

US EPA ARCHIVE DOCUMENT

**State Innovation Grant (SIG) Program Assistance Agreement No. PI-97252007-0  
New York State Small Business Sectors  
Environmental Results Program Pilot Project  
January 2010 – March 2010 Quarterly Report**

The New York State Small Business Sectors Environmental Results Program (ERP) Implementation Pilot Project is planned to be completed in three phases:

- Phase 1 – Develop and implement a pilot ERP for auto body shops located in New York State Department of Environmental Conservation (DEC) Regions 4 and 9.
- Phase 2 – Develop and implement a pilot ERP for printers located in DEC Regions 4 and 9.
- Phase 3 – Expand the ERPs for auto body shops and printers to the remaining seven DEC Regions, and develop a pilot ERP for another small business sector to be determined by DEC and its four project partners: the New York State Environmental Facilities Corporation (EFC), the Empire State Development (ESD), the New York State Energy Research and Development Authority (NYSERDA), and the New York State Office of Science, Technology and Academic Research (NYSTAR).

**Part 1 – Synopsis of Accomplishments During the Reporting Period**

The status of project tasks worked on this quarter is provided in Table 1:

<b>Table 1: NYS Small Business Sectors ERP Implementation Pilot Project – Phase 1 January 2010 - March 2010 Accomplishments</b>				
<b>Task</b>	<b>Task Description</b>	<b>Start Date</b>	<b>End Date</b>	<b>Status/ Notes</b>
Compliance Assistance	Produce and copy compliance assistance DVD for auto body shops.	10/09	01/10	completed
Compliance Assistance	Plan and schedule workshops for NYSDEC Region 9 auto body shops	12/09	01/10	completed
Self-Certification	Mail Auto Body Shops ERP Guide, Report Forms, and compliance assistance DVD to DEC Region 9 auto body shops.	01/10	01/10	completed
Compliance Assistance	Conduct compliance assistance workshops in NYSDEC Region 9.	02/10	02/10	completed
Self-certification	NYSDEC Region 9 auto body shops submit Environmental Report Forms to NYSDEC.	02/10	05/10	ongoing
Data Management	Input and track Region 9 Environmental Report Forms and Non-applicability Forms, compile list of non-responders.	03/10	05/10	ongoing

## Part 2- Narrative Discussion

Phase 1 of this project is the development and implementation of a pilot ERP for auto body shops located in DEC Regions 4 and 9. In the original project schedule, compliance assistance and self-certification in Regions 4 and 9 were to be completed concurrently, however, due to the high number of body shops in these regions, completion of these tasks for the Region 4 and 9 pilot was broken into two stages. During this reporting period, self-certification and compliance assistance commenced for Region 9 auto body shops. The following is a summary of the tasks completed during this reporting period:

- EFC's Small Business Environmental Assistance Program (SBEAP) completed production of a compliance assistance DVD for auto body shops. The DVD, entitled "Bringing the ERP Workshop to You," captures all material included in the SBEAP ERP workshops. DEC made 550 copies of the DVD to include in the ERP packages sent to auto body shops located in DEC Region 9.
- On January 15, 2010, the Environmental Compliance Guide for Auto Body Shops, the Environmental Report Form (ERF) for Auto Body Shops, and the compliance assistance DVD were sent to 495 Region 9 auto body shops. These auto body shops were required to submit their completed ERFs to DEC by March 15, 2010.
- SBEAP scheduled three workshops to be held for Region 9 auto body shops and the Western New York Dealers Association on February 2 and 3, 2010. Due to lack of enrollment, only one workshop was held for auto body shops at Erie Community College, and a second workshop was held for the Western New York Dealers Association. The workshops had a combined total of 74 attendees.
- In mid-February, ESD sent reminder postcards to the Region 9 auto body shops.
- In late March, DEC compiled a list of auto body shops that had submitted completed ERFs, and Non-Applicability forms, and a list of Region 9 non-responders. As of March 25, 2010, 193 completed ERFs, and 54 non-applicability forms had been received by DEC. The list of Region 9 non-responders was forwarded to ESD who will send a second reminder notices to these shops in April 2010.
- SBEAP continued to provide compliance assistance to auto body shops through March 31, 2010. The funding that enabled SBEAP to provide compliance assistance for the ERP project was cut from the state budget beginning April 1, 2010. Therefore, SBEAP will not be providing this critical element of the ERP project until the funding is reinstated or another funding source becomes available.

EFC's SBEAP is a major partner needed to provide compliance assistance and allow the completion of the small business sector ERP project as planned. Without SBEAP's participation, DEC is unable to move forward with Phase 2 of this project. If funding is not reinstated, or another funding source does not become available, it will be necessary for DEC to meet with EPA to discuss any adjustments that can be made to the project. Since the compliance assistance aspect of Phase 1 has been completed, DEC will proceed with the performance measurement element of Phase 1 in the next two quarters.

**Part 3 – Projection of Activities, Accomplishments, and Major Expenditures for Next Quarter Report**

A summary of upcoming tasks is provided in the following table:

<b>Table 2: NYS Small Business Sectors ERP Implementation Pilot Project March 2010- September 2010 Phase 1 Activities</b>			
<b>Task Name</b>	<b>Task Description</b>	<b>Start Date</b>	<b>End Date</b>
Self-Certification	Input and track Environmental Report Forms and Non-applicability Forms submitted by Region 9 auto body shops	02/10	05/10
Data Management	Compile list of non-responders, update Region 9 Universe	03/10	04/10
Self-Certification	Send second reminder postcards to Region 9 non-responders	04/10	04/10
Targeted Enforcement	Send warning letters to Region 4 and 9 non-responders	05/10	06/10
Post-Certification Inspections	Generate list of Region 4 and 9 targeted and randomly selected auto body shops.	05/10	06/10
Post-Certification Inspections	Conduct post-certification inspections of DEC Region 4 and 9 auto body shops	06/10	08/10
Performance Measurement	Input and analyze self-certification and inspection report data.	05/10	09/10

## Part 4 - Financial Report

Costs incurred for this project during this reporting period are shown in Table 3.

<b>Table 3:</b> <b>NYS Small Business Sectors ERP Implementation Pilot Project</b> <b>Year 3 Costs (October 2009- September 2010)</b>				
Budget Item	Approved Budget Costs	Oct-Dec 09 Costs	Jan-Mar 10 Costs	Year 3 Totals
Personnel	\$92,703.00	\$14,400.38	\$18,136.35	\$32,536.73
Fringe Benefits	\$42,208.00	\$5,974.71	\$7,524.76	\$13,499.47
Indirect costs)	\$46,382.00	\$5,923.04	\$7,459.69	\$13,382.73
Supplies	\$2,000.00	\$481.12	35.38	\$516.50
Contractual (Phase 1) Printing	\$8,000.00	\$1,174.00	\$40.00	\$1,214.00
- Mailings	\$8,000.00	\$875.61	\$1,151.36	\$2,026.97
- Workshops	\$15,000.00	\$0.00	\$0.00	\$0.00
Travel	\$3,000.00	\$0.00	\$0.00	\$0.00
<b>Year 3 Totals:</b>	<b>\$217,293.00</b>	<b>\$28,828.86</b>	<b>\$34,347.54</b>	<b>\$63,176.40</b>

<b>Table 4:</b> <b>NYS Small Business Sectors ERP Implementation Pilot Project Yearly Totals</b>					
Budget Item	Year 1 Total	Year 2 Total	Year 3 (10/09-3/10)	Cumulative	EPA Approved Budget Cost
Personnel	\$80,326.35	\$78,108.59	\$32,536.73	\$172,835.32	\$370,812.00
Fringe Benefits	\$35,758.35	\$32,793.03	\$13,499.47	\$74,526.09	\$168,832.00
Indirect costs	\$38,434.68	\$32,780.08	\$13,382.73	\$77,137.80	\$185,530.00
Supplies	0	0	\$516.50	\$516.50	\$2,000.00
Contractual	0	0	\$3240.97	\$3240.97	\$234,000.00
Travel	0	0	0	0	\$19,000.00