# **INTRODUCTION**

# State Form 53475 is used for members of the Environmental Stewardship Program (ESP) to report annual progress toward their objectives and targets AND to certify that the ESP requirements continue to be achieved.

# This form is also used by companies who have a membership in BOTH the Environmental Stewardship Program (ESP) and Partners for Pollution Prevention (Partners) to report on pollution reductions, certify their ESP requirements and reaffirm the Partners Pledge.

# **SECTION A**

In the Facility Information rows, provide the name and location of the facility submitting the ESP Annual Performance Report. Enter the number of current fulltime employees at the facility.

In the Contact Information rows, provide information for the Primary and Secondary individuals who should be contacted for additional information about your facility’s Annual Performance Report. If applicable, use the Mailing Address section to provide an alternate mailing address for the facility contact person.

In the Reporting Period rows, provide the calendar year dates for which you are reporting (e.g., January 1, 2020 – January 1, 2021). New members that were accepted within the last three (3) months of the calendar year are not required to report their first calendar year and may choose to report on the partial year.

For ESP members: Answer questions 1a and 1b accordingly. Answering question 1b with “yes” will inform the ESP Program Manager to use your Annual Performance Report as a membership renewal application.

For those who are also Partners members: Answer questions 2a and 2b accordingly. Answering question 2b with “yes” will inform the Partners Program Manager that you are recertifying the Partners Pledge.

In the Change in Information row, indicate if your facility has undergone any change to its products or services since originally applying to ESP. If changes have occurred, describe those changes in the space provided.

# **SECTION B**

In the Public Outreach and Performance Reporting rows, list how your facility interacted with the community on environmental issues, how your facility reported publicly on its environmental performance, and how your facility makes each of your completed APRs available to the public.

# **SECTION C**

In this section, provide information about your environmental management system (EMS). We need to know about your EMS because it represents your facility’s systematic efforts to meet environmental requirements and improve environmental performance.

1. **What is the most recent date that an ISO 14001 EMS Lead Auditor performed an EMS assessment at your facility?**

Provide the last date in which an ISO 14001 EMS Lead Auditor audited your facility’s environmental management system. All ESP members must have had an independent assessment of their EMS within the past 36 months. An independent assessment is one that is performed by an ISO 14001 EMS Lead Auditor who is neither directly employed by your facility nor someone who has played a substantive role in developing your EMS.

1. **Name, title, and organization of ISO 14001 EMS Lead Auditor that conducted the most recent EMS assessment.**

Provide the name, title, and organization of the auditor who conducted your facility’s most recent EMS assessment.

1. **Is the date of the most recent EMS assessment performed by an ISO 14001 EMS Lead Auditor within the past 36 months?**

Check “Yes” if the date in which your facility’s EMS was last audited by an ISO 14001 EMS Lead Auditor is within the last 36 calendar months and skip to Question #4.

Check “No” if the date in which your facility’s EMS was last audited by an ISO 14001 EMS Lead Auditor is not within the last 36 calendar months. You must then have the ISO 14001 EMS Lead Auditor of your choice complete and sign the checklist, indicating whether or not your facility’s EMS meets the criteria listed for ESP membership. Again, an independent assessment is one that is performed by an ISO 14001 EMS Lead Auditor who is neither directly employed by your facility nor someone who has played a substantive role in developing your EMS. IDEM staff cannot recommend auditors to perform the independent environmental management system assessment; however, a list of ISO 14001 Environmental Management System Lead Auditors that are qualified to perform independent facility assessments is available at <http://www.rabqsa.com/internalqsa/?module=audSearch&func=search>.  Be sure to search the certification scheme criteria using the “competency-based environmental auditor” and the “qualification-based environmental auditor.”

1. **Were any deficiencies found during the most recent EMS assessment?**

Check “No” if no deficiencies were found and skip to Question # 5.

Check “Yes” if deficiencies were found. Describe the deficiencies and the corrective action taken to address each deficiency. Provide your answer on a separate piece of paper if necessary.

1. **What type of protocol was used to perform the independent EMS assessment?**

Check the box that corresponds with the type of protocol used by the auditor to perform the EMS assessment.

1. **Is the EMS certified to a recognized standard?**

Check “Yes” and the type of certification or “No” if your EMS is not certified to a recognized standard and skip to Question # 7.

1. **When was the last Senior Management review of your EMS completed?**

Provide the month and year of when the EMS was last reviewed by your facility’s Senior Management as well as the name and title of the individual who headed the review.

1. **When did your facility last conduct an internal or corporate environmental compliance audit? Do not include inspections or site visits by regulatory organizations.**

Provide the month and year of the last environmental compliance audit, the scope of the compliance audit, and the organization responsible for conducting the compliance audit.

1. **Explain the emergencies experienced within the facility during the past year. Were the applicable emergency and contingency plans detailed in the EMS effective? What changes, if any, have been made to your facility’ emergency or contingency plans?**

List the emergencies that occurred at your facility within the past year and if the existing plans were adequate for addressing each emergency. If the plans were not adequate, explain what changes were made to address such shortfalls in the future.

1. **Has your facility corrected all instances of potential environmental non-compliance and EMS non-conformance identified during your audits and other assessments?**

If “Yes,” list the corrective actions taken or other improvements made to address the non-compliance or non-conformance. If “No,” explain your facility’s plan to correct these instances of non-compliance or non-conformance. If “No such instances identified,” then skip to Section D.

# **SECTION D**

In this section, answer the questions as they apply to your facility. This information will help IDEM to effectively manage ESP.

1. **In addition to ESP, please list the environmental awards received or voluntary programs participated in during the past twelve months.**
2. **Has your facility taken advantage of any ESP incentives? If so, please describe the implementation process and list additional benefits IDEM should consider.**
3. **If your facility was not registered to the ISO 14001 standard prior to becoming an ESP member, had ESP helped you to pursue registration? If so, how has ESP been instrumental in achieving registration?**
4. **Are the ESP and/or Partners group meeting your expectations? Please provide feedback or suggestions.**
5. **(For Partners members): Please reaffirm your facility’s or organization’s pledge to the Partners and provide additional information regarding commitment to pollution prevention (P2). Check all appropriate boxes.**

# **SECTION E**

In this section, provide the results of up to three (3) environmental improvement initiatives your facility pursued or continued during the previous calendar year by filling in the table provided. Be sure to describe how you achieved improvements or the circumstances that delayed progress. Indicate if you are reporting this data to any other organizations. Provide answers to questions 1 through 6.

Environmental performance can be measured by the absolute amount of environmental impacts (called “environmental footprint”) or by the environmental impact relative to economic activity (called “normalizing”). Regardless of whether you have decided to commit to a normalized or absolute goal, in your annual performance reports you will be asked to report your progress in both absolute and normalized terms. A normalizing factor will allow this conversion between the absolute and relative impacts, while protecting the confidentiality of production levels, product content, or other sensitive information. The best normalizing factors are direct measures of production. For example, number of cars produced, kilowatt hours of electricity generated, or dollars of sales adjusted for inflation. Depending on the facility, “production” may instead refer to services delivered or to some other productive output from the facility.

# **SECTION F**

In this section, identify the environmental improvement initiative you commit to pursue during the current calendar year of ESP membership. Your initiatives must be expressed in terms of quantitative improvements in indicators listed in the “Environmental Performance Table.” If you choose an indicator that is regulated, then you must commit to performance goals that go beyond the Federal, State, tribal, and local regulatory requirements.

1. **Identify your environmental improvement initiative.**

Select one box or more from the category column and associated box(es) from the indicator column that best fit your environmental improvement initiative. Then provide the baseline year and the future year for data collection in the top row of the table. Insert the annual quantity recorded from the baseline year and the quantity you are committing to achieve during the next calendar year in the respective columns. The environmental improvement initiative data should be measured in the unit listed for that particular category and indicator. Circle the appropriate measurement.

1. **If the environmental improvement initiative(s) will be *qualitative* in nature, please describe.**

Describe the qualitative nature of the initiative and why there would not be quantitative possibility.

1. **What activities or process changes do you plan to undertake at your facility to accomplish your initiative (e.g., technology changes in a particular process line, employee training)?**

Describe the actions you will take to meet this initiative, like process changes, equipment upgrades, product redesign, or shutting off equipment while not in use. Please provide a brief description of how you are going to accomplish your goal.

1. **Does this initiative address a significant aspect in your EMS?**

During the planning phase of your EMS, you should have designated some of your environmental aspects as “significant.” If this initiative addresses one of those significant aspects, check “Yes.” Otherwise, check “No.” If you answered “No,” please explain why you believe the selected indicator should be used as an improvement initiative.

# **CERTIFICATION AND PLEDGE**

The purpose of this section is for the facility to certify that the information reported in the ESP Annual Performance Report is true, accurate, and complete, and that the facility continues to adhere to all the criteria for participation in the Indiana Environmental Stewardship Program.

The person who signs the form must a) be the senior manager with responsibility for the facility, b) be fully authorized to execute the statement on behalf of the corporation or other legal entity whose facility is part of the Indiana Environmental Stewardship Program, and c) have examined and be familiar with the information contained in the annual performance report. Once the annual performance report is completed, this person should read the Certification and Pledge in its entirety and sign and date the form in the space provided.