

# Opportunity to Pilot Innovations to Improve Our Compliance Assurance Programs

As of October 26, 2017

## Background

In April 2017, ECOS passed resolution 17.2 On the Value of Diverse and Innovative Approaches to Advance Compliance. In short, the resolution encouraged states and EPA to explore innovative, measurable approaches that could be used to improve compliance with environmental programs. These innovative approaches should be designed and implemented so that we can evaluate their effectiveness and learn what works in what conditions.

The ECOS resolution embraced the full range of compliance assurance tools, such as clearer permits, compliance assistance, transparency, and enforcement. The diagram on the reverse side illustrates the range of compliance assurance tools that could be improved and expanded with innovation.

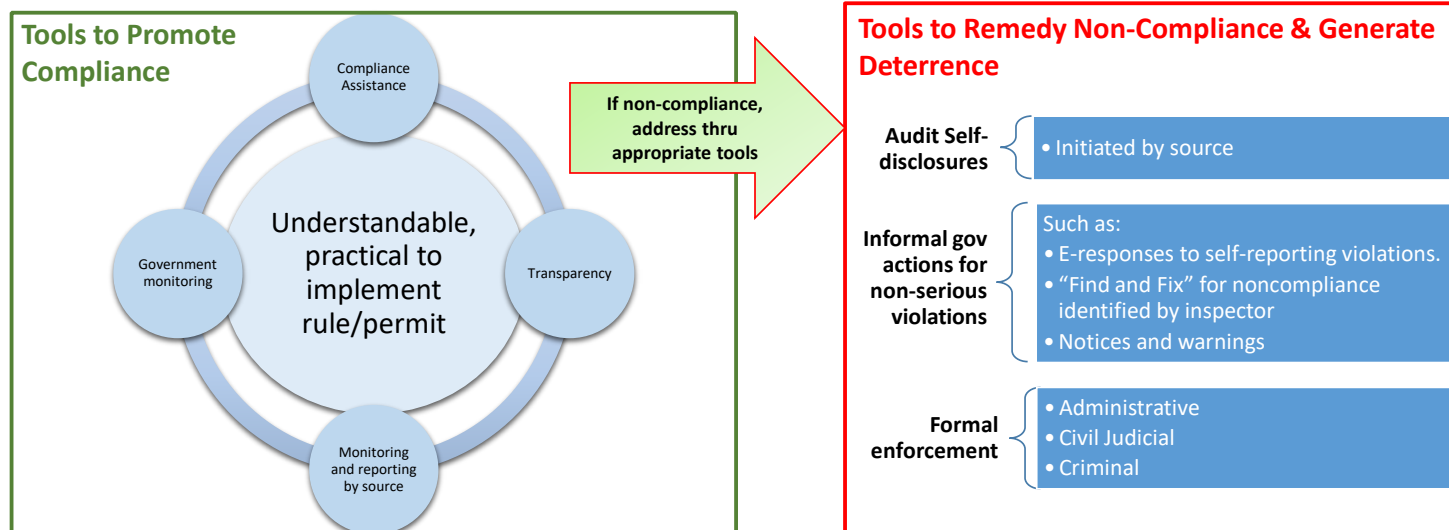
## Opportunity

If a state has a particular compliance challenge that it believes might benefit from modernization -- perhaps because it is not achieving results or the existing program is no longer practical to implement -- then this could be an opportunity to design and pilot a new approach and learn if it works through objective measurement. To support the development of compliance innovations, the ECOS Compliance Committee in collaboration with U.S. EPA is:

1. Holding a series of five webinars to share current social science knowledge that could be relevant to compliance assurance programs. Two of the five planned live webinars have occurred and recordings of them are available to states on the EPA National Enforcement Training Institute (NETI) website at <https://www.epa.gov/compliance/national-enforcement-training-institute-neti-elearning-center>. The three remaining webinars and their dates are:
  - Rule and Permit Design – September 28, 2:00 - 3:30 p.m. ET
  - Reporting and Transparency – October 24, 2:00 - 3:30 p.m. ET
  - Innovative Enforcement – November 9, 1:00 – 2:30 p.m. ET
2. Working with a network of social scientists from some of the country's top academic institutions to help us develop and implement innovative compliance approaches that could be practically implemented and measured. The social scientists may offer their input for free, and in some circumstances the academic organization may be able to provide resources to help in the design and measurement of the project.

For more information or to explore an idea for an innovative compliance pilot, please contact Sonia Altieri, ECOS, at [saltieri@ecos.org](mailto:saltieri@ecos.org) or Leslie Cronkhite, U.S. EPA, at [cronkhite.leslie@epa.gov](mailto:cronkhite.leslie@epa.gov). We will then schedule a short conference call with the interested state managers and Jim Macy, Director, Nebraska Department of Environmental Quality and Chair, ECOS Compliance Committee and David Hindin, Director Office of Compliance, US. EPA. If this initial exploratory call suggests there is a project idea worth discussing sharing with a social scientist, ECOS and EPA will work with our network to identify a scientist might could be a good fit for the particular project. Exploration of a project idea does not signal any commitment by the state to implement.

## Compliance Assurance Tools



States and EPA have policies/procedures on the appropriate use of the tools in our compliance assurance tool box, with states taking the majority of actions in authorized programs. We are collaborating to modernize our tools by leveraging advances in pollution monitoring and information technology, sharing best practices, and using social science to develop and evaluate new approaches.