



# **Sustainable Supply Chain Baseline Assessment Tool**

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# New York State Pollution Prevention Institute (NYSP2I)

## Executive Scope

The demand for “green suppliers” in the supply chain has created the opportunity for sustainable organizations to become preferred business partners to other organizations. Organizations that strategize, set targets, measure, monitor, and report their sustainability efforts will likely generate more revenue, retain and potentially create jobs, and reduce the risk of jeopardizing potential business.

This baseline assessment questionnaire was developed for NYSP2I staff to assess an organization’s ability to respond to so-called “scorecards” and/or meet the sustainability requirements demanded by their customers and stakeholders. It’s been confirmed that organizations need help understanding how to answer to these demands and identifying means of improving their response status or conforming to these requirements. This tool should be used as a guide to help identify whether a company is prepared to fully report on their sustainability commitments and efforts or if they are able to conform to a particular standard or certification.

This document is not meant to be used as a survey. Rather, the questions contained in this tool are meant as discussion-starters and the answers provided by the company should not be simple one-word answers or a yes/no answer. By having a discussion(s) with representatives of the company, holistic conclusions can be drawn as to the culture of the company and their current place along the “sustainability continuum”. Additionally, representative sampling should be conducted by either interviewing various individuals on the same topic to understand consistency or by reviewing data sets to gain an understanding of what is being monitored and measured.

Prior to assessing a company, NYSP2I staff should be familiar with the internationally accepted reporting requirements that are typically used by companies for sustainability reporting, such as the ones below. This assessment inquires about various common components of internationally accepted sustainability requirements. Such entities used to develop this assessment include the Global Reporting Initiative (GRI), the International Standards Organization (ISO), the Electronic Industry Code of Conduct (EICC), the United Nations Global Compact (UNGC), the B Lab, the Organization for Economic Co-operation and Development (OECD), the World Resource Institute (WRI) Greenhouse Gas Protocol, the Natural Resources Defense Council (NRDC), the Environmental Defense Fund (EDF), the U.S. Department of Energy (DOE), the Business for Social Responsibility (BSR), the World Business Council for Sustainable Development (WBCSD), governmental procurement standards (NYS EO4, US Federal Green Procurement Guide), and various sector leaders.



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A company may be interested in knowing how well they may perform when completing customer sustainability scorecard requests or the current level of conformance to certifications and/or standards that they want to pursue. NYSP2I will assess the company's current state according to the associated requirements and provide detailed direction regarding what needs to be accomplished in order to reach their goals. This may include being referred to the NYSP2I Direct Assistance program or identifying steps that the company can take to meet the standards on their own. All information communicated in association with an assessment will be kept strictly confidential.



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## I. Profile

### A. Organization Profile

#### 1. General Organization Information

##### *a) Organization Information*

Name of organization

Address

##### *b) Contact Information*

Name and title

Phone #

E-mail

SIC Code or NAICS Code(s)

##### *c) Please indicate your associated industry/sector*

(1) Food

(2) Paper/Printing

(3) Electronics

(4) Plating, painting or stamping

(5) Component manufacturing

(6) Other (please describe)

##### *d) What primary types of operations are performed? Please describe.*

##### *e) What are your primary brands, products, and/or services? Please describe.*

##### *f) What markets do you serve? Please describe.*

##### *g) What are your contract deliverables (products and/or services)? Please describe.*

#### 2. Organizational Structure

##### *a) Please indicate the ownership of your organization.*

(1) Privately owned

(2) Publicly traded

(3) Government owned

(4) Other (describe)

##### *b) Please indicate the ownership of your facility(ies).*

(1) Owned

(2) Leased

(3) Both (describe)

##### *c) Is your organization a wholly-owned subsidiary or joint venture?*



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Y/N

If "Yes", list parent corporation(s)

**d) Where is your organization's headquarters located?**

Address

**e) What is your organization's current time requirement for a project's payback/Return on Investment (ROI)?**

**f) How much is your organization willing to spend or invest on sustainability improvements?**

**g) Is there a corporate sustainability or EHS personnel and/or staff?**

None / planned / partial / in place

Please explain

**h) Does your facility(ies) have onsite EHS technical specialist, such as industrial hygienists, or pollution control engineers?**

Y (specify types of specialist) / N

**i) Is an individual responsible for assuring and facilitating compliance with environmental laws, regulations, standards and codes across your organization?**

(1) Yes (provide contact information)

Name

Position/Title

Address

Telephone #

Fax #

E-mail

(2) No (please explain)

**j) Are there personnel responsible for the implementation of EHS initiatives?**

Y (please describe) / N

### 3. Employment

**a) How many people does your organization employ total?**

Less than 25 / 26-100 / 101-500 / 501-1000 / more than 1000

**b) Please specify hours of operation/number of shifts.**

**c) How many full-time workers does your organization employ?**

**d) How many part-time workers does your organization employ?**



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*e) How many newly created full-time and part-time jobs has your organization developed during the last 12 months?*

\_\_\_\_\_ / not tracked or unknown / N/A

*f) By what % has your worker base on a headcount basis (full-time equivalents) grown over the last 12 months?*

0%/1-5%/6-15%/>15%

*g) What initiatives can be taken to increase jobs in light of sustainability efforts?*

*h) Is it expected that new jobs will be created through this project with NYSP2I?*

Y/N

If yes, how many new jobs are estimated?

## 4. Financial

*a) What is your organization's total earned revenues?*

\_\_\_\_\_ / not tracked or unknown

*b) What is your organization's total non-labor expenses?*

\_\_\_\_\_ / Not tracked or unknown / N/A

*c) What is your organization's earnings before interest & taxes (EBIT)?*

\_\_\_\_\_ / Not tracked or unknown

*d) What is your organization's net income?*

\_\_\_\_\_ / Not tracked or unknown

*e) Does your organization produce financials that are verified annually by an independent source through an Audit or Review?*

Y (through an audit) / Y (through a review) / N

## B. Strategy & Analysis

### 1. Corporate Vision

*a) What is your organization's view on EHS performance in respect to your EHS objectives? Please describe.*

*b) Does the organization support a precautionary approach to environmental challenges?*

Y / N / Uncertain / NA

*c) Does your organization have any of the following socially-and/or environmentally-focused enterprise models? Check all that apply.*



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- (1) organization's products or services are specifically designed to address an economic inequality, improve health, promote the arts/science/media, or drive capital to purpose-driven enterprises
- (2) organization's products or services are specifically designed to conserve the environment
- (3) Workers own the majority of the organization
- (4) Organization is a producer cooperative where owners are supplier members who organize production
- (5) Organization is specifically designed to rebuild the local community
- (6) Organization is specifically designed to donate at least 20% of profits to charity
- (7) More than 10% of workers are from a chronically under-employed population (low-income, ex-convicts, etc.)
- (8) Organization is designed to alleviate poverty through your supply chain
- (9) None of the above models apply to your organization

***d) Has your organization ensured that the social or environmental mission of your organization will be maintained over time, regardless of organization ownership, by:***

- (1) Including a commitment to your stakeholders in your corporate governing documents
- (2) Creating a specific legal governance structure that will preserve the mission of the organization (i.e. cooperative, Benefit Corp, etc.)
- (3) Other (please describe)
- (4) None of the above

## **2. Corporate Policy**

***a) Does your organization have a written EHS policy(ies), statement of commitment, mission statement, or principles?***

Yes (describe and attach informational materials)

No (please explain)

***b) Is your EHS policy(ies) approved and signed by top management?***

Y/N

***c) Has your organization integrated the following elements into its written corporate policies, statement of commitment, mission statement, or principles? Please provide copy.***

- (1) An explicit commitment to social impact
- (2) An explicit commitment to environmental stewardship
- (3) An explicit commitment to continuous improvement
- (4) An explicit commitment to legal compliance
- (5) Organization lacks these elements





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*d) Does your EHS policy(ies) apply to all your facilities regardless of location?*

- (1) Yes
- (2) Some facilities exempt. List facilities and explain exemption.
- (3) No

*e) Does your facility(ies) adhere to your organization's EHS policy(ies) and/or statement(s) of commitment?*

Y / N

*f) Do all your facilities communicate the EHS policy(ies) to their workers in the local and appropriate language(s)?*

Y / N

*g) What communication methods are used to inform workers about your EHS policies and procedures? (check all that apply)*

- (1) Website or electronic mail
- (2) Postings on bulletin boards
- (3) Meetings with managers
- (4) Formal training sessions
- (5) Handbooks or literature
- (6) Other (describe)

*h) Does your organization have a written local purchasing strategy or policy in place?*

Y (please show) / N

*i) Does your organization have a written community service policy?*

Y (please show) / N

*j) Has your organization implemented written policies that reduce corporate travel, thereby lowering its carbon footprint?*

- (1) Y – organization has a written policy limiting corporate travel
- (2) Y – organization uses web/virtual meeting technology or other strategies to reduce in-person meetings
- (3) N/A – organization does not engage in any business-related travel
- (4) N – organization does not have any of the above travel policies or practices

*k) Does your organization have a Whistle-Blowing Policy?*

Y/N

## C. Governance & Management

### 1. Governance Elements

*a) Does your organization have a Board of Directors or other formal governing body?*



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Y /N (please explain)

***b) Does that entity: (check all that apply)***

- (1) Meet at least twice annually?
- (2) Include at least 1 independent member?
- (3) Include at least 50% independent members?
- (4) Oversees executive compensation?
- (5) Have an Audit Committee with at least 1 independent member?
- (6) Have a Compensation Committee with at least 1 independent member?
- (7) Organization is a cooperative and elects Board from membership?
- (8) Organization has no governing body or none of the above applies to governing body?

***c) Which of the following stakeholder groups have representation on the Board of Directors or other governing body? (Please choose N/A only if the organization has no governing body)***

- (1) Employees
- (2) Community
- (3) Environment
- (4) Customers
- (5) None
- (6) N/A

***d) Does a linkage exist between corporate compensation and the organization's performance?***

Y (please describe)/N

***e) Is there a process in place to ensure self interests are avoided?***

Y (please describe)/N

***f) Is there an annual conflict of interest questionnaire filled out by all board members (or members of the governing body) and officers (please choose N/A if your organization has no governing body)?***

Y/N/NA

***g) Has your organization identified the environmental issues that relate to its business operations and activities and work systematically with these issues?***

Y/N/Uncertain/NA

***h) Has your organization identified the health and safety issues that relate to its business operations and activities and work systematically with these issues?***

Y/N/Uncertain/NA



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*i) Does the Board of Directors or other governing body review the organization's social and environmental performance at least annually?*

Y/N/NA

*j) Is there a means for employees to provide recommendations, suggestions and/or direction?*

Y (please describe)/N

*k) Are your employees aware of the environmental issues relevant to the organization's operations and activities?*

Y/N/Uncertain/NA

*l) Are EHS initiatives and direction integrated into your organizational structure? How?*

Y (please describe)/N

*m) What is your organization's degree of integration of EHS responsibilities and accountability in its management function and job descriptions? Please describe.*

*n) Does your organization have defined and communicated roles and responsibilities with regard to environmental issues?*

Y/N/Uncertain/NA

*o) Do you inform and consult with employees on working relationships in regard to their role, rights and responsibilities?*

Y (please describe)/ N

*p) What portion of your management is evaluated in writing on their performance with regard to corporate social and environmental targets?*

0%/1-24%/25-49%/50-74%/75+%

*q) Is there a process for self evaluation or management review in respect to EHS performances and/or initiatives?*

Y (please describe)/N

## 2. Management Elements

*a) Does your organization manage environmental issues to ensure appropriate and continuous improvements?*

Y/N/Uncertain/NA

*b) Does your organization utilize or is it developing a management systems approach (including policies, programs, procedures, and review processes) to assure proper management of EHS practices?*

Y/N (please explain)



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***c) Does your organization have an organization-wide, certified environmental management system and/or operates in accordance with sector specific codes and standards?***

Y (please describe and attach)/N/Uncertain/NA

***d) Does your organization have an organization-wide or site specific management system(s) registered to ISO 14001, ISO 9001, OHSAS 18001, or other recognized management standards?***

(1) Organization -wide, Y/N

(2) Site-specific, Y/N

(a) If "Yes", provide information and provide certificate

(i) Type of certificate

(ii) Certificate number

(iii) Date of issue

(iv) Certifier

***e) Does your organization's environmental management system include any of the following? (check all that apply)***

(1) Policy statement documenting the organization's commitment to the environment

(2) Assessment undertaken of the environmental impact of the organization's business activities

(3) Stated objectives and targets for environmental aspects of the organization's operations

(4) Programming designed, with allocated resources, to achieve these targets

(5) Periodic compliance and auditing to evaluate programs conducted

(6) Do not have any of the above

***f) For your EHS management system(s), please indicate the level of implementation of the initiatives for each aspect:***

### Health & Safety

(1) Occupational safety: none/planned/partial/in place

(2) Emergency preparedness: none/planned/partial/in place

(3) Occupational injury/illness: none/planned/partial/in place

(4) Industrial hygiene: none/planned/partial/in place

(5) Physically demanding work: none/planned/partial/in place

(6) Machine safeguarding: none/planned/partial/in place

### Environmental

(7) Environmental permits: none/planned/partial/in place

(8) Pollution prevention: none/planned/partial/in place

(9) Hazardous substances: none/planned/partial/in place

(10) Wastewater: none/planned/partial/in place



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(11) Solid Waste: none/planned/partial/in place

(12) Airborne emissions: none/planned/partial/in place

(13) Product content: none/planned/partial/in place

***g) Are there key performance indicators (KPI) or metrics that your organization tracks on at least an annual basis to determine if you are meeting your social or environmental objectives?***

(1) We don't track social or environmental performance indicators

(2) We measure KPIs/metrics or outputs that we have identified in order to determine if the organization is achieving its social or environmental objectives

(3) We measure social and environmental outcomes over time (examples: 3rd-part studies, customer or household surveys, progress out of poverty index, etc.)

***h) To what extent are your EHS management systems documented?***

Not at all/partially/completely/completely & updated regularly

***i) Does your organization have written performance objectives for EHS practices and results, including metrics and targets with implementation plans for achieving them?***

Yes (describe and attach objectives for current year)

No (please explain)

***j) How often does your organization review performance against these objectives?***

Never/irregularly/every 2-4 years/at least every year

Please indicate date of last review, if any.

***k) How often does the management of your organization periodically review the status of your EHS management system(s) and identify improvement opportunities?***

Never/irregularly/every 2-4 years/at least every year

What was the date of the last management review, if any?

***l) Does your organization conduct periodic audits of EHS practices at its facilities in order to assess conformance with regulatory and other requirements?***

Y/N (please explain)

***m) What types of requirements are covered in your audit process for EHS practices? Please describe.***

Regulations/internal requirements/external requirements (e.g., industry, customer)

### 3. Compliance



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***a) Is your organization aware of and in compliance with relevant state laws, national laws, international guidelines and industry standards regarding product manufacturing, design and marketing?***

Y (please describe)/N/Uncertain/NA

***b) Has your organization established a tracking system to identify and monitor applicable EHS laws and regulations?***

Y (please describe)/N

***c) Please indicate the methods and sources used to track these laws and regulations. (check all that apply)***

- (1) Information subscription
- (2) Regulatory agencies
- (3) Consulting services
- (4) In-house specialists
- (5) Industry associations
- (6) Other (specify)

***d) In the past 3 years, has your facility(ies) been prosecuted or cited for EHS violations resulting in penalties or corrective actions mandated by a court or government authority?***

Yes (describe and attach informational materials)

No

***e) Has your organization obtained the necessary environmental permits and authorizations to operate from the relevant authorities?***

Y/N/Uncertain/NA

***f) Does your organization have a program and/or procedures for obtaining environmental permits and managing compliance with the permit requirements?***

None/planned/partial/in place

***g) Are your facility operations currently in compliance with all local and national monitoring, reporting and other permit requirements?***

Partially compliant (explain why) /Fully compliant

***h) How frequently is your facility inspected by government authorities to confirm compliance with environmental permits?***

Never/irregularly/every 2-4 years/at least every year

***i) During the last 12 months, was your organization cited or warned by a government agency regarding permit non-compliance issues?***

Y (please describe)/N

### 4. Continuous Improvement



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*a) Does your organization have sufficient monitoring and documentation to demonstrate continuous improvements of its environmental performance regarding significant impacts?*

Y/N/Uncertain/NA

*b) Does your organization have an action plan to improve environmental performance, which describes timeframes, responsibilities and means of obtaining the targeted improvements?*

Y/N/Uncertain/NA

*c) Has your organization gone through an environmental review or audit during the last 12 months?*

(1) Y/N

(2) If Y, what type(s) of audit or review was conducted?

(a) Internal review

(b) 3<sup>rd</sup> party-conducted review

(c) 3<sup>rd</sup> party-conducted audit (against a standard or certification)

(d) Other (please describe)

*d) Does your organization have a process to implement timely corrective actions for EHS deficiencies identified by internal and external assessments, audits and review?*

none/planned/partial/in place

*e) Does your corrective action process include root cause analysis and prevention?*

Y/N

*f) Does your organization provide general training programs for environmental and/or health and safety practices?*

Y (specify programs) / N

*g) Does your employee training include instruction about your environmental mission and/or social mission?*

Y/N/NA

*h) Is your organization's commitment supported by training on environmental performance for relevant management and procurement staff?*

Y/N/Uncertain/NA

*i) Does your organization have a process for measuring the effectiveness of its EHS training?*

None/planned/partial/in place (describe)



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*j) Does your organization currently use environmentally friendly technology(ies)?*

Y/N/Uncertain/NA

*k) Does your organization regularly evaluate their processes and technologies to see if there are any more environmentally friendly alternatives?*

Y/N/Uncertain/NA

*l) Does the organization encourage the development and diffusion of environmentally friendly technologies?*

Y/N/Uncertain/NA

*m) When developing new technologies and products, does your organization focus on developing environmentally friendly technology e.g. by using life cycle assessments (LCA), design for sustainability or a cradle-to-cradle approach?*

Y/N/Uncertain/NA

*n) When planning new investments in technology, does your organization consider the best available technology and stipulate minimum environmental criteria?*

Y/N/Uncertain/NA

*o) When planning new investments in buildings, does your organization focus on green or sustainable buildings, which are environmentally responsible and resource-efficient throughout a building's life-cycle: from siting to design, construction, operation, maintenance, renovation, and deconstruction?*

Y/N/Uncertain/NA

*p) What percentage of the organization's facilities is LEED certified (or equivalently certified) or constructed according to LEED or other green building standards?*

- (1) Some constructed to green building standards
- (2) Most constructed to green building standards
- (3) Some LEED certified (or equivalently certified)
- (4) Most LEED certified (or equivalently certified)
- (5) None of the above

### D. Transparency & Engagement

#### 1. Transparency





## New York State Pollution Prevention Institute (NYSP2I)

*a) Does your organization engage in regular stakeholder dialogue with neighbors, civil society organizations and others with an interest in the organization on critical environmental issues?*

Y /N/Uncertain/NA

*b) To which of the following external entities does your organization communicate information about its EHS performance, practices and expectations? (check all that apply)*

- (1) Suppliers
- (2) Customer
- (3) Communities
- (4) Investors
- (5) Government
- (6) General public
- (7) Other (specify)

*c) Does your organization have a formal process to share financial information (except salary info) with its full-time employees?*

- (1) N
- (2) Y – the organization shares basic revenue/cost numbers if employee ask for them
- (3) Y – the organization discloses all financial information (except salary info) at least yearly
- (4) Y – the organization discloses all financial information (except salary info) at least quarterly
- (5) Y – the organization has an open-book management process
- (6) Organization also has an intentional educational program around shared financials

*d) Do all full-time employees have access to written information that identifies all material owners and investors of the organization?*

Y/N

*e) Does your organization make information describing the environmental performance and benefits of using environmentally friendly technologies available to stakeholders?*

Y/N/Uncertain/NA

*f) Which is the broadest community with whom your environmental reviews/audits are formally shared?*

- (1) Owners, executives and Board
- (2) Employees
- (3) Broader community outside the organization
- (4) N/A



**2. Report Profile**

***a) Does your organization regularly report externally on its environmental performance?***

Y/N/Uncertain/NA

***b) Has your organization issued any public publications describing your social and environmental responsibility or sustainability commitments and practices?***

(1) If “Yes”

(a) Date of most recent report(s)

(b) provide internet URL or attach most recent reports

(2) If “no”, are there plans to issue a report in the next 12 months?

(a) Y (explain)/N (please explain)

***c) Does your organization produce any kind of external report(s) detailing its mission-related performance? (Sustainability Report, Environmental Report, Financial Report, GRI, Community)***

(1) Y (please describe)

Which of the following apply regarding the external report?:

(i) Clear statements of your mission, its goals, and the change you seek

(ii) Clear descriptions of your mission-related activities

(iii) Quantifiable targets related to your mission

(iv) Quantifiable results from your mission (e.g. lbs of carbon offset)

(v) Consistent variables of measurement which allow comparisons to previous years

(vi) Third-party validation of any part of your organization’s mission performance

(2) N (please explain)

***d) What is your organization’s reporting period?***

Fiscal year / Calendar/ Other (please describe)

***e) What reporting cycle does your organization abide by?***

Quarterly / Annually / Biennial / Other (please describe)

***f) Reporting Period: On what date did your last fiscal year end?***

\_\_\_\_\_ / N/A

***g) Contact for inquiries regarding the report or its contents***

(1) Name

(2) Title

(3) Phone #

(4) E-mail



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*h) Please describe the boundary of your report(s). What is included and excluded from your report(s)?*

- (1) Countries, divisions, subsidiaries, leased facilities, joint ventures, suppliers
- (2) Data measurement techniques
- (3) Standard disclosures

*i) Are there any specific limitations on the scope and/or boundary of your reporting?*

Y (please describe)/N

*j) Does your organization have a process to determine the materiality of your report(s)? Please describe.*

Y (please describe)/N (please explain)

*k) How does your organization prioritize the topics encompassed in your report(s)? Please describe.*

*l) Who are the suspected stakeholders/audience who will use report? Please describe.*

*m) Does your organization implement any practices of external assurance for your reports?*

Y (please describe)/N

*n) Have you recognized customers' interests in your organization's sustainability efforts? Have customers inquired about the content in publically published reports?*

Please describe

### 3. External Initiatives

*a) What is your organization's frequency and degree of engagement initiatives? Please describe.*

*b) Which of the following external initiatives apply to your organization? (check all that apply)*

- (1) Holds positions in governance bodies (specify)
- (2) Participates in external projects or committees (specify)
- (3) Provides substantive funding beyond routine membership dues
- (4) Views membership as strategic

*c) Does your organization adhere to any externally developed commitments? (check all that apply)*

- (1) Charters/principles/standards/other
- (2) Please describe and attach

*d) What level of memberships does your organization engage in?*



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- (1) Industry/global/national/state/local/other
- (2) Please describe and attach

***e) Is your organization a member of an association that fosters environmentally sustainable business practices?***

Y (please describe and attach)/N

***f) Does your organization engage in the following stakeholder groups? (check all that apply)***

- (1) Civil society
- (2) Customers
- (3) Local communities
- (4) Shareholders and investors
- (5) Employees, trade unions

***g) Does your organization have a process of identification and selection of stakeholders?***

Y (please describe)/N

***h) How does your organization engage with its external stakeholders? (check all that apply)***

- (1) Annual stakeholder meeting
- (2) Stakeholder forum on organization website
- (3) Third party or anonymous surveys, including customer surveys
- (4) Other (please describe)
- (5) No formal stakeholder engagement

***i) Do stakeholders provide recommendations or direction?***

Y (please describe)/N

***j) What significant topics and/or concerns have been raised by stakeholder engagements? How did your organization respond?***

Please list and describe

***k) Does your organization formally engage with suppliers, business partners, or customers to reduce the environmental impact of your activities on a regular basis?***

Y/N

***l) Does your organization support scientific research, including independent and public research, on the environmental issues relevant to the organization 's products and processes?***

Y/N/Uncertain/NA

***m) During the past 12 months, has your organization received any awards or recognition for your efforts in EHS management?***

Yes (please describe)/No



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*n) Has your organization worked within its industry to develop social standards for your industry?*

Y/N

*o) Does your organization engage with the government and civil society organizations to develop policies and measures that provide a framework for the business sector to contribute to building a low carbon economy?*

Y/N/Uncertain/NA

### E. Social Responsibility

#### 1. Community Engagement

*a) Is there a publicly-known mechanism through which customers and local inhabitants can provide product feed-back, ask questions or safely file complaints and concerns regarding social and environmental impacts of organization operations?*

(1) Y (feedback sent privately to organization)

(2) Y (feedback made transparent to the public)

(a) If Y, have their concerns been addressed in an impartial and responsive manner? Y/N/Uncertain/NA

(3) No

*b) Before starting new operations or developments, does your organization conduct an impact study to assess the potential environmental and social impacts of the planned activities, including an assessment of their potential human rights consequences for local inhabitants or other affected communities?*

Y/N/Uncertain/NA

*c) Does your organization have a method for identifying the individuals who are likely to be affected by such impacts and engages in consultation with those individuals, prior to, during and after carrying out the operations?*

Y/N/Uncertain/NA

*d) Does your organization have a method for identifying environmental impacts owing to organization operations and consults affected individuals, prior to, during and after the start of the operations?*

Y/N/Uncertain/NA



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*e) Does the organization consult with local inhabitants and affected individuals to take measures to address and mitigate any disruptive effects that its operations may have on organization land, the local community or the natural resources in the area? For example, an impact management plan to prevent, reduce and mitigate any social and environmental impacts.*

Y/N/Uncertain/NA

*f) Does your organization continually monitor their environmental impacts, and provide stakeholders and affected individuals with regular access to updated information about these impacts?*

Y/N/Uncertain/NA

*g) Does your organization shares the findings of its social and environmental impact assessment studies with the affected individuals in a form and language accessible to them?*

Y/N/Uncertain/NA

*h) In consultation with the affected individuals, does your organization develop appropriate management plans to prevent, reduce and mitigate adverse social and environmental impacts?*

Y/N/Uncertain/NA

*i) Does your organization continuously monitor its social and environmental impacts and provide affected individuals with regular access to updated information and findings about the social and environmental impacts of organization operations?*

(1) Y

(a) Is this information made available in a form and language accessible to them? Y/N/Uncertain/NA

(2) N/Uncertain/NA

*j) How many community service hours has your organization contributed?*

\_\_\_\_\_ / not tracked or unknown / N/A

*k) How many community service donations (in currency) has your organization contributed?*

\_\_\_\_\_ / not tracked or unknown / N/A

## 2. Product & Service Stewardship

*a) Does your organization have a program to assure proper information disclosure for your products, including material composition and product safety information?*

None/planned/partial/in place



## New York State Pollution Prevention Institute (NYSP2I)

*b) Does your organization provide written and visual warnings on all packaging or products about known health hazards associated with the product including instructions for proper use in a language and form understandable to the users?*

Y/N/Uncertain/NA

*c) If training, protective equipment, or other measures are required for safe use of the product, does your organization take steps to ensure that end-users are aware of such requirements?*

Y/N/Uncertain/NA

*d) Is your product or service covered by a written consumer warranty or client protection policy?*

Y/N

*e) Does your organization provide information to stakeholders about uncertainties and potential risks to employees, consumers, the public and the environment of the organization's products and processes?*

Y/N/Uncertain/NA

*f) Does your organization obtain prior approval before potentially hazardous or harmful products are placed on the market?*

Y/N/Uncertain/NA

*g) Does your organization employ initiatives to mitigate environmental impacts of products and services, and extent of impact mitigation?*

*h) Does your organization have a program to facilitate the recovery of discarded products, components, or materials at the end of their useful life, such as product take-back?*

None/planned/partial/in place

*i) What is your organization's percentage of products sold and their packaging materials that are reclaimed by category?*

*j) What is the intensity of energy consumption of your organization's products?*

Sum for each product (average annual energy consumption of a product unit X units produced) / normalization factor =  
MJ/normalization factor

*k) What is the intensity of GHG emissions from your organization's products?*

Sum for each product (average annual GHG emissions per product unit X units produced) / normalization factor = TonsCO<sub>2</sub>e/normalization factor

### 3. Product Content



## New York State Pollution Prevention Institute (NYSP2I)

*a) Does your organization take measures to eliminate ingredients, designs, defects or side-effects that could harm or threaten human life and health during manufacturing, usage or disposal of the products?*

Y/N/Uncertain/NA

*b) Does your organization have a program to determine the quantities of controlled materials in your products?*

None/planned/partial/in place/not applicable (explain)

*c) Does your organization have a program to phase out controlled materials from its products within a specified time period, consistent with international legislation on restriction of hazardous substances?*

None/planned/partial/in place/not applicable (explain)

*d) At what point(s) do you integrate controlled material requirements into your operations? (check all that apply)*

- (1) Design
- (2) Procurement
- (3) Quality assurance
- (4) Other (describe)
- (5) Not applicable (explain)

*e) During the last 12 months, have any of your organization's products been rejected by the buyer or banned from market as a result of the use of controlled materials?*

Y (please describe)/N

*f) Does your organization have a program to encourage the use of recycled materials and/or refurbished components in your products, subject to customer approval?*

None/planned/partial/in place

### F. Supply Chain Management

#### 1. Supply Chain Elements & Status

*a) Does your organization have a program aimed at reducing mobile source emissions associated with incoming and outgoing shipments as well as worker commuting?*

None/planned/partial/in place

*b) Does your organization have a program to assess risks and manage the identified risks relating to the EHS practices of your suppliers?*

None/planned/partial/in place/other (describe)





## New York State Pollution Prevention Institute (NYSP2I)

*c) Has your organization conducted an assessment of its supply chain to identify which suppliers have the greatest environmental impacts?*

Y/N/Uncertain/NA

*d) When evaluating the social and environmental performance of your organization's significant suppliers, which of the following practices apply?:*

- (1) Visited all significant suppliers
- (2) Specific environmental criteria required
- (3) Specific social criteria required
- (4) Third party social or environmental metrics screen applied
- (5) Evaluated at least annually
- (6) Give preference to local suppliers
- (7) Give preference to sustainable or fair trade suppliers
- (8) None of the above
- (9) Other (please describe)

*e) What are the significant environmental impacts of transporting products and other goods and materials used for the organization's operations, and transporting members of the workforce?*

*f) Does your organization have defined minimum requirements for environmental performance of suppliers and communicate these in writing to new and existing suppliers and business partners?*

Y/N/Uncertain/NA

*g) Does your organization promote international environmental standards in your interactions with suppliers and business partners?*

Y/N/Uncertain/NA

*h) Does your organization place a contractual requirement on its suppliers to be in compliance with occupational EHS laws and regulations?*

Y/N

*i) Do you expect your suppliers to adopt voluntary EHS standards or codes of conduct?*

Y/N, Provide applicable EHS standard(s) and/or code(s)

*j) Does your organization have a commitment to promote the continuous improvement of the environmental performance of its suppliers?*

(1) Y

(a) Is the commitment supported by training on environmental performance for relevant management and procurement staff? Y/N/Uncertain/NA

(2) N/Uncertain/NA

*k) Does your organization have any of the following independent contractor communication channels?*



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- (1) Formal routine process to provide independent contractors post-project or post-contract performance feedback
- (2) Formal routine process for independent contractors to communicate post-project or post-contract feedback to the organization
- (3) None of the above
- (4) N/A – no independent contractors used

***l) Where necessary, does your organization collaborate with individual suppliers to implement continuous improvements of environmental performance?***

Y/N/Uncertain/NA

***m) Does your organization collaborate with other companies to promote improved environmental performance of suppliers?***

Y/N/Uncertain/NA

***n) Does your organization work with suppliers to improve their management of product content?***

Y/N

***o) Do your organization's procurement practices, such as prices, delivery times and internal incentive structures, encourage improved environmental performance of suppliers and business partners?***

Y/N/Uncertain/NA

## 2. Supply Chain Metrics

***a) What is the average tenure of your organization's relationships with its significant suppliers?***

- (1) Less than 12 months
- (2) 13-36 months
- (3) 37-60 months
- (4) 61 months or more

***b) How many significant suppliers does your organization have?***

\_\_\_\_\_ / not tracked or unknown / N/A

***c) What is the value of purchases from your organization's significant suppliers?***

\_\_\_\_\_ / not tracked or unknown / N/A

***d) What is the value of purchases from supplier organizations that are independent and local (with 200 miles/322km)***

\_\_\_\_\_ / not tracked or unknown / N/A



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*e) What % of your organization's expenses (excluding labor) was spent with independent suppliers located within 200 miles (or 322km) of your organization's headquarters or main production facilities?*

\_\_\_ %

*f) What % of materials or products purchased from your organization's significant suppliers (on currency basis) have third-party social or environmental certification or approval?*

\_\_\_ % in whole numbers / not tracked or unknown

*g) What % of your organization's significant suppliers (on currency basis) have third-party social or environmental organization level (not product) certification or approval?*

\_\_\_ % in whole numbers / not tracked or unknown

## II. Measuring & Monitoring

### A. Input

#### 1. Natural Resources & Materials Consumption

*a) Does your organization monitor the origin and quantities of natural resources that the organization cultivates, harvests, extracts and/or uses?*

Y/N/Uncertain/NA

*b) Does your organization's use of renewable resources not negatively affect the sustainability of the resource (the resource's ability to regenerate)?*

Y/N/Uncertain/NA

*c) Does your organization demonstrate efforts to substitute non-renewable resources used in production with renewable resources?*

Y/N/Uncertain/NA

*d) Does your organization work with national, regional and local public authorities as well as with international institutions to address sustainability issues related to natural resources (e.g. wood, water, fish, metals, oil etc.)?*

Y/N/Uncertain/NA

*e) Does the organization ensure that natural resources are used in a sustainable manner?*

Y/N/Uncertain/NA



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*f) Does your organization comply with legal requirements regarding the cultivation, harvest, extraction and/or use of natural resources (e.g. wood, fish, metals, oil, coal etc)?*

Y/N/Uncertain/NA

*g) Does your organization have the necessary permits to cultivate, harvest, extract and/or use natural resources?*

Y/N/Uncertain/NA

*h) Does your organization ensure that employees are trained in the sustainable cultivation, harvesting, extraction and/or use of natural resources?*

Y/N/Uncertain/NA

*i) What quantity of materials is used by weight or volume?*

*j) What is the renewable material content of your organization's products?*

[Sum for each product (weight of a product unit X proportion of renewable materials in product X units produced) / sum for each product (weight of a product unit X units produced)] X 100 = %

*k) What is your non-renewable resources intensity?*

Weight of non-renewable resources consumed / normalization factor = tons/normalization factor

*l) What is the non-renewable material intensity over your organization's product lifetime?*

Sum for each product [(weight of a product unit X proportion of non-renewable content X units produced) / expected lifetime of product] = tons/year

*m) What are the restricted substances content in your organization's products?*

[sum for each product (weight of a product unit X proportion of restricted substances in product X units produced) / sum for each product (weight of a product unit X units produced)] X 100 = %

*n) What is the recycled/reused content of your organization's products?*

[Sum for each product {(weight of a product unit X proportion of recycled content x units produced) + (weight of a product unit X proportion of reused content X units produced)} / Sum for each product (weight of a product unit X unit produced)] X 100 = %

*o) What is the recyclability of your organization's products?*

[sum for each product (weight of a product unit X proportion of recyclable content X units produced) / sum for each product (weight of a product unit X units produced)] X 100 = %



***p) What percentage of materials are used that are recycled(/reused) input materials?***

Total weight of recycled material + total weight of reused material)/(Total weight of material inputs) X 100 = %

***q) Which of the following pollution prevention methods are implemented? (check all that apply)***

- (1) Dematerialization (e.i. digital technology)
- (2) Material source reduction
- (3) Solvent re-use or elimination
- (4) Green chemistry (e.i. benign synthesis)
- (5) Process and emission minimization
- (6) Product or process life cycle management
- (7) Conversion of wastes to economic byproducts
- (8) Packaging reduction, recycling, or elimination
- (9) Reduction in greenhouse gas emissions

***r) Does your organization have a program and/or procedures to systematically reduce the use of energy, water, and other resources in your operations?***

Y/N (please explain)

***s) Which of the following resource reduction methods are implemented? (check all that apply)***

- (1) Reduction in electricity consumption
- (2) Improvement in energy efficiency of processes
- (3) Renewable energy generation (e.i. wind, solar)
- (4) Waste heat capture and/or co-generation
- (5) Solar lighting and/or heating
- (6) Water use reduction
- (7) Closed-loop process water recycling
- (8) Product or process design modification
- (9) Reduction in fuel consumption
- (10) Transport technology improvement (e.i hybrids, bio-diesel)

***t) Does your organization use an office-wide recovery and recycling program that includes the following (please check all that apply)?***

- (1) Paper
- (2) Cardboard
- (3) Plastic
- (4) Glass and metal
- (5) Composting
- (6) None of the above



***u) Which of the following chemical reduction methods have been implemented at the majority of your corporate facilities on a consistent basis?***

- (1) Non-toxic janitorial products
- (2) Unbleached/chlorine free paper products
- (3) Soy-based inks or other low VOC inks
- (4) Organic or sustainable kitchen products
- (5) Other (please describe)
- (6) None of the above

***v) What of the following recycled/sustainable input materials/products are purchased for the majority of office use?***

- (1) Recycled/sustainable input office supplies (papers, pens, notebooks, etc..)
- (2) Reclaimed/reused office furniture
- (3) Reusable/compostable catering supplies
- (4) Other (please specify)
- (5) None of the above

***w) What % of your organization's printed materials use recycled paper content, FSC certified paper, or soy-based inks?***

0% / 1-24% / 25-49% / 50-75% / >75% / N/A

## **2. Energy Consumption**

***a) Does your organization comply with regulations regarding use of energy resources?***

Y/N/Uncertain/NA

***b) Does your organization take measures to reduce energy consumption?***

- (1) Y
  - (a) Are reductions achieved? Y/N/Uncertain/NA
- (2) N/Uncertain/NA

***c) Does your organization monitor and record its energy consumption? Are reduction targets developed and are they achieved?***

- (1) Y – monitor and record usage
- (2) Y – monitor and record usage (no reduction targets)
- (3) Y – monitor usage and has specific reduction targets
- (4) Y – monitors usage and has met specific reduction targets during the reporting period
- (5) N/Uncertain/NA

***d) Does your organization provide information and train employees to implement energy reduction measures?***

Y/N/Uncertain/NA



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*e) Does your organization employ initiatives to provide energy-efficient or renewable energy-based products?*

Y/N/Uncertain/NA

*f) Has your organization initiated practical activities to reduce energy consumption?*

Y/N/Uncertain/NA

*g) Which of the following systems have you implemented energy conservation/efficiency measures for your corporate facilities (if your organization has selected 'other', please describe)?*

- (1) Equipment: Energy Star Appliances / Automatic Sleep Modes / After-Hour Timers / etc.
- (2) Lighting: Natural Light / CF Bulbs / Occupancy Sensors / Daylight Dimmers / Task Lighting / etc.
- (3) HVAC: Programmable Thermostat / Timers / Occupancy Sensors / Shade Sun-Exposes Walls / Double-Paneled Windows / etc.
- (4) Other (please specify)
- (5) None of the above

*h) Does your organization have a climate strategy that identifies opportunities to reduce the organization's energy consumption?*

Y/N/Uncertain/NA

*i) What is your direct energy consumption by your primary energy source?*

- (1) Total direct energy consumption = direct primary energy purchased + direct primary energy produced – direct primary energy sold
- (2) Not tracked or unknown
- (3) N/A

*j) What is your indirect energy consumption by your primary source?*

*k) How much energy is saved due to conservation and efficiency improvement?*

*l) What % of energy (relative to organization revenues) was saved in the last year for your corporate facilities?*

0% / 1-4% / 5-24% / 25-50% / >50%

*m) What is your organization's energy intensity?*

(energy consumed in production processes + energy consumed in overhead) / normalization factor = MJ/normalization factor

*n) What is your organization's total energy use from renewable resources (kWh)?*

\_\_\_\_\_ (kWh) / not tracked or unknown / N/A



## New York State Pollution Prevention Institute (NYSP2I)

*o) What is your organization's renewable portion of energy consumed?*

Renewable energy consumed / total energy consumed X 100 = %

*p) Has your organization increased its % use of renewable energy annually at its corporate facilities?*

Y / N / Already maximized (100% renewable)

*q) What % of energy used is from renewable on-site energy production for corporate facilities?*

0% / 1-4% / 5-10% / 10-15% / 15%+

### 3. Water Consumption

*a) Does your organization monitor your total water consumption and the amount of water reused or recycled?*

Y/N/Uncertain/NA

*b) Does the organization take measures to reduce water consumption?*

Y/N/Uncertain/NA

*c) Does your organization have a strategy to reduce water consumption?*

Y/N/Uncertain/NA

*d) Does your organization have targets for reducing water consumption and/or increasing the amount of water reused or recycled in different business operations and activities?*

Y/N/Uncertain/NA

*e) Has your organization initiated practical activities to reduce water consumption?*

Y/N/Uncertain/NA

*f) Which of the following water conservation methods have been implemented at the majority of your corporate offices?:*

- (1) Low-flow toilets/urinals
- (2) Low-flow faucets or showerheads
- (3) Grey-water usage for irrigation/toilets
- (4) Low-volume irrigation
- (5) Harvest rainwater
- (6) Other (please specify)
- (7) None

*g) Does your organization provide information and train employees to implement measures to reduce water consumption?*

Y/N/Uncertain/NA





## New York State Pollution Prevention Institute (NYSP2I)

*h) Does your organization's use of water not negatively affect the sustainability of water resources, the natural environment or the availability of water for drinking and sanitation purposes?*

Y/N/Uncertain/NA

*i) Does your organization engage with national, regional and local public authorities, and civil society organizations to address water sustainability issues related to the affected water resources?*

Y/N/Uncertain/NA

*j) What water sources are significantly affected by your withdrawal of water?*

*k) Does your organization have the necessary permits to extract water or obtain water from the public water supply?*

Y/N/Uncertain/NA

*l) What is your organization's total water withdrawal by source and subsequently its total water use?*

*m) What is the percentage and total volume of water recycled and reused?*

*n) What is your organization's water intensity?*

Total water intake / normalization factor = m<sup>3</sup>/normalization factor

### 4. Dangerous Chemicals & Other Substances

*a) Does your organization use any of the following types or materials in their operations? (check all that apply)*

- (1) Hazardous chemicals in products, processes or at facility
- (2) Radioactive materials in products, processes or at facility
- (3) Biological materials in products, processes or at facility

*b) Does your organization document the quantities of all chemicals and other dangerous substances used in production and maintenance?*

Y/N/Uncertain/NA

*c) Has your organization established a list of materials that are regulated or controlled in the products that you manufacture?*

Yes (attaché list)/No/Not applicable (explain why)

*d) Does your organization have a program comprised of resource reduction methods to reduce the amount of hazardous materials used on-site?*

None/planned/partial/in place

*e) Does the organization minimize the use of chemicals and other dangerous substances and ensure safe handling and storage?*

Y/N/Uncertain/NA



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*f) Does your organization consider substitution important and continuously tries to use less harmful chemicals and substances?*

Y/N/Uncertain/NA

*g) Does your organization not manufacture, trade and/or use chemicals and other dangerous substances subject to national or international bans or phase-outs?*

Y/N/Uncertain/NA

*h) Does your organization mark areas used for storage of chemical substances and products?*

Y/N/Uncertain/NA

*i) Does your organization properly label all chemical substances and products including name of the chemical and a relevant symbol of danger?*

Y/N/Uncertain/NA

*j) Does your organization provide information and train employees on the safe handling and use of chemicals and other dangerous substances?*

Y/N/Uncertain/NA

*k) Does your organization comply with legal requirements for the handling, use and storage of chemicals and other dangerous substances?*

Y/N/Uncertain/NA

*l) Does your organization have the necessary permits for the handling, use and storage of chemicals and other dangerous substances?*

Y/N/Uncertain/NA

*m) What is the quantity of hazardous materials that is on-site? (include all flammables, combustibles, corrosive, reactive, toxic gasses, radioactive, biological and hazardous waste materials)*

None /less than 5/5-99/100-1000/over 1000

*n) What is your organization's restricted substances intensity?*

Weight of restricted substances consumed / normalization factor =  
tons/normalization factor

### B. Output

#### 1. Air Emissions

*a) Does your organization employ initiatives and practical activities to reduce greenhouse gas emissions?*

Y/N/Uncertain/NA



## New York State Pollution Prevention Institute (NYSP2I)

***b) Does your organization have a program aimed at inventorying, reducing, and reporting the emissions of greenhouse gases from your operations?***

None/planned/partial/in place

***c) Does your organization have a climate strategy that identifies opportunities to reduce the organization's emissions of greenhouse gases?***

Y/N/Uncertain/NA

***d) Does your organization monitor and record its greenhouse gas emissions? Are reduction targets developed and are they met?***

- (1) N – organization does not currently monitor and record GHG emissions
- (2) Y – organization monitors and records GHG emissions (no reduction targets)
- (3) Y – organization monitors GHG emissions and has specific reduction targets
- (4) Y – organization monitors GHG emissions and has met specific reduction targets during the reporting period

***e) If Y, what aspects of your organization's operations are included in the GHG emission calculation? (Select N/A if your organization doesn't track GHG emissions)***

- (1) Travel
- (2) Commuting
- (3) Office operations
- (4) Manufacturing facilities
- (5) Shipping
- (6) Other (please specify)
- (7) None of the above
- (8) N/A

***f) Does your organization comply with regulations regarding emissions of greenhouse gases?***

Y/N/Uncertain/NA

***g) Has your organization defined a baseline for its greenhouse gas emissions, which includes a definition of the business operations and activities, and the greenhouse gases that are accounted for e.g. as described in the Greenhouse Gas Protocol?***

Y/N/Uncertain/NA

***h) What are your organization's total direct and indirect greenhouse gas emissions by weight?***

- (1) \_\_\_\_\_ Metric tones of CO2 equivalent



- (2) Not tracked or unknown
- (3) N/A

***i) What are your organization's other relevant indirect greenhouse gas emissions by weight?***

***j) What is your organization's Greenhouse gas intensity?***

(GHGs released in energy consumption for production + GHGs released in energy consumption for overhead + GHGs released by transport used for business travel + additional GHGs released from production process) / normalization factor = Tons CO<sub>2</sub>e/normalization factor

***k) By what % have your GHG emissions been reduced on a per capita basis over the last fiscal year?***

0% / 1-4% / 5-9% / 10%+ / don't know

***l) If your organization purchased certified carbon credits in the reporting period, what % of GHG emissions were off-set?***

0% / 1-4% / 5-24% / 25-50% / >50% / N/A

***m) Which of the following types of air emissions are generated by your organization? (check all that apply)***

- (1) Volatile Organic Compounds
- (2) Hazardous Air Pollutants
- (3) Aerosols or mists
- (4) Corrosive vapors
- (5) Particulate or dust
- (6) Ozone depleting substances
- (7) Combustion byproducts (NO<sub>x</sub>, Sox, CO<sub>2</sub>, Methane, etc.)
- (8) Other emissions (please specify and describe)

***n) Does your organization have a program and/or procedures for the management of airborne emissions, including monitoring, characterization, prevention, reduction and treatment?***

None (please explain)/planned/partial/in place

***o) Does your organization generate regulated quantities of airborne emissions from its operations?***

Y/N (please explain)

***p) Does your organization comply with legal requirements on emissions to air (e.g. air pollution standards and limit values)?***

Y/N/Uncertain/NA

***q) Does your organization have the necessary permits for emissions to air?***



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Y (please identify permits)/N (please identify permits)/Uncertain/NA

***r) Does your organization provide information and train employees on how to manage air emissions?***

Y/N/Uncertain/NA

***s) Are incentives in place to encourage carpooling or the use of public transportation?***

Y/N

***t) Does your organization treat relevant pollutants before they are emitted to the atmosphere (e.g. by using filters)?***

Y/N/Uncertain/NA

***u) Which of the following methods are used to control airborne emissions at your facility(ies)? (check all that apply)***

- (1) Point of use exhaust ventilation
- (2) Oxidizer
- (3) Scrubber
- (4) Electrostatic precipitator
- (5) Carbon filtration
- (6) Other methods (please describe)
- (7) None (emission levels are below statutory and regulatory thresholds)

***v) Does your organization have a program comprised of resource reduction methods to reduce the amount of airborne emissions generated?***

None/planned/partial/in place/not applicable

***w) What are your organization's emissions of ozone-depleting substances by weight?***

***x) What are your organization's HAPs, VOCs, NO<sub>x</sub>, SO<sub>x</sub>, and other significant air emissions by type and weight?***

***y) What is your organization's intensity of pollutant releases to air?***

Weight of releases (from production processes and, if available, overhead) to air / normalization factor = tons/normalization factor

## 2. Wastewater

***a) Does your organization have a program and/or procedures for the management of wastewater, including monitoring, characterization, prevention, treatment, discharge, reduction, and/or recycling?***

None (please explain)/planned/partial/in place



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***b) Does your organization monitor wastewater discharges, including types, limit values and quantities of pollutants in the wastewater?***

Y/N/Uncertain/NA

***c) If wastewater treatment takes place outside the organization's premises, is your organization aware of the effectiveness of the treatment?***

Y/N/Uncertain/NA

***d) Does your organization continuously attempt to prevent and reduce wastewater discharges via resource reduction methods (e.g. wastewater recycling, use of less harmful substances)?***

Y/N/Uncertain/NA

***e) What type of wastewater is generated by your organization?***

- (1) Sanitary
- (2) Industrial
- (3) None

***f) Does your organization treat wastewater before discharge to reduce adverse environmental impacts?***

Y/N/Uncertain/NA

***g) Which of the following methods are used to manage your wastewater? (check all that apply)***

- (1) On-site wastewater treatment
- (2) Discharge to a municipal treatment facility
- (3) Collection and transfer to a waste management entity
- (4) Other (please describe)

***h) Does your organization comply with legal requirements relating to wastewater discharges?***

Y/N/Uncertain/NA

***i) Does your organization have the necessary permits for wastewater discharges? Are you required to apply for a National Pollutant Discharge Elimination System (NPDES) permit?***

Y/N/Uncertain/NA

***j) Does your organization provide information and train employees on the safe management of wastewater?***

Y/N/Uncertain/NA

***k) Have you managed storm water runoff issues properly by developing a pollution prevention plan?***

Y/N



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*l) Have you prevented storm water contamination from parking lots, excavation areas, refuse areas, and so on, where storm water runoff would be contaminated with hazardous pollutants?*

Y/N

*m) What is your organization's total water discharge by quality and destination?*

*n) What is your organization's intensity of pollutant releases to surface water?*

Weight of releases (from production processes and, if available, overhead) to surface water / normalization factor = tons/normalization factor

### 3. Solid & Hazardous Waste

*a) Does your organization have a program and/or procedures for the management of types and quantities of wastes produced, including monitoring, collection, separation, disposal, and/or recycling?*

None (please explain)/planned/partial/in place

*b) Does your organization have a strategy to manage waste responsibly and continuously attempts to prevent and reduce the production of waste? (i.e. resource reduction methods)*

Y/N/Uncertain/NA

*c) Does your organization have targets for reducing waste production and/or increasing waste reused/recycled and measures its progress against these targets?*

Y/N/Uncertain/NA

*d) Does your organization ensure that waste relevant for recycling is sorted and handed over to a recycling organization?*

Y/N/Uncertain/NA

*e) Does your organization mark areas used for storage of waste?*

Y/N/Uncertain/NA

*f) Does your organization properly label all containers for storing waste, including a relevant symbol of danger for hazardous waste?*

Y/N/Uncertain/NA

*g) Does the organization take measures to reduce the production of waste and ensure responsible waste management?*

Y/N/Uncertain/NA

*h) Which of the following methods are used to dispose of your solid waste? (check all that apply)*



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- (1) On-site disposal or incineration
- (2) Disposal at a public solid waste facility
- (3) Collection and transfer to a waste management entity
- (4) Other (please describe)

***i) Does your organization use licensed contractors for the transport, storage, transport, recycling and disposal of hazardous waste?***

Y/N/Uncertain/NA

***j) Does your organization request recycling and disposal receipts from transport contractors?***

Y/N/Uncertain/NA

***k) Does your organization comply with legal requirements for the handling, storage, transport, recycling and disposal of waste, including, if relevant, the requirements for transporting hazardous waste across borders?***

Y/N/Uncertain/NA

***l) Does your organization have the necessary permits for the handling, storage, recycling and disposal of waste?***

Y/N/Uncertain/NA

***m) Does your organization provide information and train employees on the safe handling, storage, transport and disposal of hazardous and special waste types?***

Y/N/Uncertain/NA

***n) What is your organization's total weight of waste by type and disposal method?***

***o) What is your organization's residuals intensity (waste output)?***

(weight or releases (from production processes and, if available, overhead) to air + weight of releases to surface water + weight of releases to land + weight of releases from landfills + weight of transfers to disposal + weight of transfers for treatment + weight of transfers to recycling + weight of transfers for energy recovery + weight of transfers to sewage + weight of additional GHGs produced + carbon content of direct energy use) / normalization factor = tons/normalization factor

***p) What is your organization's weight of transported, imported, exported, or treated waste deemed hazardous under the terms of the Basel Convention Annex I, II, III, and VIII, and percentage of transported waste shipped internationally?***

***q) Does your organization generate wastes that are classified as hazardous wastes?***





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Y/N (please explain)

*r) Does your organization have a program and/or procedures for the management of hazardous wastes, including monitoring, characterization, treatment or conversion, reduction, and disposal?*

None (please explain)/planned/partial/in place

*s) Which of the following methods are used to dispose of your hazardous waste? (check all that apply)*

- (1) On-site waste treatment
- (2) On-site temporary storage
- (3) Collection and transfer to a waste management entity
- (4) Discharge to ground or water

*t) Is hazardous waste (batteries, paint, electronic equipment, etc.) always disposed of responsibly?*

- (1) Y – organization has written policy or worker training materials to ensure responsible disposal
- (2) Y – organization has always responsibly disposed of hazardous waste in practice (no written policy)
- (3) N
- (4) N/A

*u) Has your organization set up a waste management program for universal wastes such as batteries, mercury containing equipment, pesticides, and lamps?*

Y/N

*v) If your operations generate waste from lead-acid batteries, do you handle it in an approved manner?*

Y/N

## C. Operational Activities Assessment

### 1. Impact Assessment

*a) Does the organization assess and address potential environmental and social impacts of its planned activities before these operations start?*

Y/N/Uncertain/NA

*b) What is your organization's nature, scope, and effectiveness of any programs and practices that assess and manage the impacts of operations on communities, including entering, operating, and exiting?*



## New York State Pollution Prevention Institute (NYSP2I)

*c) Does your organization have a program to consider environmental impacts in its construction, maintenance, and land use practices?*

None/planned/partial/in place

*d) Does your organization try to avoid environmental damage by regular maintenance of production processes and environmental protection systems (air pollution control, wastewater treatment systems etc.)?*

Y/N/Uncertain/NA

*e) Does your organization comply with legal requirements regarding operations in and alterations of the natural environment?*

(1) Y/N/Uncertain/NA

- (a) State Environmental Quality Review Act
- (b) Regional DEC Division of Environmental Permits office
- (c) Environmental Conservation Law

*f) Does your organization have the necessary permits to operate in or alter the natural environment?*

(1) Y/N/Uncertain/NA

- (a) NYS Freshwater Wetlands Permit
- (b) NYS Protection of Waters Permit
- (c) Environmental Quality Review Act

*g) If you lease facilities, have you worked with your landlord to implement any of the following in the past two fiscal years?: (choose N/A if you do not lease your building)*

- (1) Energy efficiency improvements
- (2) Water efficiency improvements
- (3) Waste reduction programs (including recycling)
- (4) None of the above
- (5) N/A – do not lease building(s)

## 2. Biodiversity

*a) Has your organization previously and/or is currently taking measures to prevent, minimize, or remedy the impacts of its operations and activities on biodiversity?*

Y/N/Uncertain/NA

*b) Does your organization continuously attempt to prevent, minimize and remedy significant impacts on natural resources through environmentally friendly methods, efficiencies and alternative resource use?*



## New York State Pollution Prevention Institute (NYSP2I)

Y (please explain)/N/Uncertain/NA

***c) Does your organization have strategies, current actions, and future plans for managing impacts on biodiversity?***

Y/N/Uncertain/NA

***d) What is your organization's location and size of land owned, leased, managed in, or adjacent to, protected areas and areas of high biodiversity value outside protected areas?***

- (1) Critical Environmental Areas
- (2) Environmental Resource Mapper
- (3) GAP Protected Areas Viewer

***e) Does your organization have a description of significant impacts of activities, products, and services on biodiversity in protected areas and areas of high biodiversity value outside protected areas?***

***f) Does your organization have habitats that are protected or have been restored?***

***g) Has your organization assessed important positive and negative impacts of its operations and activities on the natural environment and biodiversity (e.g. IUCN's Red List of Threatened Species and no alien invasive species)?***

Y/N/Uncertain/NA

***h) What quantity of IUCN Red List species and national conservation list species have habitats in areas affected by your operations? (list by level of extinction risk)***

- (1) List of Endangered, Threatened, and Special Concern Fish & Wildlife Species of New York
- (2) IUCN Red List of Threatened Species

***i) Is your organization committed to operating within the framework of international conventions addressing biodiversity (e.g. the Convention on Biological Diversity, Cartagena Protocol on Bio-safety and the CITES Convention)?***

Y/N/Uncertain/NA

***j) Does your organization handle any genetically-modified organisms (GMOs)?***

Y/ N (please explain certainty)

***k) Does your organization have documentation that employees have been adequately trained to handle GMOs?***

Y/N/Uncertain/NA



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*l) Does your organization clearly label products containing GMOs and indicates if GMOs have been used in the production process?*

Y/N/Uncertain/NA

*m) Has your organization not had any unintended releases of GMOs?*

Y/N/Uncertain/NA

*n) What is the size, protected status, and biodiversity value of water bodies and related habitats significantly affected by your organization's discharges of water and runoff?*

*o) What is your organization's proportion of land occupied that is "natural cover"?*

(natural cover area/total land area) X 100 = %

*p) What % of the square footage of all organization facilities is located in previously constructed buildings?*

\_\_\_\_\_ % in whole numbers / not tracked or unknown

*q) What % of square footage of all organization facilities is located with ½ mile of public transportation?*

\_\_\_\_\_ % in whole numbers / not tracked or unknown

### 3. Risk & Contamination Assessment

*a) Does your organization have a risk assessment process to identify, prioritize and mitigate the potential EHS risks associated with your operations and activities?*

None/planned/partial/in place

*b) Does your organization conduct systematic risk assessments of materials used, products and processes to apply the precautionary approach?*

Y/N/Uncertain/NA

*c) Does your organization regularly train employees involved in activities that have, or could have, adverse environmental impacts to ensure they are aware of environmental risks, requirements and agreed procedures?*

Y/N/Uncertain/NA

*d) Has your organization made a risk assessment of the environmental impacts and attempts to remedy any significant contamination of the soil and water (e.g. through bioremediation)?*

Y/N/Uncertain/NA

*e) Does the organization remedy soil and water contamination at the site and the surroundings?*

Y/N/Uncertain/NA



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*f) Does your organization comply with legal requirements in relation to soil and water contamination (e.g. reporting requirements and remediation methods)?*

Y/N/Uncertain/NA

*g) Does your organization map areas where soil and water contamination has or may have occurred as long as there is a risk to the environment and/or human health?*

Y/N/Uncertain/NA

*h) Does your organization require contaminated soil and water to be handled by trained employees with the right competencies (e.g. if contaminated soil is excavated for construction)?*

Y/N/Uncertain/NA

*i) Does your organization document the types and extent of any soil and water contamination that has taken place and when it occurred?*

Y/N/Uncertain/NA

*j) What is your organization's total number and volume of significant spills?*

### 4. Emergency Response

*a) Has your organization identified the hazardous operations and the potential consequences on human health and the environment if an accident occurs?*

Y/N/Uncertain/NA

*b) Does your organization have emergency procedures in place to effectively prevent and address industrial accidents affecting the environment and human health?*

Y/N/Uncertain/NA

*c) Does your organization have detailed procedures, plans and equipment to effectively respond to industrial accidents and emergencies if they occur?*

Y/N/Uncertain/NA

*d) Is there an emergency action plan (EAP) in place detailing procedures employees should follow in an emergency?*

Y/N

*e) Does your organization train employees to respond to accidents and emergencies, including carrying out emergency drills at least once a year involving all employees?*

Y/N/Uncertain/NA



## New York State Pollution Prevention Institute (NYSP2I)

*f) Where relevant, are local inhabitants included in and informed about organization emergency response and evacuation plans, including first aid and medical response?*

Y/N/Uncertain/NA

*g) Where relevant, does your organization have a procedure, which enables it to notify affected local communities about potential industrial emergencies with minimal delays?*

Y/N/Uncertain/NA

*h) Does your organization have detailed procedures, plans, equipment and training programs to prevent industrial accidents and emergencies?*

Y/N/Uncertain/NA

*i) During the last 12 months, were there any fire/explosions, spills, industrial accidents or other EHS-related incidents at any of your facilities?*

- (1) Yes (describe and attach informational materials)
- (2) No

### 5. Worker Exposure

*a) Does your organization have a program and/or procedures in place to monitor and evaluate worker exposures to chemical, physical or biological agents?*

None/planned/partial/in place

*b) Does the potential exist for workers at your organization to be exposed to any of the following while at work? (check all that apply)*

- (1) Process emissions (e.i. fumes, vapors, mists, dust)
- (2) Other airborne emissions (e.i. exhaust, cleaning agents)
- (3) Known chronic disease agents (e.i. lead, asbestos)

*c) Does your organization make available Material Safety Data Sheets (MSDS) or Chemical Data Sheets to workers that handle chemicals, written in the local or appropriate language(s)?*

Y/N

*d) During the last 2 years, have there been any similar work-related illnesses reported by multiple workers at your organization?*

Y/N

*e) During the last 12 months, how many worker injuries have occurred at your organization, including work-related and other types of incidents?*

None/1-5/6-10/more than 10



## New York State Pollution Prevention Institute (NYSP2I)

*f) During the last 12 months, how many work-related illnesses have been reported by workers at your organization?*

None/1-5/6-10/more than 10



**III. Appendixes**

**A. Summary of Attachments Provided for Profile Questionnaire**

**1. Policy or Statements of Commitment**

- a) organization EHS policy(ies)*
- b) organization -specific EHS policy(ies)*

**2. Performance Objectives**

- a) Organization EHS performance objectives for current year*
- b) Facility EHS performance objectives for current year*

**3. Management Systems**

- a) Organization -wide EHS management system certificate(s)*
- b) Facility-specific EHS management system certificate(s)*
- c) Descriptions of organization and facility-specific management system for EHS performance*

**4. Citations or Incidents**

- a) Description of organization and facility EHS-related incidents in the past 12 months*
- b) Description of incidents involving demonstrations or adverse publicity*
- c) Description of facility citations for EHS violations during the past 3 years*

**5. Other Information**

- a) Public report(s) on social and environmental responsibility or sustainability*
- b) List of demonstrations, protests, or adverse media reports during past 12 months*
- c) List of facility environmental permits*
- d) List of regulated and/or controlled materials*





## **New York State Pollution Prevention Institute (NYSP2I)**

### **B. List of Terms and Acronyms**

- 1. Direct materials - Materials that are present in a final product.**
- 2. Non-renewable materials - Resources that do not renew in short periods, such as minerals, metals, oil, gas, coal, etc.**
- 3. Recycled input materials - Materials that replace virgin materials that are purchased or obtained from internal or external sources, and that are not by-product outputs (NPO) produced by the reporting organizations**
- 4. Renewable resources - Resources capable of being replenished within a short time through ecological cycles (as opposed to resource such as minerals, metals, oil, gas, coal that do not renew in a short time periods).**
- 5. Energy saved - The reduced amount of energy needed to carry out the same processes or tasks. The term does not include overall reduction in energy consumption from reduced organizational activities (e.g., partial outsourcing of production).**
- 6. Conservation and efficiency improvements - Organizational or technological innovations that allow a defined process or task to be carried out at a reduced level of energy consumption. This includes process redesign, the conversion and retrofitting of equipment (e.g., energy-efficient lighting), or the elimination of unnecessary energy use due to changes in behavior.**
- 7. Total water withdrawal - The sum of all water drawn into the boundaries of the reporting organization from all sources (including surface water, groundwater, rainwater, and municipal water supply) for any use over the course of the reporting period.**



**8. Recycling/Reuse - The act of processing used water/wastewater through another cycle before discharged to final treatment and/or discharge to the environment. In general, there are three types of water recycling/re-use:**

- (1) Wastewater recycled back in the same process or higher use of recycled water in the process cycle
- (2) Wastewater recycled/re-used in a different process, but within the same facility
- (3) Wastewater re-used at another of the reporting organization's facilities.

**9. Protected area - A geographically defined area that is designated, regulated, or managed to achieve specific conservation objectives**

**10. Areas of high biodiversity value - Areas not subject to legal protection but recognized for important biodiversity features by a number of governmental and non-governmental organizations. These include habitats that are a priority for conservation (often defined in National Biodiversity Strategies and Action Plans prepared under the Convention on Biological Diversity). In addition, several international conservation organizations have identified particular areas of high biodiversity value.**

**11. Significant impact -**

*a) Impacts that may adversely affect the integrity of a geographical area/region, either directly or indirectly. This occurs by substantially changing its ecological features, structures, and functions across its whole area and over the long term. This means that the habitat, its population level, and/or the particular species that make that habitat important cannot be sustained.*

*b) On a species level, a significant impact causes a population decline and/or change in distribution so that natural recruitment (reproduction or immigration from unaffected areas) cannot return to former levels within a limited number of generations. A significant impact can also affect subsistence or commercial resources use to the degree that the well-being of users is affected over the long term.*



## **New York State Pollution Prevention Institute (NYSP2I)**

**12. Area restored - Areas that were used during or affected by operational activities, and where remediation measures have either restored the environment to its original state or to a state where it is a healthy functioning ecosystem.**

**13. Area protected - Areas that are protected from any harm during operational activities, and the environment remains in its original state with a healthy functioning ecosystem.**

**14. IUCN Red List species - An inventory of the global conservation status of plant and animal species developed by the International Union for the Conservation of Nature and Natural Resources (IUCN).**

**15. Direct emissions - Emissions from sources that are owned or controlled by the reporting organization. For example, direct emissions related to combustion would arise from burning fuel for energy within the reporting organization's operational boundaries.**

**16. Indirect emissions - Emissions that result from the activities of the reporting organization but are generated at sources owned or controlled by another organization. In the context of the GRI Indicator EN16, indirect emissions refer to greenhouse gas emissions from the generation of electricity, heat, or steam that is imported and consumed by the reporting organization.**

**17. Carbon dioxide equivalent - CO<sub>2</sub> (Carbon Dioxide) equivalent is the measure used to compare the emissions from various greenhouse gases based on their global warming potential (GWP). The CO<sub>2</sub> equivalent for a gas is derived by multiplying the tones of the gas by the associated GWP.**



## **New York State Pollution Prevention Institute (NYSP2I)**

**18. Ozone-depleting substance (ODS) - Any substance with an ozone depletion potential (ODP) greater than 0 that can deplete the stratospheric ozone layer. Most ozone-depleting substances are controlled under the Montreal Protocol and its amendments, and include CFCs, HCFCs, halons, and methyl bromide.**

**19. CFC-11 equivalent - CFC-11 is a measure used to compare various substances based on their relative ozone depletion potential. The reference level of 1 is the potential of CFC-11 and CFC-12 to cause ozone depletion.**

**20. Significant air emissions - Air emissions that are regulated under international conventions and/or national laws or regulations, including those listed on environmental permits for the reporting organization's operations.**

**21. Total water discharge - The sum of water effluents discharged over the course of the reporting period to subsurface waters, surface waters, sewers that lead to rivers, oceans, lakes, wetlands, treatment facilities, and ground water either through:**

- (1) A defined discharge point (point of discharge)
- (2) Over land in a dispersed or undefined manner (non-point source discharge)
- (3) Wastewater removed from the reporting organization via truck. Discharge of collected rainwater and domestic sewage is not regarded as water discharge.

**22. Significant spill - All spills that are included in the reporting organization's financial statement (e.g., due to resulting liabilities) or recorded as a spill by the reporting organization.**

**23. Environmental protection expenditures - All expenditures on environmental protection by the reporting organization, or on its behalf, to prevent, reduce, control, and document environmental aspects, impacts, and hazards. It also includes disposal, treatment, sanitation, and clean-up expenditure.**



## **New York State Pollution Prevention Institute (NYSP2I)**

- 24. Continual improvement - A recurring process of enhancing the Environmental Management System in order to achieve improvements in overall environmental performance consistent with the organization's environmental policy.**
- 25. Corrective action - An action to eliminate the cause of a detected nonconformity.**
- 26. Organization - A company, corporation, firm, enterprise, authority or institution, or part or combination thereof, whether incorporated or not, public or private, that has its own functions and administration.**
- 27. Environmental management system (EMS) - An EMS is part of an organization's management system used to develop and implement its environmental policy and manage its environmental aspects.**
- 28. Critical Environmental Areas (CEA's) - To be designated as a CEA, an area must have an exceptional or unique character with respect to one or more of the following:**
- (1) A benefit or threat to human health**
  - (2) A natural setting (e.g., fish and wildlife habitat, forest and vegetation, open space and areas of important aesthetic or scenic quality)**
  - (3) Agricultural, social, cultural, historic, archaeological, recreational, or educational values**
  - (4) An inherent ecological, geological or hydrological sensitivity to change that may be adversely affect by any change**
- 29. Materiality - An organization is faced with a wide range of topics on which it could report. Relevant topics and indicators are those that may reasonably be considered important for reflecting the organization's economic, environmental, and social impacts, or influencing the decisions of stakeholders, and, therefore, potentially merit inclusion in the report. Materiality is the threshold at which an issue or indicator becomes sufficiently important that it should be reported.**



## **New York State Pollution Prevention Institute (NYSP2I)**

**30. Precautionary approach - The precautionary approach is defined as: “ Where there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation.”**

**31. Environmental Stewardship - The comprehensive understanding and effective management of critical environmental risks and opportunities related to climate change, emissions, waste management, resource consumption, water conservation, biodiversity protection and ecosystem services.**

**32. Dematerialization - Reducing the total material that goes toward providing benefits to customers. This may be accomplished through greater efficiency, the use of better or more appropriate materials, or by creating a service that produces the same benefit as a product.**

**33. Green chemistry - Green chemistry, also known as sustainable chemistry, is the design of chemical products and processes that reduce or eliminate the use or generation of hazardous substances. Green chemistry applies across the life cycle of a chemical product, including its design, manufacture, and use.**

**34. Hazardous materials - Any substance which may pose an unreasonable risk to health and safety of operating or emergency personnel, the public, and/or the environment if not properly controlled during handling, storage, manufacture, processing, packaging, use, disposal, or transportation.**

**35. Biological materials - Clinical or research materials including, but not limited to, cultures and stocks of microorganisms and human or animal specimens, that may contain pathogenic or non-pathogenic microorganisms**



## New York State Pollution Prevention Institute (NYSP2I)

**36. Remediation - Correction or improvement of a problem, such as work that is done to clean up or stop the release of chemicals from a contaminated site. After investigation of a site, remedial work may include removing soil and/or drums, capping the site or collecting and treating the contaminated fluids.**

**37. Chemical substance - Any organic or inorganic substance of a particular molecular identity, including: any combination of such substances occurring in whole or in part as a result of a chemical reaction or occurring in nature; and any element or uncombined radical.**

**38. Greenhouse Gas Emissions Scope 1 - All direct GHG emissions.**

**39. Greenhouse Gas Emissions Scope 2 - Indirect GHG emissions from consumption of purchased electricity, heat or steam.**

**40. Greenhouse Gas Emissions Scope 3 - Other indirect emissions, such as the extraction and production or purchased materials and fuels, transport-related activities in vehicles not owned or controlled by the reporting entity, electricity-related activities not covered in Scope 2, outsourced activities, waste disposal, etc.**

**41. Title V Permit - A Title V permit grants a major source permission to operate. Under Title V, major sources are required to pay annual fees based on every ton of regulated pollutant emissions, including fugitive emissions. This is to say that if a source is subject to Title V because of its PM<sub>10</sub> emissions, they are required to pay annual fees on all PM<sub>10</sub>, SO<sub>x</sub>, NO<sub>x</sub>, etc. emissions. Only major sources are subject to Title V permitting. To be classified as a major source under Title V, a source must have the potential to emit over the specified annual emission threshold for a particular regulated pollutant.**



## **New York State Pollution Prevention Institute (NYSP2I)**

**42. SPDES - Under New York State law, the State Pollutant Discharge Elimination System (SPDES) has been approved by the EPA for the control of wastewater and stormwater. It is broader in scope than that required by the Clean Water Act in that it controls point source discharges to groundwaters as well as surface waters.**

**43. POTW - A treatment works, as defined by Section 212 of the CWA, that is owned by the state or municipality. This definition includes any devices and systems used in the storage, treatment, recycling, and reclamation of municipal sewage or industrial wastes of a liquid nature. It also includes sewers, pipes, and other conveyances only if they convey wastewater to a POTW treatment plant [40 CFR 403.3]. Privately-owned treatment works, Federally-owned treatment works, and other treatment plants not owned by municipalities are not considered POTWs.**

**44. BOD - A measurement of the amount of oxygen utilized by the decomposition of organic material, over a specified time period (usually 5 days) in a wastewater sample; it is used as a measurement of the readily decomposable organic content of a wastewater.**

**45. TOC - Total organic carbon; Measures the amount of organic carbon in water.**

**46. TRI - Toxic release inventory; TRI is a database containing data on disposal or other releases of over 650 toxic chemicals from thousands of U.S. facilities and information about how facilities manage those chemicals through recycling, energy recovery, and treatment. One of TRI's primary purposes is to inform communities about toxic chemical releases to the environment.**





## C. Tools & Resources

### 1. Calculate your Carbon Footprint

#### a) *The tool*<sup>i</sup>

(1) A “carbon footprint” is a measurement of the total greenhouse gasses emitted into the atmosphere from your operations. The commonly used unit for carbon footprint is metric tons of carbon dioxide equivalents (CO<sub>2</sub>e).

(2) The purpose of the carbon footprint is to identify the major sources of greenhouse gas emissions in your business and translate them into CO<sub>2</sub>e. This will also illuminate opportunity areas for improvements in efficiency and conservation to achieve economic, social, and environmental benefits. Each year, energy saved equals money saved.

#### b) *Resources*

(1) The Greenhouse Gas Protocol is the most widely used international accounting tool for government and business leaders to understand, quantify, and manage greenhouse gas emissions. The GHG Protocol, a decade-long partnership between the World Resources Institute and the World Business Council for Sustainable Development, is working with businesses, governments, and environmental groups around the world to build a new generation of credible and effective programs for tackling climate change.<sup>ii</sup>

(2) Carbon Footprint Ltd works with hundreds of small, medium and large organizations around the world to develop their carbon credentials and provide resources to help clients with great ideas to reduce energy and transport expenditures.<sup>iii</sup>

### 2. Conduct an Energy Audit

#### a) *The tool*

(1) Energy audits are holistic surveys of the facility, process, and systems, performed to understand how energy is currently used and to identify areas for potential savings. An energy audit consists of three main segments: understanding energy costs, identifying potential savings, and reporting cost beneficial recommendations.

(2) Energy efficiency audits are very specific to the business for which they are conducted, but typically consider the energy use patterns related to lighting, building efficiency, heating and cooling, motors and equipment, and operations/procedures.

#### b) *Resources*

(1) The Natural Resources Defense Council’s (NRDC’s) Green Business Guide provides a general overview for facility energy audits.<sup>iv</sup>

(2) The Environmental Defense Fund’s (EDF’s) energy efficiency tools can help with assessing, calculating and tracking an organization’s energy efficiency.<sup>v</sup>



(3) The DOE's EERE Industrial Technologies Program features a wealth of online self-assessment tools for industrial plants, energy efficiency best practice case studies, and financial resources.<sup>vi</sup>

### 3. Explore Renewable Energy

#### a) *The tool*

(1) Renewable energy is energy that is derived from sun, wind, water, or the Earth's core. It also can be derived from biomass—or plant matter—which is grown, harvested, and transferred into energy by one of a number of processes.

(2) Renewable technologies are designed to capture and store this energy.

(3) As the cost of energy increases and government incentives make renewable energy more cost competitive, support for renewable energy can provide cost savings over time. In addition, as energy demands rise, the potential for future disruptions to grid-based energy supplies may increase. An organization can mitigate resulting operation disruptions if a portion of their energy is supplied onsite via renewable resources. Using renewable energy also generates positive publicity and demonstrates a commitment to environmental issues.

(4) You can integrate renewable energy into your business by generating on-site renewable energy. Seek out renewable energy providers in your geographic region and assess return-on-investment. If renewable energy programs are available, be sure to obtain proper certification.

#### b) *Resources*

(1) The DOE's EERE website includes information on energy efficiency and renewable energy.<sup>vii</sup>

(2) The US EPA offers a Guide to Purchasing Green Power<sup>viii</sup>

(3) Green-e is a renewable electricity certification program that sets consumer protection and environmental standards for electricity products, and verifies that Green-e certified products meet these standards. Electricity products that meet the Green-e Standard for environmental excellence are denoted by the Green-e logo.<sup>ix</sup>

(4) EPA's Green Power Partnership is a voluntary program designed to reduce the environmental impact of electricity generation by promoting renewable energy.<sup>x</sup>

(5) The Green Power Network offers news and information resource on green power markets and utility green pricing.

(6) The Interstate Renewable Energy Council (IREC) works to accelerate the sustainable utilization of renewable energy sources and technologies in and through state and local government activities.<sup>xi</sup>

(7) The National Renewable Energy Laboratory (NREL) is the only federal laboratory dedicated to the research, development, commercialization and deployment of renewable energy and energy efficiency technologies.<sup>xii</sup>

### 4. Conduct a Waste Audit



### *a) The tool*

(1) A waste audit is a method of estimating the total amount of waste discarded by an organization, the cost to dispose of it, the amounts of waste that can be recycled or reused or prevented to determine if one has the correct level of hauling service.

(2) A waste audit is not complicated but rather a simple and straightforward way to visually estimate what goes into the dumpster. A waste audit done before and after implementing a waste reduction and recycling program, gives you the means to document and monitor efforts.

### *b) Resources*

(1) The New York State Association for Reduction, Reuse and Recycling (NYSAR3) provides general information and resources for waste auditing.<sup>xiii</sup>

(2) The US EPA's WasteWise Program provides a 10-Step Checklist to a Successful WasteWise Program and other information for organizations to meet their waste reduction goals.<sup>xiv</sup>

(3) The US EPA's Resource Conservation website offers abundant information, conservation tools and resources on the recycling and beneficial use of industrial materials.<sup>xv</sup>

## 5. Calculate your Water Footprint

### *a) The tool*

(1) The water footprint of an organization refers to the total volume of fresh water that is used directly and indirectly to run and support the business. It consists of the operational water footprint and the supply-chain water footprint.

(2) The operational water footprint is the direct water use by the organization in its own operations.

(3) The supply-chain water footprint is the water use throughout the organization's supply chain.

### *b) Resources*

(1) The Business for Social Responsibility (BSR) Sustainable Water Group drives more responsible water use in the supply chain through its Water Quality Guidelines and by demonstrating the business case for water conservation and reuse in supplier facilities.<sup>xvi</sup>

(2) The World Business Council for Sustainable Development (WBCSD) provides the Global Water Tool, a free and easy to use tool for companies and organizations to map their water use and assess risks relative to their global operations and supply chains.<sup>xvii</sup>

(3) The Water Footprint Network promotes the transition towards sustainable, fair and efficient use of fresh water resources worldwide. They develop standards and tools for organizations interested in water footprint accounting, impact assessment and water footprint reduction and offsetting.<sup>xviii</sup>



## 6. Explore Applicable Certifications and/or Standards

### *a) The tool*

- (1) Your organization's operations, management systems, facilities, products and/or services may be eligible to become certified by a 3rd party certifying organization. Certified products must meet a set of criteria that include robust environmental and social considerations designed to minimize impact on the environment, people and communities
- (2) Product certifications and/or standards may provide product labels that tell the consumer that your product was produced (and contains materials that were produced) in a manner that minimizes impact on natural resources. This could include the elimination of harmful, polluting chemicals, preservation of biodiversity, and responsible harvesting for long-term, productive supply of resources including wood, minerals, and agricultural products.

### *b) Resources*

- (1) ISO 14001:2004 Environmental Management Systems
- (2) ISO 50001: Energy Management System
- (3) World Resource Institute's (WRI's) Greenhouse Gas Protocol
- (4) CERES
- (5) Global Reporting Initiative (GRI)
- (6) Global e-Sustainability Initiative
- (7) Electric Industry Code of Conduct
- (8) UN Global Compact
- (9) LEED
- (10) EPA's Design for the Environment (DfE)
- (11) EcoLogo
- (12) USDA Certified Organic
- (13) Rainforest Alliance
- (14) Fair Trade

## 7. Develop Sustainable Supplier Guidelines

### *a) The tool*

- (1) Suppliers that have regular and recurring dealings should have management processes in place to ensure compliance with the policies, guidelines, codes, principles, certifications and/or standards they adhere to.
- (2) Suppliers should make reasonable efforts to monitor and ensure that their supply chain is aware of and compliant with the objectives of such policies to minimize potential negative attention.

### *b) Resources*



- (1) CSR Europe's Laboratory on Responsible Supply Chain Management promotes and supports responsible business behavior in the supply chain by providing access to hands-on tools and information.<sup>xix</sup>
- (2) Government procurement standards such as the NYS EO4, the US Federal Green Procurement Guide, and the EU green procurement for smart purchasing project, Buy Smart.
- (3) The organization standards and codes of various sector leaders like Walmart, Proctor & Gamble, Pepsi, Canon, and HP.

## 8. Identify your Organization's Tier 1 and Tier 2 Suppliers

### *a) The tool*

- (1) Intelligent Order Fulfillment Systems, Auto-ID based supply chain management controls, and supply chain design are all available methodologies to identifying and coordinating your organization's suppliers.

### *b) Resources*

- (1) The Global Reporting Initiative's Global Action Network for Transparency in the Supply Chain supports companies and their suppliers in confronting challenges in navigating and understanding complex supply chains. It provides companies and their select suppliers with exclusive training and technical support for implementation of the GRI reporting framework.<sup>xx</sup>
- (2) The Supply Chain Management Institute offers abundant information of supply chain management strategies, tools and coordination.<sup>xxi</sup>
- (3) UNEP's Life Cycle Initiative has published a roadmap for stakeholders engaged in measuring social and socio-economic impacts in supply chains, the Guidelines for Social Life Cycle Assessment of Products.<sup>xxii</sup>

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<sup>i</sup> Walmart Supplier Sustainability Assessment,

[https://docs.google.com/viewer?a=v&q=cache:snCTLgVZdhIj:walmartstores.com/download/4055.pdf+sustainable+supplier+assessment&hl=en&gl=us&pid=bl&srcid=ADGEESixbm8ud0 ln7sP\\_gv2jHCHtDYM6jkNk3Ft-42Nl6zEn7c9l8MaR5XXaG0z5Wpd56U0-0c3iPdSL1-](https://docs.google.com/viewer?a=v&q=cache:snCTLgVZdhIj:walmartstores.com/download/4055.pdf+sustainable+supplier+assessment&hl=en&gl=us&pid=bl&srcid=ADGEESixbm8ud0 ln7sP_gv2jHCHtDYM6jkNk3Ft-42Nl6zEn7c9l8MaR5XXaG0z5Wpd56U0-0c3iPdSL1-)

