

# EPA's Environmental Results Policy



*Linking Assistance to Environmental Results*

U.S. EPA National Center for Environmental Innovation  
innovation\_state\_grants@epa.gov



- EPA's Mission: to protect human health and the environment
- EPA Awards: approximately \$4 billion/ FY in assistance agreements
- EPA Assistance Agreements: key mechanisms through which, in partnership with other governments and organizations, environmental protection is delivered to the public
- EPA's Obligation: to ensure that work funded through assistance agreements furthers EPA's mission and achieves environmental benefits for the taxpayer



## *EPA's Grants Management Plan*

- recognizes the importance of linking assistance agreements to the Agency's performance goals
- includes specific objectives to ensure that assistance agreement solicitations, work plans, and decision memoranda discuss anticipated environmental results and how they will be measured
- addresses criticism of EPA concerning the issuance of grants without clearly noted and well-defined expectations of measurable results/ outcomes



## EPA Order 5700.7

### *Environmental Results under EPA Assistance Agreements*

- addresses *Grants Management Plan* Goal 5: Support Identifying and Achieving Environmental Outcomes
- establishes EPA policy for addressing environmental results under EPA assistance agreements
- ensures that EPA assistance agreements are results oriented and aligned with EPA's *Strategic Goals*.
- is implemented through existing regulatory requirements for work plan development and performance evaluation in *40 CFR Part 35*



## 40 CFR Part 35 A

### *Environmental Program Grants- States, Interstate, and Local Government Agencies*

- establishes administrative requirements for grants, supplementing EPA's general grant requirements in *40 CFR Part 31*
- includes provisions to improve accountability for environmental programs and performance
- requires explicitly defined:
  - work plans
  - outputs and outcomes
  - work plan component timeframes and funding amounts
  - performance evaluation process
  - progress reporting schedule



## **EPA Order 5700.7**

### ***Environmental Results under EPA Assistance Agreements***

- addresses environmental results in 3 stages of the assistance process:
  - 1) Competitive Funding Announcements (application/ funding process)
  - 2) Work Plan Development (containing anticipated outputs & outcomes)
  - 3) Performance Reporting (including performance measures & results)



# Competitive Funding Announcements

- discuss expected outputs and outcomes
- link to EPA's *Strategic Plan* goals, objectives, and sub-objectives
- require applicants to provide plan for tracking and measuring results
- include ranking criteria for evaluating applicant's plan for tracking and measuring progress toward achieving expected outputs & outcomes
- include ranking criteria for evaluating applicant's past performance in reporting outputs & outcomes



# Work Plan Development

A. Outputs and Outcomes- help define, explain, and communicate the purpose and results of the project

## Outputs:

- environmental activities, efforts, and/or associated work products related to an environmental goal or objective, that will be produced or provided over a period of time or by a specified date
- must be measurable during an assistance agreement funding period

## Outcomes:

- results, effects, or consequences that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective
- must be quantitative, not necessarily achievable in funding period





# Work Plan Development

## B. Performance Measures

- target values for outputs and outcomes
- metrics used to gauge program or project performance
- help manage your project, and assure you and EPA that you have accomplished the purpose of the project

## C. Performance Logic Model

- a tool (diagram) used to identify outputs and outcomes
- helps develop logical progression from activities to outputs to outcomes
- explains how an outcome or output supports a goal or objective
- provides sound basis for performance evaluation and reporting by connecting resources and activities with desired, measurable results



# Performance Reporting

Interim (quarterly) and final progress reports must:

- comply with *40 CFR Parts 31 and 35*
- adequately address progress by comparing actual accomplishments to outputs and outcomes established in assistance agreement work plan
- satisfactorily explain why, if outputs or outcomes weren't achieved
- identify performance problems, delays, or adverse conditions which may impair ability to achieve outputs and outcomes
- include other pertinent information, such as cost overruns

## EPA (*Regional Project Officers & NCEI*)



- link proposed results in assistance agreements to EPA's *Strategic Plan/* GPRA Architecture
- ensure that expected outputs and outcomes are appropriately addressed in assistance agreement competitive funding announcements, work plans, funding packages, and performance reports
- review recipient performance and progress in achieving outputs and outcomes, ensure that reports comply with *40 CFR Parts 31 & 35*, and document it in official project file and Grantee Compliance Database
- consider how the results from completed assistance agreement projects contribute to EPA's programmatic goals and objectives
- report significant results information from completed projects as part of EPA's Annual Report process and internal evaluation system



# Resources

- 2008 State Innovation Grant Solicitation- <http://www.epa.gov/innovation/stategrants/PDFs/solicitation2008.pdf>
- EPA's Policy for Environmental Results Under EPA Assistance Agreements (EPA Order 5700.7)- <http://www.epa.gov/ogd/grants/award/5700.7.pdf>
- 40 CFR Part 35- [http://www.access.gpo.gov/nara/cfr/waisidx\\_02/40cfr35\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/40cfr35_02.html)
- 40 CFR Part 31- [http://www.access.gpo.gov/nara/cfr/waisidx\\_05/40cfr31\\_05.html](http://www.access.gpo.gov/nara/cfr/waisidx_05/40cfr31_05.html)
- EPA's Grants Management Plan- <http://www.epa.gov/ogd/EO/finalreport.pdf>
- EPA's Strategic Plan- <http://www.epa.gov/ocfo/plan/plan.htm>
- EPA Office of Grants & Debarment: Policy Regulations & Guidance- <http://www.epa.gov/ogd/grants/regulations.htm>
- EPA: Laws & Regulations- <http://www.epa.gov/lawsregs/>