

# Zoom In, Zoom Out on Compliance



November 5, 2020

# HOUSEKEEPING

## **Everyone is muted upon entry**

- This reduces background noise during the presentations.

## **Recording**

- The slide presentations are being recorded and will be housed on RILA's RCC site for future views; no Q&A portions will be included in the recordings.

## **Posing a question/commenting**

- Please use the Q&A box to pose questions or comments
- Questions and comments posed will go directly to the panelists and moderators.
- Questions will be answered after the conclusion of the speakers' presentation.

# ANTITRUST STATEMENT

RILA believes strongly in competition. Our antitrust laws are the rules under which our competitive system operates. It is RILA's policy to comply with both the letter and the spirit of antitrust laws. This Antitrust Statement has been adopted to avoid even the appearance of impropriety under the antitrust laws.

At any association meeting, participants must avoid any discussion of the following subjects in order to avoid even an appearance of impropriety:

- **Do not** discuss current or future prices, price quotations or bids, pricing policies, discounts, rebates, or credit terms.
- **Do not** discuss cost information such as production costs, operating costs, or wage and labor rates.
- **Do not** discuss profits or profit margins, including what is a "fair" profit margin.
- **Do not** discuss allocating markets, territories, or customers.
- **Do not** discuss current or future production or purchasing plans, including plans to take facility downtime, production quotas, or limits on output.
- **Do not** discuss refusing to deal with any suppliers, customers, or competitors (or any class or type of suppliers or customers).
- **Do not** require or pressure any supplier, customer, or competitor to adopt any particular actions or policies.
- Never agree on any aspect of future pricing or output.

Do not engage in prohibited discussions before a meeting or after a meeting is over. These antitrust guidelines apply not only in formal RILA meetings, but also in hallways, casual conversations, phone calls, emails, text messages, cocktail parties, golf outings, or any other setting that is related in any way to the RILA. If you have questions or concerns, or if you are uncertain about the propriety of any subject of discussion or proposed activity, you should stop the discussion immediately and bring the issue to the attention of RILA staff or consult your company's general counsel.

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# Presenters



Tiffin Shewmake  
*RILA*



Pat Perry  
*Tractor Supply Company*



John Storlie  
*Retail Environmental  
Solutions*

# POLL QUESTION

Do you feel comfortable that your compliance programs are in good shape?

A. Absolutely

B. Pretty comfortable

C. Not sure

D. Somewhat uncomfortable

E. UGH!

# Zoom In, Zoom Out on Compliance

- **Zoom In on the details**
- Zoom Out for the "big picture"
- Repeat

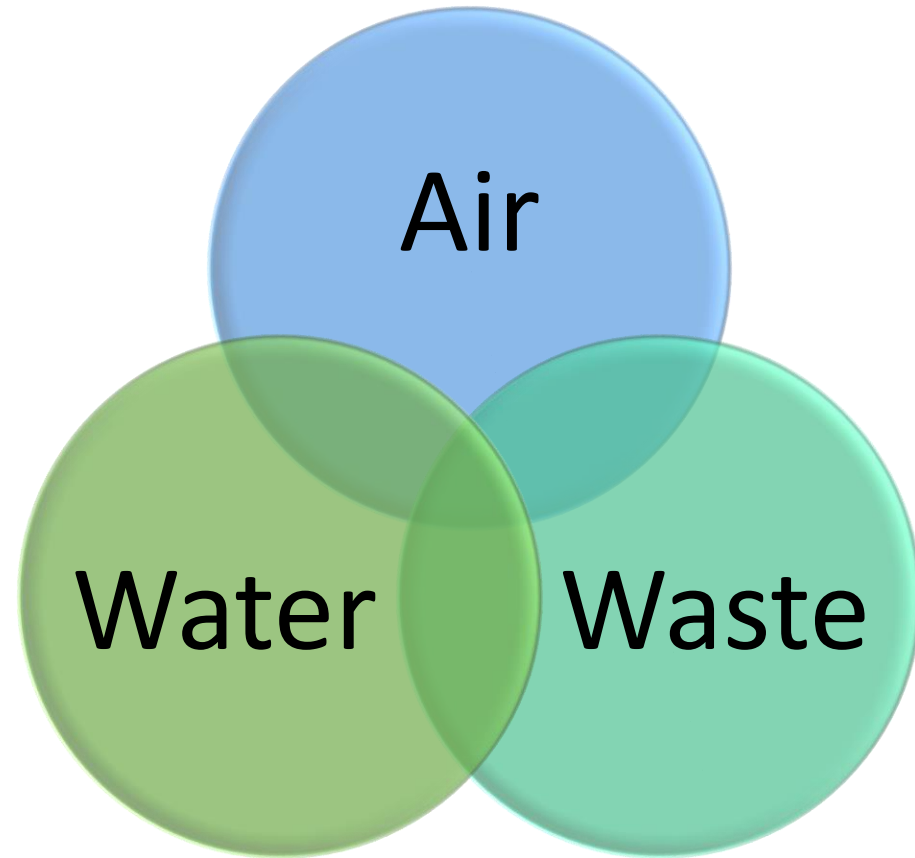
# POLL QUESTION

In the past 2 or 3 months,  
have you seen an increase in  
agency inspections at your  
stores?

- Yes
- No



# Zoom In On Compliance

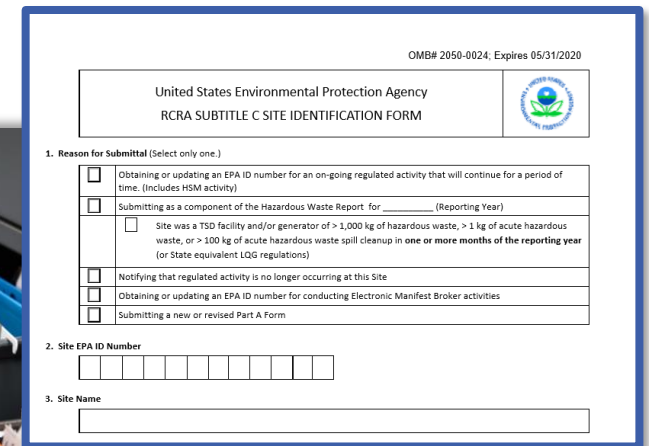


# Logistics

- Getting Things Organized and Done
  - Where are resources?
  - Remote work
  - Limited office access
  - Printers, scanners & US mail
  - Obtaining signatures



- Permits/Licenses/Registrations
- ID numbers/Permit numbers
- Inspections/Monitoring
- Recordkeeping



# Compliance Obligations

- Training
- Reporting
- Renewals
- Fees and invoicing



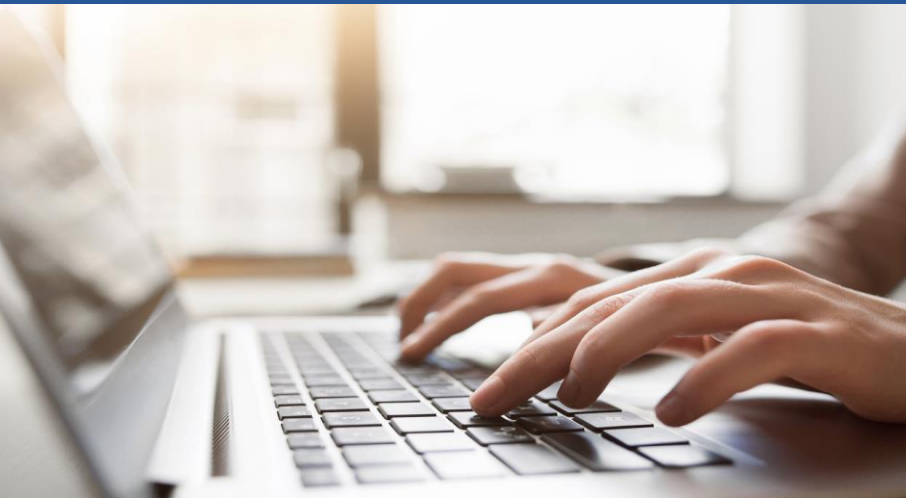
# Hazardous Waste



- Generator Status
- Training
- Assessments
- Inspections
- Manifests
- Federal and State reporting

# EPCRA Reporting

- Tier II Reporting
  - Chemical inventory
  - States thresholds
  - Contacts
  - Maps



# Stormwater

- No Exposure Certification
- Monitoring
- Reporting





# SPCC

## Spill Prevention, Control & Countermeasure

- 5-year review & evaluation
  - Technical amendments
  - Administrative amendments
  - Must be documented
- Annual Best Practice Review
  - Incidents
  - Training
  - Inspections





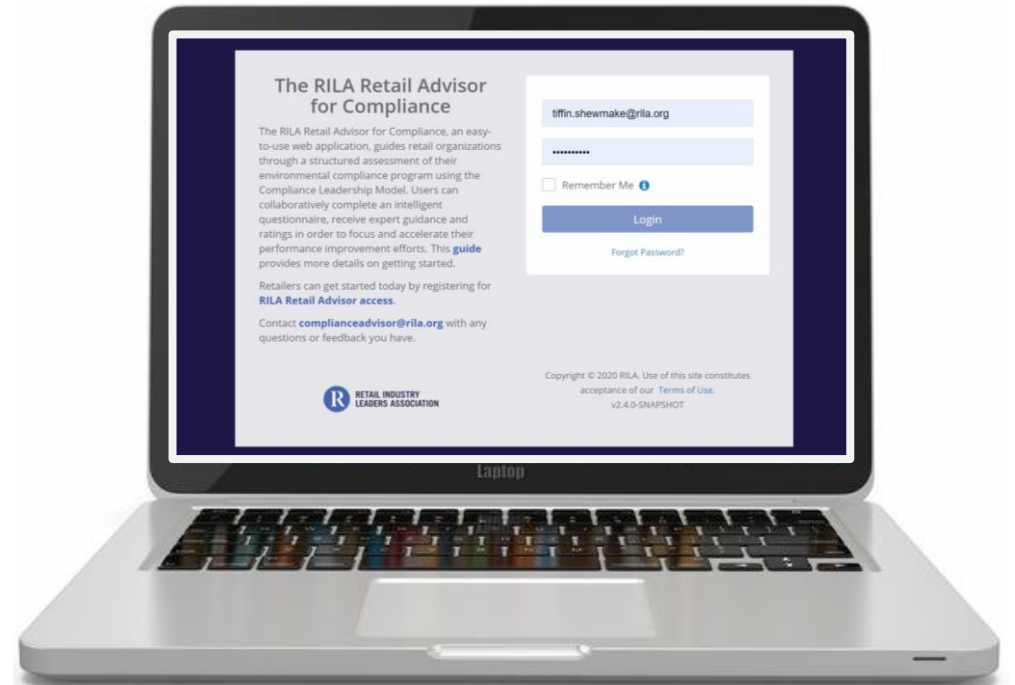
# Opportunities And Impacts

- Generator Rule
  - Re-notification of SQG
- Aerosol Rule
- Subpart P



# Zoom Out On Compliance

- RILA Retail Advisor for Environmental Compliance
- Closing gaps
- Basic EMS strategy



# Retail Advisor - Overview

- Based on the Compliance Leadership Model (CLM)
- Interactive benchmarking with program evaluation and optimization
- Designed for retail
- Free for retailers
- Advisors for Energy Management, Diversity & Inclusion, and Sustainability



The screenshot shows the homepage of the RILA Retail Advisor for Environmental Compliance. At the top, there is a header with the Retail Compliance Center (RCC) logo and a background image of a woman working at a laptop. Below the header, a dark blue banner contains the text "RILA RETAIL ADVISOR FOR ENVIRONMENTAL COMPLIANCE". Underneath this, a paragraph states: "As a retail professional responsible for ensuring compliance with environmental regulations, do you have questions about:". This is followed by four blue buttons with white text: "HOW DOES MY COMPLIANCE PROGRAM COMPARE TO OTHER RETAILERS?", "ARE MY PROGRAM RESOURCES ALLOCATED EFFICIENTLY?", "DO I NEED TO MOVE MY PROGRAM TO THE NEXT LEVEL?", and "IS MY PROGRAM MISSING SOMETHING THAT IS INCREASING OUR RISK?". Below these buttons, a paragraph explains that the RILA Retail Advisor is a free tool developed by the RCC to help retail professionals answer these questions and optimize performance. It is a cloud-based platform based on a framework for an effective compliance program. A section titled "THE ADVISOR PROVIDES:" lists three bullet points: "Program evaluation and expert guidance", "Interactive Peer benchmarking", and "Ability to set and track goals". To the right of this list, there are two columns of text. The first column states that the Advisor is free and open to all retailers, and simple to use – just fill out an assessment of your program and the Advisor does the rest by generating guidance tailored to your program and operations. Peer benchmarking then shows how your implementation of different program elements compares to different peer groups. The second column states that your information is secure and only your team can see the results. The peer benchmarking uses aggregated information which is not identified with any individual retailer. It also encourages users to get started today by filling out a form or learn more by visiting the RCC website. At the bottom, there is a quote from a Retail Grocery Senior Environmental Engineer: "The reports are fantastic. This has definitely helped my ability to plan for improvements in my program by providing me very clear recommendations to get to the next level. The benchmarking in the report was also very useful."

**RETAIL COMPLIANCE CENTER**

**RILA RETAIL ADVISOR FOR ENVIRONMENTAL COMPLIANCE**

As a retail professional responsible for ensuring compliance with environmental regulations, do you have questions about:

- HOW DOES MY COMPLIANCE PROGRAM COMPARE TO OTHER RETAILERS?
- ARE MY PROGRAM RESOURCES ALLOCATED EFFICIENTLY?
- DO I NEED TO MOVE MY PROGRAM TO THE NEXT LEVEL?
- IS MY PROGRAM MISSING SOMETHING THAT IS INCREASING OUR RISK?

The RILA Retail Advisor for Environmental Compliance is a free tool developed by the Retail Compliance Center (RCC) to help retail professionals answer these types of questions and optimize performance. The Advisor is a cloud-based platform based on a framework for an effective compliance program that RILA developed with subject matter experts and leading retail companies.

**THE ADVISOR PROVIDES:**

- Program evaluation and expert guidance
- Interactive Peer benchmarking
- Ability to set and track goals

Your information is secure and only your team can see the results. The peer benchmarking uses aggregated information which is not identified with any individual retailer.

The Advisor is free and open to all retailers, and simple to use – just fill out an assessment of your program and the Advisor does the rest by generating guidance tailored to your program and operations. Peer benchmarking then shows how your implementation of different program elements compares to different peer groups.

Don't wait, get started today by filling out this [form](#) or learn more by visiting the [RCC website](#).

If you have questions, please contact the RCC Executive Director, Tiffin Shewmake ([tiffin.shewmake@rila.org](mailto:tiffin.shewmake@rila.org)).

*"The reports are fantastic. This has definitely helped my ability to plan for improvements in my program by providing me very clear recommendations to get to the next level. The benchmarking in the report was also very useful."*

— Retail Grocery  
Senior Environmental Engineer

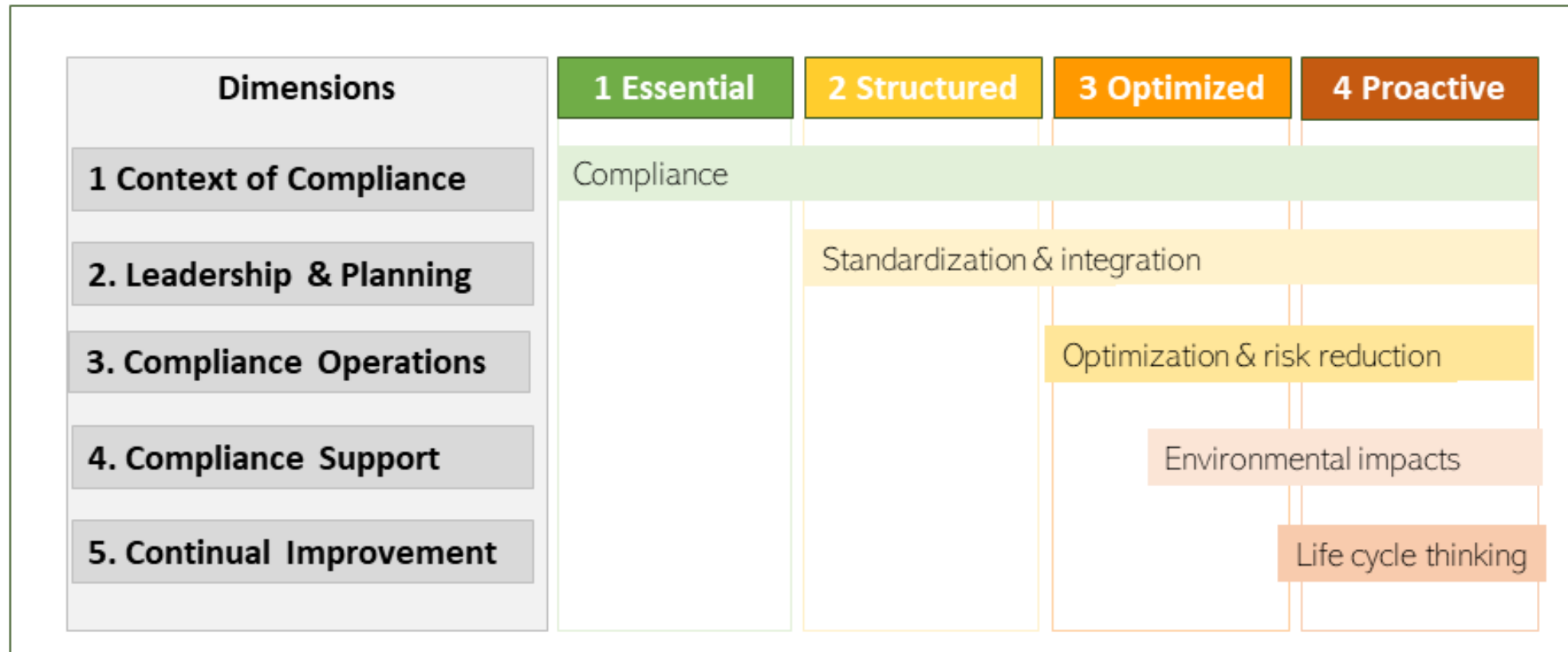
# POLL QUESTION

Select the description that best reflects your program management's status on an Environmental Management System (EMS):

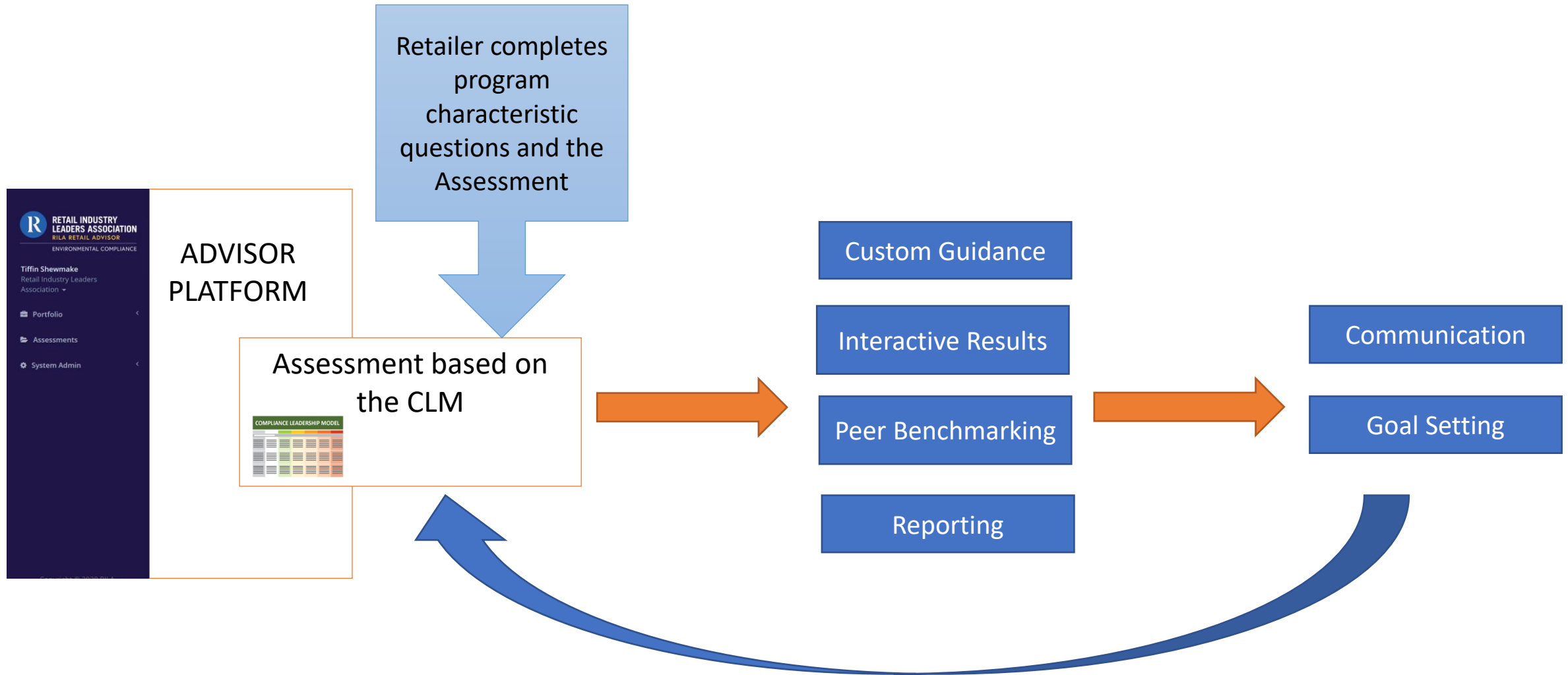
- A. Certified ISO 14001 EMS
- B. EMS that closely follows ISO 14001, but it is not certified
- C. EMS that follows our own or a modified model
- D. RCC Retail EMS Model
- E. EMS models as a guide, tool or touchstone
- F. No use of EMS models or guidance

# Compliance Leadership Model (CLM)

Programs are increasingly centralized, structured, analytic and comprehensive with expanded goals and scope.



# Retail Advisor

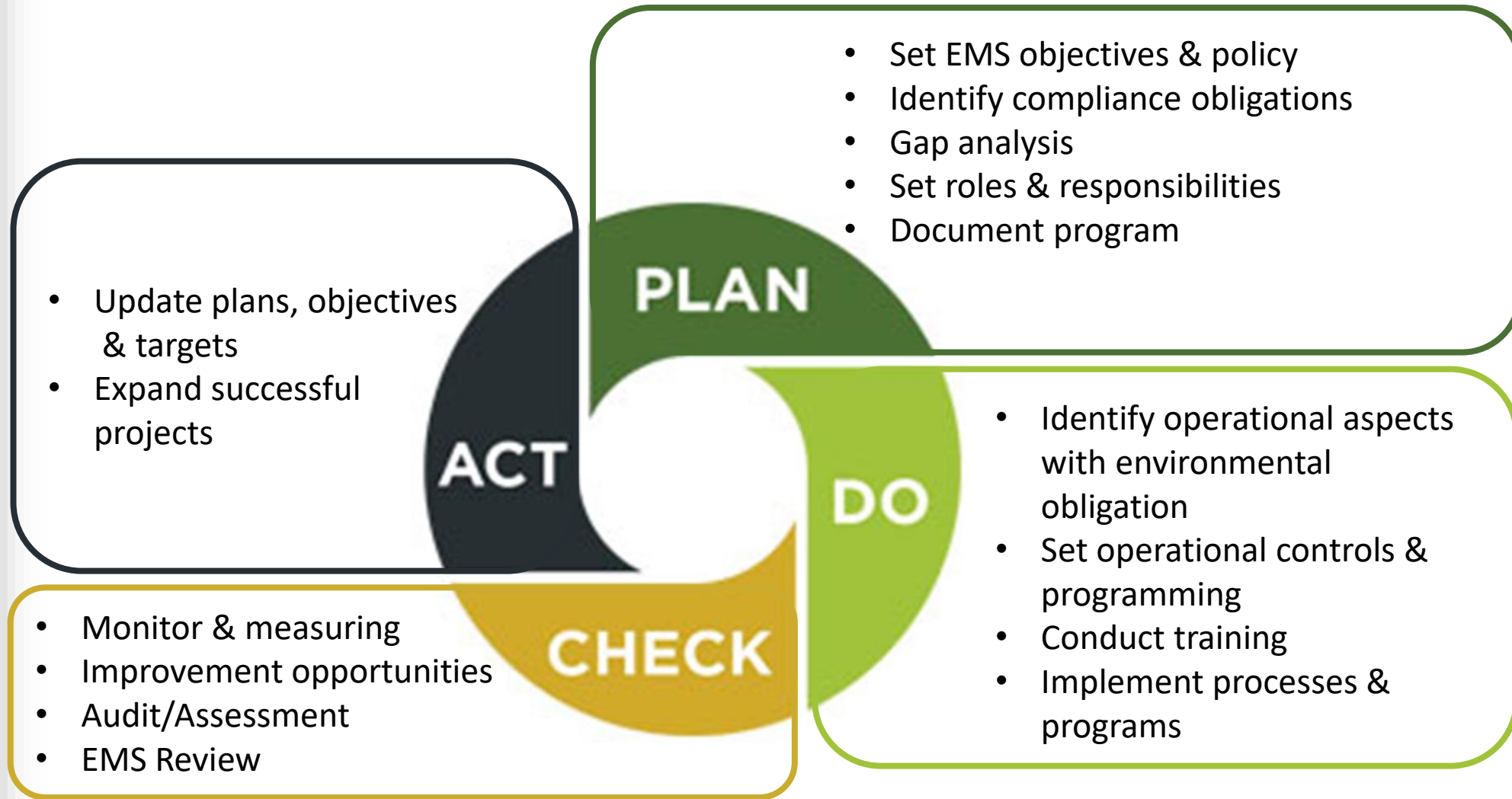


# Basic EMS Strategy

- Systematic approach to compliance
- Continuous improvement
- USEPA Guidance, ISO 14001 or RCC Retail EMS Guidance



# Plan Do Check Act





# Resources & Links

- [Advisor registration](#) < Register for access here!
- [Advisor log-in page](#)
- [More about the Advisor](#)
- [Compliance Leadership Model \(CLM\)](#)
- [CLM Resource Library](#)
- [Essential Level Evaluation](#)
- [Getting Started Guide](#)
- [Environmental Management Systems \(EMS\) for Retail](#)

A blue-tinted photograph of four people in a meeting. A woman stands in the center, smiling and looking down at a man seated at a table. The man is looking at a laptop. Another man is seated to the right, looking towards the woman. A woman with glasses is partially visible on the far right. The word 'Conversation' is overlaid in white text on the left side of the image.

# Conversation

# RCC UPCOMING WEBINAR



**Engaging Suppliers on Renewable Energy Sourcing**

December 10 at 2 PM ET

THANK YOU