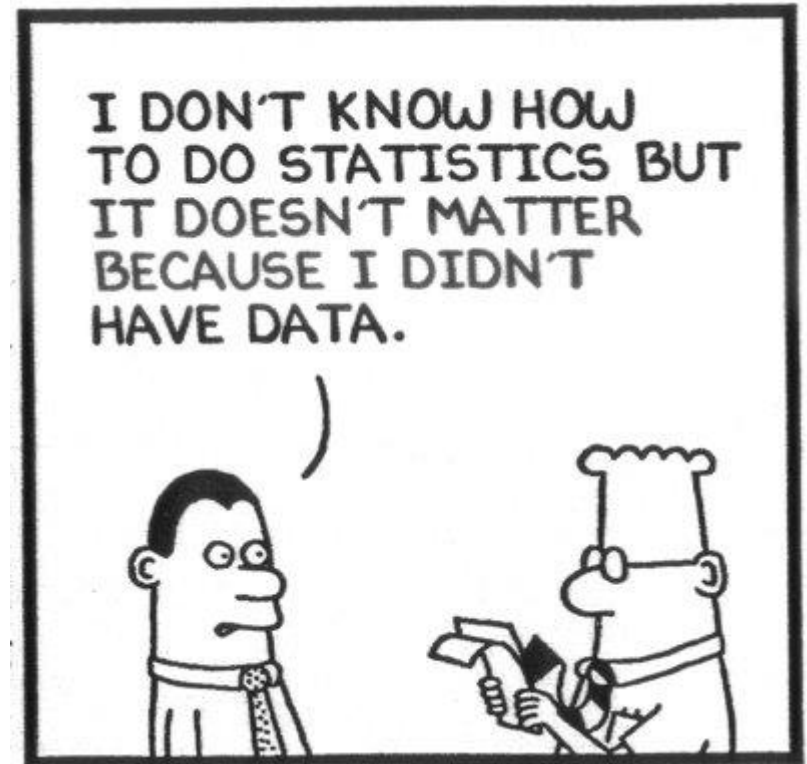
9. Manage Regulatory Updates

- Don't lose connection to past Audits
- Regulations might change...checklists might not



10. For Data...Frequency is Key

- What would smaller scope – higher frequency audits look like?
- How can more people get involved?
- What is the ultimate goal?



Contact Us

Madison: 608-226-0531

Chicago: 630-955-0095

Austin: 512-921-8438

www.kestrelmanagement.com

www.kestrelfoodsafety.com

www.dynaQonline.com