



**UNITED STATES ENVIRONMENTAL PROTECTION AGENCY**  
WASHINGTON, D.C. 20460

March 21, 2005

**MEMORANDUM**

**SUBJECT:** Environmental Results Grant Requirement for Drinking Water State Revolving Fund (DWSRF) Capitalization Grants and Set-asides

**TO:** EPA DWSRF Regional Coordinators  
Regions I - X

**FROM:** Stephen F. Heare, Director /s/  
Drinking Water Protection Division

**Introduction**

On November 30, 2004, the Environmental Protection Agency (EPA) issued EPA Order Classification Number 5700.7, Environmental Results under EPA Assistance Agreements, which went into effect on January 1, 2005. The Order applies to all EPA grants and grant programs, including the DWSRF, and all funding packages / funding recommendations submitted to the Grants Management Office after January 1, 2005. A copy of this Order is attached (See attachment 1).

The Order requires EPA Program Offices to: 1) link proposed grants to the Agency's Strategic Plan/GPRA architecture; 2) ensure that well-defined outputs and, to the maximum extent practicable, well-defined outcomes are addressed in grant work plans and funding recommendations; and 3) ensure that progress in achieving agreed-upon outputs and outcomes is adequately addressed at least annually in recipient progress reports and advanced monitoring activities.

For the DWSRF, this means that Regional Project Officers will need to determine how they will comply with the above requirements for both the loan Fund and set-aside components of capitalization grants. This memorandum provides information that will assist Regional Project Officers to understand what is required to comply with the Order.

**Definitions**

The Order defines outputs as environmental activities or efforts, and 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. Outputs may be quantitative or qualitative, but must be measurable during an assistance agreement funding period. An example of this is the number of binding commitments or loan agreements in a State's Intended Use Plan.

Outcomes are 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. An example of this is improved compliance with drinking water requirements.

### **Project Officer Responsibilities**

Project Officers, in negotiating a work plan, must ensure that work plans contain well-defined outputs, and to the maximum extent practicable, well-defined outcomes, that link to the Strategic Plan goals and objectives. Examples of DWSRF relevant outputs and outcomes can be found in the program menus attached (See attachment 2).

The attached menus demonstrate the linkage between Strategic Plan goals, objectives and subobjectives, to which all DWSRF grants are linked, and sample outputs and outcomes for loan Fund and set-aside activities. These menus may be used by Project Officers to negotiate with grant recipients to ensure that well-defined outputs and, to the maximum extent practicable, well-defined outcomes are included in a State's Intended Use Plan and set-aside work plans.

Project Officers must also provide a description of how the program/project fits within EPA's Strategic Plan / GPRA architecture in the funding recommendation. Sample language for this step is attached (See attachment 3).

Lastly, the Project Officer must assure that Annual/Biennial Reports from recipients address progress toward agreed-upon outputs and outcomes, including satisfactory explanations as to why outputs and outcomes were not achieved (if necessary). A program-specific term and condition for reporting under the DWSRF program has been approved by the Director of Office of Grants and Debarment and is attached (See attachment 3).

If a Project Officer wishes, you may share the program menus with the States. A sample letter to transmit the program menus to States has been included (See attachment 4).

### **Conclusion**

Thank you in advance for your assistance in complying with the Environmental Results Order. We look forward to working with you to demonstrate the environmental benefits our programs and grant recipients strive for and achieve. If you have any questions please contact me, or Howard Rubin of my staff, at (202) 564-2051.

### Attachments

Cc: EPA Regional Grant Management Officers - Region I - X  
Howard Corcoran, OGD  
Peggy Anthony, OGD  
Kim Roy, OW  
Tracey Miller, OW



**Classification No.: 5700.7**

**Effective Date: 01/01/2005**

**Review Date: 01/01/2007**

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**Environmental Results under EPA Assistance Agreements**

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**1. PURPOSE.**

This Order establishes Environmental Protection Agency (EPA) policy for addressing environmental results under EPA assistance agreements, including grants and cooperative agreements.

**2. BACKGROUND.**

The mission of EPA is to protect human health and the environment. To help carry out its mission, EPA awards approximately one-half of its budget annually in assistance agreements to State, Tribal, local government, educational institution, and non-profit partners. Goal 5 of EPA's Grants Management Plan (GMP), "Support Identifying and Achieving Environmental Outcomes," explicitly recognizes the importance of linking assistance agreements to the Agency's performance goals and includes specific objectives to ensure that assistance agreement solicitations, work plans, and decision memoranda discuss anticipated environmental results and how they will be measured.

Goal 5 was developed, in part, to address criticism of EPA for failing to consider, at the pre-award stage, how proposed assistance agreements will contribute to achieving the Agency's strategic goals. For example, in 2001, the Government Accountability Office concluded that EPA programs treated the Agency's strategic goals under the Government Performance Results Act (GPRA) as a clerical tool for categorizing grants after funds had been awarded as opposed to a guide for selecting which grants to award. In audit reports issued in 2002 and 2003, the Office of the Inspector General found that many of the work plans it reviewed focused on short-term procedural results and/or lacked negotiated environmental outcomes. The Office of Management and Budget has expressed similar concerns in its Program Assessment Rating Tool reviews of EPA grant programs. Further, in hearings before the House Transportation and Infrastructure Committee and Senate Environment and Public Works Committee, Congress has questioned whether Agency grants are achieving environmental benefits for the taxpayer.



















NJ PPG Prog.	PRC #	Goal	Objective	Sub-objective	NPM	Program/ Project
CAA §105 Radon	101A04E 102A05E	Goal 1: Clean Air and Global Climate Change	Objective 1.1: Healthier Outdoor Air  PRC # 101A04E	Sub-objective 1.1.1: More People Breathing Cleaner Air	A	04- Categorical Grants: State and Local Air Quality Management
			Objective 1.2: Healthier Indoor Air PRC # 102A05E	Sub-objective 1.1.2: Reduced Risk from Toxic Air Pollutants		
PWSS UIC CWA §319(h) CWA §104b3 CWA §106	201B03E 201B08E 202B01E 202B02E 202B06E	Goal 2: Clean and Safe Water	Objective 2.1: Protect Human Health  PRC # 201B03E PRC # 201B08E	Sub-objective 2.1.1: Water Safe To Drink	B	03-Categorical Grants: Public Water Systems Supervision
			Objective 2.2: Protect Water Quality  PRC # 202B01E PRC # 202B02E PRC # 202B06E	Sub-objective 2.2.1: Improve Water Quality on a Watershed Basis	B	08-Categorical Grants: Underground Injection Control
					B	01-Categorical Grants: Nonpoint Source (Section 319)
					B	02-Categorical Grants: Water Quality Cooperative Agreements
RCRA (prog.) UST RCRA (correct. action)	301D11E 301D16E 302D11E	Goal 3: Land Preservation and Restoration	Objective 3.1: Preserve Land  PRC # 301D11E PRC # 301D16E	Sub-objective 3.1.1: Reduce Waste Generation and Increase Recycling	D	11-Categorical Grants: Hazardous Waste Financial Assistance
				Sub-objective 3.1.2: Manage Hazardous Wastes and Petroleum Products Properly	D	16 - Categorical Grants: Underground Storage Tanks
			Objective 3.2: Restore Land PRC # 302D11E	Sub-objective 3.2.2: Clean Up and Reuse Contaminated Land	D	11- Categorical Grants: Hazardous Waste Financial Assistance
Pesticide (Certif.)	401C09E	Goal 4: Healthy Communities and Ecosystems	Objective 4.1: Chemical, Organism, and Pesticide Risks PRC # 401C09E	Sub-objective 4.1.1: Reduce Exposure to Toxic Pesticides	C	09- Categorical Grants: Pesticides Program Implementation
Pesticide (enforcement)	501E12E	Goal 5: Compliance and Environmental Stewardship	Objective 5.1: Improve Compliance  PRC # 501E12E	Sub-objective 5.1.3: Monitoring and Enforcement	E	12- Categorical Grants: Pesticides Enforcement

## NPM:

A = Office of Air and Radiation (OAR)

E = Office of Enforcement and Compliance Assurance (OECA)

B = Office of Water (OW)

C = Office of Prevention, Pesticides and Toxic Substances (OPPTS)

D = Office of Solid Waste and Emergency Response (OSWER)





















Goal (1<sup>st</sup> digit)

Objective 2 <sup>nd</sup> & 3 <sup>rd</sup> digits	Sub-objective	NPM 4 <sup>th</sup> digit	Program/ Project 5 <sup>th</sup> & 6 <sup>th</sup> digits	PRC #	Activity 7 <sup>th</sup> digit	RPIO 8 <sup>th</sup> & 9 <sup>th</sup> digits
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**Goal 1: Clean Air and Global Climate Change**

<b>Objective 1.1:</b> Healthier Outdoor Air	<b>Sub-objective 1.1.1:</b> More People Breathing Cleaner Air	A	04- Categorical Grants: State & Local Air Quality Manage.	101A04_	D, E	AT, HZ, PM
		A	17- Categorical Grants: Tribal Air Quality Management	101A17_	D, E	
		A	45 - Clean Air Allowance Trading Programs	101A45_	B, C, D, E	
		A	59 - Federal Support for Air Quality Management	101A59_	B, C, D, E	
		A	61 - Federal Vehicle & Fuels Standards & Certification	101A61_	B, C, D, E	
		A	71 - Homeland Security: Critical Infrastructure Protection	101A71_	B, C	
		L	85 - International Capacity Building	101L85C	C	
	A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	101_51_	A, B, C, D, E		
	<b>Sub-objective 1.1.2:</b> Reduced Risk from Toxic Air Pollutants	A	04- Categorical Grants: State & Local Air Quality Manag.	101A04_	D, E	
		A	17- Categorical Grants: Tribal Air Quality Management	101A17_	D, E	
		A	58 - Federal Stationary Source Regulations	101A58_	B, C, D, E	
		A	60 - Federal Support for Air Toxics Programs	101A60_	B, C, D, E	
		A	61 - Federal Vehicle & Fuels Standards & Certification	101A61_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	101_51_	A, B, C, D, E	
<b>Objective 1.2:</b> Healthier Indoor Air	<b>Sub-objective :</b> None.	A	05- Categorical Grants: Radon	102A05_	D, E	
		A	74 - Indoor Air: Asthma Program	102A74_	B, C, D, E	
		A	75 - Indoor Air: Environmental Tobacco Smoke Program	102A75_	B, C, D, E	
		A	76 - Indoor Air: Radon Program	102A76_	B, C, D	
		A	77 - Indoor Air: Schools & Workplace Programs	102A77_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	102_51_	A, B, C, D, E	
<b>Objective 1.3:</b> Protect the Ozone Layer	<b>Sub-objective :</b> None.	A	C4 - Stratospheric Ozone: Domestic Programs	103AC4_	B, C, D, E	
		A	C5 - Stratospheric Ozone: Multilateral Fund	103AC5_	D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	103_51_	A, B, C, D, E	
<b>Objective 1.4:</b> Radiation	<b>Sub-objective 1.4.1:</b> Enhance Radiation Protection	A	72 - Homeland Security: Preparedness, Response, & Recovery	104A72_	B, C, D, E	
		A	97 - Radiation: Protection	104A97_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	104_51_	A, B, C, D, E	
	<b>Sub-objective 1.4.2:</b> Maintain Emergency Response Readiness	A	98 - Radiation: Response Preparedness	104A98_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	104_51_	A, B, C, D, E	
<b>Objective 1.5:</b> Reduce Greenhouse Gas Intensity	<b>Sub-objective :</b> None.	A	46 - Climate Protection Program	105A46_	B, C, D, E	
		L	46 - Climate Protection Program	105L46C	C	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	105_51_	A, B, C, D, E	
<b>Objective 1.6:</b> Enhance Science and Research	<b>Sub-objective 1.6.1:</b> Provide Science to Support Air Programs	A	45 - Clean Air Allowance Trading Programs	106A45_	B, C, D, E	
		A	46 - Climate Protection Program	106A46_	B, C, D, E	
		A	59 - Federal Support for Air Quality Management	106A59_	B, C, D, E	
		A	60 - Federal Support for Air Toxic Programs	106A60_	B, C, D, E	
		A	97 - Radiation: Protection	106A97_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	106_51_	A, B, C, D, E	
	<b>Sub-objective 1.6.2:</b> Conduct Air Pollution Research	F	A5 - Research: Air Toxics	106FA5_	A, D, E	
		F	B4 - Research: Particular Matter	106FB4_	A, D, E	
		F	B9 - Research: Tropospheric Ozone	106FB9_	A, D, E	
A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	106_51_	A, B, C, D, E			

Goal (1<sup>st</sup> digit)

Objective 2 <sup>nd</sup> & 3 <sup>rd</sup> digits	Sub-objective	NPM 4 <sup>th</sup> digit	Program/ Project 5 <sup>th</sup> & 6 <sup>th</sup> digits	PRC #	Activity 7 <sup>th</sup> digit	RPIO 8 <sup>th</sup> & 9 <sup>th</sup> digits
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**Goal 2: Clean and Safe Water**

<b>Objective 2.1:</b> Protect Human Health	<b>Sub-objective 2.1.1:</b> Water Safe To Drink	B	03-Categorical Grants: Public Water Systems Supervision	201B03E	E	
		B	08-Categorical Grants: Underground Injection Control	201B08_	C, E	
		B	25 - Categorical Grants: Homeland Security	201B25_	C, E	
		B	53 - Drinking Water Programs	201B53_	B, C, D, E	26, 27, 28, 29, 30, 31, 44, 45
		B	71 - Homeland Security: Critical Infrastructure Prot.	201B71_	B, C	
		B	81 - Infrastructure Assistance: Drinking Water SRF	201B81E	C, D, E	
		B	83 - Infrastructure Assistance: Puerto Rico	201B83E	E	
		C	09-Categorical Grants: Pesticides Program Implementation	201C09_	C, D, E	
		C	92 - Pesticides: Field Programs	201C92_	B, C, D, E	
	L	85 - International Capacity Building	201L85C	C		
	A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	201_51_	A, B, C, D, E		
	<b>Sub-objective 2.1.2:</b> Fish and Shellfish Safe to Eat	B	42 - Beach/ Fish Programs	201B42_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	201_51_	A, B, C, D, E	
<b>Sub-objective 2.1.3:</b> Water Safe for Swimming		B	23-Categorical Grants: Beaches Protection	201B23E	E	
	B	42 - Beach/ Fish Programs	201B42_	B, C, D, E		
	A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	201_51_	A, B, C, D, E		
<b>Objective 2.2:</b> Protect Water Quality	<b>Sub-objective 2.2.1:</b> Improve Water Quality on a Watershed Basis	B	01-Categorical Grants: Nonpoint Source (Section 319)	202B01E	E	
		B	02 Categorical Grants: Water Quality Cooper. Agreement	202B02_	D, E	
		B	06-Categorical Grants: Pollution Control (Section 106)	202B06E	C, D, E	
		B	28 - Categorical Grant: Wastewater Operator Training	202B28E	E	
		B	80 - Infrastructure Assistance: Clean Water SRF	202B80_	C, E	
		B	78 - Infrastructure Assistance: Alaska Native Villages	202B78E	E	
		B	D4 - Surface Water Protection	202BD4_	B, C, D, E	13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 35, 36, 37, 38, 39, 40, 41, 42, 43
	A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	202_51_	A, B, C, D, E		
	<b>Sub-objective 2.2.2:</b> Improve Coastal and Ocean Waters	B	88 - Marine Pollution	202B88_	B, C, D, E	
		L	85 - International Capacity Building	202L85B	B	
A, B, C, D, E, F, H, M		51 - Congressionally Mandated Projects	202_51_	A, B, C, D, E		
<b>Objective 2.3:</b> Enhance Science and Research	<b>Sub-objective 2.3.1:</b> Apply the Best Available Science	B	D4 - Surface Water Protection	203BD4_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	203_51_	A, B, C, D, E	
	<b>Sub-objective 2.3.2:</b> Conduct Leading-Edge Research	F	A7 - Research: Drinking Water	203FA7_	A, D, E	
		F	C1 - Research: Water Quality	203FC1_	A, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	203_51_	A, B, C, D, E	

Goal (1<sup>st</sup> digit)

Objective 2 <sup>nd</sup> & 3 <sup>rd</sup> digits	Sub-objective	NPM 4 <sup>th</sup> digit	Program/ Project 5 <sup>th</sup> & 6 <sup>th</sup> digits	PRC #	Activity 7 <sup>th</sup> digit	RPIO 8 <sup>th</sup> & 9 <sup>th</sup> digits
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**Goal 3: Land Preservation and Restoration**

<b>Objective 3.1:</b> Preserve Land	<b>Sub-objective 3.1.1:</b> Reduce Waste Generation and Increase Recycling	D	11-Categorical Grants: Hazardous Waste Financial Assistance	301D11_	C, D, E	
		D	A1 - RCRA: Waste Minimization Management	301DA1_	B, C, D, E	
		D	A2 - RCRA: Waste Minimization & Recycling	301DA2_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	301_51_	A, B, C, D, E	
	<b>Sub-objective 3.1.2:</b> Manage Hazardous Wastes and Petroleum Products Properly	D	11-Categorical Grants: Hazardous Waste Financial Assistance	301D11_	C, D, E	
		D	16- Categorical Grants: Underground Storage Tanks	301D16_	C, D, E	
		D	86 - LUST/UST	301D86_	C, D, E	
		E	48 - Compliance Assistance & Centers	301E48_	B, C, D, E	
		D	A1 - RCRA: Waste Minimization Management	301DA1_	C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	301_51_	A, B, C, D, E	
<b>Objective 3.2:</b> Restore Land	<b>Sub-objective 3.2.1:</b> Prepare for and Respond to Accidental and Intentional Releases	E	44 - Civil Enforcement	302E44_	B, C, D, E	
		E	48 - Compliance Assistance & Centers	302E48_	B, C, D, E	
		D	72 -Homeland Security: Preparedness, Response, & Recovery	302D72_	B, C, D, E	
		D	91 - Oil Spill: Prevention, Preparedness & Response	302D91_	B, C, D, E	
		D	C6 - Superfund Emergency Response & Removal	302DC6_	B, C, D, E	
		D	C8 - Superfund: EPA Emergency Preparedness	302DC8_	B, C, D, E	
	A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	302_51_	A, B, C, D, E		
	<b>Sub-objective 3.2.2:</b> Clean Up and Reuse Contaminated Land	D	11-Categorical Grants: Hazardous Waste Financial Assistance	302D11_	C, D, E	
		D	41 - Base Realignment and Closure (BRAC)	302D41_	C, D, E	B4
		D	86 - LUST/UST	302D86_	C, D, E	
		D	87 - LUST Cooperative Agreements	302D87E	C, D, E	
		D	99 - RCRA Corrective Action	302D99_	B, C, D, E	
		D	C9 - Superfund: Federal Facilities	302DC9_	C, D, E	
		D	D2 - Superfund: Remedial	302DD2_	C, D, E	
		D	D3 - Superfund: Support to Other Federal Agencies	302DD3_	C, D, E	
		E	44 - Civil Enforcement	302E44_	B, C, D, E	
	A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	302_51_	A, B, C, D, E		
	<b>Sub-objective 3.2.3:</b> Maximize Potentially Responsible Party Participation at Superfund Sites	E	C7 - Superfund: Enforcement	302EC7_	B, C, D, E	
E		H2-D1 - Superfund: Federal Facilities Enforcement TAGs	302EH2_	B, C, D, E		
J		C7 - Superfund: Enforcement	302JC7C	C		
A, B, C, D, E, F, H, M		51 - Congressionally Mandated Projects	302_51_	A, B, C, D, E		
<b>Objective 3.3:</b> Enhance Science and Research	<b>Sub-objective 3.3.1:</b> Provide Science to Preserve and Remediate Land	D	D2 - Superfund: Remedial	303DD2_	C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	303_51_	A, B, C, D, E	
	<b>Sub-objective 3.3.2:</b> Conduct Research to Support Land Activities	F	B3 - Research: Land Preservation and Restoration	303FB3_	A, D, E	
		F	B7 - Research: Superfund Innovative Tech. Evaluation (SITE) Program	303FB7_	A, D, E	
A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	303_51_	A, B, C, D, E			



Goal (1<sup>st</sup> digit)

Objective 2 <sup>nd</sup> & 3 <sup>rd</sup> digits	Sub-objective	NPM 4 <sup>th</sup> digit	Program/ Project 5 <sup>th</sup> & 6 <sup>th</sup> digits	PRC #	Activity 7 <sup>th</sup> digit	RPIO 8 <sup>th</sup> & 9 <sup>th</sup> digits
<b>Goal 4: Healthy Communities and Ecosystems</b>						
<b>Objective 4.1:</b> Chemical, Organism, and Pesticide Risks	<b>Sub-objective 4.1.1:</b> Reduce Exposure to Toxic Pesticides	C	09- Categorical Grants: Pesticides Program Implementation	401C09_	C, D, E	
		C	92 - Pesticides: Field Programs	401C92_	B, C, D, E	
		C	94 - Pesticides: Review/Registration of Existing Pesticides	401C94_	B, C, D, E	
		L	96 - POPs Implementation	401L96C	C	
	A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	401_51_	A, B, C, D,		
	<b>Sub-objective 4.1.2:</b> License Pesticides Meeting Safety Standards	C	72 - Homeland Security: Preparedness, Response, & Recovery	401C72_	B, C, D, E	
		C	93 - Pesticides: Registration of New Pesticides	401C93_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	401_51_	A, B, C, D, E	
	<b>Sub-objective 4.1.3:</b> Reduce Chemical and Biological Risks	C	10- Categorical Grants: Lead	401C10_	C, D, E	
		L	47 - Commission for Environmental Cooperation	401L47_	C, D	
		C	72 - Homeland Security: Preparedness, Response, & Recovery	401C72_	B, C, D, E	
		C	D5 - Toxic Substances: Chemical Risk Management	401CD5_	B, C, D, E	
		C	D6 - Toxic Substances: Chemical Risk Review& Reduction	401CD6_	B, C, D, E	
		C	D7 - Toxic Substances: Lead Risk Reduction Program	401CD7_	B, C, D, E	
		H	D8 - Toxics Release Inventory/ Right -to-Know	401HD8C	C, D	
		L	85 - International Capacity Building	401L85C	C	
		L	96 - POPs Implementation	401L96C	C	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	401_51_	A, B, C, D, E	
	<b>Sub-objective 4.1.4:</b> Reduce Risks at Facilities.	D	C3 - State and Local Prevention and Preparedness	401DC3_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	401_51_	A, B, C, D, E	
<b>Objective 4.2:</b> Communities	<b>Sub-objective 4.2.1:</b> Sustain Community Health	L	47 - Commission for Environmental Cooperation	402L47_	C, D	
		L	56 - Environment and Trade	402L56C	C	
		M	A4 - Regulatory Innovation	402MA4_	B, D, E	
		M	E6 - Children and Other Sensitive Populations	402ME6_	B, D, E	
	A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	402_51_	A, B, C, D, E		
	<b>Sub-objective 4.2.2:</b> Restore Community Health	E	57 - Environmental Justice	402E57_	B, C, D, E	
		A, B, C, D	68 - Geographic Programs: Other	402_68_	B, C, D, E	
		M	G3 - Regional Geographic Initiatives	402MG3_	S, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	402_51_	A, B, C, D, E	
	<b>Sub-objective 4.2.3:</b> Assess and Clean Up Brownfields	D	24- Categorical Grants: Brownfields (Non-competitive grants for 128(a) State and Tribal Response Program)	402D24E	E	
		D	43 - Brownfields	402D43_	C, D, E	
		E	43 - Brownfields	402E43_	B, C, D, E	
		M	43 - Brownfields	402M43_	B, C, D, E	
		D	79 - Infrastructure Assistance: Brownfields Projects [Includes competitive grants (assessments, job training, revolving loan funds (RLF) and cleanup); research, technical assistance, and training; and other associated program support costs.]	402D79_	D, E	BP
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	402_51_	A, B, C, D, E	
	<b>Sub-objective 4.2.4:</b> Sustain and Restore U.S.- Mexico Border Ecosystems	B	82 - Infrastructure Assistance: Mexico Border	402B82_	D, E	
		L	E1 - U.S. - Mexico Border	402LE1C	C	
A, B, C, D, E, F, H, M		51 - Congressionally Mandated Projects	402_51_	A, B, C, D, E		

Goal (1<sup>st</sup> digit)

Objective 2 <sup>nd</sup> & 3 <sup>rd</sup> digits	Sub-objective	NPM 4 <sup>th</sup> digit	Program/ Project 5 <sup>th</sup> & 6 <sup>th</sup> digits	PRC #	Activity 7 <sup>th</sup> digit	RPIO 8 <sup>th</sup> & 9 <sup>th</sup> digits
<b>Objective 4.3: Ecosystems</b>	<b>Sub-objective 4.3.1: Protect and Restore Ecosystems</b>	B	26 - Categorical Grants: Targeted Watershed	403B26_	D, E	
		B	66 - Geographic Program: Lake Champlain	403B66_	B, C, D, E	
		B	67 - Geographic Program: Long Island Sound	403B67_	B, C, D, E	
		B	68 - Geographic Program: Other	403B68_	B, C, D, E	32, 33, 34
		B	89 - National Estuary Program/Coastal Watersheds	403B89_	B, C, D, E	
		M	G3 - Regional Geographical Initiatives	403MG3_	S, D, E	
	A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	403_51_	A, B, C, D, E		
	<b>Sub-objective 4.3.2: Increase Wetlands</b>	B	07 - Categorical Grants: Wetlands Program Development	403B07_	D, E	
		B	E2 - Wetlands	403BE2_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	403_51_	A, B, C, D, E	
	<b>Sub-objective 4.3.3: Improve the Health of Great Lakes Ecosystems</b>	B	64 - Geographic Program: Great Lakes	403B64_	B, C, D, E	
		B	69 - Great Lakes Legacy Act	403B69_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	403_51_	A, B, C, D, E	
	<b>Sub-objective 4.3.4: Improve the Aquatic Health of the Chesapeake Bay</b>	B	63 - Geographic Program: Chesapeake Bay	403B63_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	403_51_	A, B, C, D, E	
	<b>Sub-objective 4.3.5: Improve the Aquatic Health of the Gulf of Mexico</b>	B	65 - Geographic Program: Gulf of Mexico	403B65_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	403_51_	A, B, C, D, E	
<b>Objective 4.5: Enhance Science and Research</b>	<b>Sub-objective 4.5.1: Apply the Best Available Science</b>	C	54 - Endocrine Disruptors	405C54_	B, C, D, E	
		C	C2 - Science Policy & Biotechnology	405CC2_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	405_51_	A, B, C, D, E	
	<b>Sub-objective 4.5.2: Conduct Relevant Research</b>	F	72 - Homeland Security: Preparedness, Response, & Recovery	405F72_	A, C, D, E	
		F	84 - Human Health Risk Assessments (formerly IRIS)	405F84_	A, D, E	
		F	A6 - Research: Computational Toxicology	405FA6_	A, D, E	
		F	A8 - Research: Endocrine Disruptors	405FA8_	A, D, E	
		F	B1 - Research: Global Change	405FB1_	A, D, E	
		F	B2 - Research: Human Health & Ecosystems	405FB2_	A, D, E	
		F	B5 - Research: Pesticides & Toxics	405FB5_	A, D, E	
F	B8 - Research: Fellowships	405FB8D	D			
A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	405_51_	A, B, C, D, E			

Goal (1<sup>st</sup> digit)

Objective 2 <sup>nd</sup> & 3 <sup>rd</sup> digits	Sub-objective	NPM 4 <sup>th</sup> digit	Program/ Project 5 <sup>th</sup> & 6 <sup>th</sup> digits	PRC #	Activity 7 <sup>th</sup> digit	RPIO 8 <sup>th</sup> & 9 <sup>th</sup> digits
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**Goal 5: Compliance and Environmental Stewardship**

<b>Objective 5.1:</b> Improve Compliance	<b>Sub-objective 5.1.1:</b> Compliance Assistance	E	19- Categorical Grants: Sector Program	501E19_	B, C, D, E	
		E	48 - Compliance Assistance & Centers	501E48_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	501_51_	A, B, C, D, E	
	<b>Sub-objective 5.1.2:</b> Compliance Incentives	E	49 - Compliance Incentives	501E49_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	501_51_	A, B, C, D, E	
		E	12- Categorical Grants: Pesticides Enforcement	501E12_	B, C, D, E	
	<b>Sub-objective 5.1.3:</b> Monitoring and Enforcement	E	14- Categorical Grants: Toxic Substances Enforcement Compliance	501E14_	B, C, D, E	
		E	44 - Civil Enforcement	501E44_	B, C, D, E	
		E	50 - Compliance Monitoring	501E50_	B, C, D, E	
		E	52 - Criminal Enforcement	501E52_	B, C, D, E	
		E	55 - Enforcement Training	501E55_	B, C, D, E	
		E	71 - Homeland Security: Critical Infrastructure Prot.	501E71_	B, C, D, E	
		E	85 - International Capacity Building	501E85_	B, C, D, E	
E		E8 - Congressional, Intergovernmental, External Relations	501EE8_	B, C, D, E		
E		F8 - IT/Data Management	501EF8_	C, R		
A, B, C, D, E, F, H, M		51 - Congressionally Mandated Projects	501_51_	A, B, C, D, E		
<b>Objective 5.2:</b> Improve Environmental Performance through Pollution Prevention and Innovation	<b>Sub-objective 5.2.1:</b> Prevent Pollution and Promote Environmental Stewardship by Government and the Public	E	90 - NEPA Implementation	502E90_	B, C, D, E	
		C	95 - Pollution Prevention Program	502C95_	B, C, D, E	
		M	E9 - Environmental Education	502ME9_	C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	502_51_	A, B, C, D, E	
	<b>Sub-objective 5.2.2:</b> Prevent Pollution and Promote Environmental Stewardship by Business	C	13 - Categorical Grants: Pollution Prevention	502C13_	D, E	
		C	95 - Pollution Prevention Program	502C95_	B, C, D, E	
		D	A2 - RCRA: Waste Minimization & Recycling	502DA2_	B, C, D	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	502_51_	A, B, C, D, E	
	<b>Sub-objective 5.2.3:</b> Business and Community Innovation	M	A4 - Regulatory Innovation	502MA4_	B, C, D, E, S	
		M	G9 - Small Business Ombudsman	502MG9_	B, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	502_51_	A, B, C, D, E	
	<b>Sub-objective 5.2.4:</b> Environmental Policy Innovation	H	21- Categorical Grants: Environmental Information	502H21E	E	
		M	A4 - Regulatory Innovation	502MA4_	B, C, D, E, S	
A, B, C, D, E, F, H, M		51 - Congressionally Mandated Projects	502_51_	A, B, C, D, E		
<b>Objective 5.3:</b> Build Tribal Capacity	<b>Sub-objective :</b> None.	B	15- Categorical Grants: Tribal General Assistance Prog	503B15_	D, E	
		B	D9 - Tribal - Capacity Building	503BD9_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	503_51_	A, B, C, D, E	
<b>Objective 5.4:</b> Enhance Science and Research	<b>Sub-objective 5.4.1:</b> Strengthening Science	E	62 - Forensics Support	504E62_	B, C, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	504_51_	A, B, C, D, E	
	<b>Sub-objective 5.4.2:</b> Conducting Research	F	A9 - Research: Environmental Technology Verification	504FA9_	A, D, E	
		F	B6 - Research: Pollution Prevention	504FB6_	A, D, E	
		A, B, C, D, E, F, H, M	51 - Congressionally Mandated Projects	504_51_	A, B, C, D, E	

Goal (1<sup>st</sup> digit)

Objective 2 <sup>nd</sup> & 3 <sup>rd</sup> digits	Sub-objective	NPM 4 <sup>th</sup> digit	Program/ Project 5 <sup>th</sup> & 6 <sup>th</sup> digits	PRC #	Activity 7 <sup>th</sup> digit	RPIO 8 <sup>th</sup> & 9 <sup>th</sup> digits
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**Goal Z: Enabling Support Program**

Objective 2 <sup>nd</sup> & 3 <sup>rd</sup> digits	Sub-objective	NPM 4 <sup>th</sup> digit	Program/ Project 5 <sup>th</sup> & 6 <sup>th</sup> digits	PRC #	Activity 7 <sup>th</sup> digit	RPIO 8 <sup>th</sup> & 9 <sup>th</sup> digits
<b>ZZ: Enabling Support Program</b>	<b>Sub-objective Z: Enabling Support Program</b>	H, M	70 - Homeland Security: Communication and Information	ZZZ_70_	R, S	
		A	73 -Homeland Security: Protection of EPA Personnel and Infrastructure	ZZZA73C	C	
		D	73 -Homeland Security: Protection of EPA Personnel and Infrastructure	ZZZD73C	C	
		G	73 -Homeland Security: Protection of EPA Personnel and Infrastructure	ZZZG73L	L	
		L	73 -Homeland Security: Protection of EPA Personnel and Infrastructure	ZZZL73E	E	
		G	F2 - Facilities Infrastructure and Operations	ZZZGF2L	L	1, 2, 3
		G	F3 - Acquisition Management	ZZZGF3L	L	
		G	F5 - Human Resources Management	ZZZGF5Q	Q	
		G	G7 - Financial Assistance/IAG Management	ZZZGG7L	L	
		H	F1 - Exchange Network	ZZZHF1R	R	
		H	F6 - Information Security	ZZZHF6R	R	
		H	F8 - IT/ Data Management	ZZZHF8R	R	
		J	E5 - Central Planning, Budgeting and Finance	ZZZJE5_	D, E, M, N, P, S	
		M	E3 - Administrative Law	ZZZME3T	T	
		M	E7 - Civil Rights/Title VI Compliance	ZZZME7Q	Q	
		M	E8 - Congressional, Intergovernmental, External Relations	ZZZME8S	S	
		M	G4 - Regional Science and Technology	ZZZMG4L	L	
		M	G5 - Science Advisory Board	ZZZMG5S	S	
		M	G6 - Small Minority Business Assistance	ZZZMG6S	S	
		M	H9 - Regulatory/Economic Management & Analysis	ZZZMH9	B, D, E	
N	E4 - Alternative Dispute Resolution (ADR)	ZZZNE4T	T			
N	F9 - Legal Advice: Environmental Programs	ZZZNF9T	T			
N	G1 - Legal Advice: Support Program	ZZZNG1T	T			
P	G2 - Audits, Evaluations, and Investigations	ZZZPG2N	N			

<b>Goal # (1st digit)</b>	<b>Objective # (2nd and 3rd digits)</b>	<b>NPM (4th digit)</b>	<b>Program/Project (5th &amp; 6th digits)</b>	<b>Activity Code (7th digit)</b>	<b>RPIO Activity Code (8<sup>th</sup> &amp; 9<sup>th</sup> digit)</b>
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<b>NPM:</b>	<b>Activities</b>
<b>A = Office of Air and Radiation (OAR)</b> <b>B = Office of Water (OW)</b> <b>C = Office of Prevention, Pesticides and Toxic Substances (OPPTS)</b> <b>D = Office of Solid Waste and Emergency Response (OSWER)</b> <b>E = Office of Enforcement and Compliance Assurance (OECA)</b> <b>F = Office of Research and Development (ORD)</b> <b>G = Office of Administration and Resources Management (OARM)</b> <b>H = Office of Environmental Information (OEI)</b> <b>J = Office of the Chief Financial Officer (OCFO)</b> <b>L = Office of International Affairs (OIA)</b> <b>M = Office of the Administrator (AO)</b> <b>N = Office of General Counsel (OGC)</b> <b>P = Office of Inspector General (OIG)</b>	<b>A = Research &amp; Development</b> <b>B = Regulation/Policy Development</b> <b>C = Environmental Program Implementation</b> <b>D = Financial Assistance to Non-Governmental Organizations</b> <b>E = Financial Transfer to Governmental Organizations</b> <b>L = Administrative Management</b> <b>M = Planning and Resources Management</b> <b>N = Control and Oversight</b> <b>P = Financial Management</b> <b>Q = Human Resources Management</b> <b>R = Information Lifecycle Management</b> <b>S = Executive Leadership</b> <b>T = Legal Services</b>

<b>RPIO Activity Code</b>	<b>RPIO Activity Title</b>	<b>NPM</b>	<b>RPIO</b>
<b>01</b>	<b>Agency Rent/ Direct Lease (HQ)</b>	<b>OARM</b>	<b>16</b>
<b>02</b>	<b>Utilities (HQ, RT)</b>	<b>OARM</b>	<b>16</b>
<b>03</b>	<b>Security (HQ, RT)</b>	<b>OARM</b>	<b>16</b>
<b>AT</b>	<b>Air Toxic Monitoring</b>	<b>OAR</b>	<b>27 + RTs</b>
<b>B4</b>	<b>BRAC</b>	<b>OSWER</b>	<b>75 + RTs</b>
<b>BP</b>	<b>Brownfields Petroleum</b>	<b>OSWER</b>	<b>75 + RTs</b>
<b>HZ</b>	<b>Regional Planning - HAPS</b>	<b>OAR</b>	<b>27 + RTs</b>
<b>PM</b>	<b>Particulate Matter 2.5 monitoring</b>	<b>OAR</b>	<b>27 + RTs</b>
<b>13</b>	<b>Water Sustainable Infrastructure Management</b>	<b>OW</b>	<b>30</b>
<b>14</b>	<b>Water Sustainable Communities Assistance</b>	<b>OW</b>	<b>30</b>
<b>15</b>	<b>Water State/Regional Permits</b>	<b>OW</b>	<b>30</b>
<b>16</b>	<b>Water Urban Wet Weather</b>	<b>OW</b>	<b>30</b>
<b>17</b>	<b>Water Infrastructure Grants Management</b>	<b>OW</b>	<b>30</b>
<b>18</b>	<b>Water Industrial/ Rural</b>	<b>OW</b>	<b>30</b>
<b>19</b>	<b>Water Building State/ Tribal Capacity</b>	<b>OW</b>	<b>30</b>
<b>20</b>	<b>Water Quality Criteria/Standards</b>	<b>OW</b>	<b>30</b>
<b>21</b>	<b>Water Industrial Pollution Control</b>	<b>OW</b>	<b>30</b>
<b>22</b>	<b>Water TMDLs/ Watersheds</b>	<b>OW</b>	<b>30</b>
<b>23</b>	<b>Water TMDL State Support</b>	<b>OW</b>	<b>30</b>
<b>24</b>	<b>Water Quality Monitoring/ Assessment Data Management</b>	<b>OW</b>	<b>30</b>
<b>25</b>	<b>Nonpoint Source Pollution Control</b>	<b>OW</b>	<b>30</b>
<b>26</b>	<b>DW Implementation</b>	<b>OW</b>	<b>30</b>
<b>27</b>	<b>DW Small Systems</b>	<b>OW</b>	<b>30</b>
<b>28</b>	<b>DW Regulations</b>	<b>OW</b>	<b>30</b>
<b>29</b>	<b>DW Regulatory Tools &amp; Treatment Tech</b>	<b>OW</b>	<b>30</b>
<b>30</b>	<b>DW Source Water Protection</b>	<b>OW</b>	<b>30</b>
<b>31</b>	<b>Underground Injection Control</b>	<b>OW</b>	<b>30</b>
<b>32</b>	<b>Water Lake Ponchartrain</b>	<b>OW</b>	<b>30</b>
<b>33</b>	<b>Water Pacific Northwest</b>	<b>OW</b>	<b>30</b>
<b>34</b>	<b>Water South Florida</b>	<b>OW</b>	<b>30</b>
<b>35</b>	<b>Water National Program Management</b>	<b>OW</b>	<b>30</b>
<b>36</b>	<b>Water Tribal Support</b>	<b>OW</b>	<b>30</b>
<b>37</b>	<b>Water Tribal Grants Management</b>	<b>OW</b>	<b>30</b>
<b>38</b>	<b>Water Tribal NPDES General Permit</b>	<b>OW</b>	<b>30</b>
<b>39</b>	<b>Water Tribal NPDES/ Urban Wet Weather</b>	<b>OW</b>	<b>30</b>
<b>40</b>	<b>Water Tribal NPDES Industrial/ Rural</b>	<b>OW</b>	<b>30</b>
<b>41</b>	<b>Water Tribal Support to Water Quality Standards Program</b>	<b>OW</b>	<b>30</b>
<b>42</b>	<b>Water Tribal Watershed Framework</b>	<b>OW</b>	<b>30</b>
<b>43</b>	<b>Water Tribal Water Monitoring/Assessment</b>	<b>OW</b>	<b>30</b>
<b>44</b>	<b>Water Tribal Management DW-SRF</b>	<b>OW</b>	<b>30</b>
<b>45</b>	<b>Water Tribal Capacity Building/ PWSS &amp; UIC</b>	<b>OW</b>	<b>30</b>









**SAMPLE ANTICIPATED OUTCOMES (SHORT-TERM/LONG-TERM):**

**Small System Technical Assistance**

- G Improved operational and/or financial efficiency
- G Improved compliance for systems receiving Small Systems Technical Assistance.

**State Program Management**

- G Attainment of primacy for new rules
- G Improved data quality - Demonstrated through data verification

**Source Water Protection Program**

- G Number of systems with reduced treatment expense
- G Improved compliance tied to a source water protection program

**Operator Certification Program**

- G Improved system compliance tied to improved operator performance
- G Improvement certification pass/fail rate

**Capacity Development**

- G Improved customer and stakeholder satisfaction
- G Improved efficiency through consolidation or partnering





### **Program Menus**

One of the key tools the program offices will use to make this determination is a program menu. For the DWSRF, we have generated sample program menus for the capitalization and set-aside portions of the grant. We are sharing these sample menus with States to help communicate examples of typical outputs and outcomes we will be looking for in grant applications. Although States are not required to make use of these menus, State programs might wish to use these as a guide for work plan development or may even submit a menu with their application. Please note that these are merely sample menus and can be modified to fit the needs and goals of your DWSRF program should you choose to use them.

### **Conclusion**

We look forward to working with you to demonstrate the environmental benefits your program strives for and achieves. If you have any questions please contact [**Contact Name**] at [**Phone number**].

Sincerely

[**Name**]

Enclosures