

## MEMORANDUM

**Date:** August 24, 2006

**Subj:** Request for OMB Approval of Government Performance Results Act (GPRA) Survey to Capture Office of Enforcement & Compliance Assurance (OECA) Measurement

**From:** John Gorman, Section Chief  
Division of Enforcement and Compliance Assistance, Region 2

**Thru:** Carolyn Scully, Desk Officer  
Office of Environmental Information

**To:** Amy Flynn, OIRA Desk Officer  
Office of Management and Budget

As a condition of Office of Management and Budget (OMB) approval for the generic Regional Compliance Assistance Program Evaluations ICR, No. 1860.03, Expiration date March 31, 2008, EPA agreed to submit each specific questionnaire covered by this clearance to OMB for review.

The Environmental Protection Agency, Region 2, is seeking Information Collection Request (ICR) approval for a generic clearance through Fiscal Year 2007 from the OMB. This survey request is to measure the Region's success in reporting the Government Performance Results Act (GPRA) goals as defined through Office of Enforcement and Compliance Assurance (OECA) for measuring the effectiveness of the Region's compliance assistance outcomes achieved from direct compliance assistance provided to regulated entities. The three GRPR outcome measures include (1) the number of respondents reporting an increased understanding, (2) the number reporting a change in environmental practices, and (3) the number reporting a reduction in pollution. Through this time period, we estimate we will reach approximately 15,000 multi-sector recipients.

Information will be collected from facility visits, facility re-visits, on-going facility specific work, and response to inquiry. The method of survey delivery will be primarily through mailed surveys or phone conversations several months after, but within the same fiscal year, the direct assistance was provided to determine if actual changes were made. Results will be recorded in the Compliance Assistance Module of the Integrated Compliance Information System (ICIS). Direct compliance assistance provided to regulated entities as a result of workshops, presentations, and training will be conducted through pre and post-tests on the day of the event.

The affected audience for this ICR includes members of the regulated community and, to a lesser extent, state and local regulators and compliance assistance providers that receive EPA compliance assistance tools or services. We estimate we will reach approximately 15,000 multi-sector recipients.

If you have any questions, please contact Linda Longo, EPA Region 2, at 212-637-3565.

cc: Hans Scheifele, OECA  
John Gorman, Region 2

Attachments:

- Examples of Region 2 Compliance Assistance
- ICR Response to Questions/Survey Questions

# REQUEST FOR FY2007 REAPPROVAL OF INFORMATION COLLECTION ACTIVITY

AUGUST 24, 2006

EPA REGION 2

COMPLIANCE ASSISTANCE SECTION

John Gorman, Section Chief, 212-637-4008

Linda Longo, Compliance Assistance Coordinator, 212-637-3565

## I. Background

Under The Government Performance and Results Act (GPRA), the region is required to report to the Office of Compliance (OC) on outcome measurements achieved from direct compliance assistance provided to regulated entities. Beginning in Fiscal Year 2006, the Region must report the percent of regulated entities that (1) increased understanding, (2) changed environmental management practices, and (3) reduced, treated or eliminated pollution as a result of EPA assistance.

The region collects compliance assistance outcome data from many programs and numerous sector initiatives. Therefore, this survey will be used by regional staff contacting sector recipients from various media and programs. The affected audience for this Information Collection Request (ICR) includes members of the regulated community and, to a lesser extent, state and local regulators and compliance assistance providers that receive EPA compliance assistance tools or services. We estimate reaching out to approximately 15,000 recipients through Fiscal Year 2007.

## II. Survey Purpose and Description

We propose to use the six (6) generic survey questions already approved by Office of Management and Budget (OMB) ICR #1860.03 OMB Control # 2020-0015 in February 2006 which granted us approval through Fiscal Year 2006.

Measurement will be collected from facility visits, facility re-visits, on-going facility specific work, response to inquiry, workshops, training courses, and presentations. Regulated entities receiving this direct assistance will be contacted several months after the event, but during the same Fiscal Year, to review if knowledge of environmental requirements and best management practices was increased and acted on.

The proposed survey below does not involve fact-finding for the purposes of regulatory development or enforcement.

**We are requesting to use the exact survey that was approved for FY06.**

**U.S. Environmental Protection Agency Region 2 Compliance Assistance Survey**

**Fiscal Year 2007**

**Please check all boxes that apply. Thank you.**

1. What regulatory actions as a result of the compliance assistance activity:

<b>Did you take</b>	<b>Do you intend to take</b>
<input type="checkbox"/> File a notification	<input type="checkbox"/> File a notification
<input type="checkbox"/> Obtain a permit or certification	<input type="checkbox"/> Obtain a permit or certification
<input type="checkbox"/> Provide data to EPA, state, or local regulator	<input type="checkbox"/> Provide data to EPA, state, or local regulator
<input type="checkbox"/> Submit reports to EPA, state, or local regulator	<input type="checkbox"/> Submit reports to EPA, state, or local regulator
<input type="checkbox"/> Comply with an environmental requirement	<input type="checkbox"/> Comply with an environmental requirement
<input type="checkbox"/> No regulatory actions will be taken	<input type="checkbox"/> No regulatory actions will be taken
Other, specify: _____	Other, specify: _____

2. What process changes at your facility as a result of the compliance assistance activity:

<b>Did you make</b>	<b>Do you intend to make</b>
<input type="checkbox"/> Change the storage or handling of a waste or emission	<input type="checkbox"/> Change the storage or handling of a waste or emission
<input type="checkbox"/> Change a process or practice	<input type="checkbox"/> Change a process or practice
<input type="checkbox"/> Purchase new process equipment	<input type="checkbox"/> Purchase new process equipment
<input type="checkbox"/> Implement material or waste recycling system	<input type="checkbox"/> Implement material or waste recycling system
<input type="checkbox"/> Install pollution control equipment (e.g., scrubbers, control technique)	<input type="checkbox"/> Install pollution control equipment (e.g., scrubbers, control technique)
<input type="checkbox"/> Install a waste treatment system	<input type="checkbox"/> Install a waste treatment system
<input type="checkbox"/> Switch to renewable energy	<input type="checkbox"/> Switch to renewable energy
<input type="checkbox"/> No process changes will be taken	<input type="checkbox"/> No process changes will be taken
Other, specify: _____	Other, specify: _____

3. What management changes at your facility as a result of the compliance assistance activity:

<b>Did you take</b>	<b>Do you intend to take</b>
<input type="checkbox"/> Conduct a self audit <input type="checkbox"/> Institute an environmental management policy, system or procedure <input type="checkbox"/> Institute training or other communication to improve awareness and/or practices <input type="checkbox"/> Identify pollution prevention opportunity <input type="checkbox"/> No management action will be taken Other, specify: _____	<input type="checkbox"/> Conduct a self audit <input type="checkbox"/> Institute an environmental management policy, system or procedure <input type="checkbox"/> Institute training or other communication to improve awareness and/or practices <input type="checkbox"/> Identify pollution prevention opportunity <input type="checkbox"/> No management action will be taken Other, specify: _____

4. Who (if anyone) have you contacted for further assistance as a result of the compliance assistance activity:

<b>Who have you contacted</b>	<b>Who do you intend to contact</b>
<input type="checkbox"/> A vendor <input type="checkbox"/> A state or local regulatory agency <input type="checkbox"/> A non-regulatory local source for additional compliance assistance <input type="checkbox"/> No contacts will be made <input type="checkbox"/> Other, specify: _____	<input type="checkbox"/> A vendor <input type="checkbox"/> A state or local regulatory agency <input type="checkbox"/> A non-regulatory local source for additional compliance assistance <input type="checkbox"/> No contacts will be made <input type="checkbox"/> Other, specify: _____

5. Please identify any reductions or the elimination of a pollutant(s) that resulted, or will result, from the actions taken as a result of the compliance assistance activity.

<b>Resulted</b>	<b>Will result</b>
<input type="checkbox"/> Reduced or eliminated waste (solid/hazardous) <input type="checkbox"/> Reduced or eliminated air emissions (air, fugitive) <input type="checkbox"/> Reduced or eliminated pollution emissions (e.g. wastewater) <input type="checkbox"/> None <input type="checkbox"/> Don't know Other, specify: _____	<input type="checkbox"/> Reduced or eliminated waste (solid/hazardous) <input type="checkbox"/> Reduced or eliminated air emissions (air, fugitive) <input type="checkbox"/> Reduced or eliminated pollution emissions (e.g. wastewater) <input type="checkbox"/> None <input type="checkbox"/> Don't know Other, specify: _____

6. Have you realized, or expect to realize, a cost savings from actions taken as a result of the compliance assistance activity.

- Yes
- No

The contact information below is OPTIONAL. We will contact you if we need clarification on the survey. Your contact information will not be included in any aggregated reports.

Respondent Name: \_\_\_\_\_

Facility Name: \_\_\_\_\_

Facility

Address: \_\_\_\_\_

Contact Phone Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Thank you very much for your time and support in helping us better serve environmental assistance to the regulated community.

Questions on the survey, please contact Linda Longo, 212-637-3565, [longo.linda@epa.gov](mailto:longo.linda@epa.gov)

**Thank you for your input!**

John Gorman, Section Chief  
Compliance Assistance Section  
Compliance Assistance and Program Support Branch  
Division of Enforcement and Compliance Assistance, Region 2

Public reporting burden for this collection is estimated to average 10 minutes per response, including time for reviewing instructions, gathering information, and completing and reviewing the information. Send comments on the Agency's need for this information, the accuracy of the provided burden estimate, and any suggestions for reducing the burden, including the use of automated collection techniques, to the Director, Office of Environmental Information, Collection Strategies Division, United States Environmental Protection Agency (Mail Code 2822), 1200 Pennsylvania Ave, NW Washington, D.C. 20460; and to the Office of Information & Regulatory Affairs, Office of Management & Budget, 725 17<sup>th</sup> Street, NW, Washington D.C. 20503, Attention: Desk Officer for EPA. Include the EPA ICR 1860.03 and the OMB control number 2020-0015 in any correspondence. Do not send completed survey to the Washington, D.C address.

**Send completed surveys to the following address:**

**Linda Longo**  
**Environmental Assistance Coordinator**  
**U.S. Environmental Protection Agency, Region 2**  
**290 Broadway, 21<sup>st</sup> floor**  
**New York, NY 10007**

### III. Survey Methodology and Use of Results

The region will normally notify the regulated entity at the time of compliance assistance delivery that EPA plans to follow up with them to assess the quality of the assistance. At this time regional staff will indicate the assessment method to be used (e.g., phone, letter, email). The method of survey delivery will primarily be through mailed surveys or phone conversations conducted several months after the direct assistance to determine if actual changes were made.

Results will be recorded in the Compliance Assistance Module of the Integrated Compliance Information System (ICIS) and reported to regional managers for certification to Office of Compliance at mid-year and end-of-year.

### IV. Respondents Burden

To minimize the respondent burden, the simple and clear six (6) generic survey questions approved by Office of Management and Budget (OMB) will be used.

- a) How many respondents do you anticipate will respond to the survey?

**15,000**

- b) How long will it take to complete the survey?

**10 minutes**

- c) Calculate the cost per hour for the respondent. The ICR calculates \$68.63/hour

Total Burden Hours:

**$15,000 \times 10 \text{ min.} / 60 \text{ min.} = 2,500 \text{ hours over a three year period}$**

**$2,500 / 3 = 833 \text{ hours for one year}$**

Total Respondents Cost:

**$2,500 \times \$68.63 = \$171,575 \text{ over a three year period}$**

**$\$171,575 / 3 = \$57,192 \text{ for one year}$**

### V. Agency Burden

Time it will take staff to review the responses and conduct analysis. The ICR calculates \$41.25/hour.

Total Agency Burden (EPA staff time in hours multiplied by cost per hour):

**$2,500 \text{ hours} \times \$41.25 = \$103,125 \text{ over a three year period}$**

**$\$103,125 / 3 = \$34,375 \text{ for one year}$**

Examples of Region 2 Compliance Assistance

Supplement to the Information Collection Request package

**Example Compliance Assistance Site Visits Conducted in Region 2:**

Lead in Drinking Water in Schools/Children's Health Initiative

Concentrated Animal Feeding Operations (CAFO)

Compliance assistance facility visit for dry cleaners, fleet maintenance, and department of public works

Compliance assistance facility visit in target area of New Brunswick, NJ

Underground Storage Tank (UST) facility assistance to Tribal Nations

Resource Conservation Recover Act (RCRA) facility compliance assistance visit

**Example Compliance Assistance Workshops/Presentations Conducted in Region 2:**

Healthcare teleconference on pharmaceutical waste management

Resource Conservation Recover Act (RCRA) healthcare workshop to regulated entities

Asbestos, hazardous waste, lead in drinking water and other media and audit policy information

National Game Bird Association conference for management of lead at outdoor shooting ranges

New York Wetlands Forum Conference for mitigating wetlands

Landfill contamination of surface and groundwater and public water supplies

Pretreatment, industrial construction and Municipal Separate Storm Sewer Systems

Wet Weather Combined Sewer Overflow and review of Abatement Long-Term Control Plans