

US EPA ARCHIVE DOCUMENT

## 2009 State Innovations Grant Program PRE-PROPOSAL

**Program Title/Location:** CLEAN (Comprehensive Local Environmental Action Network)  
Community Challenge – Maintaining Quality of Life, State of Indiana

**State Agency Applicant:** Indiana Department of Environmental Management (IDEM)

**State Contact Information:**

Jennifer Schick, Pollution Prevention Branch Chief  
IDEM/OPPTA

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**Total Project Cost:** Total Budget: \$372,298  
Requested from EPA: \$225,500  
Leveraged, Non-Federally Funding \$146,798

**Project Period:** The project period is effective immediately upon receiving the U.S. EPA Date of Approval (approximately October 2009) through two and one-half years after that date (approximately June 2012).

**Project Abstract:** The Indiana Department of Environmental Management (IDEM) continues to recognize the importance of improved environmental performance in local governments. Through a State Innovations Grant awarded in 2004, IDEM developed the CLEAN (Comprehensive Local Environmental Action Network) Community Challenge Program. CLEAN was developed to challenge Indiana municipalities to create an environmental management system (EMS) for their municipal operations. After working with communities over the past four years, IDEM has found that municipalities need tools to not only develop an EMS, but to sustain it, making it a valuable, inherent component of their everyday operations. Under this proposal, IDEM plans to hire a contractor to develop training materials for communities to better understand how to create a well developed and sustainable EMS. These materials will be incorporated into an interactive decision-support tool to assist municipal governments in developing and maintaining an EMS. IDEM expects to see increased compliance rates, expedited permit renewal and submission, and further reductions of emissions and releases to the environment.

**Statutory Authority and Flexibility:** The Clean Air Act, Clean Water Act, Solid Waste Disposal Act, Safe Drinking Water Act, and Toxics Substances Control Act provide authority for this project. No regulatory flexibility from any federal requirements is needed to implement the project.

As the attached letter indicates, IDEM Commissioner, Thomas Easterly, is aware of this project proposal and supports efforts to improve the implementation of EMSs in municipal governments.

**Summary Budget Information**

**1. State Contact Information:** Jennifer Schick, Pollution Prevention Branch Chief  
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**2. Project Title:** CLEAN Community Challenge - Maintaining Quality of Life

**3. Funding :**

	<b>Total Projects Costs</b>	<b>Proposed State Leverage Funds</b>	<b>EPA Funding</b>
<b>Personnel (1.06 FTE)</b>	<b>144,894</b>	<b>101,426</b>	<b>43,468</b>
<b>Fringe</b>	<b>57,263</b>	<b>40,084</b>	<b>17,178</b>
<b>Indirects</b>	<b>8,873</b>	<b>-0-</b>	<b>8,873</b>
<b>Travel</b>	<b>5,269</b>	<b>2,288</b>	<b>2,981</b>
<b>Supplies</b>	<b>6,000</b>	<b>3,000</b>	<b>3,000</b>
<b>Contractual</b>	<b>150,000</b>	<b>-0-</b>	<b>150,000</b>
<b>TOTAL</b>	<b>372,298</b>	<b>146,798</b>	<b>225,500</b>

**Pre-Proposal Narrative**

**1. Problem (Issue) Statement:**

This proposal intends to address the need for a formal training program and decision-support tool specifically designed for municipalities to develop and maintain an environmental management system.

**2. Background**

The CLEAN Community Challenge is a voluntary, environmental performance-based program developed in 2004 to recognize and reward Indiana municipalities for taking proactive steps to develop and implement an environmental management system (EMS) called a Quality of Life Plan (QLP).

This grant application builds upon and advances the state of knowledge gained from developing and managing the CLEAN program. After four years of studying how communities manage the Quality of Life Plan, IDEM desires to continue the program's innovative approach and create enhanced tools for municipalities developing an EMS. These tools will educate municipal governments in Indiana

and nationwide on how to develop and maintain an EMS, making the EMS a valuable, inherent component of everyday operations.

CLEAN has provided the support necessary for nine Indiana municipalities to develop a Quality of Life Plan. CLEAN members focus on achieving five environmental improvement goals over a three year designation period; however, it has become apparent that the communities struggle to maintain their EMS with regard to the plan, do, check, act cycle. The municipalities have developed their Quality of Life Plans and are working toward their goals, but are not experiencing the full benefits associated with a well-maintained system because of their inability to fully integrate their EMS.

### **3. Project Objectives**

The following proposal is submitted by the Indiana Department of Environmental Management (IDEM) for funding to create formal training materials and an interactive decision-support tool to help municipalities develop and maintain an environmental management system, or Quality of Life Plan, for their community. This will enhance the current CLEAN program, a voluntary program designed to encourage positive environmental actions that reduce air, land and water emissions and discharges from Indiana municipalities and businesses, as well as benefit any community seeking to implement an environmental management system. The tools developed with this grant will assist communities with planning, developing, implementing and maintaining an environmental management system (EMS). Additionally, CLEAN participants will continue working with community stakeholders to implement environmental programs addressing storm water issues, recycling, and emission reductions of Indiana's top Chemicals of Concern to the land, air, and water.

Working with Indiana communities and other state performance-based programs over the past four years, IDEM has learned that municipalities struggle to maintain their EMS once it is developed and initially implemented. Using this grant assistance, IDEM will develop a new and innovative mechanism to create more robust EMSs in municipalities from the start. Using the lessons learned from CLEAN participants as well as seeking input from other states with performance-based programs for communities, IDEM will hire a contractor to develop training materials for communities to better understand the components of an EMS, why each component is important to the improvement of municipal operations, and how to sustain the EMS by addressing the "check" and "act" stages of the plan, do, check, act cycle. The educational components identified by IDEM, other states, and the contractor will be incorporated into an interactive decision-support tool to assist municipal governments in developing and maintaining an EMS specific to each community. By developing training materials and the interactive decision-support tool to develop and maintain their EMS, IDEM will supply a mechanism for municipalities to create a solid foundation to build upon for future environmental improvements.

The interactive decision-support tool will allow municipalities to work through the EMS development process while providing the materials necessary to maintain their EMS. Although the tool's final components will be identified and designed by the contractor, there are several items we have identified to include. First, the interactive tool will contain the components to develop an EMS and a way to track the completion of those tasks. It will also contain educational components for participants to go through prior to completing each section. These educational modules will allow

participants to gain an understanding of each section of the EMS and how it fits into the larger picture of their operations. An up front understanding will help participants develop and implement sustainable EMSs. Some preliminary ideas for materials needed to maintain an EMS include audit schedules, forms to remain current on scheduled tasks, assistance identifying regulatory requirements, and managing data resulting from beyond-compliance activities. Working with the contractor and with other states that have performance-based programs will assist us in identifying maintenance tools that are needed to assist municipalities in keeping up with their EMS and incorporating the “check” and “act” components more closely into their operations. The information gained by working with these two groups will be incorporated into the tool and will provide participants with user friendly materials to remain active with their EMS.

IDEM believes the outputs of this grant will demonstrate broad, strategic innovation since no other interactive decision-support tool for municipalities to develop and maintain an EMS is available in the United States. Further EMS development will allow IDEM to continue to form new partnerships between the State, local government, and businesses, and will encourage communities to set and achieve their own environmental goals. Most importantly, the grant outputs can be used and replicated in all regions. Success will be measured by the number and quality of EMSs, improved environmental performance, increased compliance rates, and frequency of completing the entire plan, do, check, act cycle. Other successes will include increased participation in federal programs such as LEED, GREEN Communities, Smart Growth, National Performance Track, Waste Wise, and more. Benefits to the State and EPA may include increased compliance rates with environmental regulations and permits, decreased releases to the environment, increased site remediation and brownfields cleanup, and possibly expedited permits from municipalities to local businesses.

#### **4. Methodology**

##### **Program Criteria**

###### **a. Consistency with Solicitation Theme**

EMSs allows municipalities the flexibility to choose from an endless number of projects to address local environmental issues including greenhouse gases, smog, water quality, and water infrastructure.

Through the use of the proposed decision-support tool and training materials, each community will develop an EMS that will address continuous improvement and management of environmental issues in the community. Participants choose the environmental issues they will include in the EMS. IDEM expects the environmental issues to fall into one or more of the following areas of environmental media: Pollution Prevention, Energy Use, Water Use, Water Discharges, Transportation, Materials Use, Air Emissions, Environmental/Children’s Health, Community Sustainability, Solid Waste Generation, Hazardous Waste Generation, Accidental Releases and Emergency Response, Preservation and Restoration, and Vulnerability and Security Issues. IDEM believes this program supports each of the 5 Strategic Goals as outlined in the EPA’s *Innovation Strategy and Strategic Plan* by creating a structure for communities to make improvements in all areas of environmental impacts and aspects. Specifically, the outputs of this grant award will help the EPA achieve success with Strategic Goal 5-Compliance and Environmental Stewardship by reducing the environmental footprint of municipalities.

### **Project Schedule and Timeframe**

Fall 2009- Summer 2010	<u>Initiate contracts:</u> Seek input from other states with performance-based programs for municipalities; Bid for contracts to develop EMS training materials for municipalities and a decision-support tool that will incorporate those training materials into an interactive program to assist municipalities in developing and maintaining the Quality of Life Plans and EMSs; Finalize partnerships and responsibilities.
Summer 2010- Summer 2011	<u>Development:</u> Work with contractors to develop the EMS training materials and decision-support tool. Receive comments from other states with performance-based programs for municipalities on the usability of the EMS training and materials.
Summer 2011- Summer 2012	<u>Implementation:</u> Provide on-site training to communities for using the interactive decision-support tool to develop a municipal EMS.
Winter 2011- Spring 2012	<u>Implementation and Modifications:</u> Continue assisting municipalities and promoting the tool and materials; Speak at quarterly mayor meetings to promote tool and materials and at local government conferences; Modify the tool and materials as necessary if problems are encountered; Quantify success stories through monetary and environmental benefits.
Spring 2012	<u>Documentation:</u> Continue sharing tool and materials as described above; Speak at national conference to share knowledge and tool with other states; Begin development of final report.
Summer 2012	<u>Final Report:</u> Complete and submit Final Report to EPA; Determine future of program including funding; Modify tool and materials as necessary.

IDEM's Office of Pollution Prevention & Technical Assistance plans to work with a consultant to develop the formal EMS training materials for communities and the interactive decision-support tool. IDEM will seek input from its current CLEAN members and other states with performance-based programs to get feedback on how to mature an EMS or Quality of Life Plan. IDEM will continue to partner with the Chamber of Commerce and the Indiana Association of Cities and Towns by promoting the decision-support tool to their constituents.

*How does the proposed tool or approach differ from current methods?*

Although EMS programs for local governments already exist, the CLEAN Challenge – Maintaining Quality of Life goes further to actually provide an interactive decision-support tool for municipalities to use as they work toward implementing an EMS and will help them to maintain their EMS even when local administrations change. Finally, a key to the success of the tool and materials is ongoing, free on-site, confidential assistance from EMS trained staff at IDEM who will help guide municipalities through the tool.

#### **b. Consistency with Priority Focus area**

This project meets the strategic focus area 4 “Advancing implementation of performance-based

environmental leadership programs similar to the National Environmental Performance Track (PT) program, particularly including the development and implementation of incentives.” Under this proposal, IDEM will develop a new and innovative mechanism to create more robust EMSs in municipalities. The creation and implementation of well developed EMSs will result in expanded knowledge of environmental requirements, proactive environmental management, and reduced impacts on the environment.

### **c. Transferring Innovation**

The innovation developed under this grant will be shared with EPA Regions, other states, and the nation by speaking at state, regional, and national conferences. IDEM staff are members of the National Pollution Prevention Roundtable and the Great Lakes Regional Pollution Prevention Roundtable, providing forums for sharing these types of tools and materials. IDEM would be willing to present the training materials and the tool at conferences such as the National Pollution Prevention Roundtable and the Great Lakes Regional Pollution Prevention Roundtable. Finally, IDEM plans to share this tool with the eleven Public Entity Environmental Management System Resource (PEER) Centers to provide them with additional resources for public organizations. Within Indiana, press releases and press events will share local success stories regarding EMS implementation and the environmental results achieved by municipalities. IDEM’s regional offices will be utilized to share the tool and materials across the state and regional directors will have the opportunity to personally recognize a city or town for their dedication to the environment. IDEM writes an annual Pollution Prevention Report that will be used to report the results of the program each year. Further, any result through TRI that can be tied back to this program will be promoted in an annual Toxic Release Inventory press release. IDEM will also maintain a web site to document the success of the program for local, state, regional, or national audiences.

*What is the specific potential for widespread application or use of the tool/approach as a model for “next generation” environmental protection?*

This mechanism is transferable to other states without major changes to regulations. It will assist local governments with behavioral changes by thinking about environmental management in a proactive rather than a reactive manner. Maintained EMSs will allow municipalities to experience the full benefits of the plan, do, check, act cycle and stakeholders will be able to identify potential environmental issues before they become a problem, thus will be able to financially and administratively plan to mitigate such issues before they are mandated (e.g., combined-sewer overflows). The benefits of environmental management systems have been demonstrated within the local government sector. However, there is a need for tools and materials that will provide assistance to municipalities seeking to implement and maintain an EMS.

*How will the application of this innovation be used to promote organizational system change, or develop a culture of innovative environmental problem-solving as a “way of doing business” within the State or more broadly?*

An EMS is an organizational approach to managing environmental issues. With frequent staff turnover at municipalities, it is beneficial to create a plan that continues to meet their environmental

responsibilities even through change. By teaching municipalities to manage their environmental issues through an EMS, they should be able to identify problems and have a more efficient plan for implementing solutions. The mechanisms developed under this grant will provide municipal governments with educational components to understand what is going into the EMS, an interactive decision-support tool to develop a robust EMS, and systems to implement and maintain their EMS.

## **5. Outcomes and Measures**

**Outputs:** This project will create tools to assist municipal governments in creating more robust and sustainable environmental management systems for their operations. The final product will be an interactive decision-support tool that will provide a strong foundation of EMS fundamentals and will provide assistance in creating a well-developed and sustainable environmental management system for their operations.

### Short term outcomes

- Improved understanding of EMSs within a municipality
- Improved knowledge and techniques for implementing the plan, do, check, act cycle for continual environmental improvement
- Well-developed and sustainable EMSs throughout Indiana municipalities
- Knowledge transferred to other municipalities nationwide

### Intermediate outcomes

- Sustainable EMSs achieving environmental results such as:
  - increased compliance rates
  - improved permit renewal/submission processes
  - increased environmental awareness
  - improved operational performance

### Long term outcomes

- Reduction in natural resource consumption
- Reduction in releases/emissions
- Improved management of environmental issues
- Multi-media improvements

Environmental outcomes will be tracked using results reported from participating members. Example results may include reductions in energy consumed, amount of solid waste diverted from the landfill, or pounds of hazardous waste prevented. Within IDEM, results will be tracked using a variety of methods including: reducing toxics in Indiana's environment, increased/improved implementation of EMSs, improved compliance rates, increased efficiencies in permitting, improved partnering between State and local governments, improved communication between local government and citizens, and increased recycling and pollution prevention implementation. Please refer to the attached Logic Model for a comprehensive list of outcomes and measures.

## **Past Performance-Programmatic Capability and Reporting Environmental Results**



IDEM has received the following funding from EPA:

- 2007 EPA Pollution Prevention Incentives to States Grant - Linking Pollution Prevention and Environmental Management Systems to Lean Manufacturing and Related Programs The grant project tasks are on track and reports have been submitted promptly. (OPEN)
- 2006 Innovations Grant – Innovation in Environmental Permitting: Performance Track and State Performance-Based Environmental Leadership Programs and Environmental Management Systems (OPEN)
- 2004 Innovations Grant – CLEAN Community Challenge (CLOSED)

The CLEAN grant period ended in 2007. While the project period was open, IDEM successfully fulfilled the agreed-upon tasks under that agreement. Per reporting requirements, quarterly reports were promptly sent to EPA, reporting on the budget status and program progress during each quarter.

A final report was generated and submitted to EPA, documenting the successes, setbacks, and lessons learned throughout the project implementation period. The expected results identified in the grant agreement were achieved and continue to experience results as municipalities participate in the program. Current members are working towards environmental initiatives such as, reducing energy and fuel consumption, reducing the use of toxics, and reducing waste sent to a landfill, among many others. To date, one of the participating communities has reported an increased recycling participation rate of 24%, composted approximately 3,000 cubic yards of leaves, and is working to reduce the invasive species in a local wetland. Other program members continue to work on their initiatives but have not yet reported on their progress.

The Lean and Clean and Environmental Permitting grants are still in an open agreement period, and IDEM continues to work on and report the projects' progress to EPA in timely quarterly reports.

# Jennifer L. Schick

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## **EDUCATION:**

**Bachelor of Science in Public Affairs**

**Concentration: Environmental Science**

Indiana University School of Public and Environmental Affairs, Bloomington, IN

May 1994

**GPA: 3.75**

## **PROFESSIONAL EXPERIENCE:**

**Branch Chief, Pollution Prevention Branch**

**Office of Pollution Prevention and Technical Assistance**

Indianapolis, IN

Indiana Department of Environmental Management

December 2007-Present

- Manage the Pollution Prevention Branch with the mission to reduce pollutant levels by regulated entities in Indiana through promotion and voluntary implementation of programs and P2 activities.
- Manage employees of the branch, policies associated with the programs in the branch and overall applicable program activity and achievement of goals.

**Section Chief, Office of Air Quality, Air Compliance Section 2**

Indianapolis, IN

Indiana Department of Environmental Management

October 2006-December 2007

- Managed activities of staff members by reviewing asbestos inspectors and air compliance inspector's reports ensuring correct interpretation and application of state and federal rules.
- Worked with one senior staff members to develop contracts for Local Agencies and to develop internal guidance and evaluating difficult New Source Review cases.
- Worked on annual planning with staff members.
- Manage employees of the section, overall section activity and achievement of goals.

**Environmental Manager 2, Office of Air Quality, Air Compliance**

Indianapolis, IN

Indiana Department of Environmental Management

February 2003 – October 2006

- Worked independently as a Compliance inspector to determine sources of air pollution, analyze problems, respond to complaints
- Conducted inspections of air pollution sources to determine compliance with current regulations and permits
- Prepared technical reports for all inspections, surveillances and compliant investigations
- Reviewed draft permits and make comments, consult with other groups and agencies
- Performed oversight of City of Indianapolis, Anderson Local agency, and Vigo Local agency

**Environmental Scientist 3, Office of Air Quality, Air Compliance**

Indianapolis, IN

Indiana Department of Environmental Management

December 1997- February 2003

- Worked independently as a Compliance inspector to determine sources of air pollution, analyze problems, respond to complaints
- Conducted inspections of air pollution sources to determine compliance with current regulations and permits
- Reviewed draft permits and make comments, consult with other groups and agencies
- Prepared technical reports for all inspections, surveillances and investigations
- Participated as a speaker at EEE Workshop for teachers and the Indiana Chamber of Commerce Practical Compliance workshop.

## **PROFESSIONAL TRAINING:**

- Numerous Air Related trainings such as New Source Review, Basic and Advanced Inspector Training, Compliance Assurance Monitoring, Combustion Evaluation, Enforcement of NSR/PSD Regulations, Baseline Source Inspection and Method 9 Opacity certification
- Leadership training

**Logic Model for CLEAN Community  
Challenge – Maintaining Quality of Life**

Inputs (Resources)	Activities	Outputs (Deliverables)	Customers (Target Audience)	Short Term Outcomes (Measurable)	Intermediate Outcomes (Measured if possible)	Long Term Outcomes (Projected)	EPA Strategic Objective Supported
EPA Grant \$\$ Leveraged funding - Staff Time Materials Partnerships	Work with Contractor / other states to evaluate EMS strategies Work with developer to create an interactive tool to assist municipal governments in developing an EMS (Quality of Life plan) Provide training to communities on how to use the tool Provide stakeholder committee training on EMS components and the bigger picture of maintaining an EMS Speak at national conferences to transfer the knowledge gained	Develop an interactive tool to assist municipal governments in developing an EMS Educational and training materials for community stakeholders to build strong understanding of EMSs Tools and materials developed for communities that will help them maintain their EMS	Local governments in Indiana Stakeholder committees Citizens of Indiana Municipalities in other states	Improved understanding of the benefits of an EMS within a municipality Well-developed EMSs throughout Indiana municipalities Knowledge transferred to other municipalities nationwide	Increased compliance rates Improved permit renewal/ submission process by having a set schedule developed for the community through its EMS Increased awareness of environmental impacts and how a community can make continuous improvement	Reduction in natural resource consumption Reduction in releases/ emissions Improved management of environmental issues Multi-media improvements	This project supports all five EPA goals -Clean Air and Global Climate change -Clean and Safe Water -Land Preservation and Restoration -Healthy Communities and Ecosystems -Compliance and Environmental Stewardship



# INDIANA DEPARTMENT OF ENVIRONMENTAL MANAGEMENT

*We Protect Hoosiers and Our Environment.*

*Mitchell E. Daniels Jr.*  
Governor

*Thomas W. Easterly*  
Commissioner

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Ms. Sherri Walker  
State Innovation Grant Program  
National Center for Environmental Innovation  
Office of the Administrator  
U.S. EPA (MC 1807T)  
1200 Pennsylvania Avenue., NW  
Washington, D.C. 20460

Dear Ms. Walker,

Re: 2009 State Innovations Grant Program

As Commissioner of the Indiana Department of Environmental Management, I am pleased to support the State of Indiana's proposal for the 2009 State Innovation Grant. Our mission to protect Indiana residents and our environment is carried out through the regulations, services, and programs managed by the agency. We are constantly seeking ways to promote environmental stewardship and beyond-compliance operations to our constituents. Well-developed and maintained environmental management systems (EMS) are an integral stepping stone to achieving this beyond-compliance status.

Developing and maintaining an EMS is often overwhelming to local units of government. However, the interactive EMS development and maintenance tool described within this proposal can simplify this process and provide municipalities with the tools necessary to create and maintain a functional EMS to improve their environmental performance.

If awarded the State Innovation Grant, the outcomes of this project can benefit municipalities not only in Indiana, but also regionally and nationwide. Increasing the quantity of well-developed EMSs in municipal governments across the country will be a tremendous stride in proactively managing the environmental impacts from daily municipal operations.

I am pleased to support this proposal and anxious to continue our work improving the environmental performance of local governments.

Sincerely,

Thomas W. Easterly  
Commissioner,

