



03-19-14 P02:30 IN

**Carrier Corporation**

EHS Department  
7310 West Morris Street  
P.O. Box 70  
Indianapolis, IN 46206

March 18, 2014

Indiana Department of Environmental Management  
Pollution Prevention and Technical Assistance  
MC 65-00, Room IGCS W041  
100 North Senate Avenue  
Indianapolis, Indiana 46204-2251

RE: Environmental Stewardship Program (ESP) – Annual Performance Report (Renewal)

Please find the enclosed State Form (53475), ESP Annual Performance Report for this renewal year.

If you have any questions please contact James Oliver, Sr. EHS Specialist at 317.481.5746.

Respectfully,

A handwritten signature in cursive script, appearing to read "Jim Jacobs".

Jim Jacobs  
Carrier Corporation  
Plant Manager

Enc: State Form 53475  
ESP Renewal

CC: John Purdy, James Oliver, Mark Komosinski  
Carrier Corporation, Indianapolis, IN


**INDIANA ENVIRONMENTAL STEWARDSHIP PROGRAM  
ANNUAL PERFORMANCE REPORT**

 State Form 53475 (R3 / 1-11)  
 INDIANA DEPARTMENT OF ENVIRONMENTAL MANAGEMENT  
 ENVIRONMENTAL STEWARDSHIP PROGRAM

 Indiana Department of Environmental Management  
 Office of Pollution Prevention and Technical Assistance  
 MC 64-00, Room IGCS W041  
 100 North Senate Avenue  
 Indianapolis, IN 46204-2251  
 Telephone: (800) 988-7901  
 FAX: (317) 233-5627  
 E-mail: [esp@idem.IN.gov](mailto:esp@idem.IN.gov)

Please use this form if you are a member of the Indiana Environmental Stewardship Program (ESP) to report on progress toward objectives and targets AND certify ESP requirements continue to be achieved. Indiana ESP facilities must submit an Annual Performance Report (APR) by April 1<sup>st</sup> of every year, for each calendar year in which the entity has been a member for at least three (3) full months. Section C of your APR should be signed by your ISO 14001:2004 EMS Lead Auditor. Your APR should be reviewed and signed by a senior manager at your facility prior to submittal. Once signed, e-mail the APR to IDEM at [esp@idem.IN.gov](mailto:esp@idem.IN.gov). Please do not include any confidential business information in your annual performance report. Public access laws require IDEM to make the APR publicly available, which may include posting all portions of your report on the Indiana ESP Web site. If you have any questions, please contact IDEM at [esp@idem.IN.gov](mailto:esp@idem.IN.gov) or (800) 988-7901.

SECTION A		FACILITY INFORMATION	
Name of facility		Carrier Corporation	
Name of parent company (if applicable)		United Technologies	
Street address (number and street)		7310 West Morris Street	
City / State / ZIP code		Indianapolis, IN 46231	
Web site of Facility/Company		<a href="http://www.carrier.com">www.carrier.com</a>	
		CONTACT INFORMATION	
Name of Contact (Mr. / Mrs. / Ms. / Dr.)		James Oliver	
Title		Sr. EHS Specialist	
Telephone number		317-481-5746	
FAX number		860-557-8846	
E-mail address		<a href="mailto:james.oliver@carrier.utc.com">james.oliver@carrier.utc.com</a>	
Mailing address (if different from facility address)		7310 West Morris Street	
City / State / ZIP Code		Indianapolis, IN 46231	
		REPORTING PERIOD	
Reporting period dates (month, day, year)		1/1/2013 - 12/31/2013	
1a. Is this the third Annual Performance Report of your membership term?		<input checked="" type="checkbox"/> Yes—If yes, answer question 1b. <input type="checkbox"/> No—If no, skip to the "Change in Information" section of this report.	
1b. Do you wish to renew your Indiana Environmental Stewardship Program membership?		<input checked="" type="checkbox"/> Yes—If yes, please complete all sections of this annual report. <input type="checkbox"/> No—If no, please complete all sections of this annual report except for Section F.	
		CHANGE IN INFORMATION	
In your ESP application and, perhaps, in previous annual performance reports, you described what your facility does or makes. Have there been any changes or additions to your facility's list of products or activities?		<input type="checkbox"/> Yes—If yes, please describe them: <input checked="" type="checkbox"/> No	
SECTION B		PUBLIC OUTREACH AND PERFORMANCE REPORTING	
Why do we need this information? IDEM needs to know how environmental information was shared with the public.		What do you need to do? Describe how the facility has shared and plans to share environmental information.	
Please briefly describe the activities that your facility conducted during this reporting period to interact with the community on environmental issues and to report publicly on its environmental performance. Member of Partners for Pollution Prevention			
Please indicate which of the following methods your facility plans to use to make its ESP Annual Performance Report available to the public. Please check as many as appropriate.			
<input type="checkbox"/> Web site ( <a href="http://www.">http://www.</a> ) <input type="checkbox"/> Open house <input checked="" type="checkbox"/> Meetings <input type="checkbox"/> Press releases <input type="checkbox"/> Other			

## SECTION C

## ENVIRONMENTAL MANAGEMENT SYSTEM ASSESSMENT

## Why do we need this information?

Facilities need to have implemented an EMS that meets certain criteria and use an ISO 14001:2004 EMS Lead Auditor at least every 36 months to assess the EMS.

What do you need to do?  
Answer the following questions  
about your EMS.

1. What is the most recent date that an ISO 14001:2004 EMS Lead Auditor performed an EMS assessment at your facility? 11/2013

2. Is the date of the most recent EMS assessment performed by an ISO 14001:2004 EMS Lead Auditor within the past 36 months?

Yes—If yes, skip to Question 3.

No—If no, please have your ISO 14001:2004 EMS Lead Auditor complete and sign the following checklist, indicating whether or not your EMS meets the listed criteria for ESP membership:

- Yes  No Evidence of senior management support, commitment, and approval.
- Yes  No A written environmental policy directed toward compliance, pollution prevention, and continuous improvement.
- Yes  No Identification of the environmental aspects at the entity.
- Yes  No Prioritization of the environmental aspects and a determination of those aspects deemed significant considering, at the minimum, environmental impacts and applicable laws and regulations.
- Yes  No Established priorities, and environmental objectives and targets for continuous improvement in environmental performance and for ensuring compliance with applicable environmental laws, regulations, and permit conditions. Objectives and targets must go beyond current legal requirements and specify the environmental media, types of pollution to be prevented or reduced, implementation activities, and projected time frames.
- Yes  No An established community outreach mechanism that includes identifying and responding to community concerns; informing the community of important matters that affect the community; and reporting on the EMS, including reporting to the public on the environmental policy and significant aspects.
- Yes  No Incorporation of environmental and pollution prevention planning in the development of new products, processes, and services and modifications of existing processes.
- Yes  No Evidence of clear responsibility for implementation, training, monitoring, EMS maintenance, taking corrective action, and ensuring compliance with applicable environmental laws, regulations, and permit conditions.
- Yes  No Documentation of the implementation procedures and the results of implementation.
- Yes  No Appropriate written EMS procedures.
- Yes  No An annual evaluation of the EMS with written results provided to senior management and affected employees.

Signature of ISO 14001:2004 EMS Lead Auditor

Date (month, day, year)

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

No—If no, skip to Question 4.

Yes—If yes, describe any deficiencies found and the corrective action taken to address each deficiency: See Attachment

4. Name, title, and organization of ISO 14001:2004 EMS Lead Auditor that conducted the most recent EMS assessment: Brandon Baylis, UTC Corporate

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

- ISO 14001:2004 Certified audit
- Responsible Care EMS audit
- Responsible Care 14001 audit
- ESP Independent Assessment Protocol
- Other (please specify):

6. Is the EMS certified to a recognized standard?

Yes—If yes, what standard does the EMS follow (please provide a copy of the most recent certificate)?

- ISO 14001:2004
- Responsible Care EMS
- Responsible Care 14001

No.

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

Month / Year: 11/2013

Who headed the review (name and title)? Brandon Baylis, UTC Corporate EHS

8. When did your facility last conduct an internal or corporate environmental compliance audit? Do not include inspections or site visits by regulatory organizations.  
 Scope of the compliance audit: Assurance Review  
 Month(s) / Year(s): 11/2013  
 Who conducted the audit(s) (e.g., facility staff, corporate, third party)? Corporate EHS

9. 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's emergency or contingency plans?  
No emergencies experienced

10. Has your facility corrected all instances of potential environmental non-compliance and EMS non-conformance identified during your audits and other assessments?  
 Yes—If yes, briefly summarize corrective actions taken and other improvements made as a result of your EMS assessment(s) or compliance audit(s).  
See Attachmnet  
 No—If no, please explain your plans to correct these instances.  No such instances identified.

11. (Optional) Please provide a narrative summary of progress made toward EMS objectives and targets other than those reported as an Environmental Performance Initiative in Section E. You may limit the summary to environmental aspects that are *significant* and towards which *progress* has been made during the last calendar year. Attach additional sheets as necessary.

Environmental aspect	Progress made this year (e.g., quantitative or qualitative improvements, activities conducted)
Air Compliance	Reduction of VOC within Evaporative Lubricants used during the manufacturing proces

**SECTION D ADDITIONAL INFORMATION**

**Why do we need this information?**  
 This information will help IDEM to effectively manage the Environmental Stewardship Program.

**What do you need to do?**  
 Answer the questions as completely as possible.

- In addition to ESP, please list environmental awards received or voluntary programs participated in during the past twelve months.
- Has your facility taken advantage of any ESP incentives? If so, please describe the implementation process and list additional benefits IDEM should consider.
- If your facility was not registered to the ISO 14001 standard prior to becoming an ESP member, has ESP helped you to pursue registration? If so, how has ESP been instrumental in achieving registration?

**SECTION E ENVIRONMENTAL IMPROVEMENT INITIATIVE RESULTS**

**Why do we need this information?**  
 Facilities need to share the results of the environmental improvement initiative that was pursued during the reporting period.

**What do you need to do?**  
 Summarize your facility's progress on achieving the initiative you identified in the application or last year's APR.

Category: <u>Air Emissions (VOC)</u> Indicator: <u>TPY</u>	Baseline Quantity	Future Goal Quantity	Current Quantity	Cost Savings
Calendar year	2012	2014	2013	
Actual quantity (per year)	86.42	50.33	85.02	
Normalized quantity (per year)				
Basis for your normalizing factor (e.g., gallons of paint produced)				
Measurement unit (e.g., pounds)	Tons/YR			

Briefly describe how you achieved improvements for this environmental initiative or, if relevant, any circumstances that delayed progress.  
By reducing the VOC content in the evaporative lubricant used in the manufacturing process.

Please list any state, U.S. EPA, or other partnership programs to which you are reporting this data (e.g., Energy Star, Project XL).

(Optional) If your facility has experienced continued results for environmental improvement initiatives pursued in past years of ESP membership, please share those results here.

## SECTION F

## ENVIRONMENTAL IMPROVEMENT INITIATIVE

## Why do we need this information?

Facilities need to show they are committed to improving their environmental performance.

## What do you need to do?

Refer to the Environmental Performance Table and answer the following questions.

1. Select the appropriate boxes in the following table to indicate the **category** and **indicator(s)** that represents the environmental improvement initiative selected by your facility. For the category and indicator selected, list the **baseline year** (e.g., 2009) and the **future year** (e.g., 2010). Next, list the **baseline annual quantity** (e.g., 5 tons) and **future annual quantity** (e.g., 2 tons) you are committing to achieve by the end of the future year.

Category	Indicator	Baseline Year 20__13	Future Year 20__14	Unit
<input type="checkbox"/> Material Procurement	<input type="checkbox"/> Recycled content			Pounds, tons
	<input type="checkbox"/> Hazardous/toxic components			Pounds, tons
<input type="checkbox"/> Suppliers' Environmental Performance	<input type="checkbox"/> Specify indicator: _____			As specified for the particular indicator
	<input type="checkbox"/> Materials used			Pounds, tons
<input type="checkbox"/> Material Use	<input type="checkbox"/> Hazardous materials used			Pounds, tons
	<input type="checkbox"/> Ozone depleting substances used			CFC-11 equivalent pounds
	<input type="checkbox"/> Total packaging materials used			Pounds, tons
	<input type="checkbox"/> Water Use	<input type="checkbox"/> Total water used		
<input type="checkbox"/> Energy Use	<input type="checkbox"/> Electricity			kWh / MWh, Btu / MMBtu
	<input type="checkbox"/> Steam			kWh / MWh, gallons, ft <sup>3</sup>
	<input type="checkbox"/> Natural gas			Btu / MMBtu
	<input type="checkbox"/> Diesel			Gallons
	<input type="checkbox"/> Propane / LPG			Btu / MMBtu, gallons
	<input type="checkbox"/> Gasoline			Gallons
	<input type="checkbox"/> Solar			kWh / MWh
	<input type="checkbox"/> Wind			kWh / MWh
	<input type="checkbox"/> Landfill gas			Btu / MMBtu
	<input type="checkbox"/> Combined heat and power			kWh / MWh, Btu / MMBtu
<input type="checkbox"/> Other: _____			_____	
<input type="checkbox"/> Land and Habitat	<input type="checkbox"/> Land and habitat conservation			Square feet, acres
	<input type="checkbox"/> Community land revitalization			Square feet, acres
<input checked="" type="checkbox"/> Air Emissions	<input type="checkbox"/> Total GHGs			MTCO <sub>2</sub> E
	<input checked="" type="checkbox"/> VOCs	85.02	50.33	Pounds, tons
	<input type="checkbox"/> NO <sub>x</sub> , SO <sub>x</sub> , PM <sub>2.5</sub> , PM <sub>10</sub> , or CO			Pounds, tons
	<input type="checkbox"/> Air toxics			Pounds, tons
	<input type="checkbox"/> Odor			European Odour Units
	<input type="checkbox"/> Radiation			Curies, Becquerels
	<input type="checkbox"/> Dust			Pounds, tons
<input type="checkbox"/> Discharges to Water	<input type="checkbox"/> COD or BOD			Pounds, tons
	<input type="checkbox"/> Toxics			Pounds, tons
	<input type="checkbox"/> Total suspended solids			Pounds, tons
	<input type="checkbox"/> Nutrients			Pounds, tons of N or P
	<input type="checkbox"/> Sediment from runoff			Pounds, tons
	<input type="checkbox"/> Pathogens			MPN/ml, CFU/ml
<input checked="" type="checkbox"/> Non-hazardous Waste <input type="checkbox"/> Hazardous Waste	<input type="checkbox"/> Landfill			Pounds, tons
	<input type="checkbox"/> Incineration			Pounds, tons
	<input type="checkbox"/> Reused/recycled off-site			Pounds, tons, gallons
	<input type="checkbox"/> Other: <b>Total Process Waste</b>	23,000,000	22,000,000	Pounds, tons, gallons
<input checked="" type="checkbox"/> Noise	<input checked="" type="checkbox"/> Noise	94	83	dBA
<input type="checkbox"/> Vibration	<input type="checkbox"/> Vibration			Inches per second
<input type="checkbox"/> Products	<input type="checkbox"/> Expected lifetime energy use			kWh / MWh, Btu / MMBtu
	<input type="checkbox"/> Expected lifetime water use			Gallons
	<input type="checkbox"/> Expected lifetime waste to air, water, or land from product use			Pounds, tons
	<input type="checkbox"/> Waste to air, water, or land from disposal or recovery			Pounds, tons

2. 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)? Reduction of VOC content in the evaporative lubricant used during hte manufacturing process. Reduction pf process waste by increasing the recycling efforts. Reduction of noise by repairing compressed air leaks, etc.
3. Does this initiative address a significant aspect in your EMS?
- Yes
- No—If no, please explain why you believe this indicator should be included as an environmental improvement initiative:

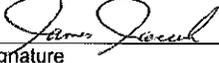
## CERTIFICATION AND PLEDGE

On behalf of (name of facility) Carrier Corporation

I certify that the information contained in this Annual Performance Report and attachments is accurate to the best of my knowledge and that this facility is, to the best of my knowledge and based on reasonable inquiry, currently in compliance with all applicable federal, state, and local environmental requirements, or has a corrective action program in place to attain compliance.

We, Carrier, commit to maintaining the principles and goals outlined in our Environmental Management System for our facility's Indiana Environmental Stewardship Program status. We agree to strive for full compliance with all regulations promulgated by the U.S. EPA, state, or local jurisdictions. We agree to promote the Indiana Environmental Stewardship Program and to share our success stories with other facilities. We understand that the Annual Performance Report must be submitted to IDEM by April 1<sup>st</sup> of each year and that we must reapply to the Indiana Environmental Stewardship Program every three years.

I understand that the information provided in this Annual Performance Report will be public record. I am the senior facility manager or authorized facility signatory, and fully authorized to execute this statement on behalf of the corporation or other legal entity whose facility is submitting this Annual Performance Report.

Signature 	Title Plant Manager	Date (month, day, year) <u>03/18/2014</u>
Printed signature James Jacobs		

**Carrier Corporation**  
**Indiana Environmental Stewardship Program Renewal**  
**Attachment**

Question	Response
<p><b>Section C #3: Were there any deficiencies found during the most recent EMS Assessment?</b></p>	<ul style="list-style-type: none"> <li>• Waste determinations have not been updated to use the new UTC template. (Corrected 12/2013 - the new template has been integrated in determinations)</li> <li>• Used fluorescent bulbs not properly stored or labeled. (Corrected 12/2013 – facilities maintenance was changing out bulbs and left the used bulb container open; the facilities group was retrained)</li> <li>• Signed copy of the Storm Water report (Corrected 11/2013 – the plant manager signed the copy of the report)</li> <li>• There are many obstructions in aisle ways (i.e. oil on floor, pallets, banding) – Corrected 11/2014 – instituted a layered audit system to increased accountability on housekeeping and other associated hazards</li> <li>• Missing air emission training to affected engineers and supervisors. (Corrected 3/2014 – developed awareness training)</li> <li>• No recent assessment for GHG reduction. (1/2014 – UTC Energy Assessment conducted. Developed GHG Team to track and completed action items from assessment)</li> <li>• Carcinogens have not been reviewed in qualitative assessment. (Currently quoting IH consultant to perform the ACGIH Qualitative Assessment Protocols facility wide on all products used during the manufacturing process)</li> </ul>
<p><b>Section C #4: Name, title and organization of ISO 14001:2004 EMS Lead Auditor that conducted the last EMS assessment.</b></p>	<p>UTC Corporate EHS  Brandon Baylis is the EHS Manager in charge of Program Reviews and Assessments and Reviews as they relate to the UTC EMS.</p>
<p><b>Section C #5: What type of protocol was used to perform the independent assessment?</b></p>	<p>11/2013 UTC Corporate Assurance Review</p>