

US EPA ARCHIVE DOCUMENT

# National Water Program Guidance

## Appendix B

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# NATIONAL WATER PROGRAM GRANTS MANAGEMENT FOR FY 2006

The Office of Water places a high priority on effective grants management. The key areas to be emphasized as grant programs are implemented are:

1. standardizing the timing of issuance of grants guidance for categorical grants (i.e., by April of the fiscal year prior to the year in which the guidance applies);
2. ensuring that a high priority is placed on the effective management of grants; and
3. linking grants performance to the achievement of environmental results as laid out in the Agency's *Strategic Plan* and the *National Water Program Guidance*.

The Office of Grants and Debarment (OGD) issued a Grants Management Plan for 2003 – 2008 which is designed to help ensure that grant programs meet the highest management and fiduciary standards and further the Agency's mission of protecting human health and the environment. The Plan highlights five grants management goals:

- enhance the skills of EPA personnel involved in grants management;
- promote competition in the award of grants;
- leverage technology to improve program performance;
- strengthen EPA oversight of grants; and
- support identifying and realizing environmental outcomes.

The Office of Water is committed to accomplishing these goals and working to manage grants efficiently and effectively.

## **Timing of Guidance Issued for Categorical Grants**

One of the Office of Water's objectives is to organize and coordinate the issuance of draft and final guidance documents, including grants guidance, to coincide as much as possible with State, tribal, and regional planning processes. As a result, all guidance packages for categorical grant programs are to be issued by April of the year in advance of the fiscal year of availability of funds (i.e. guidance for fiscal year 2006 appropriated funds needs to be issued by April 2005) if at all possible. Not all categorical grant programs issue annual guidance. These programs may simply indicate that they are continuing to use their current guidance.

A table of all grants guidance issued for categorical grants and other key water program grants is available on the internet and provides links to grant specific guidance documents that are applicable to FY 2006; see [www.epa.gov/water/waterplan/grants.htm](http://www.epa.gov/water/waterplan/grants.htm)

## **Effective Grants Management**

The Agency has issued directives, policies, and guidance to help improve grants management. It is the policy of the Office of Water that all grants are to comply with applicable grants requirements described below, regardless of whether the program specific guidance

document addresses the requirement.

**Policy for Competition of Assistance Agreements:** The Office of Water strongly supports the Agency policy to promote competition to the maximum extent practicable in the award of assistance agreements. Project officers must comply with Agency policy concerning competition in the award of grants and cooperative agreements and ensure that the competitive process is fair and impartial, that all applicants are evaluated only on the criteria stated in the announcement, and that no applicant receives an unfair advantage. The Policy for Competition of Assistance Agreements, EPA Order 5700.5A1, effective January 15, 2005, applies to competitive announcements issued, released, or posted after January 14, 2005; assistance agreement competitions, awards, and disputes based on competitive announcements issued, released, or posted after January 14, 2005; non-competitive awards resulting from non-competitive funding recommendations submitted to a Grants Management Office after January 14, 2005; and assistance agreement amendments issued after January 14, 2005.

If program offices and Regions chose to conduct competitions for awards under programs that are exempt from the Order, they must comply with the Order and any applicable guidance issued by the Grants Competition Advocate (GCA). This includes complying with the Office of Management and Budget (OMB) standard formatting requirements for Federal agency announcements of funding opportunities.

As of October 1, 2006, per OMB Directive, all federal agency funding opportunity announcements for open competitions must provide applicants with the opportunity to submit applications electronically through [www.grants.gov](http://www.grants.gov). Grants.gov is the official federal government website where applicants can find and apply to funding opportunities from all 26 federal grant-making agencies. The Office of Water has piloted the use of grants.gov for two competitions in FY 2005.

**Policy on Compliance Review and Monitoring:** The Office of Water is required to develop and carry out a post-award monitoring plan and conduct basic monitoring for every award. EPA Order 5700.6A1, revised on January 8, 2004, streamlines post-award management of assistance agreements and helps ensure effective oversight of recipient performance and management. The Order encompasses both the administrative and programmatic aspects of the Agency's financial assistance programs. From the programmatic standpoint, this monitoring should ensure satisfaction of five core areas:

1. compliance with all programmatic terms and conditions;
2. correlation of the recipient's work plan/application and actual progress under the award;
3. availability of funds to complete the project;
4. proper management of and accounting for equipment purchased under the award; and
5. compliance with all statutory and regulatory requirements of the program.

If during monitoring it is determined that there is reason to believe that the grantee has committed or commits fraud, waste and/or abuse, then the project officer must contact the Office of the Inspector General. Advanced monitoring activities must be documented in

the official grant file and the Grantee Compliance Database.

**Performance Standards for Grants Management:** Project Offices participate in a wide range of pre-and post-award activities. On November 14, 2004, EPA disseminated a memorandum entitled “Performance Standards for Grants Management.” The Office of Water supports the requirement that project officers and their supervisors adequately address grants management responsibilities through the Agency’s PERFORMS process. Headquarters and Regional offices are required to periodically re-evaluate the new standards as they conduct their grants management self-assessments.

**Environmental Results under EPA Assistance Agreements:** On January 1, 2005, EPA Order 5700.7, went into effect. The Office of Water is actively involved in Agency initiatives to focus grant resources on achieving environmental results that are described in the Strategic Plan. Additional information on the Order and the required linkage of results to the Strategic Plan architecture is provided below.

### **Environmental Results and Linkage to the Strategic Plan**

The Office of Water’s *Strategic Plan* includes key “outcome” measures of environmental and public health progress we hope to accomplish by 2008. Both Goal 2 and Goal 4 of the *Strategic Plan* present specific objectives, subobjectives and strategic targets that define, in measurable terms, the change in public health or environmental conditions to be accomplished by 2008. Grants are one of the many tools that EPA, States, local governments, and others will use to accomplish the environmental and public health goals in the *Strategic Plan*.

The OGD Grants Management Plan for 2003 – 2008 includes the goal of linking grants performance to the achievement of the Agency’s *Strategic Plan* and managing for results. On January 1, 2005, EPA issued the Environmental Results Order (5700.7). The Order indicates it is EPA policy to link proposed assistance agreements to the Agency’s Strategic Plan / GPRA architecture, ensure that outputs and outcomes are appropriately addressed in assistance agreement competitive funding announcements, work plans, and performance reports, and consider how the results from completed assistance agreement projects contribute to the Agency’s programmatic goals and responsibilities.

The Order defines outputs as an environmental activity, effort, and/or associated work products related to an environmental goal and objective, that will be produced or provided over a specified period of time. Outputs may be quantitative or qualitative, but must be measurable during an assistance agreement funding period.

Outcomes are defined by the Order as the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature, must be quantitative, and may not necessarily be achievable within an assistance agreement funding period.

There are two major types of outcomes; “end outcomes” and “intermediate outcomes”. End outcomes are the desired end or ultimate results of a project or program. They represent

results that lead to environmental / public health improvement. A change in water quality and resultant change in human health or environmental condition are examples of end outcomes.

Intermediate outcomes are outcomes that are expected to lead to end outcomes, but are not in and of themselves “ends”. Given that the end outcomes of an assistance agreement may not occur until after the assistance agreement funding period, intermediate or short-term outcomes realized during the funding period are an important way to measure progress in achieving end outcomes. For example, reductions in nutrient loading may be considered an intermediate outcome to measure progress toward meeting or contributing to end outcomes of improved water quality.

The Order applies to all non-competitive funding packages / funding recommendations submitted to Grants Management Offices after January 1, 2005, all competitive assistance agreements resulting from competitive funding announcements issued after January 1, 2005, and competitive funding announcements issued after January 1, 2005. Project officers must include in the Funding Recommendation a description of how the project fits within the Agency’s Strategic Plan /GPRA architecture. The description must identify all applicable EPA strategic goal(s), objectives, and where available, subobjective(s), consistent with the appropriate Program Results Code(s). In addition, project officers must:

1. consider how the results from completed assistance agreement projects contribute to the Agency’s programmatic goals and objectives;
2. ensure that well-defined outputs and outcomes are appropriately addressed in assistance agreement work plans, solicitations and performance reports;
3. negotiate and ensure that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes;
4. certify /assure that they have reviewed the assistance agreement work plan and that the workplan contains outputs and outcomes.

The Office of Water continues to align grant management with the National Water Program Guidance, and encourages the use of measures (output and outcome) developed in concert with our state and tribal partners. In order to maintain consistency with the Strategic Plan and leverage the extensive and collaborative work conducted with our state and tribal partners, OW has developed sample menus for the major categorical grant programs that link grant activities to the Strategic Plan goals, objectives, subobjectives, and National Program Activity Measures (PAMs). The 1-2 page menus will facilitate implementation of the Environmental Results Order and will continue to strengthen the linkage between grant activities and achieving our strategic goal. The menus will be updated periodically, and are available on the internet at [www.epa.gov/water/waterplan](http://www.epa.gov/water/waterplan).

SAMPLE

**Grant Program: Drinking Water State Revolving Fund**

CFDA: 66.468

**GOAL 2: SAFE AND CLEAN WATER**

**Ensure drinking water is safe. Restore and maintain oceans, watersheds, and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife.**

**STRATEGIC PLAN OBJECTIVE 2.1: PROTECT HUMAN HEALTH** - Protect human health by reducing exposure to contaminants in drinking water (including protecting source waters), in fish and shellfish, and in recreational waters.

**SUBOBJECTIVE 2.1.1: Water Safe to Drink** - Percentage of the population served by community water systems that receive drinking water that meets all applicable health-based drinking water standards through effective treatment and source water protection.

**NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.**

**The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.**

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR DWSRF (NPG 05\*):**

- Percentage of the population served by community water systems that receive drinking water that meets health-based standards with which systems need to comply as of December 2001. [NPG 05 A]
- Percentage of the population served by community water systems that receive drinking water that meets health-based standards with a compliance date of January 2002 or later. (Covered standards include: Stage 1 disinfection by-products/interim enhanced surface water treatment rule/long-term enhanced surface water treatment rule/arsenic.) [NPG 05 B]
- Percentage of community water systems that provide drinking water that meets health-based standards with which systems need to comply as of December 2001. [NPG 05 C]
- Federal return on investment [cumulative dollar amount of assistance disbursements to systems divided by cumulative Federal outlays for projects] provided by the Drinking Water State Revolving Fund. [NPG 05 4]
- Fund utilization rate [cumulative dollar amount of loan agreements divided by cumulative funds available for projects] for the DWSRF. [NPG 05 5]
- Number of DWSRF projects that have initiated operations (cumulative). [NPG 05 6]
- The percentage of DWSRF loan agreements made annually that will return Community Water Systems to compliance. [NPG 05 7]

\* FY 2005 National Program Guidance (NPG 05).



**EXAMPLE OUTPUTS/ACTIVITIES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Number [insert range of projects] of binding commitments.
- Number [insert range of projects] of assistance agreements.
- Number, dollar amount, and/or population served of projects financed [insert range].
- Through FY \_\_\_\_, our fund utilization rate was [calculate percentage], which is lower than the national average. In the coming year we intend to increase our pace to [calculate percentage].

**EXAMPLE (SHORT-TERM/LONG-TERM) OUTCOMES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Number of projects [insert range] initiating operation, resulting in improved public health protection.
- Improved compliance for systems receiving DWSRF assistance, resulting in improved public health protection.  
Increase [insert range] in population served by community water systems meeting health based standards.



SAMPLE

**Grant Program: State Underground Injection Control**

**CFDA: 66.433**

**GOAL 2: SAFE AND CLEAN WATER.**

**Ensure drinking water is safe. Restore and maintain oceans, watersheds, and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife.**

**STRATEGIC PLAN OBJECTIVE 2.1: PROTECT HUMAN HEALTH** - Protect human health by reducing exposure to contaminants in drinking water (including protecting source waters), in fish and shellfish, and in recreational waters.

**SUBOBJECTIVE 2.1.1: Water Safe to Drink** - Percentage of the population served by community water systems that receive drinking water that meets all applicable health-based drinking water standards through effective treatment and source water protection.

**NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.**

**The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.**

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR UIC (NPG 05\*):**

- Separately for each class of well, the percentage of Classes I, II, III, and V wells identified in violation that are addressed by the UIC program. [NPG 05 17]
- Percentage of identified Class V Motor Vehicle Waste Disposal wells that are closed or permitted. [NPG 05 18]
- Percentage of ground water-based source water areas for Community Water Systems that have a Class V survey completed. [NPG 05 19]
- Percentage increase in the number of inspections conducted for Class II and Class V wells above a 2004 baseline. [NPG 05 20]

\* FY 2005 National Program Guidance (NPG 05).

**EXAMPLE OUTPUT ACTIVITIES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Completion of Class V survey.
- Permit or close Class I, II, III, and V wells [insert range].
- Number of wells identified in violation that are addressed by the UIC program.

**EXAMPLE (SHORT TERM / LONG TERM) OUTCOMES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Closure of Class I, II, III and / or V wells, resulting in improved protection of public health.
- Closure of Class I, II, III and / or V wells, resulting in improved protection of water quality.
- Correction of violations, resulting in improved protection of public health and water quality.

SAMPLE

**Grant Program: Public Water System Supervision Program**

CFDA: 66.432

**GOAL 2: SAFE AND CLEAN WATER.**

**Ensure drinking water is safe. Restore and maintain oceans, watersheds, and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife.**

**STRATEGIC PLAN OBJECTIVE 2.1: PROTECT HUMAN HEALTH** - Protect human health by reducing exposure to contaminants in drinking water (including protecting source waters), in fish and shellfish, and in recreational waters.

**SUBJECTIVE 2.1.1: Water Safe to Drink** - Percentage of the population served by community water systems that receive drinking water that meets all applicable health-based drinking water standards through effective treatment and source water protection.

**NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.**

**The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.**

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR PWSS (NPG 05\*):**

- Percentage of the population served by community water systems that receive drinking water that meets health-based standards with which systems need to comply as of December 2001. [NPG 05 A]
- Percentage of the population served by community water systems that receive drinking water that meets health-based standards with a compliance date of January 2002 or later. (Covered standards include: Stage 1 disinfection by-products/interim enhanced surface water treatment rule/long-term enhanced surface water treatment rule/arsenic.) [NPG 05 B]
- Percentage of community water systems that provide drinking water that meets health-based standards with which systems need to comply as of December 2001. [NPG 05 C]
- Each year, all States will be in compliance with requirement to conduct sanitary surveys at community water systems once every three years, as documented by file audits of a random selection of water systems. [NPG 05 8]
- Each year, all Tribal water community systems will have undergone a sanitary survey within the past 3 years. [NPG 05 9]
- Percentage of source water areas for community water systems that have source water protection strategies in place (cumulative.) [NPG 05 10]
- Percentage of source water areas for community water systems that have implemented some aspects of source water protection strategies (cumulative.) [NPG 05 11]

\* FY 2005 National Program Guidance (NPG 05).

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR PWSS (CONTINUED):**

- Number of Tribal water systems that have completed a source water assessment of consistent with national guidelines. [NPG 05 12]
- Percentage of community water systems for which delineated source water areas will be available in a GIS digitized format using agreed upon data management protocols. [NPG 05 14]

**Example Output Activities for Project Officers and Grantees to Consider:**

- Population [insert range] served that meets health based standards.
- Development and maintenance of an inventory database system to track population served that meets health based standards.
- Number [insert range] of sanitary surveys conducted.
- Technical assistance provided
- Number [insert range] of public water system plan and specifications reviewed.
- Number [insert range] of technical assistance activities provided to system managers and operators (i.e., trainings, workshops, conferences, stakeholder meetings).

**EXAMPLE (SHORT TERM / LONG TERM) OUTCOME ACTIVITIES FOR PROJECT OFFICERS AND GRANTEEES TO CONSIDER:**

- Increased population with access to drinking water meeting all health based standards.

SAMPLE

**Grant Program: Water Protection Grants to the States (Homeland Security Grants)**

**CFDA: 66.474**

**GOAL 2: SAFE AND CLEAN WATER.**

**Ensure drinking water is safe. Restore and maintain oceans, watersheds, and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife.**

**STRATEGIC PLAN OBJECTIVE 2.1: PROTECT HUMAN HEALTH** - Protect human health by reducing exposure to contaminants in drinking water (including protecting source waters), in fish and shellfish, and in recreational waters.

**Sub-objective 2.1.1: Water Safe to Drink** – Percentage of the population served by community water systems that receive drinking water that meets all applicable health-based drinking water standards through effective treatment and source water protection.

**NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.**

**The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.**

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR HOMELAND SECURITY (NPG 05):**

**NOTE:** Homeland Security is mentioned in the seven “Cross Goal Strategies” in EPA’s Strategic Plan that contributes to the progress of EPA’s five main goals, one of which is “Clean and Safe Water.” EPA recognizes that its homeland security efforts are centered on four main areas of responsibility: (1) critical infrastructure protection; (2) preparedness, response, and recovery; (3) communication and information; and (4) protection of EPA personnel and infrastructure.

To support these security efforts and also foster partnerships (another one of the seven “Cross Goal Strategies”) with states and territories, it follows that EPA would support activities of states and territories that produce outputs or outcomes which fall under these areas of responsibility. To date, EPA guidance for water protection grants to states and territories has promoted and supported projects and activities that involve the responsibilities of: (1) critical infrastructure protection; (2) preparedness, response, and recovery; and (3) communication and information.

**Example Output Activities for Project Officers and Grantees to Consider:**

- Number of trainings, workshops and / or conferences conducted to improve infrastructure protection, increase preparedness and / or provide information to public water supplies.
- Development of materials (i.e., guidance documents, training manuals, etc.) focused on improving security and emergency response.
- Number of water systems that received technical assistance on completing their vulnerability assessments and their emergency response plans.

**EXAMPLE (SHORT TERM/LONG TERM) OUTCOME ACTIVITIES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Changed management and operation of water supplies based on training.
- Improved condition of critical infrastructure protection status.
- Improved emergency response coordination and communications.

SAMPLE

**Grant Program: Beach Monitoring and Notification Program Implementation Grants**

CFDA: 66.472

**GOAL 2: SAFE AND CLEAN WATER.**

**Ensure drinking water is safe. Restore and maintain oceans, watersheds, and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife.**

**STRATEGIC PLAN OBJECTIVE 2.1: PROTECT HUMAN HEALTH** - Protect human health by reducing exposure to contaminants in drinking water (including protecting source waters), in fish and shellfish, and in recreational waters.

**SUBJECTIVE 2.1.3: Water Safe for Swimming** - Percentage of the stream miles and lake acres identified by States in 2000 as having water quality unsafe for swimming where water quality that is restored to allow swimming (90,000 stream miles, 2.6 million lake acres).

**NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.**

**The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.**

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR BEACHES (NPG 05\*):**

- Number of waterborne disease outbreaks attributable to swimming in, or other recreational contact with, the ocean, rivers, lakes, or streams measured as a five-year average. [NPG 05 J]
- Percentage of days of the beach season that coastal and Great Lakes beaches monitored by State beach safety programs are open and safe for swimming. [NPG 05 K]
- Percentage of significant public beaches monitored and managed under the BEACH Act Program. [NPG 05 35]
- Percentage of high priority Great Lakes beaches where States and local agencies have put into place water quality monitoring and public notification programs that comply with USEPA National Beaches Guidance. [NPG 05 IV-GL-5]

**EXAMPLE OUTPUT ACTIVITIES FOR PROJECT OFFICERS AND GRANTEEES TO CONSIDER:**

- Number [insert range] of public beaches monitored during the season (include frequency of monitoring [i.e., daily, weekly, monthly]). Indicate specific water body (with corresponding 303d segment identification number if applicable).
- Number / range of high priority Great Lakes beaches where water quality monitoring and public notification are in place.
- Number [insert range] of days of beach closures due to threshold exceedence of pathogens, less than prior years.

\* FY 2005 National Program Guidance (NPG 05).



SAMPLE

**Grant Program: Clean Water State Revolving Fund (CWSRF)**

CFDA: 66.458

**GOAL 2: SAFE AND CLEAN WATER.**

**Ensure drinking water is safe. Restore and maintain oceans, watersheds, and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife.**

**STRATEGIC PLAN OBJECTIVE 2.2: PROTECT WATER QUALITY** - Protect the quality of rivers, lakes and streams on a watershed basis and protect coastal and ocean waters.

**SUBOBJECTIVE 2.2.1:** Protect and Improve Water Quality on a Watershed Basis - Number of the Nation's watersheds where: water quality standards are met in at least 80% of the assessed water segments; and all assessed water segments maintain their quality and at least 20% of assessed water segments show improvement above conditions of 2002.

**NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.**

**The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.**

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR CWSRF (NPG 05\*):**

- Number and dollar value of projects financed with CWSRF loans to prevent polluted runoff. [NPG 05 58]
- Fund utilization rate [cumulative loan agreement dollars to the cumulative funds available for projects] for the CWSRF. [NPG 05 70]
- Return on Federal Investment [cumulative dollar amount of assistance disbursements to projects divided by cumulative federal outlays for projects [for the CWSRF]. [NPG 05 71]
- Number of states using integrated planning and priority systems to make CWSRF funding decisions (cumulative). [NPG 05 72]

**EXAMPLE OUTPUT ACTIVITIES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Number and dollar of projects financed [insert range] to prevent polluted runoff.
- Number of high priority projects [insert range] identified for funding to protect and improve water quality on a watershed basis through an integrated planning and priority system.
- In FY \_\_\_\_, the state fund utilization rate was [calculate percentage], which is lower than the national average. In the coming year we intend to increase our pace to [calculate percentage].

\* FY 2005 National Program Guidance (NPG 05).

**EXAMPLE (SHORT-TERM/LONG-TERM) OUTCOMES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Number of projects financed to upgrade WWTPs from secondary level treatment to advanced (tertiary) treatment that have produced a higher quality effluent from those facilities.
- Annual reduction in pollutant loadings [lbs. tons of nitrogen, phosphorus, and sediment] from nonpoint sources to waterbodies
- Improvement in water quality on a watershed basis.
- Number of projects financed [insert range of number of projects] to upgrade wastewater treatment plants operating at the secondary level to the advanced treatment level, improving water quality condition.
- Number [insert range] of watersheds, or lake acres / river miles with improved condition of water quality.

**SAMPLE**

**Grant Program: Water Pollution Control State and Interstate Program Support**

**CFDA:** 66.419

**GOAL 2: SAFE AND CLEAN WATER.**

**Ensure drinking water is safe. Restore and maintain oceans, watersheds, and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife.**

**STRATEGIC PLAN OBJECTIVE 2.1: PROTECT HUMAN HEALTH** - Protect human health by reducing exposure to contaminants in drinking water (including protecting source waters), in fish and shellfish, and in recreational waters.

**STRATEGIC PLAN OBJECTIVE 2.2: PROTECT WATER QUALITY** - Protect the quality of rivers, lakes and streams on a watershed basis and protect coastal and ocean waters.

**SUBJECTIVE 2.1.3: Water Safe for Swimming** - Percentage of the stream miles and lake acres identified by States in 2000 as having water quality unsafe for swimming where water quality that is restored to allow swimming. (90,000 stream miles, 2.6 million lake acres)

**SUBJECTIVE 2.2.1: Protect and Improve Water Quality on a Watershed Basis** - Number of the Nation's watersheds where: water quality standards are met in at least 80% of the assessed water segments; and all assessed water segments maintain their quality and at least 20 percent of assessed water segments show improvement above conditions as of 2002. (2,262 watersheds nationwide)

**NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.**

**The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.**

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR WATER POLLUTION CONTROL (NPG 05\*):**

- Percentage of CSO communities with schedules in place to implement approved Long Term Control Plans (LTCPs). (Baseline of 772 Communities with CSOs) [NPG 05 36]
- Number of States that have adopted the Voluntary Management Guidelines for On-site Decentralized Wastewater Treatment Systems (cumulative.) [NPG 05 37]
- Number of States & authorized Tribes that have completed a review of water quality standards within three years of the previous triennial review under Section 303(c) of the CWA. (56 State/Territories & 22 authorized Tribes) [NPG 05 38]

\* FY 2005 National Program Guidance (NPG 05).

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR WATER POLLUTION CONTROL (CONTINUED):**

- Number of States that have adopted into their water quality standards, and EPA has approved, nutrient criteria for freshwater (rivers/streams, lakes, and reservoirs) (cumulative). [NPG 05 40]
- Number of Tribes that have water quality standards approved by EPA (cumulative.) [NPG 05 42]
- Each year, percentage of State/Tribal water quality standards submissions that are approved/disapproved by EPA within 90 days. [NPG 05 43]
- Each year, the number of States and Territories that have adopted and begun implementing a monitoring strategy [including a State approach to putting data into STORET] consistent with national guidance (i.e., March 2003 guidance describing 10 key monitoring elements) (cumulative.) [NPG 05 44]
- Number of States, Interstate Agencies, and Territories that provide integrated assessments of the condition of their waters consistent with sections 305 (b) and 303 (d) of the Clean Water Act and EPA’s integrated assessment guidance (cumulative) (56 State/Territories). [NPG 05 45]
- Number of dischargers with permits providing for trading between the discharger and other water pollution sources and the number of dischargers that carried out trades. [NPG 05 67]
- Number of watersheds in which a watershed permit(s) have been issued and the number of States issuing NPDES permits using a rotating basin process. [NPG 05 68]
- Percentage of NPDES program authorities where a comprehensive assessment of NPDES program integrity has been conducted (beginning of FY 04) and the percentage of assessed programs that are complying with implementation schedules for all those follow-up actions for which a schedule has been established. [NPG 05 69]

**EXAMPLE OUTPUT ACTIVITIES FOR PROJECT OFFICERS AND GRANTEEES TO CONSIDER:**

- Development of schedule to implement Long Term Control Plan (LTCP).
- Adoption of Voluntary Management Guidelines for On-site Decentralized Wastewater Treatment Systems.
- Development of a monitoring strategy consistent with National guidance.
- Implementation of a monitoring strategy.
- Development of watershed based plans.
- Implementation of watershed based plans.
- Development [insert range] of TMDLs to restore nutrient-impaired waters that encourage trading.
- Development of TMDLs that that are part of a larger, watershed planning process that address all impaired waters within a watershed.
- Issuance of NPDES permits [insert range].
- Completion a review of water quality standards.

**EXAMPLE (SHORT TERM / LONG TERM) OUTCOMES FOR PROJECT OFFICERS AND GRANTEEES TO CONSIDER:**

- Reduction [insert range] in annual pounds pollutant load (i.e., nutrients, sediment, etc.).
- Improved condition of water quality.
- Implementation of LTCP resulting in improved condition of water quality.

SAMPLE

**Grant Program: Water Quality Management Planning Grants—(604b)**

CFDA: 66.454

**GOAL 2: SAFE AND CLEAN WATER.**

**Ensure drinking water is safe. Restore and maintain oceans, watersheds, and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife.**

**STRATEGIC PLAN OBJECTIVE 2.2: PROTECT WATER QUALITY** – Protect the quality of rivers, lakes and streams on a watershed basis and protect coastal and ocean waters.

**SUBOBJECTIVE 2.2.1: Protect and Improve Water Quality on a Watershed Basis** – Number of the Nation’s watersheds where: water quality standards are met in at least 80% of the assessed water segments; and all assessed water segments maintain their quality and at least 20 percent of assessed water segments show improvement above conditions as of 2002.

**NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.**

**The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.**

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR 604b (NPG 05\*):**

- Each year, the number of States & Territories that have adopted and begun implementing a monitoring strategy [including a State approach to putting data into STORET] consistent with national guidance. (i.e., March 2003 guidance describing 10 key monitoring elements) (cumulative). [NPG 05 44]
- The number of watershed based plans (and water miles/acres covered), supported under State Nonpoint Source Management Programs since the beginning of FY 2002 have been developed and the number of watershed based plans, (and water miles/acres covered), where watershed based plans are being implemented. [NPG 05 48]
- Number of TMDLs approved by EPA or watershed plans to restore nutrient-impaired waters on a state impaired-waters list that contain provisions to enable trading. Provisions could include a range of practicable WLA/LA adjustments that would achieve the TMDL or incorporation of a state-approved trading framework that may be used to implement the TMDL. [NPG 05 55]

**EXAMPLE OUTPUT ACTIVITIES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Adoption (or improvement) of a state monitoring strategy, consistent with national guidance.
- Number [insert range] of watershed based plans completed, and impaired lake acres / river miles covered.
- Number [insert range] of TMDLs developed.

\* FY 2005 National Program Guidance (NPG 05).

**SAMPLE**

**Grant Program: Nonpoint Source Implementation Grants**

**CFDA:** 66.460

**GOAL 2: SAFE AND CLEAN WATER.**

**Ensure drinking water is safe. Restore and maintain oceans, watersheds, and their aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife.**

**STRATEGIC PLAN OBJECTIVE 2.2: PROTECT WATER QUALITY** - Protect the quality of rivers, lakes and streams on a watershed basis and protect coastal and ocean waters.

**SUBOBJECTIVE 2.2.1: Protect and Improve Water Quality on a Watershed Basis** - Number of the Nation's watersheds where: water quality standards are met in at least 80% of the assessed water segments; and all assessed water segments maintain their quality and at least 20 % of assessed water segments show improvement above conditions as of 2002. (2,262 watersheds nationwide)

**NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.**

**The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.**

**NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR NONPOINT SOURCE (NPG 05\*):**

- Number of watershed based plans (and water miles/acres covered), supported under State Nonpoint Source Management Programs since the beginning of FY 2002 that have been substantially implemented (cumulative.) [NPG 05 49]
- Number of waterbodies identified by States in 2000 as being impaired by nonpoint sources or by both point and nonpoint sources that are fully restored (cumulative). [NPG 05 56]
- Annual reduction in lbs/tons of nitrogen, phosphorus, and sediment from nonpoint sources to waterbodies. [NPG 05 57]

**EXAMPLE OUTPUT ACTIVITIES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Number [insert range] of watershed based plans that have been developed and water miles / acres covered.
- Number [insert range] of watershed based plans that have been substantially implemented.

**EXAMPLE (SHORT TERM / LONG TERM) OUTCOME ACTIVITIES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Reduction in lbs nitrogen, phosphorus, and sediment from nonpoint sources to waterbodies.
- Number of impaired lake acres / river miles fully restored.
- Measured behavioral change of workshop participants as a result of workshop.
- Improvement in water quality condition

\* FY 2005 National Program Guidance (NPG 05).



<b>Grant Program: Wetlands Program Development Grants</b>
<b>CFDA: 66.461</b>
<b>GOAL 4: Protect, sustain, or restore the health of people, communities, and ecosystems using integrated and comprehensive approaches and partnerships.</b>
<b>STRATEGIC PLAN OBJECTIVE 4.3: ECOSYSTEMS</b> – Protect, sustain, and restore the health of natural habitats and ecosystems.
<b>Subobjective 4.3.1: Wetlands</b> – Net gain/loss in number of acres of wetlands.
<p><b>NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.</b></p> <p><b>The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.</b></p>
<p><b>NATIONAL REPORTABLE OUTPUTS/OUTCOMES FOR PWSS (NPG 05*):</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Net gain/loss of wetlands in the Clean Water Act Section 404 regulatory program annually beginning in FY 2004. [NPG 05 IV-E]</li> <li><input type="checkbox"/> Net gain/loss in wetland function based on quantifying functions gained and lost through mitigation for authorized wetlands impacts annually beginning in 2006. [NPG 05 IV-F]</li> <li><input type="checkbox"/> Number of States that have achieved overall net gains of wetlands by building capacities in the wetland monitoring, regulation, restoration, water quality standards, mitigation compliance, and partnership building. [NPG 05 IV-WD-1]</li> <li><input type="checkbox"/> Number of watershed-based wetlands and stream corridor projects (combined 5-Star and non-5-Star projects) for which EPA has provided/contributed significant financial and technical assistance (cumulative projects.) [NPG 05 IV-WD-2]</li> <li><input type="checkbox"/> Number of Tribes that have participated in watershed-based wetlands and stream corridor projects for which EPA has provided significant financial assistance (including 104(b)(3) Wetland Program and Five Star restoration program &amp;/or technical assistance (cumulative) (565 Federally recognized Tribes). [NPG 05 IV-WD-3]</li> <li><input type="checkbox"/> Number of major projects that have been completed in States and Tribes that significantly improve the effectiveness of compensatory mitigation (cumulative). [NPG 05 IV-WD-4]</li> <li><input type="checkbox"/> Number of States where wetland condition has improved as defined through the biological metrics and assessments. [NPG 05 IV-WD-5]</li> </ul>
<p><b>EXAMPLE OUTPUT ACTIVITIES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Number of projects [insert range] that improved the effectiveness of compensatory mitigation.</li> <li><input type="checkbox"/> Number [insert range] of watershed based wetlands and stream corridor based projects.</li> <li><input type="checkbox"/> Trainings, workshops, conferences, stakeholder meetings to build capacity and / or improve state / tribal comprehensive wetland programs.</li> <li><input type="checkbox"/> Development of comprehensive monitoring and assessment program.</li> </ul>

\* FY 2005 National Program Guidance (NPG 05).



**EXAMPLE (SHORT TERM / LONG TERM) OUTCOME ACTIVITIES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Improved wetland condition defined through biological metrics and assessments.
- Increased capacity in wetland monitoring, regulation, restoration, water quality standards, mitigation compliance and partnership building.

## Example Generic Outputs and Outcomes

**NOTE: Project Officers are responsible for ensuring that work plans contain well-defined outputs and, to the maximum extent practicable, well-defined outcomes to comply with the Environmental Results Order. Outcomes may not necessarily be achievable within an assistance agreement funding period.**

**The following National Reportable Outputs/Outcomes and Example Outputs/Outcomes are options for Project Officers and grantees to consider during the work plan negotiation process.**

### **ACTIVITY: TRAINING, CONFERENCES, WORKSHOPS**

#### **EXAMPLE OUTPUTS FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Number [insert range] of trainings and / or workshops conducted; number of conferences convened.

#### **EXAMPLE OUTCOMES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Demonstrated change in knowledge and / or behavior (i.e., operation and maintenance practices established, best management practices (structural or non-structural) implemented, etc.) due to training and / or workshop

### **ACTIVITY: DEVELOPMENT OF EDUCATIONAL MATERIALS**

#### **EXAMPLE OUTPUTS FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Type of educational materials developed (e.g., manual, guidance, interactive web-based training module, web-based information clearinghouse, brochure, video, etc.).

#### **EXAMPLE OUTCOMES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Demonstrated change in behavior (i.e., operation and maintenance practices established, best management practices (structural or non-structural) implemented, etc.) attributed to the development / access to educational materials.

### **ACTIVITY: OUTREACH AND EDUCATION**

#### **EXAMPLE OUTPUTS FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Number / type of outreach conducted (i.e., trainings, workshops, conferences, stakeholder meetings etc.).
- Establishment of staff position(s) to provide outreach and education (i.e., watershed coordinator, PWSS circuit rider, etc.).

#### **EXAMPLE OUTCOMES FOR PROJECT OFFICERS AND GRANTEES TO CONSIDER:**

- Demonstrated change in behavior (i.e., operation and maintenance practices established, best management practices (structural or non-structural) implemented, etc.) attributed to the outreach and / or education.