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**Information Collection Request:
Recognition Application for Sustainable Water
Leadership Program**

**EPA ICR No. 1287.10
OMB Control No. 2040-0101**

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Prepared for
U.S. Environmental Protection Agency
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1. Identification of the Information Collection

1(a) Title of the Information Collection

Title: Recognition Application for Sustainable Water Leadership Program

OMB Control No. 2040-0101

EPA ICR No. 1287.10

1(b) Short Characterization/Abstract

This Information Collection Request (ICR) calculates the burden and costs associated with the recognition application for the Environmental Protection Agency's (EPA) Sustainable Water Leadership Program, formerly the National Clean Water Act Recognition Awards Program and prior to that, the National Wastewater Management Excellence Awards Program.

This voluntary program has been updated to reflect new industry practices consistent with EPA's sustainable infrastructure initiatives and is now called the Sustainable Water Leadership Program. It is authorized by Section 501(e) of the Clean Water Act (CWA). The Sustainable Water Leadership Program maintains elements from the previous Clean Water Act Recognition Awards Program, namely, excellence in operations and maintenance, biosolids, combined sewer overflows, pretreatment, and stormwater management, and also expands eligibility to community drinking water utilities and systems, as well as managed decentralized treatment systems (public or private). The development of the Sustainable Water Leadership Program is the latest evolution in EPA's commitment to recognize and award outstanding and innovative utility management practices.

In 1985, EPA established the Operations and Maintenance (O&M) awards program to provide a positive incentive for compliance with the National Pollutant Discharge Elimination System (NPDES). Because of the successes of the O&M Awards program, in 1988, EPA amended the program to include the Beneficial Biosolids Use awards (formerly Sludge awards). In 1989, the Pretreatment awards were added. Pretreatment Program activities are covered under a separate ICR (OMB Control No. 2040-0009, EPA ICR No. 0002.14). In 1990, EPA established the Combined Sewer Overflow (CSO) and Stormwater Management awards programs and added these programs to the Clean Water Act Recognition Awards Program.

The Sustainable Water Leadership Program consists of two components: 1) a recognition program that acknowledges applicants that are moving toward sustainable operations and meet specified criteria identified in the application, and 2) a competitive awards program to showcase the "best of the best" in a specific topic area selected in advance by EPA. This ICR addresses the application burden for the recognition component; the awards component is still under development. An update to this ICR will be provided following finalization of the awards component. The recognition component requires that an applicant meet criteria under specific categories. One category Effective Utility Management, is mandatory for all applicants, and is based on the *Attributes of Effectively Managed Systems* that EPA and members of the water sector have endorsed. In addition, applicants are asked to describe activities in other areas of their choice including: biosolids, pretreatment, decentralized systems, energy management, water

efficiency, climate change adaptation and or mitigation, and watershed approaches, including source water protection and stormwater.

The updated application provides the mechanism for the applicants to demonstrate how they meet the required criteria. Organizations applying for recognition will be evaluated on the basis of the criteria described in the application but will not compete directly with other applicants for recognition.

The regulation which establishes the framework to implement the recognition program is at 40 CFR Part 105. A copy is attached in Appendix A.

The respondent will read the instructions for completing the application. It is anticipated that respondents will use existing files, planning and progress reports, and institutional knowledge to complete the application. Based on the instructions provided with the application, the respondent will compile the requested information and write up to a 10-page narrative on how the facility meets the specified criteria in the application.

The information collection will be used by EPA's Office of Water, led by the Office of Wastewater Management, to evaluate and determine if the required criteria are met for recognition. Based on the collection, national panels will evaluate the nominee's efforts and recommend finalists.

Utilities that are recognized will receive a letter and certificate signed by the EPA Administrator or Assistant Administrator for Water, their utility name will be posted on EPA and outside organization web sites, and announced at national conferences. EPA regions may also opt to hold Regional ceremonies. Additional recognition will be made through a Federal Register notice, and other national publications.

During the 3 years covered by this ICR, the information collection for the Sustainable Water Leadership Program would involve responses from an estimated total of 2,036 respondents and cost approximately \$1.8 million (all labor cost), with annual averages of 679 respondents, 13,574 burden hours, and costs of \$614,919 per year (for additional detail, see Section 6). EPA estimates assume that water systems in multiple size-categories will have different response rates to Program outreach. The cost to the Agency is estimated to be approximately \$56,575 per year, with no anticipated capital or operation and maintenance (O&M) costs.

2. Need For and Use of the Collection

2(a) Need/Authority for the Collection

Section 501(e) of the CWA (copy attached in Appendix B) authorizes a program to recognize political subdivisions of states and industrial organizations that demonstrate outstanding technological achievements, innovative processes, devices or other outstanding methods in their waste treatment and pollution abatement programs. Recognition is given through EPA's voluntary Sustainable Water Leadership Program. EPA will recognize applicants that are moving toward sustainable operations and meet specific criteria identified in the application. Applicants

will be asked to describe activities in the area of Effective Utility Management and in other areas of their choice related to Resource Protection and Efficiency. A narrative description of how the utility meets the criteria is needed to complete the application and determine whether to recognize the utility.

2(b) Practical Utility/Users of the Data

Information collected will be used for the Sustainable Water Leadership Program by EPA's Office of Water. The information collected will be used by EPA to evaluate and determine if the required criteria are met for recognition. Based on the collection, national panels will evaluate the nominee's efforts and recommend finalists who have demonstrated that they are moving toward sustainable operations and are implementing practices identified in the application.

3. Non-duplication, Consultations, and Other Collection Criteria

3(a) Non-duplication

The design, operating, and environmental information needed to complete the application is not immediately available in databases or files of a State or Federal office. If such data is available, it may exist in an outdated report or database which cannot be timely or readily cross-referenced to the requested data. Demonstrations of program accomplishments required by the Sustainable Water Leadership Program must be provided from the water and wastewater management facilities and programs as it is not available from any other source.

3(b) Public Notice Required Prior to ICR Submission to OMB

In compliance with the 1995 Paperwork Reduction Act (PRA), any agency developing a non-rule-related ICR must solicit public comments before submitting the ICR to OMB. These comments, which are used partly to determine realistic burden estimates for respondents, must be considered when completing the Supporting Statement that is submitted to OMB.

This ICR was published in the Federal Register on Feb. 19, 2010 (75 FR 33). The notice included a request for comments on the content and impact of these information collection requirements on the regulated community.

3(c) Consultations

EPA has spent over two years consulting with other water and wastewater professionals on the development of this new program. EPA headquarters convened an EPA Regional Workgroup that assisted in the program development including the criteria and content of the new recognition application. In addition, EPA had several meetings with outside stakeholders and trade associations that represent the potential respondents for this application. Feedback from these consultation groups was considered and is reflected in the new application being used for information collection.

EPA strives to minimize the burden on all respondents, especially small communities/businesses. In previous years, EPA asked the Regional and State personnel to assist the respondents where necessary in completing the application. For the new program, EPA will continue to request that the Regions assist the respondents where necessary. In addition, EPA tentatively plans to conduct at least one webcast on completing the application and will be available for specific questions from potential respondents. Guidance on completing the application will also be provided on EPA's web site.

For the previous program, EPA managers solicited feedback on its application from non-Federal panelists and from past municipal winners in a very informal manner. EPA managers also received indirect comments from Regional EPA employees, who were also in contact with municipal and industrial entities and State officials. Positive and negative feedback were both evaluated. Feedback from the State's facility operators stated that the old application form for awards was too complex and was a significant burden for the plant staff. Based on these comments and feedback from Regions, EPA has attempted to make the new application form for the Sustainable Water Leadership Program more streamlined.

3(d) Effects of Less Frequent Collection

Recognition will be determined every other year, with recognition lasting a total of three years. The EPA recognition program manager sends out the application and instructions in May/June of each recognition-year. The completed application is received by EPA headquarters in September/October, and an EPA panel reviews the applications in November/December. Recognition letters and certificates are sent in January/February [final schedule to be determined]. Since the program is designed to recognize the current state of treatment facilities, less frequent collection of information would impact the goals of the program to recognize and incentivize innovative and effective practices for water treatment.

3(e) General Guidelines

This information collection request is consistent with guidelines contained in 5 CFR 1320.5(d)(2).

3(f) Confidentiality

Respondents are not being asked to submit any confidential information in the recognition application. As a result, no confidential information is involved for this collection activity. However, any claim of confidentiality must be asserted at the time of submission. If any confidential information is submitted, all confidential data will be handled in accordance with 40 CFR 122.7, 40 CFR Part 2.

3(g) Sensitive Questions

Sensitive questions are defined in EPA's ICR Handbook, *Guide to Writing Information Collection Requests Under the Paperwork Reduction Act of 1995* as "questions concerning sexual behavior or attitudes, religious beliefs, or other matters usually considered private." The requirements addressed in this ICR do not include sensitive questions.

4. The Respondents and the Information Requested

4(a) Respondents/SIC and NAICS Codes

The Standard Industrial Classification (SIC) and North American Industry Classification System (NAICS) codes for the respondents affected by this information collection activity are as follows:

- SIC: 4952; NAICS: 22131 - Water Supply and Irrigation Systems
- SIC: 4952; NAICS: 22132 - Sewage Treatment Facilities
- SIC: 8711; NAICS: 54133 - Engineering Services
- SIC: 4953; NAICS: 56292, 562211-262213, 562219 - Refuse Systems
- SIC: 8221; NAICS: 61131 - Colleges, Universities, Professional Schools
- SIC: 9511; NAICS: 92411 - Air and Water Resource and Solid Waste Management (Administration of Environmental Quality)

4(b) Information Requested

This section presents the data items, including recordkeeping requirements, and required respondent activities involved in preparing and submitting those data items.

4(b)(i) Data Items, Including Record Keeping Requirements

The requested information should be readily available from facility operating records. Respondents may include flow, permit, operating, and environmental compliance data with the required narrative description of the facility's activities.

4(b)(ii) Respondent Activities

To be considered for recognition, the respondent will read the instructions for completing the application. The respondent will use existing files when possible, planning and progress reports, and institutional knowledge to complete the application. The respondent will prepare a written narrative description on how the facility meets the criteria stated in the application. A copy of the current application is attached in Appendix C.

5. The Information Collected—Agency Activities, Collection Methodology, and Information Management

5(a) Agency Activities

The completed application is sent directly to EPA headquarters by the specified application deadline. EPA is strongly requesting that applications be sent electronically to the specified email address on the application. The review of electronic applications will reduce the burden on the agency. EPA will still accept hand-written applications.

Each application is first reviewed by EPA for completeness. The completed applications will then be sent to EPA's Office of Enforcement and Compliance Assurance for a criminal compliance check. In addition to criminal compliance, information for each application will also

be entered into EPA's Online Tracking Information System (OTIS) for an administrative compliance check. It is assumed that 20 percent of the completed applications will not be in compliance with applicable water quality requirements for the past year and will not have a satisfactory record with respect to environmental quality. The remaining 80 percent of the applications will then move forward in the review process.

The applications that are deemed complete and without compliance violations will be provided to the respective review panels consisting of representatives from EPA's headquarters and Regions and also potentially non-EPA technical professionals. The panels will review each application to determine if it meets the specified criteria. The panels will make recommendations to EPA management on which facilities to recognize.

The facilities that are recognized will receive a letter and certificate signed by the EPA Administrator or Assistant Administrator for Water, their utility name will be posted on EPA and outside organization web sites, and announced at national conferences. EPA regions may also opt to hold Regional ceremonies. Additional recognition will be made through a Federal Register notice, and other national publications.

5(b) Collection Methodology and Management

All nominees are screened for environmental compliance by EPA. Data quality information will be retrieved from the Agency's Permit Compliance System (PCS), OTIS, Safe Drinking Water Information System (SDWIS), the new Integrated Compliance Information System (ICIS-NPDES) database, other environmental reports, and professional knowledge of the facility or program.

5(c) Small Entity Flexibility

This information collection activity does not concern a rulemaking. A framework to implement the awards recognition program is at 40 CFR Part 105. EPA strives to minimize the burden on all respondents, especially small communities/businesses. The recognition application for the Sustainable Water Leadership Program includes reduced requirements for small entities. EPA headquarters and some EPA Regions will be available to assist respondents to answer the application.

5(d) Collection Schedule

The information collection schedule is contained in the respondents' application. The EPA recognition program manager sends out the application and instructions in May/June of each year. The completed application is received by EPA headquarters in September/October, and the panel reviews the applications in November/December. Recognition letters and certificates are sent in January/February [schedule to be determined by EPA].

6. Estimating the Burden and Cost of the Collection

The following sections present the rationale, assumptions made, and results of EPA's estimation of burden and costs for the Sustainable Water Leadership Program. See Appendix D for specific assumptions made to estimate the burden and cost of the Program.

6(a) Estimating Respondent Burden

This section describes the burden estimates for facilities to complete the application, as well as the methods used and assumptions made to derive them. Respondent activities are separated into those activities that will occur in year 1 of the program and those activities that will occur in year 3 of the program. The reason for this is that applications for recognition are submitted every 2 years. The Respondent Activity Exhibits E.1-E.6 in Appendix E presents all calculations and results discussed in this subsection. EPA estimates that the total annual burden to applicant respondents is approximately 13,600 hours.

To calculate the total annual applicant respondent burden, EPA first calculated the burden for each type of applicant respondent in years 1 and 3 of the program¹. The Agency then added these together. Then, the sum of the burdens for each respondent expected over the next three years was divided by three to obtain the estimated total annual burden.

For those applicants applying for recognition, this ICR only calculates burden and cost for a three year period. At the end of that period, this ICR will be revised with new calculations, as appropriate, for the following three years. Therefore, for the burden and cost calculations for respondents applying for recognition, the estimate of the total number of applicants expected over the next three years is divided by three to obtain the estimated number of applicants per annum. Exhibit E.1 estimates the number of respondents that will provide application information over the next three years.

The total number of applicant respondents is estimated to be 2,037, including 530 applicants in Year 1 and 1,507 in Year 3. The responses are collected once every two years. EPA estimates the total annual number of applicant respondents to be 679.

The respondents reporting burden is estimated to be 20 hours per response: 2 hours for manager to read instructions and search data; 16 hours for staff to gather information and complete the application; and 2 hours for administrative support staff to prepare forms. The average annual burden is estimated to be 13,574 hours. For a more detailed presentation of hourly burdens for applicant respondents see Exhibits E.3-E.9 in Appendix E.

In addition, states will not incur any burden and costs associated with this ICR since EPA will conduct the review of applications. As a result, the burden and cost for reviewing applications will belong to the federal government exclusively.

¹ Each type of applicant includes potential respondents from the following types of utilities: publicly or privately owned wastewater treatment plants or systems, community drinking water plants or systems, managed decentralized treatment systems (public or private), and municipally-owned stormwater systems. These respondents encompass the applicant pool from drinking water, wastewater, and pretreatment facilities.

6(b) Estimating Respondent Costs

This section describes cost estimates for respondents, as well as the methods used to derive them. Because EPA has determined that there are no capital or operation and maintenance costs associated with any of the respondent activities, this ICR only includes labor costs in its estimates.

6(b)(i) Estimating Labor Costs

The costs to applicant respondents associated with the ICR activities can be estimated by multiplying the time spent in each labor category by an appropriately loaded hourly wage rate.

EPA used the following categories and hourly rates to estimate labor costs for activities by applicant respondents. A labor rate of \$55.00 hour was used for managers, \$46.86 for staff, and \$23.12 for administrative support. These rates are based on the mean hourly cost of employment for all occupations, including benefits, and are adjusted with the Employment Cost Index (ECI) for civilian workers to September 2009 dollars. These hourly rates were based on the average hourly wage for civilian workers as determined by the U.S. Department of Labor.²

6(c) Estimating Agency Burden and Cost

EPA's estimate of its burden and costs are from the activities described in Section 5(a). When calculating the Agency cost, EPA makes the following assumption:

EPA determined the hourly employment cost of federal employees using methodology established in previous ICRs. According to the U.S. Office of Personnel Management, 2009 General Schedule (2009-GS), the average hourly wage of a federal employee at the GS-13, Step 5 level is \$38.35. Assuming overhead costs of 50 percent, or \$19.18 per hour, the fully loaded cost of employment for a program management-level federal employee is \$57.53. The average hourly wage for a federal employee at the GS-8, Step 5 level is \$20.13. Assuming overhead costs of 50 percent, or \$10.07 per hour, the fully loaded cost of employment for program support-level federal employee is \$30.20.

Completeness Review

EPA estimates that the Agency will spend approximately 0.17 hour (10 minutes) reviewing each application for completeness. In addition, EPA estimates that 10 percent of the applications submitted will be incomplete and will result in 0.5 hour each for additional follow-up. The total annual burden for the completeness review is 147 hours and \$8,454. See Exhibits F.1, F.2 and F.9 in Appendix F.

Compliance Review

² From U.S. Department of Labor, Bureau of Labor Statistics, Employer Costs for Employee Compensation, Table 2, "Employer costs per hour worked for employee compensation and costs as a percent of total compensation: Civilian workers, by occupational and industry group, June 2009.": Management, business, and financial: \$54.95, Professional and related: \$46.61, Office and administrative support: \$23.04. (<http://stats.bls.gov/news.release/ecec.t02.htm>)

EPA estimates that the Agency will spend 0.33 hour (20 minutes) reviewing each application for compliance. The total annual burden for the compliance review is 204 hours and \$11,717. See Exhibits F.3, F.4, and F.9 in Appendix F.

Substantive Review

EPA estimates that the Agency will spend 0.33 hour (20 minutes) per panel member for the substantive review. EPA assumed a total of three panel members which results in a substantive review of 60 minutes for each application. The total annual burden for the substantive review is 489 hours and \$28,111. See Exhibits F.5, F.6 and F.9 in Appendix F.

Post-Review Recognition

The burden and cost for EPA is based on the time required to develop and review the certificate and letter. EPA estimates that 0.33 hour (20 minutes) are required per recipient for certificates and letters. The total annual burden for the post-review recognition is 122 hours and \$8,294. See Exhibits F.7, F.8, and F.9 in Appendix F.

6(d) Estimating the Respondents Universe and Total Burden and Cost

Detailed information describing the universe and basis for burden and costs is provided in Section 6(a). Exhibits E.1 and E.2 in Appendix E provides the respondents universe for all respondent categories used throughout this ICR. The total burden and costs for respondents submitting an application are summarized in Exhibit E.9 in Appendix E.

6(e) Bottom Line Burden Hours and Cost Estimates

6(e)(i) Respondent Tally

The bottom line burden hours and costs for applicant respondents are the average annual hours and costs collectively incurred for all activities during the 3-year period covered by this ICR. Table 1 provides a summary of the average annual number of respondents, burden hours, and costs. See Exhibit E.9 in Appendix E for additional details.

Table 1. Respondent Tally

	Totals
Total Annual Number of Respondents	679
Total Annual Respondent Burden Hours	13,564
Average Burden Hours per Respondent	20.00
Costs (labor)	\$614,315
Costs (capital)-annualized	\$0
Costs (O&M)	\$0
Total Respondent Costs	\$614,919

6(e)(ii) The Agency Tally

The bottom line burden hours and costs for the Agency are the total annual hours and costs collectively incurred for all activities during the period covered by this ICR. Table 2 provides a

summary for Appendix F of the average annual Agency costs. See Exhibit F.9 in Appendix F for additional details.

Table 2. Summary of Agency Cost for the ICR Approval Period

	Total Annual Costs (2009\$)
Agency Totals	\$56,575

6(f) Reasons for Change in Burden

This ICR includes programmatic changes to the National Clean Water Act Recognition Awards Program to develop the Sustainable Water Leadership Program which are detailed below.

The current burden approved by OMB for the previous Clean Water Act (CWA) Recognition Awards ICR is 2,030 hours. In addition, the current burden approved by OMB for pretreatment awards (whose burden will be consolidated into this ICR) is 210 hours. This ICR estimates a total burden that is 11,544 hours more than the currently approved burden for the previous ICR. Table 3 presents the change in burden.

Table 3. Burden Change

Respondent	Reported Annual Burden (hours)		Change
	Previous ICR OMB Inventory	Current ICR	
Respondents			
Applicant Respondents	1,160	13,574	12,414
Subtotal	1,160	13,574	12,414
NPDES-Authorized States			
NPDES-Authorized States	870	0	-870
Subtotal	870	0	-870
Total	2,030	13,574	11,544

Some reasons for the change in burden include the following:

- Changes and adjustments in the number and types of applicants eligible for recognition under the Sustainable Water Leadership Program. These three changes are anticipated to increase the average annual number of interested responses from 145 to 678.
 - The universe of eligible entities now includes community drinking water utilities and systems, as well as managed decentralized treatment systems (public or private), which were previously not addressed in any ICR for the Clean Water Act Recognition Awards Program.
 - Changes in the design of the program are expected to attract more eligible applicants.
 - Additionally, it is anticipated that EPA’s active outreach will increase the number of respondents interested in participating in the program.

- EPA updated the estimated time spent by respondents to complete the revised Recognition Application for Sustainable Water Leadership Program to 20 hours per respondent based on staff input.
- Previously, EPA accounted for 870 hours for NPDES-Authorized States for reviewing applications. EPA has assumed the burden and cost for this activity since States are not expected to have requirements under the Sustainable Water Leadership Program.
- This ICR now encompasses burden hours for pretreatment awards. Historically, pretreatment burden hours were covered under a separate ICR for the National Pretreatment Program (OMB Control No. 2040-009, EPA ICR No. 0002.14). Burden hours for awards applications totaled 210 hours (120 for POTW's and 90 for state agencies) in the most recent Pretreatment ICR. These hours will be removed from the Pretreatment Program ICR at its next renewal.

6(g) Burden Statement

The public reporting burden for respondents is estimated to average 20 hours per response per year. Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control numbers for EPA's regulations are listed in 40 CFR Part 9 and 48 CFR Chapter 15.

To comment on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including the use of automated collection techniques, EPA has established a public docket for this ICR under Docket ID No. EPA-HQ-OW-2003-0064, which is available for public viewing at the Water Docket in the EPA Docket Center (EPA/DC), EPA West, Room 3334, 1301 Constitution Ave., NW, Washington, DC. The EPA Docket Center Public Reading Room is open from 8:30 a.m. to 4:30 p.m., Monday through Friday, excluding legal holidays. The telephone number for the Reading Room is (202) 566-1744, and the telephone number for the Water Docket is (202) 566-2426. An electronic version of the public docket is available through the Federal Docket Management System (FDMS) at <http://www.regulations.gov/>. Use FDMS to submit or view public comments, access the index listing of the contents of the public docket, and to access those documents in the public docket that are available electronically. Once in the system, key in the docket ID number identified above. Also, you can send comments to the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, NW, Washington, DC 20503, Attention: Desk Office for EPA. Please include the EPA Docket ID No. EPA-HQ-OW-2003-0064 and OMB control number 2040-0101 in any correspondence.

Appendix A – 40 CFR 105

Environmental Protection Agency

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the hearing clerk, if it is filed during the course of the hearing, shall be also filed with the Presiding Officer. A copy of each document or paper filed by any party with the Presiding Officer, with the hearing clerk, or with the Administrator shall be served upon all other parties, except to the extent that the list of parties to be so served may be modified by order of the Presiding Officer, and each such document or paper shall be accompanied by a certificate of such service.

(b) A party may be represented in any proceeding under this part by an attorney or other authorized representative. When any document or paper is required under these rules to be served upon a party such service shall be made upon such attorney or other representative.

(c) Except where these rules or an order of the Presiding Officer require receipt of a document by a certain date, any document or paper required or authorized to be filed by this part shall be deemed to be filed when post-marked, or in the case of papers delivered other than by mail, when received by the hearing clerk.

(d) Sundays and legal holidays shall be included in computing the time allowed for the filing of any document or paper, provided, that when such time expires on a Sunday or legal holiday, such period shall be extended to include the next following business day.

PART 105—RECOGNITION AWARDS UNDER THE CLEAN WATER ACT

Sec.

GENERAL

- 105.1 Background.
- 105.2 Definitions.
- 105.3 Title.

ELIGIBILITY REQUIREMENTS

- 105.4 What are the requirements for the Awards Program?
- 105.5 Who is eligible to win an award?
- 105.6 What are the Awards Program categories for which I may be eligible?

APPLICATION AND NOMINATION PROCESS

- 105.7 How do I apply for an award?
- 105.8 When can I apply for an award?
- 105.9 How can I get nominated for an award?

SELECTION CRITERIA

- 105.10 What do I need to be considered for an award?
- 105.11 Who selects the award winners?
- 105.12 How is the awards review committee selected?
- 105.13 How are the awards winners selected?

AWARDS RECOGNITION

- 105.14 How are award winners notified?
- 105.15 How are award winners recognized?
- 105.16 How are award winners publicized?

AUTHORITY: Section 501(a) and (e) of the Clean Water Act (CWA), 33 U.S.C. 1361(a) and (e).

SOURCE: 67 FR 6142, Feb. 8, 2002, unless otherwise noted.

GENERAL

§ 105.1 Background.

The Environmental Protection Agency's (EPA) Clean Water Act (CWA) Recognition Awards Program is authorized by CWA section 501(e). The Administrator may provide official recognition to industrial organizations and political subdivisions of States which during the preceding year demonstrated an outstanding technological achievement or an innovative process, method or device in their waste treatment and pollution abatement programs. The wastewater management programs can generally be characterized as waste treatment and/or pollution abatement programs. Individual EPA Regional Administrators (and Regional officials they may designate) also may conduct Regional CWA Recognition Awards Programs according to and consistent with the provisions of this part.

§ 105.2 Definitions.

Applicant means the person authorized to complete the application on behalf of an industrial organization or political subdivision of States.

Application means a completed questionnaire, nomination form, or other documentation submitted to or by the States, EPA Regions or headquarters for consideration of a national CWA Recognition Award.

I means the applicant for an award.

Industrial organization means any company, corporation, association, partnership, firm, university, not-for-profit organization, or wastewater

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treatment facility, as well as a Federal, State or Tribal government wastewater treatment facility, or U.S. military command to the extent such government and other organizations operate in an "industrial" capacity in the treatment of wastes or abatement of pollution.

Nominee means a candidate recommended by the State or Tribe or EPA for consideration for a CWA Recognition Award.

Political subdivision of State means a municipality, city, town, borough, county, parish, district, association, or other public body (including an intermunicipal agency of two or more of the foregoing entities) created by or pursuant to State law.

State means any of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of Northern Mariana Islands.

State water pollution control agency means the State agency designated by the Governing Authority having responsibility for enforcing State laws relating to the abatement of water pollution.

You means the applicant for an award.

§ 105.3 Title.

The awards are known as the National Clean Water Act Recognition Awards (hereinafter, the Awards Program).

ELIGIBILITY REQUIREMENTS

§ 105.4 What are the requirements for the Awards Program?

(a) EPA will administer the Awards Program, and should establish annual guidance as necessary to administer the Awards Program. EPA will request from the various offices, and States and Tribes as appropriate, nominations for the Awards Program.

(b) Nominees must be in total compliance with all applicable water quality requirements under the CWA in order to be eligible for an award, and otherwise have a satisfactory record with respect to environmental quality.

(c) Nominees must provide written documentation as evidence to support

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their outstanding technological achievement or innovative process, method or device in their waste treatment and/or pollution abatement programs.

(d) EPA may issue annual guidance memoranda to administer each year's awards programs. For information on the availability of additional guidance, contact the U.S. Environmental Protection Agency, Municipal Assistance Branch, 1200 Pennsylvania Avenue, NW., Mail Code 4204-M, Washington, DC 20460. You may also visit EPA's Web site at www.epa.gov/owm.

§ 105.5 Who is eligible to win an award?

A municipality, city, town, borough, county, parish, district, association, government agency, or other public body, (including an intermunicipal agency of two or more of the foregoing entities) created by or pursuant to State law; a company, corporation, association, partnership, firm, university, not-for-profit organization, or wastewater treatment facility, as well as a Federal, State or Tribal government wastewater treatment facility, or U.S. military command to the extent such government and other organizations operate in an industrial capacity in the treatment of wastes or abatement of pollution may be considered for a recognition award.

§ 105.6 What are the Awards Program categories for which I may be eligible?

EPA will publish from time to time, a notice in the FEDERAL REGISTER announcing the current Awards Program categories. EPA also may subsequently discontinue, combine, or rename categories by notice published in the FEDERAL REGISTER.

APPLICATION AND NOMINATION PROCESS

§ 105.7 How do I apply for an award?

You may contact your local EPA Regional office for information on the Awards Program guidance each year, or check the Web site at <http://www.epa.gov/owm/intnet.htm>. EPA may use an application or nomination process, as appropriate for the program or Region.

Environmental Protection Agency

§ 105.16

§ 105.8 When can I apply for an award?

You can contact your local EPA Regional office for award submission deadline information which may vary for the award categories, or check the Web site at <http://www.epa.gov/owm/intnet.htm>.

§ 105.9 How can I get nominated for an award?

You may apply to, or ask your State, Tribe or EPA Region to nominate you for an award. Only applications or nominations recommended by EPA Regions are considered for the national award. EPA personnel conduct compliance evaluations prior to presenting a national award.

SELECTION CRITERIA

§ 105.10 What do I need to be considered for an award?

Your facility or pollution abatement program must be in total compliance with all applicable water quality requirements, and otherwise have a satisfactory record with respect to environmental quality. Additionally, your facility or pollution abatement program must provide written documentation as evidence of an outstanding technological achievement or an innovative process, method or device demonstrated in the preceding year, which resulted in environmental benefits, cost savings and/or public acceptance.

§ 105.11 Who selects the award winners?

After EPA receives the completed application, the application is evaluated by a review committee. After the review committee completes its evaluation of the programs that have been nominated, they make recommendations for the national awards. EPA then analyzes the results and selects the award winners.

§ 105.12 How is the awards review committee selected?

EPA review committee members are selected by the EPA and in some cases, State or Tribal water pollution control agencies. The number of participants in a nominations review process is based on staff availability, and may be one person.

§ 105.13 How are the award winners selected?

Nominees and applications are recommended by EPA regions. EPA personnel conduct compliance evaluations prior to presenting a national award. EPA selects national award winners based on demonstrated evidence of outstanding and/or innovative wastewater treatment and pollution abatement programs or projects which result in environmental benefits, cost savings and/or public acceptance. Based upon results of review committee evaluations, the Agency selects first place winners for a national award in the appropriate awards categories. A second place winner may or may not be selected. EPA may or may not select an award winner for every awards program category. Award decisions are not subject to administrative review.

AWARDS RECOGNITION

§ 105.14 How are award winners notified?

EPA notifies national award winners by letter.

§ 105.15 How are award winners recognized?

EPA presents national award winners with a certificate or plaque at an awards presentation ceremony as recognition for an outstanding technological achievement or an innovative process, method or device in wastewater treatment and/or pollution abatement programs. The President of the United States, the Governor of the State, or Tribal leader of the jurisdiction reservation in which the awardee is situated, the Speaker of the House of Representatives and the President pro tempore of the Senate are notified by the Administrator.

§ 105.16 How are award winners publicized?

EPA announces the annual national recognition award winners through notice published in the FEDERAL REGISTER.

Appendix B – Section 501(e) of the CWA

the Administrator shall identify, and maintain a list of, discrete coastal recreation waters adjacent to beaches or similar points of access that are used by the public that—

(A) specifies any waters described in this paragraph that are subject to a monitoring and notification program consistent with the performance criteria established under subsection (a); and

(B) specifies any waters described in this paragraph for which there is no monitoring and notification program (including waters for which fiscal constraints will prevent the State or the Administrator from performing monitoring and notification consistent with the performance criteria established under subsection (a)).

(2) AVAILABILITY.—The Administrator shall make the list described in paragraph (1) available to the public through—

(A) publication in the Federal Register; and

(B) electronic media.

(3) UPDATES.—The Administrator shall update the list described in paragraph (1) periodically as new information becomes available.

(h) EPA IMPLEMENTATION.—In the case of a State that has no program for monitoring and notification that is consistent with the performance criteria published under subsection (a) after the last day of the 3-year period beginning on the date on which the Administrator lists waters in the State under subsection (g)(1)(B), the Administrator shall conduct a monitoring and notification program for the listed waters based on a priority ranking established by the Administrator using funds appropriated for grants under subsection (i)—

(1) to conduct monitoring and notification; and

(2) for related salaries, expenses, and travel.

(i) AUTHORIZATION OF APPROPRIATIONS.—There is authorized to be appropriated for making grants under subsection (b), including implementation of monitoring and notification programs by the Administrator under subsection (h), \$30,000,000 for each of fiscal years 2001 through 2005.

(33 U.S.C. 1346)

TITLE V—GENERAL PROVISIONS

ADMINISTRATION

SEC. 501. (a) The Administrator is authorized to prescribe such regulations as are necessary to carry out his functions under this Act.

(b) The Administrator, with the consent of the head of any other agency of the United States, may utilize such officers and employees of such agency as may be found necessary to assist in carrying out the purposes of this Act.

(c) Each recipient of financial assistance under this Act shall keep such records as the Administrator shall prescribe, including records which fully disclose the amount and disposition by such recipient of the proceeds of such assistance, the total cost of the project or undertaking in connection with which such assistance is given or used, and the amount of that portion of the cost of the

project or undertaking supplied by other sources, and such other records as will facilitate an effective audit.

(d) The Administrator and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access, for the purpose of audit and examination, to any books, documents, papers, and records of the recipients that are pertinent to the grants received under this Act. For the purpose of carrying out audits and examinations with respect to recipients of Federal assistance under this Act, the Administrator is authorized to enter into noncompetitive procurement contracts with independent State audit organizations, consistent with chapter 75 of title 31, United States Code. Such contracts may only be entered into to the extent and in such amounts as may be provided in advance in appropriation Acts.

(e)(1) It is the purpose of this subsection to authorize a program which will provide official recognition by the United States Government to those industrial organizations and political subdivisions of States which during the preceding year demonstrated an outstanding technological achievement or an innovative process, method, or device in their waste treatment and pollution abatement programs. The Administrator shall, in consultation with the appropriate State water pollution control agencies, establish regulations under which such recognition may be applied for and granted, except that no applicant shall be eligible for an award under this subsection if such applicant is not in total compliance with all applicable water quality requirements under this Act, or otherwise does not have a satisfactory record with respect to environmental quality.

(2) The Administrator shall award a certificate or plaque of suitable design to each industrial organization or political subdivision which qualifies for such recognition under regulations established under this subsection.

(3) The President of the United States, the Governor of the appropriate State, the Speaker of the House of Representatives, and the President pro tempore of the Senate shall be notified of the award by the Administrator and the awarding of such recognition shall be published in the Federal Register.

(f) Upon the request of a State water pollution control agency, personnel of the Environmental Protection Agency may be detailed to such agency for the purpose of carrying out the provisions of this Act.

(33 U.S.C. 1361)

GENERAL DEFINITIONS

SEC. 502. Except as otherwise specifically provided, when used in this Act:

(1) The term "State water pollution control agency" means the State agency designated by the Governor having responsibility for enforcing State laws relating to the abatement of pollution.

(2) The term "interstate agency" means an agency of two or more States established by or pursuant to an agreement or compact approved by the Congress, or any other agency of two or more States, having substantial powers or duties pertaining to the control of pollution as determined and approved by the Administrator.

Appendix C
Current Application

DRAFT

Sustainable Water Leadership Program

Application: Recognition of Sustainable Water Systems

Purpose of the Sustainable Water Leadership Program

This application is for recognition and is open to those entities described in the 'Eligibility' section below. EPA is implementing this program to recognize applicants that have made a commitment to sustainable management approaches that promote resource efficiency and protection. Organizations applying for recognition will be evaluated on the basis of the criteria described in this application but will not compete directly with other applicants for recognition.

I. Eligibility

- A. Applicants are limited to: publicly or privately owned wastewater treatment plants or systems, community drinking water systems, managed decentralized treatment systems (public or private), and municipally-owned stormwater systems
- B. Applicants must be in compliance with applicable Federal, State, Tribal and local water quality requirements for one year and have a satisfactory record with respect to environmental quality.

Indicate the type of facility (check all that apply):

- Publicly or privately owned wastewater treatment plant or system
- Community drinking water system
- Municipally-owned stormwater system
- Managed decentralized treatment system

Indicate the organization size:

- Large** (wastewater utility designed to discharge 1 million gallons per day (MGD) or more; drinking water utility designed to serve at least 10,000 people; and municipally-owned storm sewer system designed to serve 100,000 people or more)
- Small** (wastewater utility designed to discharge less than 1 MGD; drinking water utility designed to serve fewer than 10,000 people; municipally-owned storm sewer system designed to serve less than 100,000 people; and managed decentralized system)

Note: Combined systems meeting either of the criteria for "Large" systems above will be considered large systems for the purposes of this recognition program.

II. Application Requirements

All applicants must submit a written narrative of the activities the organization (or other entity described in the *Eligibility* section) is implementing. Applicant may describe past activities, but the written narrative must illustrate how those activities impact current accomplishments (within the past 12 months). The narrative must not exceed 5000 words (approximately 10 pages of single-spaced, 12-point text).

This application consists of two sections; Effective Utility Management, and Resource Efficiency and Protection. (IV - sections A & B) For your application to be complete, both sections must be addressed according to the section specific directions. Please read each section carefully to ensure all requirements are fully understood. For questions or assistance with the application, please visit the SWLP program website for helpful resources. <http://www.epa.gov/owm/mtb/intnet.htm>

III Contact Information

A. Applicant Information

Organization Name: _____
City: _____ State: _____
National Pollutant Discharge Elimination System (NPDES) Permit or Public Water Supply Identification Number(s) (as applicable): _____

Facility Manager Name and Title: _____
Mailing Address: _____
City: _____ State: _____ ZIP: _____
Phone: _____ Fax: _____
E-mail: _____
Secondary Contact Name: _____
Phone and E-mail: _____

B Project Partner Information (Optional)

You may wish to list your project partner organizations whose help and assistance may have been important to the success of your programs or activities cited in your application. However, this list of project partners will not increase your eligibility nor will it be used in the actual evaluation of your application.

IV. Recognition Application Sections

A. Effective Utility Management

Prepare a written narrative of the types of management practices the applicant conducts or has conducted that demonstrate Effective Utility Management (EUM) based on the 10 Attributes of Effectively Managed Utilities. (May 2007) Background information on the attributes, including the Keys to Management Success and a list of potential performance measures is found in the EUM Primer, Appendix C. The Primer provides guidance on assessment processes and a list of potential performance measures related to each of the Attributes. Applicants may use the performance measures contained in the Primer as a useful reference point for consideration. The Primer also describes a process that applicants can use to assess their existing programs and how well they address the 10 attributes. To view the Primer or learn more about EUM please visit:

http://www.epa.gov/waterinfrastructure/pdfs/tools_si_watereum_primerforeffectivelyutilities.pdf.

In developing the narrative under this category, describe the following: (1) How the applicant's current management program addresses the selected attributes and how the applicant assessed its operations before selecting these attributes; (2) the specific performance measures the applicant is using to track improvements in the selected attribute areas; (3) how the applicant evaluates performance based on these measures and makes any necessary changes based on this evaluation; and (4) subsequent changes or improvements to the operation that increases current or future performance.

Drinking water facilities may be more familiar with the Capacity Development Program based on 1996 Safe Drinking Water Act (SDWA) Amendments than the EUM. These organizations are strongly encouraged to apply and will be equally eligible for recognition. While some differences in terminology exist, the technical, managerial, and financial (TMF) elements of Capacity Development correspond very closely to the attributes of EUM. Applicants may refer to TMF elements in their narrative statements, but must refer back to the corresponding EUM category for review purposes. Please visit the SWLP website for helpful resources to assist in matching the elements of TMF and the attributes of EUM. If TMF elements are utilized, the response requirements of the application do not change. For more information on the Capacity Development Program, please visit <http://www.epa.gov/safewater/smallsystems/basicinformation.html>.

Requirements for large organizations:

- Demonstrate **6** of the 10 *Attributes of Effectively Managed Utilities* under the Effective Utility Management category.

Requirements for small organizations:

- Demonstrate **4** of the 10 *Attributes of Effectively Managed Utilities* under the Effective Utility Management category.

The applicant should select attributes that their organization can most effectively demonstrate. Please only address the number of attributes required even if your organization is able to demonstrate more.

□ **Effective Utility Management**

Entity is managing its operation and infrastructure based on the Attributes of Effectively Managed Utilities, Keys to Management Success, and Utility Performance measures endorsed by EPA and six major water and wastewater associations.

Descriptions of the Attributes are below. Please check which attributes you are describing.

- **Product Quality:** Produces potable water, treated effluent, and process residuals in full compliance with regulatory and reliability requirements and consistent with customer, public health, and ecological needs.
- **Customer Satisfaction:** Provides reliable, responsive, and affordable services in line with explicit, customer-accepted service levels. Receives timely customer feedback to maintain responsiveness to customer needs and emergencies.
- **Employee and Leadership Development:** Recruits and retains a workforce that is competent, motivated, adaptive, and safe-working. Establishes a participatory, collaborative organization dedicated to continual learning and improvement. Ensures employee institutional knowledge is retained and improved upon over time. Provides a focus on and emphasizes opportunities for professional and leadership development and strives to create an integrated and well-coordinated senior leadership team.
- **Operational Optimization:** Ensures ongoing, timely, cost-effective, reliable, and sustainable performance improvements in all facets of its operations. Minimizes resource use, loss, and impacts from day-to-day operations. Maintains awareness of information and operational technology developments to anticipate and support timely adoption of improvements.
- **Financial Viability:** Understands the full life-cycle cost of the utility and establishes and maintains an effective balance between long-term debt, asset values, operations and maintenance expenditures, and operating revenues. Establishes predictable rates—consistent with community expectations and acceptability—adequate to recover costs, provide for reserves, maintain support from bond rating agencies, and plan and invest for future needs.
- **Infrastructure Stability:** Understands the condition of and costs associated with critical infrastructure assets. Maintains and enhances the condition of all assets over the long-term at the lowest possible life-cycle cost and acceptable risk consistent with customer, community, and regulator-supported service levels, and consistent with anticipated growth and system reliability goals. Assures asset repair, rehabilitation, and replacement efforts are coordinated within the community to minimize disruptions and other negative consequences.
- **Operational Resiliency:** Ensures utility leadership and staff work together to anticipate and avoid problems. Proactively identifies, assesses, establishes tolerance levels for, and effectively manages a full range of business risks (including legal, regulatory, financial, environmental, safety, security, and natural disaster-related) in a proactive way consistent with industry trends and system reliability goals. For additional information, see EPA's "10 Features of an Active and Effective Protective Program" located at: <http://cfpub.epa.gov/safewater/watersecurity/features.cfm>.
- **Community Sustainability:** Is explicitly cognizant of and attentive to the impacts its decisions have on current and long-term future community and watershed health and welfare. Manages operations, infrastructure, and investments to protect, restore, and enhance the natural environment; efficiently use water and energy resources; promote economic vitality; and engender overall community improvement. Explicitly considers a variety of pollution prevention, watershed, and source water protection approaches as part of an overall strategy to maintain and enhance ecological and community sustainability.
- **Water Resource Adequacy:** Ensures water availability consistent with current and future customer needs through long-term resource supply and demand analysis, conservation, and public education. Explicitly considers its role in water availability and manages operations to provide for long-term aquifer and surface water sustainability and replenishment.
- **Stakeholder Understanding and Support:** Engenders understanding and support from oversight bodies, community and watershed interests, and regulatory bodies for service levels, rate structures, operating budgets, capital improvement programs, and risk management decisions. Actively involves stakeholders in the decisions that will affect them.

B. Resource Efficiency and Protection

To be recognized, the applicant must demonstrate implementation of activities in the appropriate number of categories below. Where appropriate, identify changes or improvements to the operation that increases current or future performance. Place an X in the appropriate box(s) to indicate the applicant's selection for the other activities of choice. The applicant should select the box(s) for the area in which the organization can demonstrate the greatest success.

- **Large organizations:** demonstrate activities in 3 boxes in this category
- **Small organizations:** demonstrate activities in 2 boxes in this category

Note: Because of the breadth of activities under the category of *Ground Water and Surface Water Protection on a Watershed Basis* this box counts as two boxes. For example, to complete this section (B), a small organization would not need to demonstrate additional activities, and a large organization would only need to demonstrate one additional selection.

Water Efficiency

- The organization has adopted and is implementing a Water Efficiency/Water Conservation Program or a Stormwater Program that has at least three of the following elements in place (for additional detail see EPA's *Water Conservation Plan Guidelines*, EPA-832-D-98-001, August, 1998; online at <http://www.epa.gov/watersense/pubs/guide.htm>):
- Joining, and actively participating in EPA's WaterSense Program as a Promotional Partner
 - Water metering measures including, but not limited to: source-water metering, service connection metering and reading, public use metering (e.g., parks), meter accuracy analyses, and meter repair/replacement
 - Active water system audit program(s). Activities may include: analysis of impervious surface; leak detection and repair; loss-prevention program; large-volume user and landscape audits; and/or analysis of non-accounted for water (e.g. using the IWA/AWWA water audit method at www.awwa.org/Resources/WaterLossControl.cfm?ItemNumber=48055);
 - The entity has conservation rate structures in place.
 - Active outreach program such as: understandable and informative utility bills, prompt public violation notifications, school activities, public education/workshops, "downspout disconnect" programs, or establishment of advisory committees
 - Promoting new technologies and implementing rebate/voucher/incentive programs
 - Retrofit program(s) and kits are available and are being targeted and distributed
 - The entity has active conservation programs for commercial, industrial, and institutional facilities (e.g. a rewards program for users that significantly conserve or reuse water or reduce runoff)
 - Active and successful water recycling, reuse, or reclamation operations that treat wastewater or divert runoff to be used for beneficial purposes (e.g. agricultural and landscape irrigation, industrial processes, toilet flushing, and/or ground water basin replenishment; refer to "*Guidelines for Water Reuse*, EPA-625-R-04-108, September 2004; online at <http://www.epa.gov/nrmrl/pubs/625r04108/625r04108.pdf>).

Pretreatment

- Facility has adopted and is implementing an approved Pretreatment Program Plan, as described in 40 CFR 403. An applicant under this category should include at least two of the following achievements.
 - Pretreatment programs or pollutant strategies in place that address existing and emerging pollutants or sources with demonstrated environmental and/or staff resource benefits. (Examples could include: fats, oils, and greases (FOG) programs with food services industries that demonstrate decreases in sanitary sewer overflows and reductions in staff response resources; dental amalgam separation programs; or expired pharmaceutical collection programs with health services industries.)
 - Production of high quality biosolids meeting limits in Tables 1 and 3 of 40 CFR 503.13 attributable to pollutant control programs with industrial users.
 - Participation in state or local incentive or recognition programs to encourage zero discharge for categorical industrial users (CIUs) and non-categorical significant industrial users (SIUs)

Decentralized Systems

- Organization has an actively managed decentralized treatment system in place that is implementing at least six of the following activities (for additional detail see *EPA's Voluntary National Guidelines for Management of Onsite and Clustered (Decentralized) Wastewater Treatment Systems*, EPA 832-B-03-001, March 2003; online at http://www.epa.gov/owm/septic/pubs/septic_guidelines.pdf):
 - Maintain an inventory of all systems within the service area
 - Conduct public education efforts to inform owners of plans and actions to be taken
 - Employ trained and certified system installers, operators and haulers
 - Employ subsurface treatment options based on a soil evaluation by a licensed soil evaluator
 - Conduct regular inspections and/or monitoring
 - Dispose of residuals in accordance with regulatory requirements
 - Utilize specific and measurable performance requirements along with compliance monitoring
 - Require system inspection prior to sale of property
 - Send maintenance reminders to owners at regular intervals
 - Utilize a responsible management entity (RME) with legal authority to implement its management practices

Biosolids / Septage / Residuals Management

- Facility has a certified environmental management system (EMS) under the National Biosolids Partnership (NBP) (www.biosolids.org) or has undertaken significant activities to address biosolids/septage/residuals management utilizing the principles and practices described in the NBP EMS Program *Manual of Good Practice* at: www.biosolids.org/ems_main.asp?sectionid=48&pageid=189&pagename=Manual%20of%20Good%20Practice in two or more of the following areas:
 - Innovative reuse activities focused on soil improvement and productivity (e.g., revegetating/restoring/reclaiming mine sites and spoils piles, construction sites, and other highly disturbed or contaminated areas, including industrial Superfund and Brownfields sites)
 - Conversion to high value products (e.g., Class A/EQ-quality soil amendments or fertilizers, fuel sources comparable to powdered coal or low grade oil, etc.)
 - Effective management of treatment operations leading to overcoming serious odors/acceptance problems, significant energy production, recovery of useful products, etc.
 - Effective and open communication with and involvement of stakeholders and active dialog with the public on issues of concern regarding biosolids/septage/residuals management.

Energy Management

- Facility has conducted an energy audit and is implementing changes in process(s), procedures and/or equipment to reduce energy consumption by at least 20%, or produce 50% or more of its energy needs by sustainable power either onsite (e.g., by CHP using biogas from anaerobic digestion, etc.) or by alternatives energy production technologies (e.g., solar, wind, geothermal) to decrease purchase and use of energy derived from non-renewable fossil fuels, consistent with the steps described in EPA's *Energy Management Guidelines for Wastewater and Water Utilities*, located at http://www.epa.gov/waterinfrastructure/bettermanagement_energy.html, including the use of EPA's *Energy Benchmarking* tool located at www.energystar.gov/benchmark. Other resource documents include:
- “*Opportunities for and Benefits of Combined Heat and Power at Wastewater Treatment Facilities*” (EPA-430-R-07-003; April 2007) at: www.epa.gov/chp/documents/chp_wwtf_opportunities.pdf
 - “*Water and Energy: Leveraging Voluntary Programs to Save Both Water and Energy*” (March 2008) at: www.energystar.gov/ia/partners/publications/pubdocs/Final%20Report%20Mar%202008.pdf
 - “*Water and Wastewater Energy Best Practice Guidebook*” (2006) at: www.werf.org/AM/Template.cfm?Section=Home&TEMPLATE=/CM/ContentDisplay.cfm&CONTENTID=10245

Climate Change Adaptation or Mitigation

- Facility is actively adapting to the effects of climate change or taking actions to mitigate these effects. For example:
- Entity has assessed the organization’s vulnerability to impacts of climate change in order to plan for needed adaptation. For additional information, see Feature 4 of EPA’s “10 Features of an Active and Effective Protective Program” located at: <http://cfpub.epa.gov/safewater/watersecurity/features.cfm>.
 - A drought management plan, including a water efficiency program as described under the water efficiency section above has been developed and includes 50-year sustainable yield and demand analyses
 - The implementation of adaptation strategies into capital planning and budgeting processes (e.g., relocation or hardening of facility, redesigning systems, and adopting stormwater strategies that include green infrastructure solutions and account for more extreme fluctuations in precipitation)
 - Entity is collecting gases as an energy source for either the facility and/or local community (e.g., capturing methane from a bioreactive landfill; or scrubbing and converting anaerobic digester biogas to fuel local city transit fleet)
 - Entity has enacted community outreach information programs to address: water supply issues; climate change; and/or linking water use to energy use and greenhouse gas emissions. See <http://www.epa.gov/ow/climatechange>.
 - Entity has adopted Water Environment Research Foundation’s (WERF’s) Roadmap to Sustainability, with goals and milestones for 100% energy self-sustainability by 2040 (final document in development; reference to be provided).

- **Ground Water and Surface Water Protection on a Watershed Basis (counts as 2 boxes under section B. All four components must be addressed)**

Engage With Local or Regional Partners

Facility has engaged local or regional partners to jointly take action to protect source water/watershed.

Examples include:

- Applicant participates in or manages a committee made up of key stakeholders in land use decisions in the delineated area (watershed or wellhead protection area).
- The committee engages with local officials on land-use planning and land-use management, environmental regulations, review of site designs for residential, commercial, and industrial development within source water/watershed areas, works with relevant Federal and state government program managers.
- Meetings are held several times a year and recommendations are made to key decision makers who have jurisdictional authority over source water/watershed areas.

Characterize the Watershed

Facility has in place goals, priorities and strategies based on an analysis of the watershed. Describe how data analysis is conducted and documented to identify current and future infrastructure, watershed, water quality, and water quantity issues.

Examples include:

- Uses the state-developed or locally modified source water assessments as a basis for analyzing prevalence of current drinking water contaminants of concern and/or prevalence of current sources of those contaminants.
- Uses data, mapping and surveying to evaluate the hydrologic system and to evaluate water and wastewater infrastructure needs, including, for example, “build-out” analyses showing effects of long-term development trends; has determined susceptibility of waters to pollution from point and nonpoint sources of contamination; has projected changes in hydrologic cycles due to climate change, etc.
- Has undertaken an integrated evaluation or analysis of wet weather problems tied to receiving water integrity
- Evaluates multimedia effects of industrial sites within a municipality (pretreatment, stormwater, and air emissions from industrial facilities).
- Identifies goals, strategies and, where possible, measurable objectives as a result of analysis.

Examples of metrics include:

- Reducing flow rates in existing storm sewer systems by 50% by 2015, resulting in decreased sedimentation and improved aquatic habitat.
- Removal of 50 acres of asphalt and replacing it with pervious surface by 2015, and in increments thereafter, to achieve at least 90% effective permeability in the plan area.
- All new construction will conform to LID principles by 2012 and will retain and filter a rainfall volume equal to a 10-year storm frequency event without discharge to the municipal storm sewer system.
- Substantially reduce the risk of drinking water contaminants from identified sources (e.g. on-site decentralized systems) in drinking water source areas thereby decreasing the need for utilities to invest in treatment technologies.

Actively Implement the Watershed Plan

Describe the institutional frameworks that are in place and how the watershed plan is being implemented by the applicant.

Examples include:

- Riparian reforestation to enhance pollutant mitigation functions.
- Stream channel restoration for increased hydrologic stability.
- Critical land acquisitions (e.g., conservation easements, purchases).
- Formal and informal agreements that include sources and leveraging of funding.
- A holistic, integrated protection approach implemented to manage significant potential sources of contaminants in the watershed that covers both ground water and surface water sources of drinking water and avoids transferring pollutants from one resource to another.
- Community has developed an integrated program to address wet weather issues, including such sources as: regulated stormwater, unregulated runoff (nonpoint sources), CSOs, SSOs, peak flow at POTWs, source water protection.
- Codes and ordinances with green infrastructure performance standards have been adopted (e.g., infiltration, evapotranspiration, capture and reuse of stormwater); a site plan review process is active; inspection, tracking and enforcement procedure are in place.
- Ordinances are protective of public drinking water supplies and source water protection areas.
- Prioritization of cost-effective activities which support source water protection.
- Applicant is implementing a watershed-based permit under a watershed permitting strategy, where applicable.
- Active nutrient water quality trading is being implemented under a watershed-based permit.

Use an Adaptive Management Process to Document Results

Progress is monitored and environmental improvements are documented, and data supports a formal adaptive management process. Document and summarize your analytical approach to evaluating the effectiveness of actions. Describe, as applicable, how results are being monitored; time frames for re-evaluation and adjustment; uncertainties and research needs, and how the project contributes to filling those needs; how data has been collected and used to modify plans; quality standards for applying new information; and/or process to ensure transparency to stakeholders and the public.

Examples include:

- Sustainable infrastructure measures that are used to document project benefits, such as anticipated or actual capital cost-avoidance.
- An evaluation strategy is in place that uses environmental metrics demonstrating environmental improvement or protection to determine whether the land-use policies/watershed plan is effective in reducing the risks to the source water/watershed.
- Has established a process for reviewing the results of the evaluation strategy, for communicating these results to local officials, and for adjusting source water/watershed protection measures as needed to better meet program goals.
- Provides examples of how the program has adapted to information from the evaluation program.
- Documents improvements based on established targets and goals.

VI. Application Submittal Instructions

EPA requests that all completed applications be electronically submitted and must be completely filled out. These applications must be submitted using only one submission method, and must be sent in its entirety. Multiple submissions or sections of the application received piece meal will not be reviewed.

In addition to the written narrative, applicants may also submit up to three electronic photos (in jpg format) with descriptive captions of activities or facilities related to the main achievements of the application. These photos may be used for publicizing recognition winners.

Note: photos will not be reviewed for purposes of determining whether criteria have been met – only the written narrative will be reviewed. If you plan to include pictures but are not submitting your application electronically, please include the pictures along with your mailed application.

Applicants that are unable to submit electronically, may produce the application on double-sided recycled paper, and submit the complete application to the Sustainable Water Leadership Program Coordinator by [date pending]:

Sustainable Water Leadership Program
United States Environmental Protection Agency
Office of Water
MC 4204M
1200 Pennsylvania Avenue NW
Washington, DC 20460
(202) 564 1997
SWLP@epa.gov

Appendix D

Number of Respondents and Other Assumptions

Appendix D

Exhibit D.1 Respondents and Other Assumptions

Description	Number	Source
Wastewater (Year 1)		
Submit Recognition Application	194	Assumed 194 total applicants (mean estimate) - EPA Spreadsheet (simulation_DW_application_numbers)
Drinking Water (Year 1)		
Submit Recognition Application	336	Assumed 336 total applicants (mean estimate) for drinking water - EPA Spreadsheet (simulation_DW_application_numbers)
Total Applications Submitted (Year 1)	530	Totals may not add exactly due to rounding errors (the data were developed using spreadsheets).
Wastewater (Year 2)		
Submit Recognition Application	0	Recognition program will run every-other year starting in 2010.
Drinking Water (Year 2)		
Submit Recognition Application	0	Recognition program will run every-other year starting in 2010.
Total Applications Submitted (Year 2)	0	
Wastewater (Year 3)		
Submit Recognition Application	343	Assumed 343 total applicants (mean estimate) - EPA Spreadsheet (simulation_DW_application_numbers)
Drinking Water (Year 3)		
Submit Recognition Application	920	Assumed 336 total applicants (mean estimate) for drinking water - EPA Spreadsheet (simulation_DW_application_numbers)
Total Applications Submitted (Year 3)	1263	Total excludes applicants that did not get recognized in Year 1
Wastewater		
Application time-burden, Year 1		
Time for manager to read instructions and search existing data sources	2.0	Revised estimates for new Recognition Application
Time for staff to gather information and complete the questionnaire	16.0	Revised estimates for new Recognition Application
Time for administrative support to prepare forms	2.0	Revised estimates for new Recognition Application
Total	20.0	
Application time-burden, Year 2		
Time for manager to read instructions and search existing data sources	0.0	No applicants in Year 2
Time for staff to gather information and complete the questionnaire	0.0	No applicants in Year 2
Time for administrative support to prepare forms	0.0	No applicants in Year 2
Total	0.0	

Application time-burden, Year 3		
Time for manager to read instructions and search existing data sources	2.0	Assumed the same burden as initial application
Time for staff to gather information and complete the questionnaire	16.0	Assumed the same burden as initial application
Time for administrative support to prepare forms	2.0	Assumed the same burden as initial application
Total	20.0	
Drinking Water		
Application time-burden, Year 1		
Time for manager to read instructions and search existing data sources	2.0	Assumed the same burden as for Wastewater Applicants
Time for staff to gather information and complete the questionnaire	16.0	Assumed the same burden as for Wastewater Applicants
Time for administrative support to prepare forms	2.0	Assumed the same burden as for Wastewater Applicants
Total	20.0	
Application time-burden, Year 2		
Time for manager to read instructions and search existing data sources	0.0	No applicants in Year 2
Time for staff to gather information and complete the questionnaire	0.0	No applicants in Year 2
Time for administrative support to prepare forms	0.0	No applicants in Year 2
Total	0.0	
Application time-burden, Year 3		
Time for manager to read instructions and search existing data sources	2.0	Assumed the same burden as Year 1 application
Time for staff to gather information and complete the questionnaire	16.0	Assumed the same burden as Year 1 application
Time for administrative support to prepare forms	2.0	Assumed the same burden as Year 1 application
Total	20.0	

Agency		
Completeness Review		
Percentage of Incomplete Recognition Applications Submitted	0.1	Assumed 10% of applicants would submit an incomplete application and re-apply in year 3 based on BPJ
Time for OWM Staff to Review application	0.16666667	Assumed 10 minutes/application based on BPJ
Time for additional follow-up for incomplete application	0.5	Assumed 30 minutes for additional follow-up: BPJ
Compliance Review		
Percentage of applications meeting compliance	0.8	Assumed 80% of applicants would meet compliance
Time for OECA staff to review application	0.25	Assumed 15 minutes/application based on BPJ
Time for OW staff to review application	0.08333333	Assumed 5 minutes/application based on BPJ
Substantive Review		
Percentage of applications meeting program criteria	0.75	Assumed 75% of applicants would meet program criteria
Time for one panel member to review application	0.33	Assumed 20 minutes/application/panel member
Number on Review Panel	3	Assumed 3 panel members for the review
Post-Review Awards Process		
Time to prepare certificates and letters	0.17	Assumed 10 minutes/cert. and letter (5 min for Program Manager + 5 min for Admin Support)
Patches		Removed for this part of the ICR
Printing and Postage	\$8.00	ODC Cost

Appendix E

Respondents Activities Exhibits

Exhibit E.1 Number of Respondents in Year 1

Information Collection Activity	Number of Respondents*
Wastewater	
Number of Applications	194
Number of Incomplete Applications	19
Number of Applications for Compliance Review	175
Number of Applications Meeting Compliance	140
Number of Applications Meeting Program Criteria	105
Number of Applications not Eligible for Recognition	89
Drinking Water	
Number of Applications	336
Number of Incomplete Applications	34
Number of Applications for Compliance Review	302
Number of Applications Meeting Compliance	241
Number of Applications Meeting Program Criteria	181
Number of Applications not Eligible for Recognition	155
Total Number of Applications Submitted	530
Total Number of Respondents Recognized	286
Total Number of Respondents not Eligible for Recognition	244

* Totals may not add exactly due to rounding errors (the data were developed using spreadsheets).

Exhibit E.2 Number of Respondents in Year 3

Information Collection Activity	Number of Respondents*
Wastewater	
Number of Applications**	432
Number of Incomplete Applications	43
Number of Applications for Compliance Review	389
Number of Applications Meeting Compliance	311
Number of Applications Meeting Program Criteria	233
Number of Applications not Eligible for Recognition	199
Drinking Water	
Number of Applications**	1075
Number of Incomplete Applications	107
Number of Applications for Compliance Review	968
Number of Applications Meeting Compliance	774
Number of Applications Meeting Program Criteria	581
Number of Applications not Eligible for Recognition	494
Total Number of Applications Submitted	1507
Total Number of Respondents Recognized	814
Total Number of Respondents not Eligible for Recognition	693

* Totals may not add exactly due to rounding errors (the data were developed using spreadsheets).

**Includes respondents re-applying from Year 1

Exhibit E.3 Estimated Burden and Cost for Wastewater Applicant Respondent Activities (Year 1)

Activity	Number of Respondents	Number of Responses	Burden Per Response	Total Burden	Respondent Labor Cost (\$/hr)	Total Labor Cost (\$)
<i>Application</i>						
Manager reads instructions and search existing data sources	194	194	2.0	388	\$55.00	\$21,340.00
Staff gathers information and complete the questionnaire	194	194	16.0	3104	\$46.86	\$145,453.44
Administrative support prepares forms	194	194	2.0	388	\$23.12	\$8,970.56
Subtotal	-	-	20.0	3880	-	\$175,764.00

Exhibit E.4 Estimated Burden and Cost for Drinking Water Applicant Respondent Activities (Year 1)

Activity	Number of Respondents	Number of Responses	Burden Per Response	Total Burden	Respondent Labor Cost (\$/hr)	Total Labor Cost (\$)
<i>Application</i>						
Manager reads instructions and search existing data sources	336	336	2.0	671	\$55.00	\$36,905.00
Staff gathers information and complete the questionnaire	336	336	16.0	5371	\$46.86	\$251,685.06
Administrative support prepares forms	336	336	2.0	671	\$23.12	\$15,513.52
Subtotal	-	-	20.0	6713	-	\$304,103.58

Totals may not add exactly due to rounding errors (the data were developed using spreadsheets).

Exhibit E.5 Estimated Burden and Cost for Wastewater Applicant Respondent Activities (Year 3)

Activity	Number of Respondents	Number of Responses	Burden Per Response	Total Burden	Respondent Labor Cost (\$/hr)	Total Labor Cost (\$)
<i>Application*</i>						
Manager reads instructions and search existing data sources	432	432	2.0	864	\$55.00	\$47,520.00
Staff gathers information and complete the questionnaire	432	432	16.0	6912	\$46.86	\$323,896.32
Administrative support prepares forms	432	432	2.0	864	\$23.12	\$19,975.68
Subtotal	-	-	20.0	8640	-	\$391,392.00

Exhibit E.6 Estimated Burden and Cost for Drinking Water Applicant Respondent Activities (Year 3)

Activity	Number of Respondents	Number of Responses	Burden Per Response	Total Burden	Respondent Labor Cost (\$/hr)	Total Labor Cost (\$)
<i>Application*</i>						
Manager reads instructions and search existing data sources	1075	1075	2.0	2149	\$55.00	\$118,195.00
Staff gathers information and complete the questionnaire	1075	1075	16.0	17192	\$46.86	\$805,617.12
Administrative support prepares forms	1075	1075	2.0	2149	\$23.12	\$49,684.88
Subtotal	-	-	20.0	21490	-	\$973,497.00

*EPA assumes the burden per response is the same as the initial application burden in Year 1

Exhibit E.9 Summary of the Burden, Respondents, Responses, and Costs for the ICR Approval Period

Application	Year 1	Year 2	Year 3	3-year Total	Annual Average
	2010	2011	2012		
Respondents (number)	530	0	1,507	2,036	679
Responses (number)	530	0	1,507	2,036	679
Burden (hours)	10,593	0	30,130	40,723	13,574
Costs (labor)	\$ 479,868	\$ -	\$ 1,364,889	\$ 1,844,757	\$ 614,919
Costs (capital)-annualized	\$ -	\$ -	\$ -	\$ -	\$ -
Costs (O&M)	\$ -	\$ -	\$ -	\$ -	\$ -
Total Costs	\$ 479,868	\$ -	\$ 1,364,889	\$ 1,844,757	\$ 614,919

* Totals may not add exactly due to rounding errors (the data were developed using spreadsheets).

**Includes respondents re-applying from Year 1

Appendix F
Agency Activities Exhibits

Exhibit F.1 Estimated Agency Burden and Costs for Completeness Review (Year 1)

Activity	Respondents	OWM Staff	Administrative	Burden Per Response	Labor Cost per Response	Total Burden (hrs.)	Total Initial Cost
		Assumed Loaded Hourly Rate					
		\$57.53	\$30.20				
	A	Level of Effort (hrs)		B	C	A*B	A*C
Completeness Review	530	0.17	-	0.17	\$9.59	88	\$5,078
Additional Follow-up for Incomplete Applications	53	-	0.5	0.5	\$28.76	26.5	\$1,524
Total	-	-	-	-	-	115	\$6,603

Exhibit F.2 Estimated Agency Burden and Costs for Completeness Review (Year 3)

Activity	Respondents	Contractor (P1)	Supervisor	Burden Per Response	Labor Cost per Response	Total Burden (hrs.)	Total Initial Cost
		Assumed Loaded Hourly Rate					
		\$57.53	\$30.20				
	A	Level of Effort (hrs)		B	C	A*B	A*C
Completeness Review	1507	0.17	-	0.17	\$9.59	251	\$14,444
Additional Follow-up for Incomplete Applications	150	-	0.5	0.5	\$28.76	75	\$4,314
Total	-	-	-	-	-	326	\$18,758

Total Burden and Cost						441	\$25,361
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Exhibit F.3 Estimated Agency Burden and Costs for Compliance Review (Year 1)

Activity	Respondents	OECA Staff	OWM Staff	ODWGW Staff	Burden per Response	Labor Cost per Response	Total Burden (hrs.)	Total Cost
		Assumed Loaded Hourly Rate						
		\$57.53	\$57.53	\$57.53				
A	Level of Effort (hrs)			B	C	A*B	A*C	
Wastewater Compliance Review	175	0.25	0.08	-	0.33	\$19.18	58	\$3,356
Drinking Water Compliance Review	302	0.25	-	0.08	0.33	\$19.18	101	\$5,785
Totals	-	-	-	-	-	-	159	\$9,141

Exhibit F.4 Estimated Agency Burden and Costs for Compliance Review (Year 3)

Activity	Respondents	OECA Staff	OWM Staff	ODWGW Staff	Burden Per Response	Labor Cost per Response	Total Burden (hrs.)	Total Cost
		Assumed Loaded Hourly Rate						
		\$57.53	\$57.53	\$57.53				
A	Level of Effort (hrs)			B	C	A*B	A*C	
Wastewater Compliance Review	389	0.25	0.08	-	0.33	\$19.18	130	\$7,459
Drinking Water Compliance Review	968	0.25	-	0.08	0.33	\$19.17	323	\$18,552
Totals	-	-	-	-	-	-	452	\$26,011

Total Burden and Cost							611	\$35,152
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Exhibit F.5 Estimated Agency Burden and Costs for Substantive Review (Year 1)

Activity	Number of Respondents	Number of Responses	Burden Per Response per Panel Member	Number of Members on Panel	Respondent Labor Cost (\$/hr)	Total Burden	Total Cost (\$)
Substantive Review	381	381	0.33	3.0	\$57.53	381	\$21,917.03

Exhibit F.6 Estimated Agency Burden and Costs for Substantive Review (Year 3)

Activity	Number of Respondents	Number of Responses	Burden Per Response per Panel Member	Number of Members on Panel	Respondent Labor Cost (\$/hr)	Total Burden	Total Cost (\$)
Substantive Review	1085	1085	0.33	3.0	\$57.53	1085	\$62,414.63
Total Burden and Cost						1466	\$84,331.65

Exhibit F.7 Estimated Agency Burden and Cost for Individual Post-Review Activities (Year 1)

	EPA (Responses)	OWM Staff	Administrative	Burden per Response	Labor Cost per Response	O&M Cost per Response*	Total Cost	Total Burden (hrs.)	Total Cost
		Assumed Loaded Hourly Rate							
		\$57.53	\$30.20						
Activity	A	Level of Effort (hrs)		B	C	D	C+D	A*B	A*(C+D)
Certificates and Letters	286	0.17	0.17	0.33	\$14.62	\$8.00	22.62	95	\$6,469
Totals	-	-	-	-	-	-	-	95	\$6,469

*O&M costs for printing and mailing

Exhibit F.8 Estimated Agency Burden and Cost for Individual Post-Review Activities (Year 3)

	EPA (Responses)	OWM Staff	Administrative	Burden per Response	Labor Cost per Response	O&M Cost per Response*	Total Cost	Total Burden (hrs.)	Total Cost
		Assumed Loaded Hourly Rate							
		\$57.53	\$30.20						
Activity	A	Level of Effort (hrs)		B	C	D	C+D	A*B	A*(C+D)
Certificates and Letters	814	0.17	0.17	0.33	\$14.62	\$8.00	22.62	271	\$18,413
Totals	-	-	-	-	-	-	-	271	\$18,413

*O&M costs for printing and mailing

Total Burden and Cost								367	\$24,882
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Exhibit F.9 Summary of the Agency Burden and Costs for the ICR Approval Period

Agency Burden	Year 1	Year 2	Year 3	3-year Total	Annual Average
	2010	2011	2012		
Completeness Review	115	0	326	441	147
Compliance Review	159	0	452	611	204
Substantive Review	381	0	1,085	1466	489
Post-Review Recognition	95	0	271	367	122
Total Burden	750	0	1,809	2,559	853

Agency Cost	Year 1	Year 2	Year 3	3-year Total	Annual Average
	2010	2011	2012		
Completeness Review	\$ 6,603	\$ -	\$ 18,758	\$ 25,361	\$ 8,454
Compliance Review	\$ 9,141	\$ -	\$ 26,011	\$ 35,152	\$ 11,717
Substantive Review	\$ 21,917	\$ -	\$ 62,415	\$ 84,332	\$ 28,111
Post-Review Recognition	\$ 6,469	\$ -	\$ 18,413	\$ 24,882	\$ 8,294
Total Cost	\$ 44,130	\$ -	\$ 125,596	\$ 169,726	\$ 56,575