

US EPA ARCHIVE DOCUMENT

**State Innovation Grant (SIG) Program  
New York State Small Business Sectors Environmental Results Program  
Implementation Pilot Project  
Assistance Agreement No. PI-97252007-0  
October 2009 – December 2009 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 October 2009 - December 2009 Accomplishments</b>				
<b>Task</b>	<b>Task Description</b>	<b>Start Date</b>	<b>End Date</b>	<b>Status/ Notes</b>
Compliance Assistance	Provide technical assistance to Region 4 auto body shops on completing Environmental Report Forms and Return to Compliance Plans.	06/09	11/09	completed
Self-certification	NYSDEC Region 4 auto body shops submit Environmental Report Forms to NYSDEC.	06/09	11/09	completed
Data Management	Input and track Region 4 Environmental Report Forms and Non-applicability Forms, compile list of non-responders, update Region 4 Universe.	06/09	12/09	completed
Compliance Assistance	Revise Auto Body ERP Compliance Assistance Guide and Forms to incorporate federal 6H NESHAP requirements.	08/09	12/09	completed
Compliance Assistance	Produce compliance assistance DVD for auto body shops.	10/09	01/10	
Data Management	Compile mailing list of Region 9 auto body shops	12/09	12/09	completed
Compliance Assistance	Print 500 copies of Auto Body ERP Compliance Assistance Guide and Forms	12/09	12/09	completed
Compliance Assistance	Plan and schedule workshops for NYSDEC Region 9 auto body shops	12/09	01/10	

## 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. Progress towards the completion of Phase 1 continued this reporting period as follows:

- DEC Region 4 Auto Body Shops - The Environmental Compliance Guide for Auto Body Shops and Environmental Report Form for Auto Body Shops were sent to 389 auto body shops located in NYSDEC Region 4 in June 2009. Of these 389 shops, 191 shops have submitted completed forms, 64 shops have submitted non-applicability forms, 99 facilities have been identified by NYSDEC as closed, not auto body, duplicates, or not in Region 4, and 51 shops have been designated as non-responders.
- The New York State Environmental Facilities Corporation Small Business Environmental Assistance Program (SBEAP) continued to provide confidential compliance assistance to Region 4 auto body shops.
- The May 2009 Environmental Compliance Guide for Auto Body Shops and Environmental Report Form for Auto Body Shops were revised to incorporate the during this reporting period, the May 2009 Environmental Compliance Guide for Auto Body Shops and the Environmental Report Form for Auto Body Shops were revised to fully incorporate the federal 6H NESHAP requirements. The revised guide, dated December 2009, and report form were posted on the NYSDEC website.
- The mailing list for the Region 9 auto body shops was finalized with 495 shops identified, and 500 copies of the December 2009 Environmental Compliance Guide and Environmental Report Form for Auto Body Shops were printed.
- SBEAP produced a DVD entitled "Bringing the ERP Workshop to You" which captured all material that would be included in a live workshop.
- SBEAP began scheduling workshops in the Buffalo area for auto body shops located in NYSDEC Region 9.
- SBEAP notified the Western New York Auto Body Association and the Niagara Frontier Auto Dealers Association that NYSDEC would be mailing the guides and report forms to auto body shops located in NYSDEC Region 9 in January 2010.

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. Self-certification and compliance assistance activities in Region 4 commenced in June 2009, and will begin in January 2010 in Region 9. Completing these tasks in two stages, and the additional revision to the auto body shops compliance assistance materials has resulted in the project being an additional six months behind schedule. As stated in previous quarterly reports, due to unanticipated events since the project's inception, this project was already at least one year behind schedule. With the additional delays that have occurred in the past two quarters, a no-cost-time extension of at least 1.5 years will be needed for this project.

In the next quarter, DEC will commence work on Phase 2, the Region 4 and 9 printers ERP pilot, and continue progress towards the completion of Phase 1.

**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 January 2010- June 2010 Planned Activities</b>			
<b>Task Name</b>	<b>Task Description</b>	<b>Start Date</b>	<b>End Date</b>
Phase 1- Compliance Assistance	Produce and copy compliance assistance DVD for auto body shops.	01/10	01/10
Phase 1 - 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
Phase 1 - Compliance Assistance	Conduct compliance assistance workshops in NYSDEC Region 9.	02/10	02/10
Phase 2- Sector Identification	Define printer universe, update database of statewide Printer Universe.	02/10	03/10
Phase 2- Compliance Assistance	Develop draft Printers inspection checklist, report form and guide.	02/10	04/10
Phase 1- Self-Certification	Input and track Environmental Report Forms and Non-applicability Forms submitted by Region 9 auto body shops	02/10	04/10
Phase 1-Data Management	Compile list of non-responders, update Region 9 Universe.	03/10	05/10
Phase 1- Targeted Enforcement	Send warning letters to Region 4 and 9 non-responders	03/10	05/10
Phase 1-Post-Certification Inspections	Generate list of Region 4 and 9 targeted and randomly selected auto body shops.	05/10	05/10
Phase 2 -Outreach	Meet and review draft documents with external stakeholders- printer trade associations	05/10	06/10
Phase 2- Baseline Inspections	Finalize printers inspection checklist	05/10	06/10
Phase 1-Post-Certification Inspections	Conduct post-certification inspections of DEC Region 4 and 9 auto body shops	05/10	07/10
Phase 2- Baseline Inspections	Prepare and provide training on printers inspection checklist	06/10	07/10
Phase 2- Baseline Inspections	Generate random list of Region 4 and 9 printers, and conduct baseline inspections.	07/10	09/10

**Part 4 - Financial Report**

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

<b>Table 3:                      NYS Small Business Sectors ERP Implementation Pilot Project                      Year 3 Costs (October 2009- September 2010)</b>		
Budget Item	Approved Budget Costs	Oct 09-Dec 09 Costs
Personnel	\$92,703.00	\$14,400.38
Fringe Benefits (45.53%)	\$42,208.00	\$5,974.71
Indirect costs (34.38% fixed)	\$46,382.00	\$5,923.04
Supplies	\$2,000.00	\$481.12
Contractual (Phase 1) Printing	\$8,000.00	\$1,174.00
- Mailings	\$8,000.00	\$875.61
- Workshops	\$15,000.00	\$0.00
Travel	\$3,000.00	\$0.00
<b>Year 3 Totals:</b>	<b>\$217,293.00</b>	<b>\$28,828.86</b>

<b>Table 4:                      NYS Small Business Sectors ERP Implementation Pilot Project Yearly Totals</b>					
Budget Item	Year 1 Total	Year 2 Total	Year 3 1 <sup>st</sup> qtr.	Cumulative	EPA Approved Budget Cost
Personnel	\$80,326.35	\$78,108.59	\$14,400.38	\$172,835.32	\$370,812.00
Fringe Benefits	\$35,758.35	\$32,793.03	\$5,974.71	\$74,526.09	\$168,832.00
Indirect costs	\$38,434.68	\$32,780.08	\$5,923.04	\$77,137.80	\$185,530.00
Supplies	0	0	\$481.12	\$481.12	\$2,000.00
Contractual	0	0	\$2,049.61	\$2,049.61	\$234,000.00
Travel	0	0	0	0	\$19,000.00