

Grants Policy Issuance (GPI) 11-03 State Grant Workplans and Progress Reports

1.0 PURPOSE

The purpose of this policy is to address issues raised by the Office of Management and Budget (OMB) about the management of State Categorical Program Grants by establishing Essential Elements for the content of grant workplans and associated progress reports.

2.0 APPLICABILITY

This policy applies to the fourteen Categorical Grant Programs described in Attachment A.

3.0 EFFECTIVE DATE

For any grant awarded on or after October 1, 2012:

- a. Workplans and associated progress reports for the fourteen covered categorical grant programs must prominently display the three Essential Elements as specified in Sections 6.0 and 9.0 of this policy; and
- b. Regional Program Offices must electronically enter workplan and progress report information in the IT application established under Section 10.0 of this policy.

4.0 BACKGROUND

In 2007-2009 Passback language, OMB directed EPA to: 1) enhance State accountability for achieving grant performance objectives; 2) ensure that State grants are aligned with the Agency's Strategic Plan; and 3) provide for more consistent State grant performance reporting. In response, EPA developed a standardized State Grant Performance Measures Template and required Regions to attach the Template to grant workplans. However, a State/EPA "Lessons-Learned" analysis subsequently found that this approach did not accurately reflect State grant performance. Based on that analysis, the Agency began development of an alternative to replace the Template.

The Office of Grants and Debarment (OGD) convened a State/EPA workgroup of grant practitioners to develop an alternate approach to address the issues raised by OMB. The workgroup focused on identifying Essential Elements to be included in grant workplans and related grant progress reports. The Essential Elements approach provides Regions and States flexibility in negotiating workplans and workplan formats, but at the same time, promotes accountability, Strategic Plan alignment and consistent performance reporting.

5.0 DEFINITIONS

The term “State” refers to State agencies and other entities (excluding Tribal governments) that receive funding under the fourteen covered categorical grant programs.

The term “Strategic Plan Goal” refers to a strategic goal, derived from EPA’s mission, that is set forth in EPA’s Strategic Plan. The EPA Strategic Plan covers a five year period and is updated periodically. The FY 2011-2015 EPA Strategic Plan identifies five goals: Goal 1) Taking Action on Climate Change and Improving Air Quality; Goal 2) Protecting America’s Waters; Goal 3) Cleaning Up Our Communities; Goal 4) Ensuring the Safety of Chemicals and Preventing Pollution; and Goal 5) Enforcing Environmental Laws.

The term “Strategic Plan Objective” refers to a more specific description of the results EPA wants to achieve, contributing to the attainment of a Strategic Plan Goal. Additional information on “Strategic Plan Objectives” may be found at <http://www.epa.gov/ocfo/plan/plan.htm>. The term does not include the “Strategic Measures” outlined in the FY 2011-2015 EPA Strategic Plan.

6.0 WORKPLAN ESSENTIAL ELEMENTS

This policy does not prescribe a standardized, one-size-fits-all workplan format. However, Regions must ensure that negotiated workplans prominently display the following three Essential Elements:

- Essential Element 1 - Strategic Plan Goal
- Essential Element 2 - Strategic Plan Objective
- Essential Element 3 - Workplan Commitments plus time frame

To address Essential Elements 1 and 2, workplans must clearly label the Strategic Plan Goal(s) and Strategic Plan Objective(s) from the current version of the Agency’s Strategic Plan, that are associated with each Workplan Commitment or group of Commitments. For applicable linkages for the 14 Categorical State Grant Programs by the Strategic Plan Goals and Objectives, see Attachment B.

7.0 RELATIONSHIP TO 40 CFR PART 35, SUBPART A REQUIREMENTS

This policy supplements or reinforces, but in no way supersedes, existing requirements in 40 CFR Part 35, Subpart A. All negotiated workplans must comply with the provisions of 40 C.F.R. § 35.107, including the provisions in 40 C.F.R. § 35.107(b)(2).

8.0 EPA COMMITMENTS

EPA Commitments to facilitate State grant performance are not covered by Section 6.0 of this policy. EPA Regions, however, must continue to address in workplans the Agency’s role and responsibility for carrying out workplan commitments in accordance with 40 CFR § 35.107(b)(2)(v).

9.0 GRANT PROGRESS REPORTS

Regional Program Offices must ensure that interim and final progress reports submitted by State recipients prominently display the three Essential Elements described in Section 6.0 of this policy.

10.0 INFORMATION TECHNOLOGY APPLICATION

OGD, in consultation with the State Grant Workplan Workgroup, will develop an Information Technology (IT) application to electronically store grant workplans and progress reports. Project officers will be required to input data into the system. The IT application will be accessible to EPA, States, and OMB. It will be designed to minimize Project Officer burden and take into account the fact that workplans are not static documents.

11.0 ROLES AND RESPONSIBILITIES

- a. National Program Managers (NPMs).** NPMs for the fourteen categorical grant programs are responsible for incorporating this policy in their NPM guidances.
- b. Regional Program Offices:** Regional Program Offices who negotiate workplans for the fourteen categorical grant programs must:
 - Ensure that workplans and associated grant progress reports prominently display the three essential elements specified in this policy; and
 - Input data into the IT Application described in Section 10.0 of this policy in accordance with guidance issued by OGD.
- c. OGD:** OGD is responsible for assessing Agency compliance with this policy and for developing and issuing implementing guidance for the IT application under Section 10.0.

12.0 METRICS

For any grant awarded on or after October 1, 2012, the goal is to have 100% of all workplans and associated progress reports conform to the policy.

13.0 REVIEW

OGD will conduct a Comprehensive Performance Review in FY 2014 to assess Agency compliance with this policy and its effectiveness in addressing OMB's concerns. In the interim, OGD will work with the Regional Program Offices on a case by case basis to identify and address any implementation challenges.

ATTACHMENT A – 14 Categorical State Grant Programs

Office	Grant Program
Office of Air and Radiation	State and Local Assistance (CAA Section 105)
Office of Air and Radiation	Radon
Office of Enforcement and Compliance Assurance	Toxic Substances Compliance (Lead and PCB/Asbestos)
Office of Enforcement and Compliance	Pesticides Enforcement
Office of Chemical Safety and Pollution Prevention	Lead
Office of Chemical Safety and Pollution Prevention	Pesticides Program Implementation
Office of Solid Waste and Emergency Response	Hazardous Waste Financial Assistance
Office of Solid Waste and Emergency Response	Brownfields (CERCLA Section 128)
Office of Solid Waste and Emergency Response	Underground Storage Tanks
Office of Water	Pollution Control (CWA Section 106)
Office of Water	Non-point Source Pollution Control (CWA Section 319)
Office of Water	Beaches Protection
Office of Water	Public Water System Supervision
Office of Water	Underground Injection Control

ATTACHMENT B – Linkages for Categorical State Grant Programs by Strategic Plan Goals and Objectives

Office	Grant Program	Strategic Goal (FY 2011-2015 EPA Strategic Plan)	Objective (FY 2011-2015 EPA Strategic Plan)
Office of Air and Radiation	State and Local Assistance (CAA Section 105)	Goal 1: Taking Action on Climate Change and Improving Air Quality	Objective 1.2: Improve Air Quality and Objective 1.1: Address Climate Change
Office of Air and Radiation	Radon	Goal 1: Taking Action on Climate Change and Improving Air Quality	Objective 1.2: Improve Air Quality
Office of Enforcement and Compliance Assurance	Toxic Substances Compliance (Lead and PCB/Asbestos)	Goal 5: Enforcing Environmental Laws	Objective 5.1: Enforce Environmental Laws
Office of Enforcement and Compliance Assurance	Pesticides Enforcement	Goal 5: Enforcing Environmental Laws	Objective 5.1: Enforce Environmental Laws
Office of Chemical Safety and Pollution Prevention	Lead	Goal 4: Ensuring the Safety of Chemicals and Preventing Pollution	Objective 4.1: Ensure Chemical Safety
Office of Chemical Safety and Pollution Prevention	Pesticides Program Implementation	Goal 4: Ensuring the Safety of Chemicals and Preventing Pollution	Objective 4.1: Ensure Chemical Safety
Office of Solid Waste and Emergency Response	Hazardous Waste Financial Assistance	Goal 3: Cleaning Up Communities and Advancing Sustainable Development	Objective 3.2: Preserve Land and Objective 3.3: Restore Land
Office of Solid Waste and Emergency Response	Brownfields (CERCLA Section 128)	Goal 3: Cleaning Up Communities and Advancing Sustainable Development	Objective 3.1. Promote Sustainable and Livable Communities.
Office of Solid Waste and Emergency Response	Underground Storage Tanks	Goal 3: Cleaning Up Communities and Advancing Sustainable Development	Objective 3.2: Preserve Land
Office of Water	Pollution Control (CWA Section 106)	Goal 2: Protecting America's Waters	Objective 2.2: Protect and Restore Watersheds and Aquatic Ecosystems.
Office of Water	Non-point Source Pollution	Goal 2: Protecting America's	Objective 2.2: Protect and Restore

	Control (CWA Section 319)	Waters	Watersheds and Aquatic Ecosystems.
Office of Water	Beaches Protection	Goal 2: Protecting America's Waters	Objective 2.1: Protect Human Health
Office of Water	Public Water System Supervision	Goal 2: Protecting America's Waters	Objective 2.1: Protect Human Health
Office of Water	Underground Injection Control	Goal 2: Protecting America's Waters	Objective 2.1: Protect Human Health