



INDIANA ENVIRONMENTAL STEWARDSHIP PROGRAM ANNUAL PERFORMANCE REPORT

State Form 53475 (R7 / 2-21)
INDIANA DEPARTMENT OF ENVIRONMENTAL MANAGEMENT
ENVIRONMENTAL STEWARDSHIP PROGRAM

Indiana Department of Environmental Management
Office of Program Support
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Indianapolis, IN 46204-2251
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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 1st** of every year, for each calendar year in which the entity has been a member for at least three (3) full months. Membership terms are renewed every four (4) years through submitting your APR. 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. 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 or (800) 988-7901.

This form will also be used for ESP members who are also members of the Indiana Partners for Pollution Prevention Program to recertify their membership and reaffirm their commitment to the Partners Pledge.

SECTION A FACILITY INFORMATION

Name of facility Carrier Corporation
Name of parent company (if applicable)
Street address (number and street) 7310 W Morris Street
City / State / ZIP code Indianapolis/Indiana/46231
County Marion
Website of facility / company www.carrier.com
How many employees (full time equivalents) currently work at your facility? 1250

CONTACT INFORMATION

Name of Primary Contact (Mr. / Mrs. / Ms. / Dr.) Mrs. Jenny Jenkins		Title Plant Manager
Telephone number (317) 381 - 7086	FAX number ()	E-mail address Jennifer.Jenkins@carrier.com
Mailing address (if different from facility address)		
City / State / ZIP Code		
Name of Secondary Contact (Mr. / Mrs. / Ms. / Dr.) Mr. Bill Radlinger		Title EHS Manager
Telephone number (317) 481 - 5746	FAX number ()	E-mail address william.radlinger@carrier.com
Mailing address (if different from facility address)		
City / State / ZIP Code		

REPORTING PERIOD

Reporting period dates from prior calendar year (mm/dd/yyyy – mm/dd/yyyy)
01/01/2020 - 12/31/2020

- 1a. Is this the fourth ESP Annual Performance Report of your membership term?
☐ Yes—If yes, answer question 1b.
☒ 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?
☒ Yes—If yes, please complete all sections of this annual report.
☐ No—If no, please complete all sections of this annual report except for Section F.
- 2a. Are you a member of the Indiana Partners for Pollution Prevention (Partners) Program?
☒ Yes—If yes, answer question 2b.
☐ No—If no, skip to the "Change in Information" section of this report.

REPORTING PERIOD (CONTINUED)

- 2b. Do you wish to recertify your Partners for Pollution Prevention (Partners) Pledge?
- ☒ Yes—If yes, please complete all sections of this annual report.
- ☐ 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?

☐ Yes—If yes, please describe them: _____

☒ 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. N/A

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.

☒ Web site (<http://www.> <http://www.carrier.com/en/us/sustainability/>) ☐ Open house ☐ Meetings ☐ Press releases ☐ 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 EMS Lead Auditor at least every thirty-six (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 EMS Lead Auditor performed an EMS assessment at your facility? 10/20/2018

2. Name, title, and organization of ISO 14001 EMS Lead Auditor who conducted the most recent EMS assessment: Tony Greene, RAB QMS-LA Q04103 Midwest Quality Technologies

3. Is the date of the most recent EMS assessment performed by an ISO 14001 EMS Lead Auditor within the past thirty-six (36) months?

☒ Yes—If yes, skip to Question 4.

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

- | | |
|--|---|
| <input type="checkbox"/> Yes <input type="checkbox"/> No | Evidence of senior management support, commitment, and approval. |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | A written environmental policy directed toward compliance, pollution prevention, and continuous improvement. |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | Identification of the environmental aspects at the entity. |
| <input type="checkbox"/> Yes <input type="checkbox"/> 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. |
| <input type="checkbox"/> Yes <input type="checkbox"/> 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. |
| <input type="checkbox"/> Yes <input type="checkbox"/> 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. |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | Incorporation of environmental and pollution prevention planning in the development of new products, processes, and services and modifications of existing processes. |
| <input type="checkbox"/> Yes <input type="checkbox"/> 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. |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | Documentation of the implementation procedures and the results of implementation. |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | Appropriate written EMS procedures. |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | An annual evaluation of the EMS with written results provided to senior management and affected employees. |

Signature of ISO 14001 EMS Lead Auditor _____

Date (month, day, year) _____

SECTION C	ENVIRONMENTAL MANAGEMENT SYSTEM ASSESSMENT <i>CONTINUED</i>
4. Were any deficiencies found during the most recent EMS assessment?	<input type="checkbox"/> Yes—If yes, describe any deficiencies found and the corrective action taken to address each deficiency: _____ <input checked="" type="checkbox"/> No
5. What type of protocol was used to perform the independent EMS assessment?	<input type="checkbox"/> ISO 14001:2015 Certified audit <input checked="" type="checkbox"/> ESP Independent Assessment Protocol <input type="checkbox"/> Other (please specify): _____
6. Is the EMS certified to a recognized standard?	<input type="checkbox"/> Yes—If yes, what standard does the EMS follow (please provide a copy of the most recent certificate)? <div style="margin-left: 20px;"> <input type="checkbox"/> ISO 14001:2015 <input type="checkbox"/> Responsible Care EMS <input type="checkbox"/> Responsible Care 14001 </div> <input checked="" type="checkbox"/> No
7. When was the last Senior Management review of your EMS completed?	Month / Year: <u>October 2020</u> Who headed the review (name and title)? <u>Anjela Arora, Environmental Specialist</u>
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: <u>All Environmental programs & processes</u> Month(s) / Year(s): <u>November 2020</u> Who conducted the audit(s) (e.g., facility staff, corporate, third party)? <u>Corporate and Facility Staff</u>
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?	N/A
10. Has your facility corrected all instances of potential environmental non-compliance and EMS non-conformance identified during your audits and other assessments?	<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input checked="" type="checkbox"/> Yes—If yes, briefly summarize corrective actions taken and other improvements made as a result of your EMS assessment(s) or compliance audit(s). </div> <div style="width: 45%;"> <input type="checkbox"/> No—If no, please explain your plans to correct these instances. </div> </div> <div style="margin-top: 10px;"> <input type="checkbox"/> No such instances identified. </div>

SECTION D	ADDITIONAL INFORMATION	What do you need to do?
Why do we need this information? This information will help IDEM to effectively manage the Environmental Stewardship Program.	Answer the questions as completely as possible.	
1. In addition to ESP, please list environmental awards received or voluntary programs participated in during the past twelve (12) months.	N/A	
2. Has your facility taken advantage of any ESP incentives? If so, please describe the implementation process and list additional benefits IDEM should consider.	N/A	
3. 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?	No current plans to be ISO 14001 certified/registered	
4. Are the ESP and/or Partners group meeting your expectations? Please provide feedback or suggestions.	Yes, however we have not had a lot of engagement this past year due to COVID-19 pandemic	

SECTION D

ADDITIONAL INFORMATION (CONTINUED)

5. If you are a member of Partners, please reaffirm your facility's or organization's pledge to the Partners and provide additional information regarding commitment to pollution prevention (P2).

Yes	No	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Ensure employees are aware of the facility's commitment to P2 and understand their role in implementing P2 objectives and goals in the facility.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Your facility has incorporated P2 planning in the development of new products, processes, and/or services.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Your facility established a mechanism to monitor waste generation and identify realistic P2 goals.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Your facility has established a process to listen and respond to stakeholder concerns.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Your facility makes available your general waste reduction and P2 information to members of our community, IDEM, and the Partners, if requested?
<input type="checkbox"/>	<input checked="" type="checkbox"/>	6. Your facility has participated in or conducted outreach activities that include details of your P2 efforts; please specify: _____
<input type="checkbox"/>	<input checked="" type="checkbox"/>	7. Your facility has participated in two or more Partners meetings in the last year.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	8. Your facility supported the annual Pollution Prevention Conference and Trade Show. Please check all that apply: <input type="checkbox"/> Financial sponsorship <input type="checkbox"/> One or more attendees from your facility <input type="checkbox"/> Other (specify) _____

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. IDEM needs to report cumulative program reduction results.

What do you need to do?

Reference Section F for "Category" and "Indicator" options to complete this section. Summarize your facility's progress on achieving the initiative you identified in the application or last year's APR. For assistance, please call (800) 988-7901 or email esp@idem.IN.gov.

Initiative #1

Category 1: GHG Reduction Indicator 1:	Baseline (indicate measurement unit)	Current (indicate measurement unit)	Cost Savings
Calendar year	2019	2020	N/A
Actual quantity (per year)	16800 MTCO2E	17622 16123.9 MTCO2E	N/A
Production unit (select one)	Earned Labor Hours Production units ^{1,046,173} Production lbs. Other -- specify (e.g. Gallons, length, etc.)		
Production Quantity	1,101,273	1,046,173	NA
Normalization factor (Current year production ÷ Baseline year production) .949			
Normalized quantity (Actual current year quantity - Actual baseline quantity) x Normalization factor -52,289.9 642.27 MTCO2E decrease			
Briefly describe how you achieved improvements for environmental initiative #1 or, if relevant, any circumstances that delayed progress. Process automation and replaced older equipment with newer more energy efficient equipment Production decreased Jan- Apr 2020 due to COVID. then facility was working 24/7 from June-Dec 2020. Overall was decrease in production but GHG increased dramatically during the uptick in production. See addendum.			

Initiative #2

Category 2: Water Reduction Indicator 2:	Baseline (indicate measurement unit)	Current (indicate measurement unit)	Cost Savings
Calendar year	2019	2020	N/A
Actual quantity (per year)	10,300,000 Gallons	9,347,362 Gallons	N/A
Production unit (select one)	Earned Labor Hours Production units ^{1,046,173} Production lbs. Other -- specify (e.g. Gallons, length, etc.)		
Production Quantity	1,101,273	1,046,173	NA
Normalization factor (Current year production ÷ Baseline year production) .949			
Normalized quantity (Actual current year quantity - Actual baseline quantity) x Normalization factor -904,053.6			
Briefly describe how you achieved improvements for environmental initiative #2 or, if relevant, any circumstances that delayed progress. Continued bathroom renovations using more water efficient fixtures, and eliminated drinking fountains in the facility during the COVID pandemic			

SECTION E

ENVIRONMENTAL IMPROVEMENT INITIATIVE RESULTS
CONTINUED

Initiative #3

Category 3: N/A Indicator 3:	Baseline (indicate measurement unit)	Current (indicate measurement unit)	Cost Savings
Calendar year			
Actual quantity (per year)			
Production unit (select one)	Earned Labor Hours Other -- specify (e.g. Gallons, length, etc.)	Production units	Production lbs.
Production Quantity			NA
Normalization factor (Current year production ÷ Baseline year production)			
Normalized quantity (Actual current year quantity - Actual baseline quantity) x Normalization factor			
Briefly describe <i>how</i> you achieved improvements for environmental initiative #3 or, if relevant, any circumstances that delayed progress.			
1. Briefly describe the <i>impacts or wastes</i> eliminated resulting from the environmental initiative(s). If multiple initiatives, please indicate which specifically. Reduced energy consumption and the resulting greenhouse gas emissions. Reduced water consumption, and associated wastewater discharges.			
2. Are there other best management practices (BMPs) you can share correlating to your initiative(s)? N/A			
3. If the objectives and targets associated with the environmental improvement initiative(s) were not attained, please verify continued progress toward the environmental initiative(s). If multiple initiatives, please indicate which specifically. We will be continuing to drive MTCO2E reductions in 2021 as we begin to normalize our production scheduling, and implementing additional automation opportunities			
4. Please provide a narrative summary of progress made toward <i>qualitative, significant</i> EMS objectives and targets, if any. Continued to renovate the bathroom facilities and upgraded using more efficient water controlled fixtures, and disabled all water drinking fountains during the COVID pandemic			
5. Please list any state, U.S. EPA, or other partnership programs to which you are reporting this data (e.g., Energy Star, Project XL). N/A			
6. Is your entity willing to share the environmental improvement initiative(s) and its best management practices (BMPs) at the ESP Annual Meeting and/or a Partners for Pollution Prevention quarterly meeting or conference? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			

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 next environmental improvement initiative selected by your facility. For the category and indicator selected, list the **baseline year** (e.g., 2015) and the **future year** (e.g., 2016). 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 2020	Future Year 2021	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"/> Hazardous materials used			Pounds, tons
<input type="checkbox"/> Material Use	<input type="checkbox"/> Ozone depleting substances used			CFC-11 equivalent pounds
	<input type="checkbox"/> Total packaging materials used			Pounds, tons
<input checked="" type="checkbox"/> Water Use	<input type="checkbox"/> Total water used	9,347,362	9,254,814	Gallons
	<input type="checkbox"/> Electricity			kWh / MWh, Btu / MMBtu
	<input type="checkbox"/> Steam			kWh / MWh, gallons, ft ³
	<input type="checkbox"/> Natural gas			Btu / MMBtu
	<input type="checkbox"/> Diesel			Gallons
<input type="checkbox"/> Energy Use	<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"/> Total GHGs	17622	17277	MTCO2E
<input type="checkbox"/> Air Emissions	<input type="checkbox"/> VOCs			Pounds, tons
	<input type="checkbox"/> NOx, SOx, PM _{2.5} , PM ₁₀ , 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"/> COD or BOD			Pounds, tons
<input type="checkbox"/> Discharges to Water	<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 type="checkbox"/> Non-hazardous Waste	<input type="checkbox"/> Landfill			Pounds, tons
<input type="checkbox"/> Hazardous Waste	<input type="checkbox"/> Incineration			Pounds, tons
	<input type="checkbox"/> Reused/recycled off-site			Pounds, tons, gallons
	<input type="checkbox"/> Other: _____			Pounds, tons, gallons
<input type="checkbox"/> Noise	<input type="checkbox"/> Noise			dBA
<input type="checkbox"/> Vibration	<input type="checkbox"/> Vibration			Inches per second
	<input type="checkbox"/> Expected lifetime energy use			kWh / MWh, Btu / MMBtu
<input type="checkbox"/> Products	<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

If you need assistance filling out the form, please contact the ESP program manager at either esp@idem.in.gov or 1-(800) 988-7901.

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2. If the environmental improvement initiative(s) will be *qualitative* in nature, please describe. _____
N/A
3. 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)? _____
Further automate production processes
4. 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 Corporation, 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 we must meet the requirement of implementing one (1) new, independent environmental improvement initiative each year of membership (for a total of four (4) initiatives), that the Annual Performance Report must be submitted to IDEM by April 1st of each year, and that we must reapply to the Indiana Environmental Stewardship Program every four (4) 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

Date (month, day, year)
03/17/2021

Printed signature
Jenny Jenkins

Title
Plant Manager

Carrier Addendum on GHG changes explanation:

As discussed, here are a couple of the contributing factors that have led us to this nominal increase for 2020:

- Production output was much slower in 2020 for months January – June vs. manufacturing output during the same time period of 2019 (40% reduction in manufactured units in 2020 for the first two quarters)
- COVID-19 Pandemic hit the world, which created a large production increase in Carrier products to consumers for the second half of 2020. The facility began working 7 days week/24 hour shifts in July 2020, without any daily/weekend shutdowns. In 2019, the manufacturing teams were shut down on the weekends.
- This uptick in work hours worked from July – December 2020 helped us close the production gap vs 2019, but also created a large increase in GHG's for the second half of 2020.
- New information received 4/26/21 found a calculation mistake in the software used at the facility and that there was in fact an overall decrease in GHG for the 2020 period.