Application Instructions

Indiana Environmental Stewardship Program

Applicant and Contact Information

The purpose of this section is to collect information about your facility's physical location and the person who will serve as your facility's contact person.

First, provide the name of the facility applying for membership. If you are submitting an application for multiple facilities in one corporation, you must call (800) 988-7901. Also, if your company has multiple members in the program (or plans to have multiple members in the future), we suggest you choose facility names that distinguish one facility from another.

If your facility is owned by another company, a division of a larger company, or the responsibility of another company, provide the name of that company in the parent company field. Please note, any parent company you list will not appear on ESP documentation. If it is important the parent company appear in the facility's title, then please include it in the facility name section.

In the Facility Location section, provide the physical location of the facility applying for membership. If applicable, please list all addresses of sites or buildings considered part of your facility.

In the Contact Information section, provide information for the individual who should be contacted for additional information about your facility's application. If applicable, use the Mailing Address section to provide an alternate mailing address for the facility contact person.

If you need further assistance, please contact the Indiana Department of Environmental Management at (800) 988-7901.

Section A

In this section, please provide some basic information about your facility. If you need further assistance, contact the Indiana Department of Environmental Management at (800) 988-7901.

1. **What do you do or make at your facility?**
   Briefly describe the primary products that you manufacture, prepare, or assemble at your facility. For non-manufacturing facilities, describe the services you provide or activities you conduct.

2. **Provide the Federal Identification number for your facility.**

3. **List the North American Industrial Classification System (NAICS) codes that you use to classify business at your facility.**
   If your facility has more than one NAICS code, please list the primary code for the facility first, followed by all other codes. If you do not know your facility's classification code, please consult the following website:
   www.census.gov/epcd/www/naicstab.htm.

4. **How many employees (full-time equivalents) currently work at your facility?**
   Select the option that best corresponds to the number of full-time equivalent (FTE) employees working at the facility. An FTE represents 2,000 hours per year. To calculate the number of FTEs, add the total hours worked during the calendar year by all employees, including part-time and seasonal employees, and divide the total by 2,000. The answer is your FTE.

5. **In what ways have you learned about ESP?**
   Please select all the ways that you learned about ESP. This helps us to be more efficient in our program outreach.

Section B

In this section, tell us about the environmental management system (EMS) your facility has in place. We need to know about your EMS because it represents your facility's systematic efforts to meet environmental requirements and improve environmental performance. If you need further assistance, contact the Indiana Department of Environmental Management at (800) 988-7901.

1. **Is your EMS recognized to a certified standard?**
   Select "Yes" if your facility is certified to a formally recognized standard and indicate which standard the EMS follows.

   Select "No" if your facility is not recognized to a certified standard and indicate if your EMS meets the Environmental Stewardship Program requirements for the environmental policy, planning, implementing and operation, checking and corrective action, management review, and public outreach.

2. **Have you implemented the EMS (plan-do)?**
   A complete cycle includes:
   - Defining and documenting your EMS;
   - Identifying significant aspects and legal requirements;
   - Setting measurable objectives and targets;

- Establishing roles and responsibilities for meeting EMS and legal requirements;
- Conducting training for personnel on EMS and legal requirements; and,
- Taking steps to meet the established objectives and targets.

If you have completed all of these activities, select "Yes." If not, select "No."

Although not required for ESP participation, eventually your facility will need to implement the following steps as part of a successful EMS:

- Evaluating your progress in meeting the established objectives and targets;
- Conducting an EMS audit;
- Completing a compliance audit;
- Correcting any areas of EMS non-conformance or legal non-compliance; and
- Completing a management review of the EMS and its results.

3. **Has your EMS been assessed by an independent party?**
   All facilities applying to ESP must have had an independent assessment of their EMS prior to applying. An independent assessment is one that is performed by someone who is neither directly employed by your facility nor someone who has played a substantive role in developing your EMS. Applicants can use the ISO 14001:2004 certification audit, Responsible Care EMS or 14001 audits, the ESP Independent Assessment Protocol, or some other independent assessment, like a corporate audit, with approval from IDEM. Guidelines for these assessments are set out in the "Independent EMS Assessment Information," including the qualifications for the individual conducting the independent assessment. Indicate which method your facility has used to independently assess your EMS.

4. **Who performed the assessment?**
   List the name, title, and organization of the individual(s) that conducted the EMS independent assessment.

5. **What was the date of the last independent EMS assessment (mo/yr)?**
   Enter the month and year of your last independent EMS assessment. This date must be within the past 36 months in order for you to qualify for ESP.

6. **Have you done a comprehensive aspect analysis evaluating all activities conducted at your facility that could impact the environment (i.e., have you completed an aspect analysis)?**
   An aspect is any part of a facility's activities, products, or services that could have an impact on the environment. An aspect analysis includes both regulated and unregulated activities and products and their associated impacts. If you have done a complete inventory of all your facility's operations and determined the activities that could have an impact on the environment, select "Yes" to this question. Otherwise, select "No."

7. **Have you determined your significant aspects based on their potential harm to the environment, on community concerns, or on other objective factors?**
   Some of your aspects should be classified as "significant" because they have the greatest potential to cause a significant environmental impact. Your EMS should

include a consistent method for determining which of the aspects are significant. In addition to environmental risk, this method may consider other factors such as regulatory requirements, community concerns, or opportunities for pollution prevention. If you have identified and documented your significant environmental aspects, select “Yes.” Otherwise, select “No.”

8. **When did you last u[date your aspect analysis (mo/yr)?**
   As part of your EMS implementation cycle, your aspect analysis should be reviewed and updated to insure that it continues to accurately reflect your facility’s activities. Please report the date (mo/yr) that you last updated your aspect analysis.

Section C

In this section, you will identify the environmental improvement initiative you commit to pursue during your first year of ESP membership. Your future initiatives must be expressed in terms of quantitative improvements in indicators included in the “Environmental Performance Table.” The “Environmental Performance Table” is available in Attachment 1.

It is important to remember that some indicators are currently regulated and some are not. 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.

1a. and 1b. Category and indicator
Please identify the category and indicator you have selected from the “Environmental Performance Table.”

1c. Please provide additional detail on your indicator
As noted in the Environmental Performance Table, for some indicators you have the choice of reporting on a specific subset of an indicator (e.g., one specific material or a particular group of air toxics). If the indicator that you have chosen does not offer this option, the "Specific" option will not be available and you should select “All.” If the indicator that you have chosen does offer this option, then please indicate whether your measurement reflects the total indicator (check "All") or a particular element (check "Specific"). If you selected “specific,” please enter a description of your indicator (e.g., a chemical name).

1d. What activities or process changes do you plan to undertake at your facility to accomplish your initiative?
Describe the actions you will take to meet this initiative. You might include information 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 without becoming overwhelmed with details.

2. 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.

3. Are you subject to Federal, State, tribal, or local regulatory requirements for this indicator?

If you have any regulatory requirements related to this indicator—even if they do not directly address quantitative limits—check "Yes." Otherwise, check "No." If you answered "Yes," please list those requirements, including the quantitative limits and compliance deadlines that apply to you. Please also explain how your commitment exceeds these requirements. We need this information to make sure that your commitment goes beyond compliance.

If the category listed in question 1a. is Energy Use, Waste, or Air Emissions for Total Greenhouse Gases, please skip questions 4a. and 4b. and complete the table in Appendix 1 that pertains to the category listed in question 1a. Then return to Section C and complete questions 5 and 6. Otherwise, if the category listed in question 1a. is not Energy Use, Waste, or Air Emissions for Total Greenhouse Gases, continue to answer questions 4-6.

4a. and 4b. Units and baseline and future quantities

You must use the units listed on the Environmental Performance Table that are specific to your chosen environmental indicator. For the "Baseline" quantity, please enter the annual measurement of the indicator for the current calendar year. For the "Future" quantity, please provide the annual amount that you are committed to achieve by the next calendar year. Future initiatives should not reflect changes in production.

5. Does the quantity presented in the future quantity column represent an absolute goal or a normalized goal?

If you intend for your goal to be evaluated relative (indexed) to the production levels in your baseline year, then you should check "Normalized goal" (most member facilities have normalized goals). If the numerical goal that you entered in 4b. is the actual level that you intend to achieve, regardless of any increases in production, then you should check "Absolute goal."

6. Please briefly describe your intended basis for normalizing.

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 "eco-efficiency"). A complete picture of a facility's environmental progress should include both measurements. 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, KWh 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.

If your facility or company has developed a production index that weighs heterogeneous types of products according to size, complexity, or other factors, you may use that as your normalizing factor. Please provide a brief description of the index. It is not necessary to provide the exact equation, but please list or describe the types of factors included.

Appendix 1

Total (non-transportation) Energy Use Commitment

If you choose "Total Energy Use" as your indicator, you will need to supply additional information about the sources of your energy. This energy use commitment form allows you to commit to either reducing total energy use or to switching from nonrenewable to renewable fuel use. Regardless of which kind of commitment you make, you will need to report your energy use broken down by source and fuel type.

IMPORTANT: Do not include transportation related fuel use in this table. Commitments to reduce transportation energy use should be reported separately under the indicator heading "Transportation Energy Use." Environmental management activities aimed at reducing air emissions resulting from combustion (VOCs, NO_x, CO, and PM_{10}) are better reported under the appropriate indicator in the Air Emissions category.

4a. Identify the goal of your energy use commitment

4b. Energy Generated Off-Site

Complete the first part of the table, "Energy Generated Off-Site" by filling in your Baseline and Future years. Then, enter the amount of energy you purchased as electricity or steam during the "Baseline" calendar year in the left column and the amount you are committing to purchase during the "Future" calendar year in the center column. Do not include any electricity or steam that you generate; the fuel used to generate this energy can be reported in the second part of the table.

Energy Generated On-Site

Complete the second part of the table, "Sources of Energy Generated On-Site" by filling in the amounts of each fuel or energy source you used in the Baseline year and the amounts you are committing to use in your Future year.

This section of the table is designed to allow you to report on all of the fuel that you use at your facility. Thus, if you generate electricity or steam on-site, you should report the quantity of fuels that you use, but not the quantity of electricity or steam generated. If you purchase natural gas to produce electricity on-site, you should report the quantity of natural gas your facility uses but not the quantity of electricity that you generate. Similarly, if you co-generate electricity and steam from natural gas, you should report the quantity of natural gas your facility uses but not the quantities of electricity and steam that you generate.

Purchases of Electricity from Renewable Off-Site Sources

If you are committing to purchase electricity produced off-site from renewable sources, you will need to calculate the metric tons of carbon dioxide equivalent ($MTCO_2E$) that will be offset by this purchase. The MTCO2E offset tons per KWh will vary among electricity providers. Please contact your electricity provider for this information or the Indiana Department of Environmental Management at 800-988-7901 for help with this calculation.

Calculations

To calculate Total Energy Generated Off-Site, Total Energy Generated On-Site, and Total Energy Use, add the quantities of energy and fuel you report in the table. To calculate Total Renewable Energy Use and Total Non-Renewable Energy Use, sum the appropriate entries in the table. For example, hydropower and solar power are characterized as renewable energy sources, while coal and natural gas are considered non-renewable.

Non-hazardous Waste Commitment

Non-hazardous waste includes any non-hazardous output (solid, semi-solid, or liquid) shipped off-site for treatment or disposal, excluding products and product packaging. Do not include in this indicator wastewater containing non-hazardous waste, non-hazardous waste resulting from product take-back initiatives, or non-hazardous waste resulting from community recycling programs.

Your non-hazardous waste commitment may be to reduce non-hazardous waste generation, to switch to an environmentally preferable management method, or both. If your commitment is to switch to an environmentally preferable management method, the total quantity of the non-hazardous waste must either remain the same or decrease in the future year. Activities that result in an increase in the line labeled "Total Non-hazardous Waste" will not be accepted as a commitment.

4a. Identify the goal of your non-hazardous waste generation commitment

4b. Baseline and Future Quantities

In the first line of the table, select a management method used for non-hazardous waste and enter the quantity of the indicator that you managed with this method in the baseline year. Move to the next column and enter the quantity of the indicator that you are committing to manage with this method in the future year. The quantities entered must be in pounds or tons.

Continue to enter quantities for each applicable management method until you have listed all the methods you have used or will use for this indicator at your facility. Remember to keep all data in pounds or tons.

Calculations

To calculate the Total Non-Hazardous Waste for this indicator across all management methods, vertically sum the baseline and future columns individually. This total for the future year must be the same as or lower than the total for the baseline year. Please use pounds as the final units for Total Non-Hazardous Waste.

Hazardous Waste Commitment

Hazardous waste includes any hazardous non-product output (solid, semi-solid, or liquid) that the facility generates and treats on-site or ships off-site for treatment or disposal, excluding any waste generated as a service to the community. Do not include wastewater containing hazardous waste, hazardous waste resulting from product take-back initiatives, or hazardous waste resulting from community recycling programs.

Your hazardous waste commitment may be to reduce hazardous waste generation, to switch to an environmentally preferable management method, or both. If your commitment is to switch to an environmentally preferable management method, the total quantity of the hazardous

waste must either remain the same or decrease in the future year. Activities that result in an increase in the line labeled "Total Hazardous Waste" will not be accepted as a commitment. Regardless of your activities, the quantities that you enter in this table must account for facility-wide waste of the type you entered in question 1b for this commitment.

4a. Identify the goal of your hazardous waste generation commitment

4b. Baseline and Future Quantities

In the first line of the table, select a management method used for hazardous waste and enter the quantity of the indicator that you managed with this method in the baseline year. Move to the next column and enter the quantity of the indicator that you are committing to manage with this method in the future year. The quantities entered must be in pounds or tons.

Continue to enter quantities for each applicable management method until you have listed all the methods you have used or will use for this indicator at your facility. Remember to keep all data in pounds or tons.

Calculations

To calculate the Total Hazardous Waste for this indicator across all management methods, vertically sum the baseline and future columns individually. This total for the future year must be the same as or lower than the total for the baseline year. Please use pounds as the final units for Total Hazardous Waste.

Greenhouse Gas Emissions Commitment

Your commitment to reduce greenhouse gas emissions may include reducing energy use, reducing process-related emissions, increasing offsets, or a combination of these. Whatever your activities, you must fill in Baseline and Future amounts for all sources that are present at your facility. These sources are broken down into direct emissions, indirect emissions, and offsets.

If your greenhouse gas emission reduction activities will consist solely of reducing energy use, it may be easier for you to make a commitment in the energy use indicator rather than in the greenhouse gas emissions indicator. You may not make a commitment in both areas. The units used for all greenhouse gas emissions sources are metric tons of carbon dioxide equivalent ($MTCO_2Es$).

For detailed guidance in filling out the greenhouse gas commitment form or calculating $MTCO_2E$, see the Climate Leaders Greenhouse Gas Inventory Guidance Modules at www.epa.gov/climateleaders/.

4a. Identify the goal of your total greenhouse gas commitment

4b. Direct Emissions

Direct emissions are emissions from your facility's operations that go directly into the air. Under "Direct Emissions," fill in the measured quantities of emissions during the baseline year for each source type. Enter these emission quantities in the left column next to the source of the emission. These quantities must be in units of $MTCO_2Es$.

Fill in the annual quantities of emissions for each source that you are committing to achieve by the future year. Enter these emission quantities in the center column in the

row corresponding to the source of the emission. These quantities must be in units of $MTCO_2Es$. To calculate Total Direct Emissions, add the quantities of emissions that you reported for this section.

Indirect Emissions

Indirect emissions occur away from your facility, but are caused by your facility's operations, for example, emissions that occur at an electrical generating plant as a result of your electricity purchases. Under "Indirect Emissions," fill in the measured quantities of emissions during the baseline year for each source type. Enter these emission quantities in the left column next to the source of the emission. If you have indirect sources of emissions that are not listed, enter these sources into the "Other" fields below the listed sources. Enter emission quantities for these sources for the baseline year in the "Baseline" column. All quantities must be in units of $MTCO_2Es$.

Fill in the annual quantities that you are committing to achieve by the future year. Enter these quantities in the center column in the row corresponding to the source of the emission. These quantities must be in units of $MTCO_2Es$. To calculate Total Indirect Emissions, add the quantities of emissions that you reported for this section.

Offsets

Offsets are activities that may occur anywhere and result in a reduction of greenhouse gases in the atmosphere. Under Offsets, specify each source of offsets in the left column, and fill in the quantities measured during the baseline year and the quantity you are committing to achieve in the future year. These quantities must be in units of $MTCO_2E$. Calculate your Total Reduction from Offsets and Total Emissions Less Offsets.

Application and Participation Statement

The primary purpose of this section is for the facility to certify that the information reported in the application 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 application. Once the rest of the application is completed, this person should read the Participation Statement in its entirety, ensure that each of the lines at the bottom of the page is completed (i.e., printed name, title, phone number, e-mail address, facility name, facility street address, and alternative mailing address if appropriate), and sign and date the form in the space provided. All information, except for the alternate mailing address, is required.

Attachment 1

The Environmental Performance Table (EPT) contains the set of environmental indicators and measurement units that ESP applicants and members use as the basis for creating environmental performance commitments.

Selection Considerations

When developing your set of environmental performance commitments, please follow these criteria for selection, measurement, and reporting:

a. Select commitments from a minimum of two different categories, with a maximum of two indicators per category.

b. Use the indicators and the measurement units provided in this table.

c. All commitments should reflect facility-wide measurements. For example, while a facility may focus its efforts to reduce solvent usage on one particular process, the reported measurement should be of the solvent's usage across the entire facility. \

d. If the "Environmental Performance Table" includes the parenthetical "(total or specific)," you may choose to focus your commitment on a specific subset of that indicator. For example, for VOCs, you might choose to report on all (the total amount of) VOC emissions at your facility, or you might instead choose to report only on ethane. If the "total or specific" option is not noted for the particular indicator, then please provide total amounts.

e. If you select an indicator that is currently regulated, then your commitment must go beyond regulatory requirements.

f. As a general rule, commitments should relate to the life cycle of the facility's products or services. The facility's administration, utilities, and grounds are considered part of this life cycle. A facility's set of commitments is limited to one commitment that is not related to the life cycle of its products or services.

g. Ensure that there is no redundancy ("double-counting") among the indicators that you have selected.

Category	Indicator	Units
Stage: Upstream		
Material Procurement	Recycled content (Total or specific)	Pounds, tons
	Hazardous/toxic components (Total or specific)	Pounds, tons
Suppliers' Environmental Performance	Any relevant indicators from the Inputs or Nonproduct Outputs stages	As specified for the particular indicator
Stage: Inputs		
Material Use	Materials used (Total or specific)	Pounds, tons
	Hazardous materials used (Total or specific)	Pounds, tons
	Ozone depleting substances used (Total or specific)	CFC-11 equivalent tons, CFC-11 equivalent pounds
	Total packaging materials used	Pounds, tons
Water Use	Total water used	Gallons
Energy Use	Total (non-transportation) energy use by fuel type	kWh/MWh or Btu/MMBtu
	Transportation energy use (Total or specific)	kWh/MWh, gallons, cubic feet
Land and Habitat	Land and habitat conservation	Square feet, acres
	Community land revitalization	Square feet, acres
Stage: Nonproduct Outputs		
Air Emissions	Total GHGs	MTCO2E
	VOCs (Total or specific)	Pounds, tons
	NOx	Pounds, tons
	SOx	Pounds, tons
	PM2.5	Pounds, tons
	PM10	Pounds, tons
	CO	Pounds, tons
	Air toxics (Total or specific)	Pounds, tons
Air Emissions	Odor	European Odour Units
	Radiation	Curies, Becquerels
	Dust	Pounds, tons
Discharges to Water	COD	Pounds, tons
	BOD	Pounds, tons
	Toxics (Total or specific)	Pounds, tons
	Total suspended solids	Pounds, tons
	Nutrients (Total or specific)	Pounds, tons of Total N or P
	Sediment from runoff	Pounds, tons
	Pathogens (Total or specific)	MPN/ml, CFU/ml
Waste	Non-hazardous waste generation, broken down by management method (Total or specific)	Pounds, tons
	Hazardous waste generation, broken down by management method (Total or specific)	Pounds, tons
Noise	Noise	dBA
Vibration	Vibration	Inches per second
Stage: Downstream		
Products	Expected lifetime energy use (Total or specific)	kWh/MWh or Btu/MMBtu
	Expected lifetime water use (Total or specific)	Gallons
	Expected lifetime waste (to air, water, land) from product use (Total or specific)	Pounds, tons
	Waste to air, water, land from disposal or recovery (Total or specific)	Pounds, tons