

OCFO's Technical Guidance on FY 2011 National Program Manager Guidance and Annual Commitment Process

October 14, 2009

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I. Introduction to the NPM Guidance Process

Each of EPA's programmatic National Program Managers (NPMs)¹ develops annual guidance that defines program priorities, strategies, and performance measures in accordance with EPA's *Strategic Plan*² and *Annual Plan and Budget*. The guidance provides a national framework for regions to use as they establish their own work plans, performance goals, and work-sharing strategies with the states. This year's guidance will be the first to reflect the new Administration's priorities. NPMs should adjust their implementation strategies and programmatic priorities to reflect this new Agency direction.

Administrator Jackson's Priorities: 1) *Greenhouse gas reduction*, 2) *Air quality improvement*, 3) *Managing chemical risk*, 4) *Hazardous waste site clean up* and 5) *Protecting America's waters*.

The NPM guidance presents a key opportunity for aligning EPA activities to state, local, and tribal partners as well as other Federal agencies, thereby distributing environmental services to those best positioned to deliver them. In these tight fiscal times, this alignment is especially critical to ensure that environmental services are provided effectively. This enhanced partnership will also promote greater transparency and cooperation by establishing meaningful partnerships between the EPA and other organizations with significant responsibilities for advancing a strong economy and a sustainable environment. NPMs should use their guidance to promote new approaches, innovative tools, and new partners to accelerate environmental protection.

OCFO's Technical Guidance on FY 2011 National Program Manager Guidance and Annual Commitment Process provides context, requirements, and instructions for the development of the individual NPM guidance documents. The OCFO guidance addresses three areas of national program management: 1) developing FY 2011 NPM priorities, strategies, and associated measures; 2) reporting and analyzing results for FY 2010 performance commitments; and 3) negotiating agreements for FY 2011 performance commitments. The OCFO guidance also aims to support improved Agency program management and decision-making by:

- Providing guidance for incorporating new Administration priorities and themes into operational plans.
- Ensuring consistency and clarity across NPM guidance documents so that regions, states, and tribes are better able to identify priorities and cross-program opportunities for implementing EPA programs.

¹ For purposes of this guidance, NPMs refer to the following 5 offices: Office of Air and Radiation, Office of Enforcement and Compliance Assurance; Office of Prevention, Pesticides, and Toxics Substances; Office of Solid Waste and Emergency Response; and Office of Water.

² EPA's *2009-2014 Strategic Plan* is currently under development. The Agency issued a *2009-2014 Strategic Plan Change Document* for a 60-day public review and comment period on September 30, 2008. Based on these comments and direction from the Agency's new leadership, the Agency developed an internal review draft of the *Strategic Plan*, dated May 14, 2009. This is the document referred to as the *2009-20014 Strategic Plan* throughout this guidance, and NPMs should use this as the basis for the FY 2011 NPM Guidance until the *Strategic Plan* is finalized. NPMs should adjust their program priorities, strategies, and performance measures to be consistent with the final *Strategic Plan*, assuming it is released during the FY 2011 guidance process.

- Establishing processes to improve the quality, consistency, and reliability of performance measures, and related data and reporting in Measures Central, consistent with OCFO's measures governance guidance (see page 6).

Based on feedback from NPMs and regions, OCFO is making minor modifications to the process and guidance from FY 2010, but the majority of the timeframes and templates will continue unchanged. The complete schedule of Key Milestones for this year appears in **Attachment 12**. In addition, individual schedules for NPMs (**Attachment 13**), regions (**Attachment 14**), and states and tribes (**Attachment 15**) are provided.

II. Development of the FY 2011 National Program Manager Guidance

This section of OCFO's guidance includes four key areas:

- A. Guidelines and Considerations for Developing NPM Priorities
- B. Considerations for Developing FY 2011 Annual Operating Measures
- C. Measuring Results in State Grant Work Plans
- D. Format Requirements and Key Milestones

A. Guidelines and Considerations for Developing NPM Priorities

Action Requested: Identify FY 2011 national program priorities for achieving strategic and annual goals and advancing the Administrator's priorities.

Detailed Information

NPMs should use the work done to date on EPA's *2009-2014 Strategic Plan* and EPA's *FY 2011 Annual Plan and Budget*, as well as the Administrator's priorities, to identify NPM FY 2011 program priorities and implementation strategies. Any necessary resource or performance commitment adjustments while working with regions, states, and tribes should also be included.

Key Considerations:

- *Draft 2009 – 2014 Strategic Plan:* EPA's *2009-2014 Strategic Plan* is currently under development. The Agency is working to determine the next steps on the Strategic Plan and will provide additional guidance once decisions are made. The strategic architecture contained in the *Change Document* is being used to implement the FY 2010 Budget, and used to build the FY 2011 OMB Budget Submission. NPMs should consider the work done to date on the Strategic Plan as they make adjustments to priorities, strategies, and measures for their FY 2011 NPM Guidance documents. Once the *Strategic Plan* is finalized, NPMs may need to make further adjustments.
- *Regional priorities and strategies:* NPMs should describe how regional priorities and strategies directly or indirectly support FY 2011 NPM priorities. NPMs should recognize that some adjustments may be necessary to their priorities and strategies to align with regional priorities and strategies.

- *FY 2011 Annual Plan and Budget:* EPA's *FY 2011 Annual Plan and Budget* will be finalized in spring 2010. Decisions made in EPA's *FY 2011 Annual Plan and Budget* affecting programs, strategies, and performance targets should be reflected in the draft and final FY 2011 NPM guidance documents, as appropriate, including the Agency's High Priority Performance Goals, FY 2011 Investment Areas, Place-based Programs and decisions that reflect Administrator Jackson's priorities.
- *Administrator Jackson's Themes:* NPMs should consider and incorporate the Administrator's themes in decision-making when appropriate. NPMs should collaborate with theme-related offices to identify the most effective means of achieving goals. For example, the Agency's children's health and environmental justice programs contribute to protecting disadvantaged populations and communities. Activities in these areas should play a greater role in implementation strategies. NPMs are encouraged to work directly with The Office of Environmental Justice and The Office of Children's Health to identify specific efforts or initiatives to highlight in their guidance documents.

Administrator's Themes:

- 1) *Protecting those Most Vulnerable:* Focuses attention on "at risk" populations;
- 2) *Driven by Science and the Law:* Efforts to put EPA back on the map as a world premier environmental science institution and to go where the science and law is leading;
- 3) *Strengthening the Network:* Recognizes the network of federal, state and local partners and actions that are needed to protect the environment and EPA's need to identify its place in that web;
- 4) *Informing 21st Century Decision-Making:* Efforts to be transparent; to provide data that can be used to evaluate the success of various environmental strategies and actions; and to expand our capacity to affect the behavior of others; and
- 5) *Changing the Face of Environmental Protection:* Includes efforts to diversify EPA's workforce, appeal to a new generation, broaden the constituency of stakeholders, and encourage everyone to take responsibility for environmental protection.

- *Agency-wide initiatives:* NPMs should incorporate, to the extent possible, the following Agency wide initiatives as they develop FY 2011 priorities. Recent examples include:
 - *Burden Reduction:* EPA is continuing to work with the Environmental Council of the States (ECOS) to identify and address high-burden, low-value reporting requirements. NPMs are reminded to continue their work on uncompleted priority areas (see <http://www.epa.gov/burdenreduction/>). OPEI has the Agency wide lead in this initiative and will be working closely with ECOS in FY 2010 to identify new priority areas for further reporting burden reductions. As they identify and propose reductions to additional low-value reporting requirements and adjust their reporting commitments accordingly, NPMs should be cognizant of the Agency's commitment to the states to further minimize reporting burden.

- *Management Integrity:* In FY 2010, OCFO is reemphasizing the Agency's Federal Managers' Financial Integrity Act (FMFIA) program and annual assurance letters. This OCFO annual program guidance represents a "management control" to ensure effective and efficient program operations. Since each NPM guidance sets forth program priorities and key actions for the upcoming year, it also serves as an internal control tool. When NPMs prepare their FY 2010 annual letters of assurance to the Administrator on the effectiveness of the internal controls over their programmatic operations (due in August 2010), NPMs will be encouraged to discuss the effectiveness of their annual program guidance as one of their internal controls.³

B. Considerations for Developing FY 2011 Measures

Action Requested: Align and assign annual commitment measures to annual measures in EPA's *FY 2011 Annual Plan and Budget* and to the strategic measures in EPA's *2009-2014 Strategic Change Document*. Consider input from EPA's Performance Management Workgroup and OCFO's measures governance team on data quality efforts when determining improvements to annual commitment measures and when entering information into Measures Central. NPMs are encouraged to review and improve their measures as appropriate.

Detailed Information

For FY 2011, OCFO is building on current efforts to improve the quality, consistency, and alignment of measures, to strengthen measures governance, and to promote better use of performance measures, targeting and performance data in managing programs and assessing results. While EPA is not conducting a centralized measures review or streamlining in FY 2011, the work undertaken over the last two years has resulted in an improved and reduced baseline of measures entering FY 2011.

In FY 2011, government-wide initiatives related to performance and measures (e.g., a replacement for the Performance Assessment Rating Tool and continued work on high priority performance goals) will likely demand our attention and may impact measure development and use of performance data. EPA's Performance Management Workgroup, comprising regional and program office senior staff, will be an important Agency-wide communication resource for these efforts.

The FY 2011 annual commitment process and schedule will be similar to prior years. In spring 2010, NPMs and regions with input from states, tribes, and other stakeholders, will begin negotiation of FY 2011 annual performance commitments and reach a final agreement by October 2010. The deadline for a final agreement of performance commitments continues to be one month after the end of the fiscal year to allow for consideration of prior year results.

³As part of the Agency's Federal Managers Financial Integrity Act [FMFIA] process, OCFO will provide additional direction on assessing internal controls--including NPMs' annual program guidance--and preparing annual assurance letters when it issues FY 2010 FMFIA/Management Integrity guidance in December 2009/January 2010.

As the strategic measures contained in the *2009-2014 Strategic Plan* are finalized between now and September 2010, there may need to be corresponding changes to FY 2011 annual performance and operational commitment measures.

1. Measures Governance in FY 2010 and FY 2011

OCFO is continuing to work on improving the quality of Agency measures, performance data, and reporting to inform Agency decision making. Recently, OCFO issued supplemental measures governance guidance to improve the use of measures criteria and guidelines, implement standard practices for reporting, and improve the Annual Commitment System (ACS) for easier access to and analysis of performance information. OCFO released *Phase I Supplemental Guidance* (June 2008) and *Phase II Supplemental Guidance* (April 2009) to clarify definitions, provide instructions on entering measures and data in ACS, and recommend best practices.⁴

As stated earlier, for FY 2011, OCFO will not be conducting a formal measures review process; however, for any changes made to measures, including those as part of the FY 2011 OMB submission, please follow the standard measure change procedure as explained in **Attachment 5** and ensure they are reflected in your measures appendix. If NPMs plan to make any changes to Senior Management Measures, they should contact John M. Hall (202-564-3020), who will provide further guidance.

Over the next year, OCFO will focus on the quality and utility of data in ACS, monitoring data quality and data entry more actively, and identifying obstacles or inconsistencies that need correction. Over the next several months, OCFO will release guidance and/or communicate with the programs and regions on specific efforts to improve both the data and the system. OCFO will work cooperatively with program and regional offices to make any necessary improvements and analyze performance results and progress in achieving Agency goals.

In tandem with the data quality improvements, OCFO will concentrate on performance measurement efforts for priority focus areas related to the Administrator's priorities in order to provide better analysis of data and results. This work will enable the Agency to improve the measurement framework in these areas and better communicate results. OCFO will work closely with program offices to better understand the issues, develop short- and long-term goals, and create a framework that aligns them with the long-term planning of the Agency.

2. American Recovery and Reinvestment Act (ARRA)

The American Recovery and Reinvestment Act (ARRA) provided EPA with \$7.2 billion to stimulate the economy and safeguard the environment. The EPA has identified a set of performance measures for each of the ARRA programs for quarterly reporting and incorporated them into ACS. The Agency will publicly report ARRA performance data beginning with the quarterly report for the fourth quarter of FY 2009.

⁴ For more information, please refer to OCFO's ACS intranet site: <http://intranet.epa.gov/ocfo/acs/index.htm>

Several of the measures are identical to previously existing ACS measures. Because ARRA results must be tracked separately, a companion measure has been created in ACS to track only the Recovery performance increment. The pre-existing NPM Guidance measures will track **total** performance results (non-Recovery plus Recovery) (**Attachment 11**). FY 2010 results and FY 2011 targets should therefore represent full program performance (with combined ARRA and non-ARRA funds). Recovery-specific measures should have national targets that reflect the expected incremental performance contributions of Recovery Act Funds. Recovery measures are not required to have regional targets.

EPA expects ARRA performance results will generate a high level of interest when they become public; therefore, the Agency is paying careful attention to data quality. The Office of Environmental Information (OEI) is leading the development and implementation of Management Action Plans (MAPs). MAP I (addressing environmental data) and MAP II (addressing all other performance data, except data collected under ARRA Section 1512) provide guidance to ensure the data are collected, processed, stored and reported following Agency quality standards and quality assurance/quality control procedures, appropriate for the data's intended use and public disclosure. Beginning with this first official ARRA reporting period, NPMs will be required to complete and certify a data quality record and conduct a pre-dissemination review of the performance data, as required under EPA's Information Quality Guidelines (IQG) and as specified in MAP II. For more information on EPA's internal management controls covering ARRA performance data reporting, refer to EPA's Stewardship Plan, available at <http://intranet.epa.gov/ocfo/perform/integrity.htm> and information referenced in **Attachment 1**.

C. Measuring Results in State Grant Work Plans

Action Requested: The Agency continues to work with states to identify an improved set of common measures for FY 2011 state grant workplans, which are expected to be identified by November 2009. NPMs should then incorporate these measures into their NPM Guidance and collect the data accordingly.

Detailed Information

EPA believes that consistent and quantifiable reporting of state results is critical for achieving national goals and results. From FY 2007 through FY 2009, and in response to OMB passback language, EPA used a standardized State Grant Performance Measures Template designed to demonstrate results from continuing environmental program grants. The Template was attached to state grant work plans and contained a subset of existing measures agreed upon by the states and EPA. On a parallel track, in FY 2009, EPA and the states conducted a pilot to test whether workplans could be standardized to address key essential elements, including linkages to EPA's Strategic Plan, related EPA-state measures and planned accomplishments.

The Agency and the states have evaluated both of these initiatives. The evaluations show that:

- 1) The State Grant Performance Measure Template design is not effective to accurately measure state grant performance results; and
- 2) Workplans can be flexibly organized around essential elements under a variety of formats.

For FY 2011, under the guidance of the Environmental Council of the States (ECOS) Performance and Partnership Work Group, EPA and the states will develop a new approach for identifying and reporting on state results. This includes:

- 1) Identifying a limited set of measures that better reflect state grant accomplishments using information currently reported in electronic systems, therefore representing no increase in state reporting burden; and
- 2) Incorporating those measures as an essential element in workplans.

Please note that for FY 2010, States will continue reporting on the earlier set of state grant measures as they are existing measures, but are no longer required to complete the template.

Further guidance will be issued from OGD/OCFO/OCIR detailing the alternatives for FY 2011 in ensuring that grant workplans contain the required elements. As always, ORBIT (OCFO's Reporting and Business Intelligence Tool) reports will continue to be available to report results by state and by grant.

D. Format Requirements and Key Milestones for FY 2011

Action Requested: NPMs should follow specified format and content requirements in developing FY 2011 NPM Guidance documents, including the attachments.

Detailed Information

While recognizing that NPMs have flexibility in developing FY 2011 guidance documents, OCFO has developed standard templates to facilitate more meaningful involvement by regions, states, and tribes. This template does not change for FY 2011, and requires that all FY 2011 NPM guidance documents include the following common and consistently displayed elements in order to improve transparency and communications:

1. Paginated table of contents
2. Executive Summary which briefly (no more than 3 pages) highlights and summarizes key national program priorities, strategies, messages, and significant changes in priorities or strategies as compared to FY 2010 NPM guidance documents. The Executive Summary—following a consistent format—makes the guidance documents easier for regions, states, and tribes to review and use. Refer to **Attachment 3** for a detailed outline and the format for preparing the Executive Summary. Please note that the template in **Attachment 5** should be used to identify specific changes between the FY 2010 and FY 2011 guidance documents.

3. Key national program strategies and priorities, which take into consideration regional, state, and tribal involvement, describe NPM's FY 2011 programmatic priorities and strategies that support EPA's *FY 2011 Annual Plan and Budget* and *2009-2014 Strategic Plan*, including implications of cross-cutting programs, Administrator and regional priorities, and Agency-wide objectives.
4. Brief synopsis of the NPM feedback process for considering and responding to major comments from regions, states, and tribes throughout FY 2011 NPM guidance development.
5. Required attachments to the draft and final FY 2011 NPM guidance documents are identified below. All documents will be posted on OCFO's website unless otherwise noted. OCFO provides flexibility if NPMs want to go beyond the required attachments to provide supplemental information.
 - **FY 2011 Measures Attachment (Attachment 4)** provides easy reference to and clear identification of annual commitment measures and non-commitment indicators that require reporting by the regions, states and/or tribes. NPMs should include national planning targets to inform the negotiation process for commitments developed from aggregate contributions by headquarters, regions, states, or tribes, when applicable. Planning targets should not be less ambitious than the FY 2009 actual results or FY 2010 commitments unless there is a compelling reason (see **Attachment 7**). NPMs should also include the national targets from the *FY 2011 Annual Plan and Budget*, where applicable.
 - **Explanation of Key Changes between FY 2010 and FY 2011 (Attachment 5)**. This will help readers and reviewers easily understand the rationale, context, and scope of changes to priorities, strategies, and measures.
 - **Comments and Response to Comments Summary (Attachment 6)**. Please note this is only required for submission of final FY 2011 NPM guidance documents and is a template to be used for two purposes:
 - 1) Regions, states, tribes, and other stakeholders should provide comments on the draft FY 2011 NPM guidance documents using this template and submit these to the appropriate NPM and OCFO contacts (**Attachment 1**);
 - 2) NPMs should use the same template to respond to all comments made by regions, states, tribes, and other stakeholders. NPMs are not required to include responses to suggested minor edits. NPMs should respond to comments by providing a brief but specific explanation of how comments were addressed or incorporated into the final FY 2011 NPM guidance documents. See milestones below.
 - **Explanation of Key Changes in Measures Targets (Attachment 7)**
Please note this is only required for submission of final FY 2011 NPM guidance

documents and provides a justification to COFO for internal Agency purposes only to OCFO for any targets that are less ambitious than FY 2009 results or FY 2010 targets. This information will not be posted on OCFO’s website.

NPMs should submit draft and final FY 2011 NPM guidance documents to OCFO in both a Word and a PDF format that is compliant with §508 of the U.S. Rehabilitation Act, which requires that all Federal Government web pages are accessible to people with disabilities.⁵ For more information, see *EPA Web Work Group, Accessibility/508 Standards* at <http://intranet.epa.gov/webgroup/accessibility.html>. Please note: simply converting a document to PDF format does NOT make it §508 compliant.

OCFO will post FY 2011 NPM draft and final guidance documents on the OCFO website (www.epa.gov/ocfo/npmguidance). To promote consideration of all NPM priorities, strategies, and measures in the documents concurrently, OCFO also will email the link to draft guidance documents to NPMs, regions, states, and tribes. The schedule of milestones below provides approximately four weeks for regions, states, tribes, and others to review and comment on the draft FY 2011 NPM guidance. During this time, NPMs will engage in a dialogue with applicable regions, states, tribes, and other stakeholders to gain input. NPMs will have approximately five weeks to respond to the comments and incorporate changes, as warranted, in the final documents.

Key Milestones for Development of the FY 2011 National Program Manager Guidance	
October 8, 2009	CFO’s “OCFO Kick-Off of the FY 2011 NPM Guidance” memo released
October 14, 2009	“OCFO’s Technical Guidance on FY 2011 NPM Guidance and Annual Commitment Process” memo and guidance released
February 12, 2010	Draft FY 2011 NPM guidance and supporting documents (including: FY 2011 Measures Attachment and Explanation of Key Changes between FY 2010 and FY 2011) due to OCFO
February 19, 2010	Draft FY 2011 NPM guidance and supporting documents posted on OCFO’s internet webpage
February 19 - March 19, 2010	Regions, states, and tribes provide comments on draft FY 2011 NPM guidance documents to appropriate NPMs and OCFO contacts (using Attachment 6)
April 23, 2010	Final FY 2011 NPM guidance, measures, and supporting documents (including: all finalized documents included in the draft submission, Response to Comments, and Explanation of Key Changes in Measures Targets) due to OCFO
April 30, 2010	Final FY 2011 NPM guidance, measures, and supporting documents posted on OCFO’s internet webpage

⁵ See <http://www.section508.gov/> for government-wide Section 508 information.

III. Annual Commitment Process and Measures Central

This section of OCFO's guidance covers two areas:

- A. Performance Tracking and Reporting of FY 2010 Actual Results
- B. Negotiation and Agreement of FY 2011 Performance Commitments.

The Annual Commitment System (ACS) is a part of an important central repository of Agency performance measurement information called Measures Central. For NPM Guidance process, ACS is used to track:

1. Annual headquarters and regional performance commitment information and results
2. Senior Management Measures, an element of the SES performance appraisal process managed by OARM (internal)
3. Internal NPM and Regional measures

These three sets of measures are all part of Measures Central. Overlap between the sets exists as the measures are flagged to meet specific needs, but reporting and tracking of individual measures are entered only one time and pulled for different reporting. User manuals, training materials, data entry requirements, and other information about ACS can be found on OCFO's intranet website at <http://intranet.epa.gov/ocfo/acs>.

A. Performance Tracking and Reporting of FY 2010 Actual Results

Action Requested: Follow the deadlines and timelines for mid-year adjustments, mid-year and end-of-year data reporting, and analysis of results to ensure accurate and complete reporting. Please refer to OCFO guidance documents on measures governance to improve data quality and reporting.

Detailed Information

1. FY 2010 Annual Commitment Measures

The deadline for reaching agreement on FY 2010 performance commitments is October 23, 2009, and unresolved commitments will be subject to an escalation process with Agency senior managers to directly engage in and resolve any remaining issues. There have been numerous discussions over the last several months on the impact of the economy on FY 2010 commitments, particularly in light of tight state budgets. Based on the programmatic discussions between states, regions and NPMs, the FY 2010 commitments should be ambitious but realistic; we expect only a limited number of adjustments at midyear.

Regional Commitments Quickplace and Reports for States and Tribes

What is it?

EPA's password-protected external website for states and tribes to see annual performance commitments and proposed targets.

Where is it?

<https://epaqpx.rtp.epa.gov/commitments>

What's in there now?

Regional reports showing draft and final commitments for FY 2005-FY 2010

What's going to be in there later?

- Draft FY 2011 commitments (July 2010)
- Final FY 2011 commitments (Oct. 2010)

What will States and Tribes see in reports?

All NPM annual commitment measures and draft and final commitments involving state or tribal performance contributions.

For more information see Attachment 10

OCFO will post regional reports showing the final FY 2010 agreed-upon commitments (those with the “Parties in Agreement” box checked) on EPA’s Regional Commitments Quickplace (see sidebar) by November 18, 2009. OCFO expects regions and NPMs to adhere to their FY 2010 commitments, report their progress at mid-year and end-of-year, and to raise performance issues or explain differences that occur between the commitment and actual performance (e.g., using the “Comments” field on the results screen in ACS).

Unfortunately, OCFO has determined that it is not possible to unlock certain fields in ACS to allow minor changes in the system, as requested by NPMs. To protect the integrity of the commitment process, OCFO will continue to use a locking feature in FY 2010 to ensure that final, agreed-upon commitments are not changed. NPMs and regions should use the explanation field to explain if actual results differ from targets. There are many valid and reasonable explanations for missed targets. Missing a target provides an opportunity for an informed discussion among appropriate staff, managers, and partners to understand and address the cause(s) of the unanticipated performance. These comments provide information to help spotlight specific issues that merit management discussion, adjust priorities and strategies, and establish future commitments and targets

As in previous years, OCFO will open ACS for a two-week period in late spring 2010. At that time, NPMs and regions can make mid-year adjustments, in those limited cases where both the NPM and region believe it is significant and critical to make the adjustment. Changes will be kept to a minimum and require NPMs and regions to submit a description of the change and a rationale to OCFO by June 14, 2010. (**Attachment 8**) Furthermore, please remember that *adjustments will be permitted only for commitments not affecting targets corresponding to annual performance goals and measures in EPA’s FY 2010 President’s Budget, unless there are significant changes in the enacted budget.*

NPMs and regions will enter actual FY 2010 end-of-year data in ACS starting in October 2010 through early November 2010. Similar to the bidding process, regions are required to enter state-by-state, end-of-year performance information in ACS for state grant measures and, where possible, for other measures with state-specific results.

For planning purposes, the milestones chart in this section provides projected dates for FY 2010. Keep in mind that these dates may change to improve alignment with various Agency reporting schedules.

2. Performance Reports

OCFO encourages Agency managers and staff to use reports from the Executive Management Dashboard, ORBIT, and ACS to analyze and evaluate performance information tracked in ACS. Starting in December 2009, the Executive Management Dashboard will host OCFO’s mid- and end-of-year performance reports. These reports will be updated nightly for all measures within Measures Central. OCFO will continue to publish official reports on a semi-annual basis. ORBIT and ACS produce reports that are similar in content but array the information differently. OCFO recommends the use of ORBIT reports since the reports are easier to run and allow

greater flexibility for displaying information, including the use of graphics (e.g., bar charts).

The Executive Management Dashboard is an interactive and comprehensive tool managers can use to make performance-informed decisions. The Dashboard may be accessed at the following link: portal.epa.gov/ExecMgt.⁶ For more information about reports available from ACS and ORBIT, see the ACS intranet website at <http://intranet.epa.gov/ocfo/acs> in “Training Materials, Handouts.”

3. ACS FY 2010 Mid-Year and End-of-year Reporting

FY 2010 Mid-Year Performance Measures Report

The *FY 2010 Measures Central Mid-Year Performance Measures Report* will provide a detailed review of mid-year performance results for annual operating and annual budget measures. Like previous reports, measures that are not on target or that had exceeded targets by the mid-year will be highlighted and analyzed. NPMs will enter performance data into ACS at the end of Q2 FY 2010.

The FY 2010 Mid-Year report will contain analysis, trend data, and improved data quality, as well as highlighting potential end-of-year performance issues. The FY 2010 report also will be available on the Executive Management Dashboard. The Dashboard allows for faster report production and a more accurate display of performance data by the Dashboard’s direct linkage to performance databases.

FY 2010 End-of-Year Performance Measures Report

The *FY 2010 Measures Central End-of-Year Performance Measures Report* will call attention to measures whose targets were not met or significantly exceeded during the fiscal year and guide target-setting for future fiscal years. The timing of the report will correspond with the Performance and Accountability Report (PAR) reporting cycle. The end-of-year report is different from the PAR in that it specifically analyzes **all** annual operating commitment measures and includes regional performance while the PAR focuses on results achieved for annual budget measures only, with a national perspective. Additionally, the end-of-year analysis helps determine reasons why measure targets are missed and met and provides additional context for these results shown in the PAR.

OCFO is currently developing the approach and guidance for the *FY 2009 End-of-Year Performance Measures Report*, and for the first time this report will be available on the executive Management Dashboard. **NPMs and regions will enter actual FY 2009 end-of-year performance data into ACS by November 2, 2009.** Additional guidance and milestones for developing the FY 2009 End-of-Year Report will be issued in October 2009 and experiences from this effort will be used to improve the FY 2010 End-of-Year report on the Dashboard.

⁶ EPA LAN ID and Password required to access the Dashboard

Key Milestones for the Performance Tracking of FY 2010 Actual Results	
October 23, 2009	NPMs and regions reach agreement in ACS on FY 2010 performance commitments
October 2009	<i>FY 2009 Performance Measures End-of-Year Report</i> guidance issued by OCFO
November 26, 2009	ACS is locked to prevent adjustments to FY 2010 Commitments
December 2009	<i>FY 2009 End-of-Year Performance Measures Report</i> distributed by OCFO and posted on OCFO's intranet website
April 2010	<i>FY 2010 Mid-Year Performance Measures Report</i> guidance issued by OCFO
Late April - mid May 2010	Actual FY 2010 mid-year data entered into ACS
May 28 – June 11, 2010	ACS is reopened to allow a limited number of mid-year adjustments to FY 2010 commitments, only if necessary, and NPMs notify OCFO of these changes and rationale by June 14
Late June 2010	<i>FY 2010 Mid-Year Performance Measures Report</i> released and posted on OCFO's intranet site
October 2010	<i>FY 2010 End-of-Year Performance Measures Report</i> guidance issued by OCFO
October- Early November 2010	NPMs and regions enter actual FY 2010 end-of-year performance results in ACS
Early December 2010	<i>FY 2010 End-of-year Performance Measures Report</i> distributed by OCFO and posted on OCFO's intranet website

OCFO will continue to enhance ACS and develop additional performance reports in ORBIT to provide easier access to and use of performance information. We encourage input from NPMs and regions on the development of these reports, and any suggestions for improvements to the reports or enhancements to the mid-year and end-of-year reports and the Executive Management Dashboard.

B. Negotiation and Agreement of FY 2011 Performance Commitments

Action Requested: NPMs and regions should follow guidelines, timeframes, and instructions for developing FY 2011 commitments.

Detailed Information

Regions will establish draft and final performance commitments for FY 2011 jointly with NPMs and with input from states and tribes. Commitments should align with and provide the optional basis for meeting NPM specific operational measures, the annual targets associated with measures in EPA's *FY 2011 Annual Plan and Budget*, and strategic measures in EPA's *2009-2014 Strategic Plan*. NPMs and regions will agree on final regional commitments in ACS and include any relevant comments or explanations.

As in the past, regions should develop state-by-state and tribal contributions to FY 2011 draft and final commitments, to the extent possible, and enter this information in ACS. This creates additional transparency in the commitment process and allows states and tribes to identify their contributions to achieving regional commitments and NPM goals. NPMs and regions are **required** to enter state-by-state information for state grant measures. For more information on entering state and tribal information into the system, see the *Regional Users Manual* available at <http://intranet.epa.gov/ocfo/acs>.

1. Entering FY 2011 Annual Commitment Measures

Similar to past fiscal years, OCFO will copy FY 2010 annual commitment measures in ACS as draft FY 2011 measures in December 2009. NPMs should then adjust the FY 2011 measures (i.e., edit, delete or add measures) to incorporate any changes to measures, consistent with EPA's *FY 2011 Annual Plan and Budget*, the *2009 – 2014 Strategic Plan*, and NPM specific measure adjustments. OCFO also will copy the same measure assignments for regions, states, and tribes associated with each measure, but without FY 2010 performance information. NPMs and regions should follow OCFO's guidance documents on measures governance to ensure accurate, high quality data for each measure.

NPMs should finalize the text of their FY 2011 annual commitment measures in ACS no later than April 30, 2010. At that time, NPMs must initiate the commitment process in the system by entering a value in the "Proposed Bid" field (including "0," if applicable) for each commitment measure.

2. Draft FY 2011 Commitments

NPMs and regions, with input from states and tribes, may begin negotiations on draft commitments as soon as measures are finalized in ACS. The negotiation should continue through July, when the draft FY 2011 regional performance commitments are due in ACS, reflecting Deputy Regional Administrator (DRA) approval. An email must be sent from the regions to OCFO confirming that the draft regional performance commitments have been entered in ACS and have been approved by their DRAs. Please see specific dates for these processes below.

Similar to the FY 2010 process, OCFO will post a report of external, draft FY 2011 regional performance commitments on EPA's password-protected Quickplace website. Prior to posting on EPA's Quickplace, OCFO will send the reports of the draft FY 2011 regional performance commitments to NPM and regional planning contacts to review for accuracy. Please note that these reports will represent a snapshot of negotiations to date. Regions will engage proactively with states and tribes and encourage them to provide comments on the draft commitments before agreement is reached on the final performance commitments, no later than October 22, 2010. For more information about the Regional Commitments Quickplace Website, see **Attachment 10**.

3. Final FY 2011 Commitments

After DRA-approved draft regional performance commitments are entered into ACS, NPMs and

regions should reach and indicate agreement in the system as soon as commitments are finalized. Regions should ensure that DRAs remain informed throughout the negotiation process and that final bids have fully considered state and tribal comments and cross-program impacts. NPMs are required to consider and respond to all regional commitments within two weeks from the date in which they are entered into the system. Once agreement has been reached, NPMs must close bidding by checking the 'Parties in Agreement' box in ACS.

For those measures that are still being negotiated, regions should enter final FY 2011 bids in ACS no later than October 1, 2010. NPMs and regions should reach agreement on the final FY 2011 commitments in ACS by October 22, 2010, and elevate any outstanding issues to NPM and regional managers. OCFO will run a report of final agreed-upon FY 2011 commitments to be posted on OCFO's Regional Commitments Quickplace Website (after review for accuracy by EPA planning contacts). Any commitments not yet resolved by October 22, 2010, should be brought to the attention of senior NPM and regional management, including the DAAs and DRAs, if necessary, for resolution.

On October 29, 2010, NPMs and regions should send OCFO an email confirming that the final performance commitments in ACS have been approved by their DAAs/DRAs. NPMs and regions should also notify OCFO of outstanding commitments (using **Attachment 9**), and confirm that outstanding commitments have been brought to the attention of their DAAs/DRAs. .

Key Milestones for the Negotiation and Agreement of FY 2011 Performance Commitments	
December 2009	OCFO copies FY 2010 measures into ACS as draft FY 2011 measures.
February 12, 2010	Draft FY 2011 NPM guidance and supporting documents (including: FY 2010 Measures Attachment and Explanation of Key Changes between FY 2010 and FY 2011) due to OCFO
March – October, 2010	Regions engage NPMs, states, and tribes in determining FY 2011 regional performance commitments.
April 30, 2010	Text of FY 2011 commitments finalized by NPMs in ACS; commitment measures opened for bidding.
July 9, 2010	FY 2011 draft regional performance commitments reflecting DRA approval due in ACS
July 12, 2010	Regions send an email to OCFO indicating that draft regional performance commitments have been entered in ACS and have been approved by DRAs.
July – October, 2010	Regions continue to engage NPMs, states and tribes in determining final FY 2011 regional performance commitments.
July 23, 2010	FY 2011 draft annual regional commitments are posted on EPA Quickplace site.
September 17, 2010	Last day for states and tribes to comment on FY 2011 draft regional commitments
October 1, 2010	FY 2011 regional final commitment information reflecting DRA approval due in ACS.
October 22, 2010	NPMs and regions reach agreement in ACS on FY 2011 performance commitments
October 29, 2010	NPMs and regions notify OCFO of any outstanding issues for dispute resolution. NPMs and regions send an email to OCFO indicating that final performance commitments entered in ACS have been approved by DRAs and DAAs and that DRAs and DAAs are aware of unresolved FY 2011 commitments.
November 19, 2010	FY 2011 final commitments (for which agreement was reached) are posted on EPA Quickplace site.
November 26, 2010	ACS is locked to prevent any adjustments to FY 2011 Commitments

Attachment 1
Key Contacts and Web Links

OCFO Contacts

- General Information.....Linda Flick (202-564-6051)
- National Program Manager Guidance Development..... Daniel J. Hopkins (202-564-8626)
- Measures Review & Governance.....John Hall (202-564-3020)
- State Grant Measures.....Margo Padgett (202-564-1211)
- ACS (general)Will Anderson (202-564-1434)
- ACS (technical)..... Karin Herzfeld (202-564- 2446)

NPM Contacts

- Office of Air and Radiation..... Michael Hadrick (202-564-7414)
- Office of Water.....Vinh Nguyen (202-564-4631)
- Office of Solid Waste and Emergency Response..... Howard Rubin (202-566-1899)
- Office of Prevention, Pesticides, and Toxic Substances.....Brian Katz (202-564-4828)
- Office of Enforcement and Compliance Assistance.....Ginger Gotliffe (202-564-7072)

OCIR Contacts

- Regional Priorities.....Judy Kertcher (202-564-3100)

OGD Contacts

- State Grant Work Plans.....Howard Corcoran (202-564-1903)

OCHP

- Children’s Health Guidance.....Martha Shimkin (202-564-4407)

OEJ Contact

- Environmental Justice GuidanceHeather Case (202-564-2602)

OEI Contact

- Management Action Plans Reggie Cheatham (202-564-7713)

Regional Planning Contacts

- Region 1.....Matt Hoagland (617-918-1361)
- Region 2..... Barbara Pastalove (212-637-3577)
- Region 3..... Catherine Mastropieri (215-814-5610)
- Region 4..... Sean Flynn (404-562-9093)
- Region 5.....Robert Tolpa (312-353-3121)
- Region 6.....Steve Mouck (214-665-6524)
- Region 7.....Richard Sumpter (913-551-7661)
- Region 8.....Ben Bielenberg (303-312-6513)
- Region 9..... Maria Rongone (415-553-2961)
- Region 10.....Kathy Kelley (206-553-2961)

Key Web Links

- EPA's 2009-2014 Strategic Plan
 - o <http://www.epa.gov/ocfo/plan/plan.htm> (external)
- OCFO NPM Guidance
 - o <http://www.epa.gov/ocfo/npmguidance> (external)
- Performance Management
 - o <http://epa.gov/performance> (external)
- EPA's Stewardship Plan
 - o <http://intranet.epa.gov/ocfo/perform/integrity.htm> (internal)
- ACS
 - o <http://intranet.epa.gov/ocfo/acs> (internal)
- Measures Central Semiannual Performance Reports
 - o FY 2009 Mid Year Report
http://intranet.epa.gov/ocfo/perform/2009_midyear.htm (internal)
 - o FY 2008 End of Year Report
http://intranet.epa.gov/ocfo/perform/2008_end_of_year.htm (internal)
- Executive Management Dashboard (accessible only with password)
 - o <http://oaspub.epa.gov/portal/page/portal/ExecMgt/ExecMgt> (internal)
- Quickplace Commitment Site (accessible only with password)
 - o <https://epaqpx.rtp.epa.gov/commitments>
- State Grant Measures:
 - o http://www.epa.gov/performance/state_grant_workplans.htm (external)
- OCFO's Reporting and Business Intelligence Tool (ORBIT)
 - o <https://ssoprod.epa.gov/sso/jsp/BOSCHlogin.jsp>

Attachment 2 FY 2011 Measures Criteria and Guidelines

OCFO is providing the following measures criteria and guidelines to continue EPA's progress towards a stable set of higher quality and more consistent measures as the basis for analyzing performance trends over time to support more effective program management in achieving Agency goals.

All FY 2011 NPM guidance measures should meet the following criteria:

- Comply with EPA **data quality** policies. NPMs should maintain records on data collection methods and quality assurance procedures, and share this information with regions and others collecting and/or using the data.
- Be **clearly defined** with an identified **data source(s)**.
- Make use of existing electronic **data systems** where applicable (e.g., draw from SDWIS, PCS, etc.).
- Be supported by data that can be reported in a **timely fashion** (within the reporting requirements of the measure).
- Describe a key aspect of program progress in support of a strategic measure in EPA's *2009-2014 Strategic Plan Change Document*.
- Serve **multiple performance assessment purposes** to the extent possible (e.g., as an annual commitment measure and Regional priority measure) and not be redundant with other measures used for other purposes.
- Have **ambitious and appropriate targets**. Mid Year target adjustments should be kept to minimum. With limited justifiable exceptions, targets are expected to remain constant. EPA's measures reported in the Agency's *2009-2014 Strategic Plan change document*, *FY 2011 Annual Plan and Budget*, and annual *Performance and Accountability Reports* (e.g. strategic and annual measures, included measures reported OMB) are required to have targets in order to measure progress toward annual and strategic priorities. For internal measures, NPMs and regions should develop quantitative targets to the extent possible. Qualitative targets (e.g., "completed") may be appropriate, depending on the nature and use of the measure. *Measures without targets should be designated as "non-commitment indicators" in ACS.* **Note:** Measures developed to track performance under the Recovery Act should have national targets that reflect the expected incremental performance contribution of Recovery Act funds.
- Should be **quantitative** and show **contributions of individual offices**, regions, states (required for state grant measures), and tribes, where possible.
- Should include baselines (starting points). Baselines generally should represent a **single starting point**, and should not change over time. Where baselines do not currently exist,

NPMs and regions should be in the process of and have a timeline for establishing baselines.

- **Measures text** and **codes** should remain **consistent** from year to year to allow for trend analysis.

Attachment 3

Outline for Executive Summary

As in years past, NPMs will use the outline provided below to prepare a concise Executive Summary (not more than 3 pages) in order to make FY 2011 NPM guidance documents more transparent and understandable to other NPMs, the regions, states, and tribes.

I. Program Office

II. Introduction/Context

- Briefly describe purpose and scope of the guidance

III. Program Priorities

- List your program priorities for FY 2011
- Identify and describe priorities, which are consistent with EPA's *2009-2014 Strategic Plan* and EPA's *FY 2011 Annual Plan and Budget*, and support Agency-wide initiatives, as appropriate.
- Highlight areas within each priority where feedback from regions, states, and tribes would be beneficial

IV. Implementation Strategies

- List and briefly describe FY 2011 implementation strategies
- Identify and describe strategies consistent with the Administrator's priorities and themes, highlight new actions, such as an effort to address children's health or environmental justice concerns in a specific manner
- Fulfill commitments set forth in *FY 2011 Annual Plan and Budget*
- Highlight innovative strategies and regional approaches. Specify which areas within each strategy would benefit from regional, state, and tribal feedback

V. Significant Changes to Priorities or Strategies for FY 2011

- Note where priorities have shifted from FY 2010 NPM guidance and explain why (e.g., changes in EPA's *Strategic planning approach* and EPA's *FY 2011 Annual Plan and Budget*; consideration of regional priorities and Agency-wide initiatives)
- Discuss the results of the FY 2011 measures review to improve and align measures associated with implementation strategies in achieving FY 2011 results

Attachment 5
Explanation of Changes between FY 2010 and FY 2011
NPM Office

Instructions

Change from FY2010 Guidance Document

Briefly describe the significant changes from the FY 2010 guidance and specify whether it is a deletion, addition, or modification. Changes to measures may be grouped.

Reason for Change

Provide the reason for the change and indicate whether the change is in response to an Agency initiative, internal process or comment on the draft guidance (e.g., Administrator's priorities, regional priorities, regulation, initiative, result of measures review, etc.).

Location of Information

Identify where in the document the new or modified information can be found by page number and section.

Template

Change from FY 2010 Guidance Document		Reason for Change	Affected Pages and Sections
Priorities			
Strategies			
Annual Commitment Measures			
Tracking Process			
Contacts			

Attachment 6
Comments and Response to Comments Summary

Instructions

Comment from regions, state, tribe, or other stakeholder	Commenter (s)	Location in Draft Guidance	NPM Response	Action Taken in Final Guidance
Issue Area - <i>Divide comments into general issue areas: e.g. NAAQS, indoor air, etc. where appropriate)</i>				
<i>Include your comment.</i>	<i>Organization of Commenter (e.g., ECOS, New England Commissioners, Region X, etc.)</i>	<i>State the Section and page number the comment is referring to.</i>	<i>The response should include adequate discussion and details to support the decision to modify/retain the draft language. Note: If more than one commenter raises the same issue, please cross-reference the individual responses.</i>	<i>Specify changes made in response to comments and identify all locations in the final guidance (e.g., page numbers, sections, etc)</i>

Template

Comment from regions, state, tribe, or other stakeholder	Commenter (s)	Location in Draft Guidance	NPM Response	Action Taken in Final Guidance
Issue Area:				

Attachment 9
Summary of Issues for Unresolved FY 2011 Commitments
NPM Office/Regional Office

Instructions

NPM or Region	Annual Commitment	Offices Involved	Issue	Status of negotiations	Comments
<i>NPM or Region identifying issue</i>	<i>List both ACS code and commitment text</i>	<i>List all offices and contacts involved in the negotiation</i>	<i>Describe briefly the unresolved issue(s) and provide all relevant information</i>	<i>Describe most recent actions and contacts, including highest level of elevation</i>	<i>Provide any other information, including desired OCFO involvement</i>

Template

NPM or Region	Annual Commitment	Offices Involved	Issue	Status of negotiations	Comments

Attachment 10 EPA's Regional Commitments Quickplace Website

OCFO will post reports of the FY 2011 draft regional performance commitments for states and tribes to review on July 23, 2010. Ten reports (one for each region) will be available via a password-protected Quickplace site. Each report includes draft regional commitments for performance measures that reflect a state and/or tribal contribution, if possible, drawn from final FY 2011 NPM guidance documents, which will be issued in April 2010.

Background Information

EPA continues to develop a more streamlined and transparent process for NPMs and regions to reach agreement on annual performance commitments. Following the issuance of FY 2011 NPM guidance documents in April 2010, regions will engage NPMs, states, and tribes in the process of determining draft and final annual performance commitments. This annual commitment process, which synchronizes the development of draft and final commitments across the five NPMs, enables senior managers to review all performance commitments concurrently and make more informed decisions.

NPMs and regions will encourage states and tribes to review and provide comments on the draft commitments before agreement is reached on the final performance commitments. EPA's Regional Commitments Quickplace Website facilitates review of the draft regional performance commitments and can be accessed by following the instructions provided below.

Instructions for Accessing the EPA Regional Commitments Website

- 1) Go to <https://epaqpx.rtp.epa.gov/commitments>
- 2) Enter your user name and password when the pop up screen appears.
User name: Commitments Visitor
Password: ***Password to be sent separately.***
NOTE: The Password is case sensitive and expires after 90 days
- 3) The first screen you will see is the main page, or **Welcome** page, which contains basic information about the website and is automatically displayed upon entering the site.
NOTE: The site works best with an Internet Explorer web browser.
- 4) The **Library** page contains the files of draft target reports. This page can be accessed by clicking Library under the Contents on the left side of the screen.
- 5) Within the Library page, files of the draft targets are titled by region and contained under the heading "**Draft Regional Performance Commitments.**" Click on this heading to view a listing of the files. Files may be downloaded or viewed and printed.
- 6) The files are saved as **PDF documents** and an Adobe Acrobat Reader is required to view them. A link is available on the site to download a free copy of Acrobat® Reader.

Attachment 11
NPM Guidance Measures which include Recovery Act Performance

ACS Codes	Measure Text
OTAQ 01a	Number of projects implemented that promote diesel emissions reductions
OTAQ 01b	Number of existing heavy duty diesel engines (including school bus engines) that have been retrofitted, replaced or retired
OTAQ 01c6	Lifetime reductions of NOx emissions
OTAQ 01c7	Lifetime reductions of PM emissions
OTAQ 01c8	Lifetime reductions of HC emissions
OTAQ 01c9	Lifetime reductions of CO emissions
OTAQ 01c10	Lifetime reductions of CO2-equivalent emissions
SDW-05	Number of additional projects initiating operations
2.1.1	Percent of population served by community water systems that will receive drinking water that meets all applicable health-based drinking water standards through approaches including effective treatment and source water protection.
SDW-04	Fund utilization rate for DW SRF
SP-5	Number of homes on tribal lands lacking access to safe drinking water.
SP-10	Number of waterbody segments identified by States in 2002 as not attaining standards, where water quality standards are now fully attained
WQ-16	Percentage of all major publicly-owned treatment works (POTWs) that comply with their permitted wastewater discharge standards
WQ-17	Fund utilization rate for CWSRF
SP-15	By 2015, in coordination with other federal agencies, reduce by 50 percent the number of homes on tribal lands lacking access to basic sanitation (cumulative)
B29	Number of Brownfield properties assessed
B32	Properties cleaned up using Brownfields funding.
B37	Billions of dollars of cleanup and redevelopment funds leveraged at Brownfield sites
B34	Jobs leveraged from Brownfields activities.
B33	Acres of Brownfields properties made ready for reuse.
141	Number of Superfund construction completions.
151	Number of Superfund sites with human exposures under control.
112	Number of LUST cleanups completed that meet risk-based standards for human exposure and groundwater migration.
113	Number of LUST cleanups completed that meet risk-based standards for human exposure and groundwater migration in Indian country.

NOTE: These are NPM Guidance Measures which include ARRA performance. For a full list of ARRA measures, please go to <http://www.epa.gov/recovery/plans.html> and look at individual program plans.

Attachment 12
Complete Schedule of Key Milestones for FY 2011

Process Codes: G = FY 2011 NPM Guidance development
ACP = Annual Commitment Process

Target Date	Process Code	FY	Milestone	NPM/Reg. Action Item	Page
October 8, 2009	G ACP	10 11	“OCFO Kick-Off of the FY 2011 NPM Guidance” memo released by Maryann Froehlich		
October 14, 2009	G ACP	10 11	“OCFO’s Technical Guidance on FY 2011 NPM Guidance and Annual Commitment Process” memo and guidance released		
November 2, 2009	ACP	09	Actual FY 2009 end-of-year performance data entered into ACS	*	14
November 2009		09	<i>FY 2009 End-of-Year Performance Measures Report</i> guidance issued by OCFO		14
December 2009	ACP	11 09	OCFO copies FY 2010 measures into ACS as draft FY 2011 measures; <i>FY 2009 End-of-Year Performance Measures Report</i> released and posted on OCFO’s intranet site		12- 13
February 12, 2010	G	11	Draft FY 2011 NPM guidance and supporting documents (including: FY 2011 Measures Appendix, Explanation of Key Changes between FY 2009 and FY 2010) due to OCFO	*	8-9
February 19, 2010	G	11	Draft FY 2011 NPM guidance and supporting documents posted on OCFO’s internet webpage		10
February 19 - March 19, 2010	G	11	Regions, states, and tribes provide comments on Draft FY 2011 NPM guidance documents to appropriate NPMs and OCFO contacts (using Attachment 5)	*	9
March – October, 2010	ACP	11	Regions engage NPMs, states, and tribes in determining FY 2011 regional performance commitments	*	15- 17
April 2010	ACP	10	<i>FY 2010 Mid-Year Performance Measures Report</i> guidance issued by OCFO		13
April 23, 2010	G	11	Final FY 2011 NPM guidance, measures, and supporting documents (including: all finalized documents included in draft submission, Response to Comments, and Explanation of Key Changes in Measure Targets) due to OCFO	*	8-9
April 30, 2010	ACP	11	Text of FY 2011 commitments finalized by NPMs in ACS; commitment measures opened for bidding	*	15

April 30, 2010	G	10	Final FY 2011 NPM guidance, measures, and supporting documents posted on OCFO's internet webpage		15
Late April – mid May 2010	ACP	09	Actual FY 2010 mid-year data entered into ACS	*	12-14
May 28 – June 11, 2010	ACP	09	ACS is reopened to allow mid-year adjustments to FY 2010 commitments, only if necessary, and NPMs notify OCFO of these changes, by June 14	*	12
Late June 2010	ACP	10	<i>FY 2010 Mid-Year Performance Measures Report</i> released and posted on OCFO's intranet site		13
July 9, 2010	ACP	11	FY 2011 draft regional performance commitments reflecting DRA approval due in ACS	*	16
July 12, 2010	ACP	11	Regions send an email to OCFO indicating that draft regional performance commitments have been entered in ACS and have been approved by DRAs	*	16
July – October 22, 2010	ACP	11	Regions continue to engage NPMs, states, and tribes in determining final FY 2011 regional performance commitments; agreements should be reached throughout July-October timeframe	*	15-17
July 23, 2010	ACP	11	FY 2011 draft annual regional commitments are posted on EPA Quickplace site		16
September 17, 2010	ACP	11	Last day for states and tribes to comment on FY 2011 draft regional commitments		
October 1, 2010	ACP	11	FY 2011 regional final commitment information reflecting DRA approval due in ACS	*	16
October 22, 2010	ACP	11	NPMs and regions reach agreement in ACS on FY 2011 performance commitments	*	16
October 29, 2010	ACP	11	NPMs and regions notify OCFO of any outstanding issues for dispute resolution. NPMs and regions send an email to OCFO indicating that final performance commitments entered in ACS have been approved by DRAs and DAAs, and that DRAs and DAAs are aware of unresolved FY 2011 commitments.	*	16
October 2010	ACP	10	<i>FY 2010 End-of-Year Performance Measures Report</i> guidance issued by OCFO		14
November 19, 2010	ACP	11	FY 2011 final commitments (for which agreement was reached) are posted on EPA Quickplace site		16
October – Early November 2010	ACP	10	NPMs and regions enter actual FY 2010 end-of-year performance results in ACS	*	14
November 26, 2010	ACP	11	ACS is locked to prevent any adjustments to FY 2011 commitments		16
Early December 2010	ACP	10	<i>FY 2010 End-of-Year Performance Measures Report</i> released and posted on OCFO's intranet site		14

Attachment 13

NPM Checklist for FY 2011 NPM Guidance

October 2009:

- NPMs work with regions and OCFO to resolve any outstanding FY 2010 annual commitments

By February 12, 2010:

- NPMs submit their draft FY 2011 NPM guidance, measures, and supporting documents to OCFO. Submissions MUST include:
 - FY 2011 Measures Appendix, reflecting the results of the measures review, and including draft planning targets and national targets
 - FY 2011 State Grant Measures Appendix
 - Explanation of Key Changes between FY 2010 and FY2011

March – October 2010:

- Regions engage NPMs, states, and tribes in determining FY 2011 regional performance commitments

Late April – Mid-May, 2010:

- FY 2010 mid-year results data entered into ACS

April 23, 2010:

- NPMs submit their final FY 2011 NPM guidance, measures and supporting documents to OCFO. Submissions MUST include:
 - Updated FY 2011 Measures Appendix, including planning targets and national targets
 - Updated State Grant Measures Appendix
 - Response to Comments Summary
 - Explanation of Key Changes in Measures Targets

April 30, 2010:

- NPMs finalize text of FY 2011 commitments in ACS and open commitment measures for bidding
 - NPMs should use ACS codes consistent with those used in the FY 2010 process

May 28 - June 11, 2010:

- ACS re-opens for **limited** mid-year adjustments on commitments not associated with the EPA's FY 2010 Budget. NPMs oversee process for approving or denying adjustments, and inform OCFO of any changes made by June 14

By July 9, 2010:

- Regions input their FY 2011 draft regional performance commitments reflecting DRA approval in ACS
 - Draft commitments should include draft state-by-state breakouts to the extent possible

July – October 22, 2010:

- NPMs continue to engage with regions in determining final FY 2011 regional performance commitments

By July 23, 2010:

- FY 2011 draft regional commitments are posted on EPA Quickplace site

- NPMs and Regions review ORBIT reports produced by OCFO to ensure accuracy of data entry in ACS

By October 1, 2010:

- FY 2011 regional final commitment information reflecting DRA approval due in ACS and NPMs continue to accept bids or counter

By October 22, 2010:

- NPMs and regions enter data for all agreements reached to date on FY 2011 performance commitments in ACS
 - Final commitments should include draft state-by-state breakouts to the extent possible

By October 29, 2010:

- NPMs and regions notify OCFO of any outstanding issues with unresolved bids for dispute resolution
 - Issues identified as outstanding should have been raised to the DAA/DRA level
- NPMs send an email to OCFO indicating that final performance commitments have been entered in ACS and have been approved by DAAs

By November 19, 2010:

- FY 2011 final commitments (for which agreement was reached) are posted on the EPA Quickplace website
 - NPMs and regions review ORBIT reports produced by OCFO to insure accuracy of data entry in ACS

October – Early November 2010:

- NPMs and regions enter actual FY 2010 end-of-year results data in ACS

November 26, 2010:

- ACS is locked to prevent any adjustments to FY 2011 commitments

Attachment 14

Regional Checklist for FY 2011 NPM Guidance

October 2009:

- Regions work with NPMs and OCFO to resolve any outstanding FY 2010 annual commitments

February 12, 2010:

- Draft FY 2011 NPM guidance documents including FY 2011 Measures Attachment (reflecting results of measures review), FY 2011 State Grant Measures Appendix, and Explanation of Key Changes between FY 2010 and FY 2011) posted on OCFO's internet webpage by the 19th.

February 19 – March 19, 2010:

- Regions, states, and tribes provide comments on Draft FY 2011 NPM Guidance to appropriate NPMs and OCFO contacts using Attachment 6: Comments and Response to Comments Summary

March – October 2010:

- Regions engage NPMs, states, and tribes in determining FY 2011 regional performance commitments

By April 30, 2010:

- NPMs finalize text of FY 2011 commitments in ACS and open commitment measures for bidding

By April 30, 2010:

- Final FY 2011 NPM guidance documents, including finalized documents included in draft submission and the Response to Comments summaries, posted on OCFO's internet webpage

Late April – mid-May 2010:

- Regions enter FY 2010 mid-year results data into ACS

May 28 - June 11, 2010:

- ACS re-opens for **limited** mid-year adjustments on commitments not associated with APGs or the EPA's FY 2010 Budget. Regions work with NPMs, who retain discretion for approving or denying adjustments

By July 9, 2010:

- Regions put FY 2011 draft regional performance commitments reflecting DRA approval in the ACS
 - o Draft commitments should include draft state-by-state breakouts, to the extent possible

July 12, 2010:

- Regions send an email to OCFO indicating that draft regional performance commitments have been entered in ACS and have been approved by DRAs

July - October 22, 2010:

- Regions continue to engage with NPMs, states, and tribes in determining FY 2011 regional performance commitments
 - o State and tribal comment period on draft commitments ends **September 17, 2010**

July 23, 2010:

- FY 2011 draft annual regional commitments are posted on EPA Quickplace site
 - o Regions and NPMs review ORBIT reports produced by OCFO to insure accuracy of data entry in ACS

By October 1, 2010:

- Regions input final FY 2011 commitment information reflecting DRA approval due in ACS

October 22, 2010:

- NPMs and regions enter data on all agreements reached for FY 2011 performance commitments in ACS
 - o Final commitments should include draft state-by-state breakouts to the extent possible

By October 29, 2010:

- Regions and NPMs notify OCFO of any outstanding issues with unresolved bids for dispute resolution
 - o Issues identified should have been raised to the DAA/DRA level
- Regions send an email to OCFO indicating that final regional performance commitments have been entered in ACS and have been approved by DRAs

By November 19, 2010:

- FY 2011 final commitments (for which agreement was reached) are posted on the EPA Quickplace website
 - o NPMs and regions review ORBIT reports produced by OCFO to insure accuracy of data entry in ACS

October – Early November, 2010

- Regions enter FY 2010 end-of-year results data in ACS

November 26, 2010:

- ACS is locked to prevent any adjustments to FY 2011 commitments

Attachment 15
State and Tribal Opportunities for Engagement in
2011 NPM Guidance Process

The following are the key milestones relevant to states and tribes in the 2011 NPM Guidance and annual commitment processes. This timeline is a subset of the milestones presented in **Attachment 11** presented by topic area.

FY 2010 NPM Guidance Documents Review

February 19 – March 19, 2010:

- Draft FY 2011 NPM guidance with summary of changes and draft FY 2011 measures posted on OCFO's internet webpage.
- Regions, states, and tribes provide comments on draft FY 2011 NPM guidance to appropriate NPMs and OCFO contacts using Attachment 6: Comments and Response to Comments Summary

April 30, 2010:

- Final FY 2011 NPM Guidance, measures, and supporting documents posted on OCFO's internet

FY 2011 Commitment Negotiation

October, 2010:

- Regions engage NPMs, states, and tribes in determining draft and final FY 2011 regional performance commitments

July 9, 2010:

- FY 2011 draft regional performance commitments reflecting DRA approval due in ACS (reflects engagement between regions, state, and tribes)

July 23, 2010:

- FY 2011 draft annual regional performance commitments are posted on EPA Quickplace site for state and tribal review. Regions engage with NPMs, states, and tribes to determine final FY 2011 regional performance commitments.

September 17, 2010:

- Last day for states and tribes to comment on FY 2011 draft regional commitments

October 22, 2010:

- NPMs and regions enter data on all agreements reached for FY 2011 performance measures in ACS (commitments reflect engagement between regions, states, and tribes)

November 19, 2010:

- FY 2011 final annual regional performance commitments (for which agreement was reached) are posted on EPA's Quickplace site