



INDEPENDENT ASSESSMENT PROTOCOL

VERSION 1.0
August 30, 2006

ESP INDEPENDENT ASSESSMENT PROTOCOL, VERSION 1.0

GUIDE TO ESP INDEPENDENT ASSESSMENT PROTOCOL

This Independent Assessment Protocol provides guidance to independent parties conducting EMS assessments at facilities wishing to apply to the Indiana Environmental Stewardship Program (ESP). This Protocol can be used as a stand-alone document, or it can be incorporated into existing audit protocols. The auditor(s) conducting the assessment must meet the qualifications set out in the ESP Independent Assessment criterion available at www.in.gov/idem/idep/prevention/esp/assessmentcriteria.doc. In addition, the auditor(s) should have a good working knowledge of all of the ESP EMS provisions and be familiar with the other ESP entry criteria.

The assessment must cover all of the activities, products, and services within the scope of the “facility” wishing to seek entry into ESP. Note that, for purposes of ESP, a facility may actually comprise buildings, properties, activities, and services that are not co-located on a contiguous parcel of land. The auditor(s) should ascertain the boundaries of the facility and applicability of the EMS – both physical and functional – prior to conducting the assessment. Any questions regarding the acceptability of a particular facility in this sense should be directed to IDEM at esp@idem.in.gov or 800-988-7901.

This Protocol is organized into the following major evaluation areas:

Section I: EMS Evaluation

- Overall EMS
- Policy
- Planning
- Implementation and Operation
- Checking and Corrective Action
- Management Review
- Public Outreach

Section II: Senior Facility Management Commitment

Following the evaluation sections is a Summary Form that can be used to summarize the auditor(s) findings. Each evaluation topic area contains one or more assessment criteria that must be assessed. Criteria can be assessed as either:

Yes	Conformance. The facility has fully addressed the criterion.
No – Minor	Minor non-conformance. The facility has addressed or marginally addressed the criterion, but still has some discrepancies that could be corrected with minimal organizational, operational, or technical change and within a reasonable time frame.
No – Major	Major non-conformance. The facility has not addressed or adequately addressed the criterion.

Facilities with minor non-conformances may be accepted into ESP if: a) IDEM determines that the non-conformances taken as a whole do not compromise the effectiveness of the facility’s overall EMS, and b) there is an acceptable corrective action schedule in place to address the deficiencies. Facilities with major non-conformances generally will not be eligible for entry into ESP until those deficiencies are corrected. Contact IDEM for any questions on this topic.

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3. EMS IMPLEMENTATION			
✓ Has the facility's EMS been fully implemented (Plan, Do)?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
Objective Evidence: Comments:			

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POLICY

4. ENVIRONMENTAL POLICY			
✓ Does the environmental policy contain a commitment to compliance with legal and other requirements?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
✓ Does the environmental policy contain a commitment to pollution prevention?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
✓ Does the environmental policy contain a commitment to continuous improvement?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
✓ Does the environmental policy contain a commitment to sharing environmental performance information with the community and responding to community concerns? <i>NOTE: if not in policy, facility may have a separate public outreach procedure or functional program in-place.</i>	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
✓ Is the environmental policy communicated internally? [Auditor should interview appropriate/representative employees to determine whether the policy has been adequately communicated.]	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
Objective Evidence: Comments:			

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7. OBJECTIVES AND TARGETS			
✓ Are meaningful and measurable objectives and targets set?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
✓ Are procedures in place to accurately measure progress towards attaining environmental objectives and targets?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
Objective Evidence:			
Comments:			

8. ENVIRONMENTAL MANAGEMENT PROGRAMS			
✓ Are the facility's environmental management programs actively and effectively meeting their objectives and targets?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
✓ Are objectives and targets supported by the means to achieve them?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
Objective Evidence:			
Comments:			

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10. TRAINING, AWARENESS, AND COMPETENCE			
✓ Has the organization identified training needs and have all appropriate personnel received the necessary training?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
✓ Are the facility's employees aware of their roles and responsibilities within the EMS and maintaining compliance with applicable legal and other requirements, and capable of carrying them out?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
Objective Evidence: 			
Comments: 			

11. COMMUNICATION			
✓ Does the facility effectively communicate its environmental and EMS information internally?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
Objective Evidence: 			
Comments: 			

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13. DOCUMENT CONTROL AND RECORDS			
✓ Does the facility have adequate document control and records retention systems to define and control its EMS?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
Objective Evidence: 			
Comments: 			

14. OPERATIONAL CONTROL			
✓ Does the facility have adequate operational procedures to ensure that equipment and other operations comply with legal requirements and address the facility's significant environmental aspects?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
✓ Does the facility define and communicate its procedures to affected employees to ensure that activities are carried out under specified conditions that address significant environmental aspects and legal compliance?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
Objective Evidence: 			
Comments: 			

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18. CORRECTIVE AND PREVENTATIVE ACTION			
✓ Does the facility have adequate procedures for investigating, correcting, and preventing nonconformance?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
Objective Evidence:			
Comments:			

MANAGEMENT REVIEW

19. MANAGEMENT REVIEW			
✓ Does the facility's senior management review, at defined intervals, the effectiveness of its EMSs and are the findings of the review documented and addressed?	YES <input type="checkbox"/>	NO - MINOR <input type="checkbox"/>	NO - MAJOR <input type="checkbox"/>
Objective Evidence:			
Comments:			

INTERVIEW WITH SENIOR MANAGEMENT

Intent of interview with senior management is to ascertain whether or not senior management is fully committed to implementing and maintaining the facility's EMS as needed for recognition in ESP.

1. MANAGEMENT INVOLVEMENT IN ENVIRONMENTAL POLICY

Describe your involvement in the development and communication of your facility's environmental policy. How do you use the policy to guide decision-making at your facility?

Objective Evidence:

Comments:

2. MANAGEMENT ROLE IN EMS

Discuss your role in managing environmental issues and discuss how you use the facility's EMS to improve environmental performance.

Objective Evidence:

Comments:

3. MANAGEMENT ATTENTION TO EMS EFFECTIVENESS

How do you as a senior facility manager determine the effectiveness of your facility's EMS?

Objective Evidence:

Comments:

4. MANAGEMENT EXPECTATIONS FOR ESP PARTICIPATION

What do you see as the primary benefits of participating in ESP? What can EPA or the State do to improve the value of your participation in the program?

Objective Evidence:

Comments:

End of Document