

Planning for Success: How to Build a Compliance System for Your EHS

Sarah Sajedi, CEO & CTO,
ERA Environmental
Management Solutions

Building an **Advanced Compliance System** for your EH&S Management

Presented by

Sarah Sajedi

Director of Research & Development



What is a Compliance System?

- A platform for tracking and reporting on compliance tasks.
- A system for assigning tasks to employees.
- A way to track external and internal deadlines.

Compliance System is Typically a **Software Platform**

But the alternative is the

Advanced Compliance System

with built-in intelligent Business Process Management.



A Good System Should:

- Make it easier to assign tasks to the right person.
- Give executives a view into their operations.
- Make it easier to complete tasks.
- Create accountability.
- Generate business intelligence.

A Systematic Approach

Compliance tasks are what keeps your facility running efficiently and safely.

- **Standardized approach** – manage tasks in the same manner every time.
- **Centralized tracking** – keep all task data in one database.
- **Transparent** – know who is responsible for tasks and management.
- **Automated** – do the work for you, intelligently.

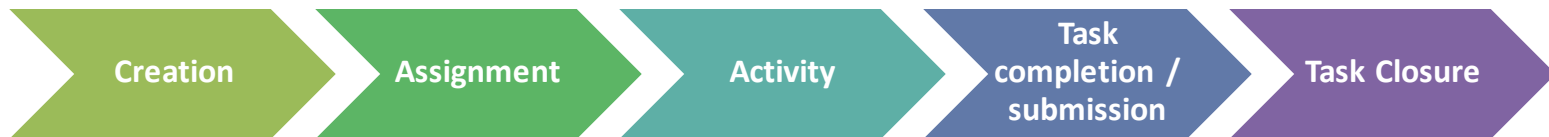


Getting Started:

- Create a list or database of your compliance tasks:
 - Environmental
 - Health & Safety
 - Administrative & training
 - Deadlines & recurrences
- Assess scope of your needs:
 - Who will be Assigned to each task?
 - What are your reporting needs?
 - How to interface with other systems?
 - Where to collect information / other inputs?

Next Step: Break Tasks Down to Data Collection Points

- Task creation (by whom, for what needs, for whom?)
- Task assignment
- Task deadline(s) - internal and external
- Task milestone completion
- Task closure



Data should be collected at *each* of these steps in order to get *real-time* snapshots of compliance for your site.

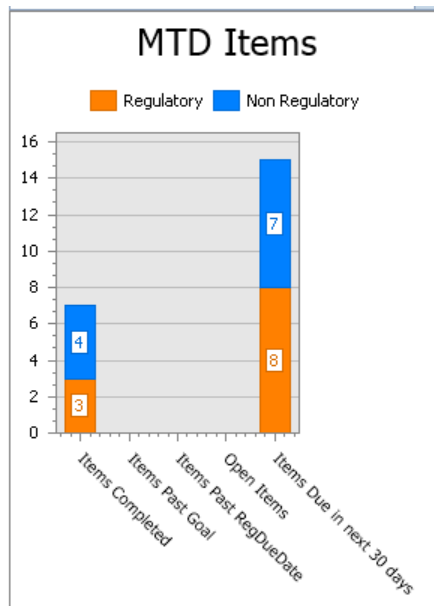
Resulting Insights:

- Which tasks have upcoming deadlines?
- Who is responsible for each task?
- What is the status of a task?
- Are there any missed goals or deadlines?
- How many days were spent on a specific compliance task?
- What information was collected / submitted for a task?

These metrics give executives and managers vital insight into planning their operations and being better prepared for future planning.



Sample Reports



Regardless of how you track your compliance, you want to be able to produce records for:

- Completed tasks
- Items past goal
- Items past due
- Ongoing/open items
- Upcoming items

Automation at Work: Assignment

Compliance task **assignment** can be automated if you clearly define roles within your employee and their job titles.

Example: When a task is assigned to a person and they change job or leave your company you have two choice, either you can replace their name in your database with the new employee taking over their task or you can let automation take over and assign the tasks to the new employee with the same or similar assigned title.

This requires you have a database of current employees updated regularly in for your compliance system. This is called Automation at its best. An intelligent system that can detect change and react to it.



Automation at Work: Reminders/ Alerts

Compliance task **Reminders** can be sent at pre-defined intervals. This is useful to keep tasks on track and meet deadlines.

Example: send an email reminder 1 month before deadline... 1 week before deadline... three days before... until task is closed.

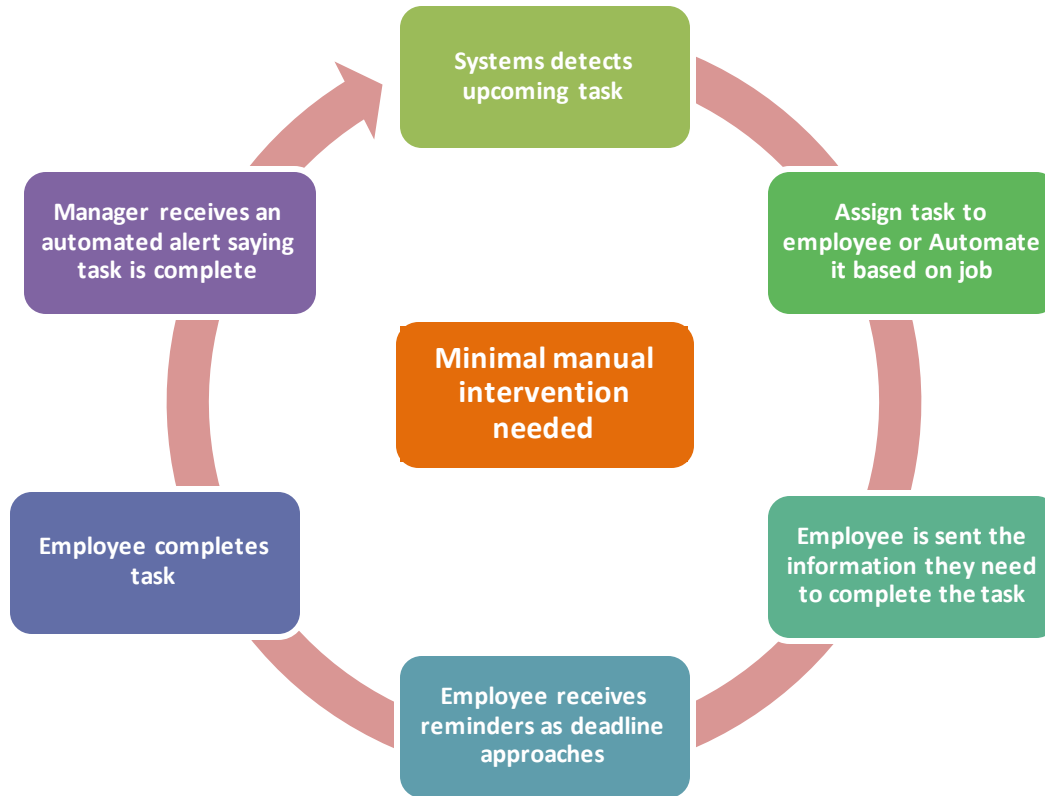
Compliance task **Alerts** can be automated to send notifications under specific, pre-defined conditions.

Example: Send manager an alert if employee does not close task by deadline.

- Requires a built-in or external messaging system.
- Requires date tracking.
- Requires ability to detect when task is closed and send completion notice.
- More advanced alerts require built-in logic.



Working as a Whole



Compliance Examples for Oil & Gas

Event Date	Event Name	Priority	Type
7/1/2015	PSM -- Follow up on previous compliance audits and ensure all identified deficiencies have been resolved.	High	General
8/1/2015	PSM -- Improve Evacuation Signs ithroughout plant (Emergency Response)	High	General
9/1/2015	Waste Water - Testing -- Outfall 001 - Flow Monitor Device Calibration	Medium	General
10/1/2015	SPCC - Inspection -- No Harm Facility Monthly Inspection Checklist	Medium	General
10/10/2015	Safety - Compliance -- Forward No-Harm Materials	Medium	General
10/15/2015	Safety -- Validate No-Harm Materials	Medium	General
10/20/2015	Air -- Monthly Records Update (SN-15 & SN-16) Asphalt / Black Oil Truck Loading Rack #1 & #2	Medium	General
10/20/2015	Air -- Monthly Records Update (SN-17, SN-18, SN-21) Lube Oil Truck Loading Rack and Lube Oil Rail Loading Rack	Medium	General
10/20/2015	Air -- Monthly Records Update (SN-27a) Refinery Additive Storage Tanks	Medium	General

Compliance System Workflow

1. A piece of equipment needs maintenance.
2. It gets assigned to a staff member.
3. Data is shared with staff.
4. What form(s) should they fill out?
5. How and where should the data and results be stored?
6. What was the outcome and when was it completed?

Will a Spreadsheet Work?

While it is feasible to have a spreadsheet that contains all of your compliance tasks, spreadsheet systems **do not** have the intelligence to do what an **automated** system can do.

- ⊘ Cannot automatically connect to other databases to assign tasks.
- ⊘ Doesn't have an external messaging system to deliver alerts.
- ⊘ Doesn't make it easier to complete tasks. Multiple users access issues.
- ⊘ Doesn't generate in-depth snapshot reports.



Ideal Compliance Platform

Whether you build it yourself or purchase a system from one of the many compliance software developers,

a software platform

is the best solution for **automating** your compliance

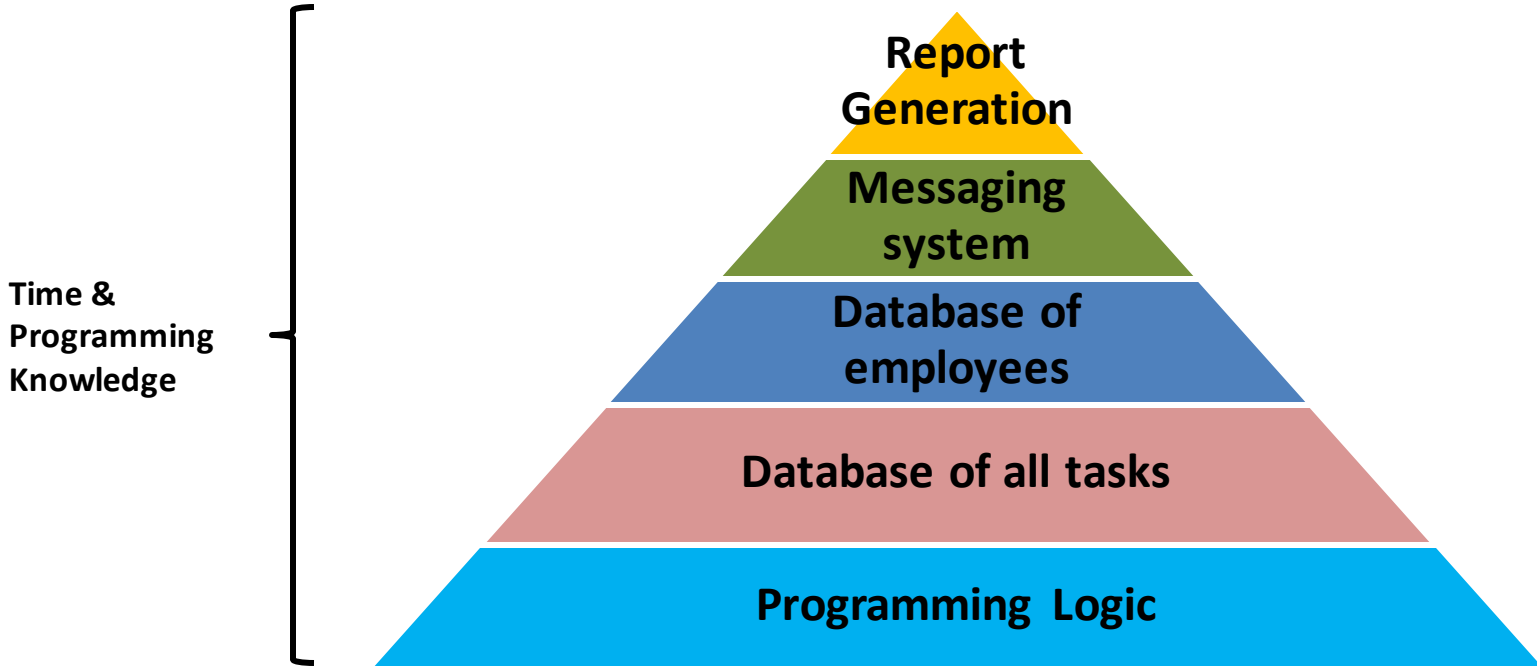
Just a warning

Home-built systems require ongoing maintenance

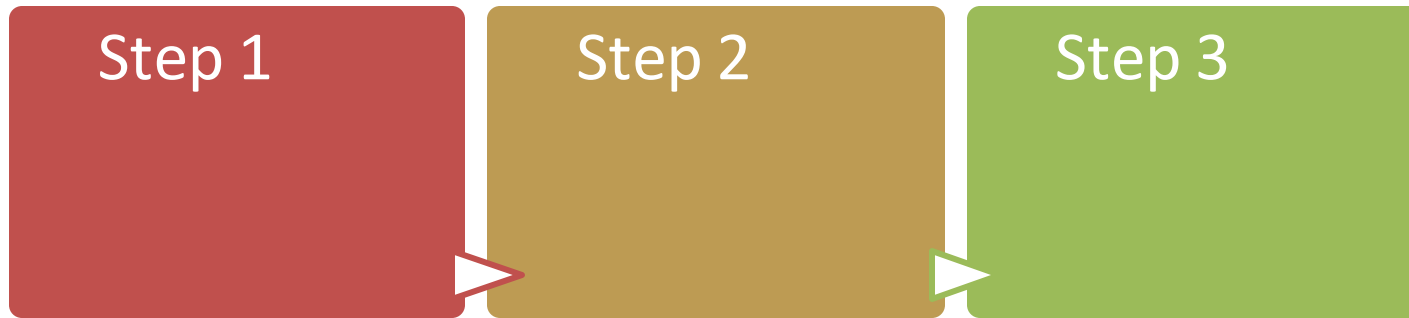
This is often what people struggle with most



Building a Compliance Management System



Advanced Compliance Tracking: Business Process Management



Business Process Management (BPM) is an advanced compliance tool that maps each step of your compliance tasks down to a granular level.

Advanced Compliance Tracking: Business Process Management - **Flexibility**

Every task is broken down into a unique series of steps, letting you track progress down to the smallest detail.

- ✓ Highest degree of flexibility available.
- ✓ Create custom forms.
- ✓ Greater insight into task progress.
- ✓ More exact tracking & reporting.



Advanced Compliance Tracking: Business Process Management – **Intelligent Tasks**

BPM also allows your tasks to be responsive – next steps and forms react to results & input values in order to create *intelligent* tasks.

- ✓ Negative response results in creation of follow-up tasks.
- ✓ Positive/desired results will progress task to next expected step.
- ✓ Automatically populate forms with data retrieved from previous forms.

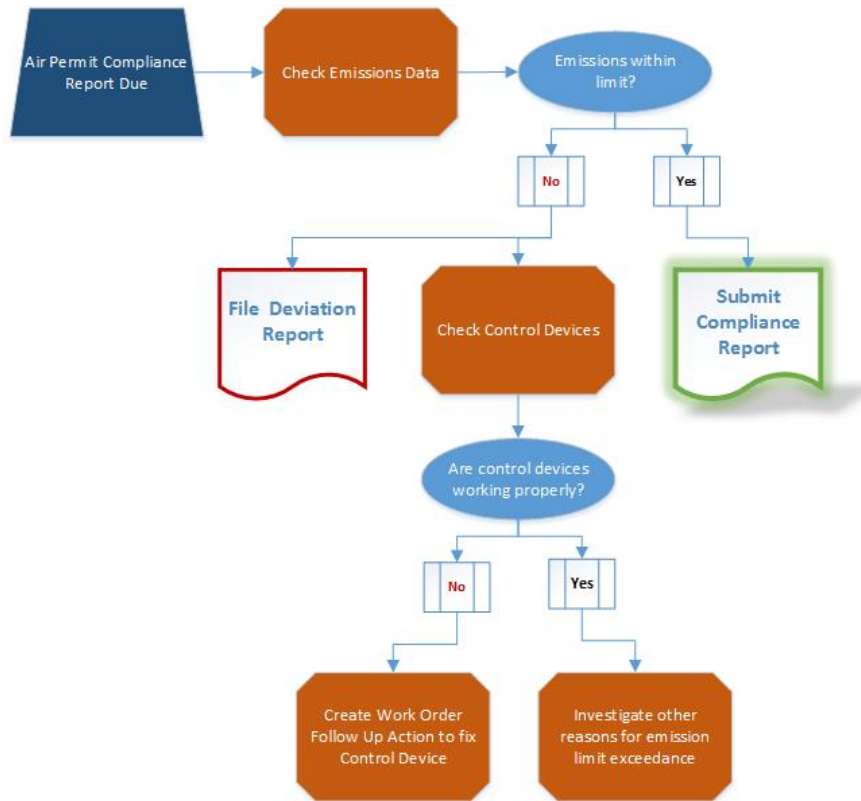


Advanced Compliance Tracking: Business Process Management – Responsive Tasks

Advanced Compliance enables you to create *new tasks* and *follow-up* tasks based on the results of a task.

- ✓ Create and assign a task if results are undesirable or requires more work.
I.e. a piece of equipment needs maintenance.
- ✓ Repeat steps as needed, generate recurrences.

What is Advanced Compliance and Business Process Management



Conclusion

Organization and task management result in productivity increases, and best of all - money and time savings!

So go out there and get started, you have nothing to lose and lots to gain.

Questions?



Please remember to fill out the conference survey. This will be sent to you by email.

<https://www.surveymonkey.com/r/2015OGENV>

Conference participants are eligible for up to 13 contact hours 1.3 CEUs. Forms will be available after lunch on Wednesday at the registration area.

Return completed forms at the conclusion of the conference.