



Solid Waste Environmental Management System

Waste Commission of Scott County (WCSC)

3rd Party Environmental Management System Audit (Full Audit)

The Region XII Council of Governments (COG) Audit Team conducted a third party Environmental Management System (EMS) audit of the Waste Commission of Scott County (WCSC) on October 12, 2016. This was WCSC's 7th EMS external audit. As required, this was a full audit. The Scope of the Audit may be found on page 3 on the *EMS 3rd Party Audit Results* Form. The COG Audit Team included Shelene Codner (lead auditor) and Evan Sinnott. Leslie Goldsmith from the Iowa Department of Natural Resources Financial and Business Assistance Section was present to observe the audit. Additional WCSC participants included:

Carrie Carlstrom, Administrative Assistance/Internal Auditor/Core Team Member/Internal Auditor

Bobbi Draheim, Administrative Services Coordinator/Core Team Member/Internal Auditor

Kurt Liske, Communication Director/Core Team Member

Kathy Morris, Director/EMR

Brian Seals, Operations Manager/Core Team Member

Bryce Stalcup, Recycling Manager/Core Team Member

Brandy Welvaert, Communications Coordinator/Core Team Member

The audit was conducted from approximately 9:30 a.m. to 1:00 p.m. at the Scott Area Recycling Center located at 5640 Carey Avenue, Davenport, Iowa. The Internal Audit, Objectives and Targets were received for auditor review prior to the audit and as requested by the audit team. Additional required audit documentation was prepared, organized and ready for review upon arrival.

Individual organizations that require additional technical assistance or training based on the findings of this audit should contact Leslie Goldsmith, Iowa Department of Natural Resources, (515) 725.8319, leslie.goldsmith@dnr.iowa.gov.

The following observations were noted during the Audit:

- As reported by staff, WCSC's *XStream* Cleanup has undergone a significant transformation. Changes have been made in an effort to augment volunteer participation and expand WCSC's geographic footprint. The annual, one-day, river cleanup event - which began in 2004 - has been enhanced to a year around initiative, offering multiple land and water cleanup opportunities in multiple geographic locations. Opportunities are published on the Xstream Cleanup website. Volunteers can select their activities of interest and access additional information including but not limited to a description of the activity, date, time, location and registration instructions. Staff reported that volunteer numbers have increased as a result of these changes.
- WCSC's single stream recycling program has been implemented. As reported by staff, they utilized a three-prong marketing method in implementing the program within designated locations of the planning area (currently Davenport and Bettendorf). This method consisted of educational campaigns prior, during and after implementation and ongoing stakeholder and internal communication throughout the process. These marketing efforts were comprised of multimedia campaigns which included radio, television, internet, social media, speaking engagements and other public events. WCSC staff worked directly with a multimedia contractor in creating a brand for the program. Staff members reported and documentation verifies that the *Go All In* campaign has been and continues to be successful. In addition, staff reported that ongoing education and research regarding the potential expansion of the program will continue.
- As reported by staff and verified through documentation, in addition to EMS, WCSC continues to maintain ISO 14001:2004, OHSAS 18001:2007 and R2:2013 certification. As reported by staff, a result of these various certifications has included creating a safer workplace. This is verified by the fact that WCSC's experience modification factor (mod factor) has decreased for three consecutive years. This decrease has directly resulted in lower Worker's Compensation premiums. As reported by staff and verified by documentation, over the past three years, WCSC's mod factor has gone from .83 to .76.
- As reported and demonstrated by staff and as part of their *Go All In* campaign, WCSC is utilizing Waste Wizard software to guide and educate the public regarding recycling opportunities. Planning area residents can enter their physical address into the web hosted database and acquire a listing of available outlets for recyclable and reusable items. In addition, Bettendorf and Davenport residents can access their respective collection schedules from this platform.
- While EMS auditors do not audit Safety and Health Objectives, it should be noted that WCSC staff members reported that they are currently engaged in a demonstration project to reduce respirable dust at the landfill. With the assistance of trade organizations and other networks, WCSC is currently in the process of testing recycled asphalt shingles as a dust control method on landfill roads. As reported by staff, initial observations indicate a significant reduction in fugitive particulate emissions.

EMS 3rd Party Audit Results Form

Scope/Facility: This was a full external audit. The scope of the External EMS Audit included all Elements. The Audit was held at the auditee's recycling facility. A listing of agency participants can be found above

Auditors: Shelene Codner (Lead Auditor), Evan Sinnott (Auditor), Leslie Goldsmith (Observer)

Descriptions for Finding(s):

Met Requirements = Satisfied Standard fully

Partially Met Requirements = DNR staff will monitor progress until the next fiscal year audit when the Element will be reviewed

Did Not Meet Requirements = The Lead Auditor will state what is required to satisfy the Finding

Commendable = Went beyond the Standard with innovation, effort

Opportunity for Improvement = No changes are required, but are suggested

Date: October 12, 2016

Iowa EMS Element Number and Description		Audit Results/Findings from Internal Audit		
Number	Description	Evidence	Finding(s)	Iowa EMS Reference
1	Environmental Policy Statement	Reviewed Environmental Policy Statement and associated procedure. Interviewed EMR, core team members and recycling staff.	Met Requirements It should be noted that as a result of WCSC's recent R2 compliance audit, the EPS had been reviewed and preamble updated.	
2	Environmental Aspects and Impacts	Reviewed Aspects and Impacts and associated procedure. Interviewed EMR and core team members.	Met Requirements WCSC has a solid model and ranking system in determining significant Aspects and Impacts. Staff members at all levels of the organization have input into this process.	

Iowa EMS Element Number and Description		Audit Results/Findings from Internal Audit		
Number	Description	Evidence	Finding(s)	Iowa EMS Reference
3	Legal and Other Requirements	Reviewed Legal and Other documentation and associated procedure. Interviewed EMR and core team members.	Met Requirements	
4	Objectives and Targets	Reviewed Objectives and Targets. Interviewed EMR and core team members.	Opportunity for Improvement An EMS Target should only include detailed measurable performance requirements related to an objective and should not include objective components or related action plans. WCSC might consider reviewing objectives and corresponding targets with DNR EMS lead to ensure targets are succinct and align directly with Objectives.	Is the Objective an overall and quantifiable goal arising from the Planning or Service Area's Environmental Policy/Aspects/Impacts?
5	Action Plan	Reviewed Action Plans. Interviewed EMR and core team members.	Met Requirements	

Iowa EMS Element Number and Description		Audit Results/Findings from Internal Audit		
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6	Key Resources and Additional Needs	Reviewed provided documentation. Interviewed EMR and core team members.	<p>Commendable</p> <p>As verified through documentation and onsite interviews, WCSC proactively identifies resources - financial and otherwise – to ensure ongoing sustainability of successful Objectives and Targets beyond their respective deadline dates.</p> <p>For example, due to the verified effectiveness, of WCSC's single stream recycling program, current efforts include securing funding sources to enhance and expand this program.</p>	
7	Communication/Training/Awareness	Reviewed provided documentation. Interviewed EMR and core team members.	<p>Commendable</p> <p>Utilizing a <i>three-prong</i> system, WCSC ensures that awareness revolving around various aspects of their EMS including but not limited to Objectives and Targets is ongoing.</p> <p>In addition, they have made extra efforts to increase their fence line by empowering the public in leading</p>	

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			<p>environmental activities and initiatives. An example of this empowerment strategy includes but is not limited to their <i>XStream</i> cleanup Objective.</p> <p>WCSC also depicts local and recognizable community members participating in EMS and other environmentally-related activities in their advertising. Benefits include but are not limited to increasing the number of people watching/listening, adding an element of credibility to the programs depicted and stimulating replication of the activities exhibited.</p> <p>With regard to internal communication, WCSC hosts biweekly (every two weeks), <i>Toolbox Talks</i> to enhance internal communication between administration and staff on a host of topics including but not limited to EMS.</p>	

Iowa EMS Element Number and Description		Audit Results/Findings from Internal Audit		
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8	Monitoring and Measurement	Reviewed Provided Documentation and Procedure. Interviewed EMR and core team members.	Met Requirements	
9	Assessment	Reviewed provided Internal Audit documentation and procedure. Interviewed EMR and core team members.	Met Requirements	
10	Reevaluation and Modification	Reviewed provided Internal Audit documentation and procedure. Interviewed EMR, core team members and interviewed recycling staff.	Met Requirements	