

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 Guidance
.....Heather 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://epaqp.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 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 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
 - 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
 - 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
 - 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
 - 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
 - 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
 - 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