

OCFO's Technical Guidance on FY 2010 National Program Manager Guidance and Annual Commitment Process in Measures Central

October 15, 2008

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I. Introduction

The EPA National Program Managers (NPMs)¹ develop annual guidance documents to define program priorities, strategies, and performance measures in accordance with EPA's *2009-2014 Strategic Plan*² and *FY 2010 Annual Plan and Budget*. The guidance development process is an important opportunity to improve program planning and management by establishing a clearer line of sight between the annual operational measures, annual budget measures, and long-term, strategic measures

The Office of the Chief Financial Officer (OCFO) begins this process by issuing guidance that provides context, requirements, and instructions for the development of the NPM guidance documents. The OCFO guidance aims to increase consistency and clarity across NPM guidance documents so that regions, states, and tribes are better able to identify priorities and cross-program opportunities when implementing EPA programs.

OCFO's guidance recognizes the need for flexibility as the Agency faces uncertainties in this time of transition to a new administration. If there are significant changes from the new administration for EPA's *2009 – 2014 Strategic Plan* or EPA's *FY 2010 Annual Plan and Budget* after issuance of final FY 2010 NPM Guidance documents in April 2009, NPMs will have an opportunity to develop and issue addendums by July 3, 2009, explaining these changes and implications for regions, states, and tribes.

OCFO's guidance focuses on three areas: 1) developing FY 2010 NPM priorities, strategies, and associated measures; 2) reporting results for FY 2009 performance commitments; and 3) negotiating agreements for FY 2010 performance commitments. This guidance aims to support Agency program management and decision making by:

- * Improving the quality, consistency, and reliability of measures, and related data and reporting in Measures Central, consistent with OCFO's measures governance guidance
- * Analyzing progress toward results in FY 2009 mid-year reporting to inform negotiation of draft FY 2010 performance commitments
- * Engaging with state and tribal partners and stakeholders in assessing results through more transparent and streamlined Agency processes

The FY 2010 annual commitment process and schedule will be similar to prior years. In Spring 2009, NPMs and regions, with input from states, tribes, and other stakeholders, will begin negotiation of FY 2010 annual performance commitments, and will reach final agreement by September 2009. OCFO will continue to enhance Measures Central and develop additional performance reports in OCFO's Reporting and Business Intelligence Tool (ORBIT) to provide easier access to and use of performance information for NPMs and regions.

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 Water and Emergency Response; and Office of Water.

² EPA's *2009-2014 Strategic Plan* is currently under development; *2009-2014 Strategic Plan Change Document* issued for 60-day public review and comment on September 30, 2008; full text draft scheduled to be released in Spring 2009; and final plan due to Congress by September 30, 2009.

II. Development of the FY 2010 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 2010 Annual Operating Measures
- C. Measuring Results in State Grant Work Plans
- D. Format Requirements and Key Milestones

Refer to Attachment 1 for key contacts and web links.

A. Guidelines and Considerations for Developing NPM Priorities

Action Requested: Identify FY 2010 national program priorities for achieving strategic and annual goals in EPA's *2009-2014 Strategic Plan* and the *FY 2010 Annual Plan and Budget*, as well as related implications of regional priorities and strategies, and Agency-wide initiatives.

Detailed Information

EPA's *FY 2009-2014 Strategic Plan* presents the Agency objectives over the next five years for protecting human health and the environment. The performance measurement framework of EPA's *2009-2014 Strategic Plan* provides the framework for EPA's *FY 2010 Annual Plan and Budget* and the FY 2010 NPM guidance documents. Specifically, the NPMs should identify FY 2010 program priorities and implementation strategies, including any necessary resource or performance commitment adjustments, working with regions, states, and tribes. Key considerations are outlined below:

- *For 2009 – 2014 Strategic Plan:* EPA's *2009-2014 Strategic Plan* will be finalized on September 30, 2009. NPMs should consider the significant adjustments to priorities, strategies, and measurement framework identified in the *2009-2014 Strategic Plan Change Document* (and comments received).
- *For FY 2010 Annual Plan and Budget:* EPA's *FY 2010 Annual Plan and Budget* will be finalized in Spring 2009. Decisions made in EPA's *FY 2010 Annual Plan and Budget* affecting programs, strategies, and performance targets should be reflected in the draft and final FY 2010 NPM guidance documents or optional addendums, as appropriate.
- *For regional priorities and strategies:* NPMs should describe how regional priorities and strategies directly or indirectly support achievement of FY 2010 NPM priorities. NPMs should adjust their priorities and strategies to align with regional priorities and strategies to the extent possible. Refer to **Attachment 2** for a list of regional priorities.
- *For Agency-wide initiatives:* NPMs should adjust FY 2010 priorities and strategies, as appropriate, to carry out and support the achievement of Agency-wide initiatives (e.g., reporting burden reduction, port security, import safety, nanotechnology).

- For example, EPA is continuing to work with the Environmental Council of the States (ECOS) to identify and address high-burden, low-value reporting requirements. EPA has focused on 16 priority areas for burden reduction (**Attachment 3**) since 2007. NPMs are reminded to continue their work on uncompleted priority areas as FY 2010 NPM guidance documents are developed.

B. Considerations for Developing FY 2010 Measures

Action Requested: Align annual commitment measures to annual measures in EPA's *FY 2010 Annual Plan and Budget* and to the strategic measures in EPA's *2009-2014 Strategic Plan*. Consider input from EPA's Performance Management Workgroup on the FY 2010 measures review and OCFO's measures governance guidance documents when determining improvements to annual commitment measures and entering information into Measures Central.

Detailed Information

For FY 2010, OCFO is building on current efforts to improve the quality, consistency, and alignment of measures, to strengthen measures governance, and to promote reliance on measures in managing programs and assessing results. EPA's Agency Performance Management Workgroup, comprised of regional and program office senior staff, plays a key role in advancing these efforts.

The Agency is formulating the *FY 2010 Annual Plan and Budget* in the proposed strategic measurement framework for EPA's *2009-2014 Strategic Plan*. As the strategic measures are finalized between now and September 2009, there may need to be corresponding changes to FY 2010 annual performance and operational commitment measures. NPMs may release an optional addendum in July 2009 to capture these changes.

1. FY 2010 Measures Review

The primary purposes of the Agency's annual measures review are to achieve incremental improvement to the performance measures, ensure that these are the right measures to evaluate results, and reach agreement on various sets of Agency measures. EPA's FY 2010 measures review is aligned with the development of EPA's *2009-2014 Strategic Plan* and *FY 2010 Annual Plan and Budget* to improve the line of sight and alignment between strategic, annual budget, and operational measures. The review builds on progress from the FY 2009 review and includes the full range of EPA performance measures: annual commitments and indicators, Senior Management Measures, EPAStat Quarterly Report measures, regional priority measures, state grant measures, and headquarters EPAStat measures. Improvements to measures should follow the required measures governance criteria and, to the extent possible, the additional suggested criteria listed in **Attachment 4**.

The FY 2010 measures review, which began in spring 2008, continues through the development of the final FY 2010 NPM guidance documents in April 2009. Progress to date includes development of EPA's *Action Plan* on PART measures in June 2008, identification of changes to

annual measures in August 2008 for inclusion in EPA’s *FY 2010 Annual Plan and Budget*, and proposed strategic measures in EPA’s *2009-2014 Strategic Plan Change Document*, issued on September 30, 2008 for public review and comment. Upcoming milestones are as follows:

Key Milestones for the FY 2010 Measures Review	
Fall 2008	Performance Management Workgroup develops list of proposed changes to measures
December 2008	Proposed changes to performance measures are presented to DRAs/DAAs for comment
February 2009	Draft measures are provided as part of draft FY 2010 NPM guidance documents for review and final comments
April 2009	Final FY 2010 performance measures are provided as part of final FY 2010 NPM guidance documents

2. Measures Governance in FY 2009 and FY 2010

OCFO is working to improve the quality of Agency measures and associated data and reporting to inform Agency decision making. To this end, OCFO is issuing supplemental measures governance guidance documents to advance the use of measures criteria and guidelines, implement standard practices for reporting, and improve Measures Central to support easier access to and analysis of performance information. OCFO is monitoring data entry more actively and identifying obstacles or inconsistencies that need correction to improve data quality and usefulness.

OCFO released *Phase I Supplemental Guidance* (June 2008), which clarified definitions, provided instructions on entering measures and data in Measures Central, and recommended best practices. OCFO, in cooperation with the Performance Management Workgroup, is developing Phase II guidance covering longer-term, more complex data and measures quality issues. OCFO intends to complete the Phase II guidance by February 2009, to improve data quality for EPA’s FY 2009 mid-year data entry and reporting, and for the FY 2010 annual commitment negotiation process. OCFO will review data entry into Measures Central throughout FY 2009 and FY 2010, working cooperatively with program and regional offices to make any necessary improvements and analyze performance results and progress in achieving Agency goals.

C. Measuring Results in State Grant Work Plans

Action Requested: Analyze state grant measures for FY 2007 and FY 2008 to inform agreement on FY 2010 state grant performance measures. Assess results of the FY 2009 state grant work plan pilot in FY 2010.

Detailed Information

EPA grant regulations in 40 CFR Part 35 require state grant work plans to include a set of standard components, with corresponding budgets, work years, and measures (i.e., outcomes and outputs). Over the past several years, EPA and the states have focused on improved reporting of

results for state grants to develop lessons learned and provide recommendations for future state grant work planning and reporting.

In FY 2009, selected regions and states will participate in a standardized state grant work plan pilot. Under the pilot, EPA and the states will evaluate the inclusion of certain essential elements in state grant work plans. These essential elements include: (1) linkages to the *2006-2011 Strategic Plan* performance measurement framework, (2) related EPA/state measures, and (3) planned accomplishments. The pilot will also be consistent with the flexibility provided under the National Environmental Performance Partnership System. Guidance for FY 2009 State Grant Workplan Pilots was issued on May 16, 2008, to the DAAs and DRAs by Susan Hazen, Principal DAA for OARM. Work done under this pilot will be evaluated in FY 2010 for possible changes in the FY 2011 grant process.

Review of and agreement on FY 2010 state grant measures will occur as part of EPA's FY 2010 measures review effort, in consultation with the State/EPA Partnership and Performance Workgroup. The Workgroup will review lessons learned from implementing FY 2007 state grant measures as a starting point for considering changes to FY 2010 state grant measures. EPA and states may also consider adding other existing annual commitment measures or other existing measures that more fully represent state results. EPA and states may exercise their discretion to include additional state-specific measures in individual state grant work plans to supplement the common set of state grant measures. Draft FY 2010 NPM guidance documents issued in February 2009 will identify the subset of measures being proposed as FY 2010 state grant performance measures.

D. Format Requirements and Key Milestones for FY 2010 NPM Guidance Documents

Action Requested: NPMs need to address specified format and content requirements in developing FY 2010 NPM Guidance documents (including the attachments).

Detailed Information

While recognizing that NPMs have flexibility in developing FY 2010 guidance documents, OCFO has developed standard templates to facilitate more meaningful involvement by regions, states, and tribes. In addition, OCFO requires that all FY 2010 NPM guidance documents include some common and consistently displayed elements in order to improve transparency and communications, as identified below.

1. Paginated table of contents
2. Executive Summary, 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 2009 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 5** for a detailed outline and the format for preparing the Executive Summary. Please note that the template in

Attachment 8 should be used to identify specific changes between the FY 2009 and FY 2010 guidance documents.

3. Key national program strategies and priorities involving regions, states, and tribes. NPMs should identify their FY 2010 programmatic priorities and strategies that support EPA's *FY 2010 Annual Plan and Budget and 2009-2014 Strategic Plan*, including implications of cross-cutting programs, regional priorities, and Agency-wide initiatives.
4. Brief synopsis of the NPM feedback process designed and used to consider and respond to major comments from regions, states, and tribes throughout FY 2010 NPM guidance development.
5. Required attachments to the draft and final FY 2010 NPM guidance documents are identified below. All documents will be posted on OCFO's website unless otherwise noted. If NPMs want to go beyond the required attachments to provide supplemental information, OCFO provides flexibility to do this.
 - **FY 2010 Measures Appendix (Attachment 6)** 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 used to inform the negotiation process for commitments developed from aggregate contributions by headquarters, regions, states, or tribes, if applicable. Planning targets should not be less ambitious than the FY 2008 actual results or FY 2009 commitments unless there is a compelling reason (see **Attachment 10**). NPMs should also include the national targets from the *FY 2010 Annual Plan and Budget*, where applicable.
 - **FY 2010 State Grant Measures Appendix (Attachment 7).** NPMs will generate a separate attachment listing state grant measures using the template provided. This will largely be a subset of the measures in **Attachment 6**. This appendix is useful for state partners.
 - **Explanation of Key Changes between FY 2009 and FY 2010 (Attachment 8).** 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 9).** Please note this is only required for submission of final FY 2010 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 2010 NPM guidance documents using this template and submit it to the appropriate NPM and OCFO contacts (see **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

explanation of how these comments were addressed or incorporated into the final FY 2010 NPM guidance documents. See milestones below.

- Explanation of Key Changes in Measures Targets (Attachment 10)**
 Please note this is only required for submission of final FY 2010 NPM guidance documents and provides a justification for internal Agency purposes only to OCFO for any targets that are less ambitious than FY 2008 results or FY 2009 targets. This information will not be posted on OCFO’s website.

NPMs should submit draft and final FY 2010 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.³ For more information, see *EPA Web Work Group, Accessibility/508 Standards* at <http://intranet.epa.gov/webgroup/accessibility.html>.

Please note: simple conversion of a document to PDF format does NOT make it §508 compliant.

OCFO will post FY 2010 NPM draft and final guidance documents on the OCFO website (www.epa.gov/ocfo/npmguidance). OCFO will also email the link to draft guidance documents to NPMs, regions, states, and tribes to promote consideration of all NPM priorities, strategies, and measures in the documents concurrently. The schedule of milestones provided below allows approximately four weeks for regions, states, tribes, and others to review and comment on the draft FY 2010 NPM guidance documents. During this time, NPMs will engage in a dialogue with regions, states, tribes, and other stakeholders, as appropriate, to gain input. NPMs will have approximately five weeks to respond to the comments and incorporate changes, as needed, in the final documents.

Key Milestones for Development of the FY 2010 National Program Manager Guidance	
October 8, 2008	“OCFO Kick-Off of the FY 2010 NPM Guidance” memo released
October 15, 2008	“OCFO’s Technical Guidance on FY 2010 NPM Guidance and Annual Commitment Process” memo and guidance released
January 2009	NPMs compile updated list of FY 2010 annual commitment measures, including any changes from the FY 2010 measures review
February 13, 2009	Draft FY 2010 NPM guidance and supporting documents (including: FY 2010 Measures Appendix, FY 2010 State Grant Measures Appendix, Explanation of Key Changes between FY 2009 and FY 2010) due to OCFO
February 18, 2009	Draft FY 2010 NPM guidance and supporting documents posted on OCFO’s internet webpage

³ See <http://www.section508.gov/> for government-wide Section 508 information.

February 18 - March 20, 2009	Regions, states, and tribes provide comments on draft FY 2010 NPM guidance documents to appropriate NPMs and OCFO contacts (using Attachment 9)
April 24, 2009	Final FY 2010 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, 2009	Final FY 2010 NPM guidance, measures, and supporting documents posted on OCFO's internet webpage
July 3, 2009	Optional NPM release of an addendum to FY 2010 NPM guidance documents

III. Annual Commitment Process and Measures Central

This section of OCFO's guidance covers two areas:

- A. Performance Tracking and Reporting of FY 2009 Actual Results
- B. Negotiation and Agreement of FY 2010 Performance Commitments.

Measures Central, previously called Annual Commitment System (ACS), is an important central repository of Agency performance measurement information. Measures Central is used to track:

1. Annual budget performance measures
2. Annual headquarters and regional performance commitment information and results
3. State grant measures
4. Senior Management Measures, an element of the SES performance appraisal process managed by OARM (internal)
5. Internal NPM and Regional EPAStat measures
6. EPAStat Quarterly Report (EQR) Measures

User manuals, training materials, data entry requirements, and other information about Measures Central can be found on OCFO's intranet website at <http://intranet.epa.gov/ocfo/acs>.

A. Performance Tracking and Reporting of FY 2009 Actual Results

Action Requested: For FY 2009, please refer to OCFO guidance documents on measures governance to improve data quality and reporting. In addition, follow deadlines and timelines for mid-year adjustments, mid-year and end-of-year data reporting, and analysis of results.

Detailed Information

1. FY 2009 Annual Commitment Measures

The deadline for reaching agreement on FY 2009 performance commitments was October 6, 2008, and unresolved commitments will be subject to a resolution process with OCFO. OCFO will post regional reports showing the final FY 2009 agreed-upon commitments (those with the “Parties in Agreement” box checked) on EPA’s Regional Commitments Quickplace (see sidebar) by October 20, 2008. OCFO expects regions and NPMs to adhere to their FY 2009 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 Measures Central).

To protect the integrity of the commitment process, OCFO will continue to use a locking feature in FY 2009 to ensure that final, agreed-upon commitments are not changed. NPMs and regions cannot change FY 2009 commitments in Measures Central after October 29, 2008 outside of a two-week period in late Spring 2009. At this time, Measures Central will reopen so that NPMs and regions can make mid-year adjustments, if necessary. Changes will be kept to a minimum and require justifications. *Adjustments will only be permitted for commitments not affecting targets corresponding to annual performance goals and measures in EPA’s FY 2009 President’s Budget, unless there are significant changes in the enacted budget.* Please note: NPMs retain full discretion to administer policies they deem appropriate for approving or denying any adjustments for other measures, and they must inform OCFO of changes made and the rationale by June 8, 2009.

Additionally, regions must engage with appropriate NPMs in order to make adjustments.

NPMs and regions will enter actual FY 2009 end-of-year data in Measures Central in October 2009 through early November 2009. Similar to the bidding process, regions are required to enter state-by-state, end-of-year performance information in Measures Central for state grant measures and, where possible, for other measures.

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://epaqp.rtp.epa.gov/commitments>

What’s in there now?

Regional reports showing draft and final commitments for FY 2005-FY 2009

What’s going to be in there later?

- Draft FY 2010 commitments (July 2009)
- Final FY 2010 commitments (Sept. 2009)

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 12

For planning purposes, the milestones chart in this section provides projected dates for FY 2009. Keep in mind that these dates may change to improve alignment with various Agency reporting schedules.

2. Performance Reports

Agency managers and staff are encouraged to produce reports from ORBIT or Measures Central to analyze performance information tracked in Measures Central. ORBIT and Measures Central reports are similar in content but array the information differently. OCFO recommends the use of ORBIT reports since they are easier to run and allow greater flexibility in how information is displayed, including the use of graphics (e.g., bar charts). For more information about reports available from Measures Central and ORBIT, see the Measures Central intranet website at <http://intranet.epa.gov/ocfo/acs> in “Training Materials, Handouts.”

3. Measures Central FY 2009 Mid-Year and End-of-year Reporting

FY 2009 Mid-Year Performance Measures Report

In FY 2008, EPA piloted a more extensive review of mid-year performance results for annual operating and annual budget measures through EPA’s *FY 2008 Mid-Year Performance Measures Report*. The pilot report provided a useful summary of progress, and resulted in improved data quality as well as reporting for FY 2008 end-of-year results. Measures that were not on target or that had exceeded targets by the mid-year, affecting target setting for FY 2009, were highlighted in the FY 2008 mid-year report. Further, the report provided a baseline from which to determine improvements for analysis in FY 2009 and beyond.

The FY 2009 mid-year reporting process will be similar to FY 2008 and incorporate lessons learned based on input from OCFO and EPA’s planning community in July 2008. NPMs will indicate to regions the measures required to be reported at mid-year. Timing of mid-year reporting will correspond to the FY 2009 Quarter 2 EQR reporting cycle. The FY 2009 mid-year report will contain more analysis, trend data, and improved data quality, and highlight potential end-of-year performance issues.

FY 2009 End-of-Year Performance Measures Report

The FY 2009 *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. Further, the timing of the report will correspond with FY 2009 Quarter 4 EQR, regional priority measure, and Performance and Accountability Report (PAR) reporting cycles. 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. Additionally, the end-of-year analysis helps determine reasons why measure targets are missed and met for national results in the PAR. OCFO is currently developing the approach and guidance for the *FY 2008 End-of-Year Performance Measures Report*. Guidance will be issued in October 2008.

Key Milestones for the Performance Tracking of FY 2009 Actual Results	
October 29, 2008	Measures Central is locked to prevent adjustments to FY 2009 Commitments
October 2008	<i>FY 2008 Performance Measures End-of-Year Report</i> guidance issued by OCFO
December 2008	<i>FY 2008 End-of-Year Performance Measures Report</i> distributed by OCFO and posted on OCFO's intranet website
April 2009	<i>FY 2009 Mid-Year Performance Measures Report</i> guidance issued by OCFO
Late April - mid May 2009	Actual FY 2009 mid-year data entered into Measures Central
May 25 – June 5, 2009	Measures Central is reopened to allow mid-year adjustments to FY 2009 commitments, only if necessary, and NPMs notify OCFO of these changes by June 8
Early June 2009	<i>FY 2009 Mid-Year Performance Measures Report</i> distributed by OCFO and posted on OCFO's intranet website
October 2009	<i>FY 2009 End-of-Year Performance Measures Report</i> guidance issued by OCFO
October- Early November 2009	NPMs and regions enter actual FY 2009 end-of-year performance results in Measures Central
Early December 2009	<i>FY 2009 End-of-year Performance Measures Report</i> distributed by OCFO and posted on OCFO's intranet website

B. Negotiation and Agreement of FY 2010 Performance Commitments

Action Requested: NPMs and regions should follow guidelines, timeframes, and instructions for developing FY 2010 commitments.

Detailed Information

Regions will set draft and final performance commitments for FY 2010 jointly with NPMs and input from states and tribes to meet the annual targets associated with annual measures in EPA's *FY 2010 Annual Plan and Budget* and strategic measures in EPA's *2009-2014 Strategic Plan*. NPMs and regions will agree on final regional commitments in Measures Central and include any relevant comments or explanations.

NPMs and regions are **required** to enter state-by state information for state grant measures, if applicable. As in the past, regions should develop state-by-state and tribal contributions to FY 2010 draft and final commitments, to the extent possible, and enter this information in Measures Central. This creates additional transparency in the commitment process and allows states and tribes to identify their contributions to achieving regional commitments and NPM goals. 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 2010 Annual Commitment Measures

Similar to past fiscal years, OCFO will copy FY 2009 annual commitment measures in Measures Central as draft FY 2010 measures in December 2008. NPMs should then adjust the FY 2009 measures (i.e., edit, delete or add measures) to incorporate results of EPA's FY 2010 measures review effort, consistent with EPA's *FY 2010 Annual Plan and Budget* and the *FY 2009 – 2014 Strategic Plan*. OCFO will also copy the same measure assignments for regions, states, and tribes associated with each measure, but without FY 2009 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 2010 annual commitment measures in Measures Central no later than April 24, 2009. 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. **OCFO expects negotiations to continue through Summer 2009 (e.g., ongoing dialogue between headquarters, regions, states, and tribes) and agreements to be reached at the earliest point, starting with April posting of commitment measures.**

2. Draft FY 2010 Commitments

NPMs and regions, with input from states and tribes, may begin negotiations on draft commitments as soon as measures are finalized in Measures Central. The negotiation should continue through July, when the draft FY 2010 regional performance commitments are due in Measures Central, 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 Measures Central and have been approved by their DRAs. Please see specific dates for these processes below.

Similar to the FY 2009 process, OCFO will post a report of external, draft FY 2010 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 2010 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 September 25, 2009. For more information about the Regional Commitments Quickplace Website, see **Attachment 12**.

During the FY 2010 commitment negotiation process, NPMs may release an optional addendum to the FY 2010 NPM guidance documents (by July 3, 2009) including relevant changes to FY 2010 NPM priorities, strategies, and measures consistent with direction from the new administration and EPA's *FY 2010 President's Budget* (Spring 2009), and EPA's *2009-2014 Strategic Plan* (full text draft in Spring 2009, final plan by September 30, 2009). OCFO will work with NPMs, regions, states, and tribes to ensure that the commitment negotiations capture any proposed changes from these addendums.

3. Final FY 2010 Commitments

After DRA-approved draft regional performance commitments are entered into Measures Central, NPMs and regions should reach agreement in the system on an ongoing basis. Regions should ensure that DRAs remain informed throughout the negotiation process and that final bids have fully considered state and tribal comments as well as cross-program impacts. NPMs are required to consider and respond to all regional commitments within two weeks from the time 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 Measures Central.

For those measures that are still being negotiated, regions should enter final FY 2010 bids in Measures Central no later than September 4, 2009. NPMs and regions should reach agreement on the final FY 2010 commitments in Measures Central by September 25, 2009, and elevate any outstanding issues to NPM and regional managers, including the DAA and DRA, as appropriate. OCFO will run a report of final agreed-upon FY 2010 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 September 25, 2009, should be brought to the attention of NPM and regional management, and to the DAAs and DRAs, if necessary, for resolution.

On September 30, 2009, NPMs and regions notify OCFO of any outstanding FY 2010 performance commitments, using **Attachment 11**. Further, regions will also send OCFO an email confirming that the final regional performance commitments in Measures Central have been approved by their DRAs and that the outstanding commitments have been brought to the attention of their DRAs. NPMs should send an email to OCFO confirming that their DAAs approve the commitments in Measures Central and are aware of the unresolved commitments being raised to OCFO.

Key Milestones for the Negotiation and Agreement of FY 2010 Performance Commitments	
December 2008	OCFO copies FY 2009 measures into Measures Central as draft FY 2010 measures.
February 13, 2009	Draft FY 2010 NPM guidance and supporting documents (including: FY 2010 Measures Appendix, FY 2010 State, Grant Measures Appendix, Explanation of Key Changes between FY 2009 and FY 2010) due to OCFO
March – September, 2009	Regions engage NPMs, states, and tribes in determining FY 2010 regional performance commitments.
April 29, 2009	Text of FY 2010 commitments finalized by NPMs in Measures Central; commitment measures opened for bidding.
July 3, 2009	Optional NPM release of an addendum to FY 2010 NPM guidance documents
July 10, 2009	FY 2010 draft regional performance commitments reflecting DRA approval due in Measures Central

July 13, 2009	Regions send an email to OCFO indicating that draft regional performance commitments have been entered in Measures Central and have been approved by DRAs.
July – September 25, 2009	Regions continue to engage NPMs, states and tribes in determining final FY 2010 regional performance commitments.
July 22, 2009	FY 2010 draft annual regional commitments are posted on EPA Quickplace site.
September 4, 2009	FY 2010 regional final commitment information reflecting DRA approval due in Measures Central.
September 25, 2009	NPMs and regions reach agreement in Measures Central on FY 2010 performance commitments
September 30, 2009	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 Measures Central have been approved by DRAs and DAAs and that DRAs and DAAs are aware of unresolved FY 2010 commitments.
October 14, 2009	FY 2010 final commitments (for which agreement was reached) are posted on EPA Quickplace site.
October 30, 2009	Measures Central is locked to prevent any adjustments to FY 2010 Commitments

***Note these dates may be adjusted if measure changes are included in the optional NPM addendum, issued July 3, 2009**

Attachment 1 For More Information: Key Contacts and Web Links

OCFO Contacts

- General Information..... Martha Shimkin (202-564-4407)
- National Program Manager Guidance Development..... Lindsay Adams (202-564-9897)
- Measures Review & Governance..... John Hall (202-564-3020)
- State Grant Measures..... Margo Padgett (202-564-1211)
- Measures Central (general)..... Will Anderson (202-564-1434)
- Measures Central (technical)..... Steve Wiener (202-564- 3993)

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..... Elizabeth Walsh (202-564-2337)

OCIR Contacts

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

OGD Contacts

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

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..... Robert Cooper (404-562-8281)
- 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..... Teddy Ryerson (415-972-3935)
- 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/>
- Performance Management
 - o <http://epa.gov/performance>
- Measures Central
 - o <http://intranet.epa.gov/ocfo/acs> (internal)

- Quickplace Commitment Site (accessible only with password)
 - o <https://epaqpx.rtp.epa.gov/commitments>
- State Grant Measures (for FY 2008):
 - o http://www.epa.gov/performance/state_grant_workplans.htm
- EPA*Stat* Quarterly Report (EQR)
 - o <http://www.epa.gov/ocfo/eqr/index.htm>
- OCFO's Reporting and Business Intelligence Tool (ORBIT)
 - o <http://intranet.epa.gov/ocfo/systems/orbit.htm>

Attachment 2
List of Regional Priorities * as of September 2008

Priority	Northeast			Great South			Midwest			Great American West			U.S.- Mexico Border		Islands	
	R1	R2	R3	R4	R6	R5	R7	R8	R9	R10	R6	R9	R2	R9		
Air Quality (PM, Ozone, toxics)*	X	X	X	X	X	X	X	X	X	X	X	X		X		
Beaches	X	X	X										X			
Diesel	X	X	X	X	X	X	X	X	X	X	X	X		X		
Emergency Preparedness											X	X				
Energy Efficiency	X	X	X													
Land Preservation/Revitalization	X	X	X	X	X			X	X	X	X	X		X		
Lead Poisoning						X	X									
Solid Waste															X	X
Wastewater	X	X	X											X	X	X
Water Quality: Drinking														X	X	X
Water Quality: Nutrient/Sediment Loadings	X	X	X	X	X	X	X	X	X	X						

* This table only includes those specific areas that the individual regional groups report to the DA every quarter. All regions have national reporting requirements and additional regional measures that are not captured by this chart, but should be considered for setting NPM priorities.

Attachment 3
Burden Reduction: 16 Priority Areas &
State Recommendations Related to Each

Priority Area	Related Recommendations
<u>1.</u> Regional Clean Air Act (CAA) Section 105 grant reporting	<u>A2.</u> Reduce reporting frequency for CAA Section 105 grant reporting
<u>2.</u> Clean Air Act (CAA) Prevention of Significant Deterioration/ New Source Review (PSD/NSR) and Section 112(g) Reporting	<u>A6.</u> Eliminate report on “no determinations” under CAA Section 112(g) <u>A7.</u> Eliminate report on Prevention of Significant Deterioration/ New Source Review (PSD/NSR) non-applicability determinations
<u>3.</u> Clean Water Act (CWA) Section 303(d) and 305(b) Integrated Reports	<u>W16.</u> Keep CWA Sections 303(d) and 305(b) reports separate <u>W30.</u> Reduce Frequency of 303(d) and 305(b) Integrated Reports
<u>4.</u> CWA Non-Point Source Report	<u>W22.</u> Streamline non-point source report <u>W24.</u> Harmonize water reports with different reporting periods and frequencies
<u>5.</u> Compliance reporting under the National Pollutant Discharge Elimination System (NPDES)	<u>E4.</u> Eliminate NPDES Annual Noncompliance Report (ANCR) <u>E12.</u> Eliminate NPDES Semi-Annual Statistical Summary Reduce frequency of NPDES <u>E26.</u> Quarterly Non-compliance Report (QNCR) Eliminate quarterly Electronic Permit Issuing <u>W4.</u> Forecasting Tool (E-PIFT) Report Reduce reporting on draft major and minor NPDES permits <u>W23.</u>
<u>6.</u> Integrated Compliance Information System for the National Pollutant Discharge Elimination System (ICIS-NPDES) & Permit Compliance System (PCS) requirements	<u>E1.</u> Reduce ICIS data requirements <u>E2.</u> Reduce data elements in ICIS’ Required Integrated Compliance Information System Data Elements (RIDE) <u>E3.</u> Streamline data requirements in NetDMR for NPDES Discharge Monitoring Reports (DMR)
<u>7.</u> Duplicate Enforcement Reporting	<u>E5.</u> Eliminate Reporting Enforcement and Compliance Assurance Priorities (RECAP) report <u>E6.</u> Eliminate or reduce frequency of CAA, CWA, and Resource Conservation and Recovery Act (RCRA) Quarterly Watch Lists <u>E14.</u> Eliminate annual monitoring report under Clean Air Act (CAA) Section 105 <u>E16.</u> Eliminate requirement to submit NPDES enforcement documents <u>E17.</u> Eliminate significant industrial user (SIU) semi-annual and annual reports <u>E24.</u> Use PPA for enforcement reporting <u>E27.</u> Eliminate the Annual Public Water System (PWS) Compliance Report <u>E29.</u> Consider state Notices of Violation (NOVs) to be formal actions
<u>8.</u> Enforcement and Compliance History Online (ECHO) Web	<u>E7.</u> Improve data management in ECHO <u>E10.</u> Eliminate reports that can be retrieved from PCS or ECHO

	interface		
<u>9.</u>	Performance Partnership Grant (PPG)/ Performance Partnership Agreement (PPA) categorical grant reporting	<u>G5.</u> <u>G6.</u> <u>G9.</u>	Eliminate reporting on state-based or other programs not federally funded Reduce PPA/PPG reporting frequency Streamline PPA/PPG reporting requirements
<u>10.</u>	Clean Water Act (CWA) Section 319 grant reporting	<u>W15.</u> <u>W18.</u> <u>W36.</u>	Eliminate annual summary of CWA Sections 106 and 319 quarterly reports Modify CWA Section 319 Grant Reporting and Tracking System (GRTS) Reduce frequency of CWA Section 319 reporting
<u>11.</u>	Disadvantaged Business Enterprise (DBE) Utilization Reporting	<u>G7.</u>	Reduce reporting frequency on Disadvantaged Business Enterprise (DBE) utilization
<u>12.</u>	Underground Injection Control (UIC) Reports	<u>W17.</u> <u>W26.</u>	Streamline Underground Injection Control (UIC) Reports Provide funds or reduce requirements for Class V Underground Injection Control (UIC) Program
<u>13.</u>	CAA National Emissions Inventory (NEI) reporting	<u>A1.</u> <u>A12.</u>	Eliminate duplicative NEI reporting Streamline NEI reporting
<u>14.</u>	CAA Inspection & Maintenance Program reporting	<u>A10.</u> <u>A21.</u>	Reduce reporting frequency of the Inspection and Maintenance (I/M) semi-annual report Reduce data elements required in I/M reporting
<u>15.</u>	Safe Drinking Water Information System (SDWIS)	<u>W1.</u> <u>W3.</u> <u>W27.</u> <u>W31.</u> <u>W33.</u> <u>W34.</u>	Streamline reporting in or related to Safe Drinking Water Information System (SDWIS) Streamline Significant Noncompliance Reporting in SDWIS Improve data sharing with SDWIS Use SDWIS for all water-related reporting Use SDWIS to collect Sanitary Survey Plans Data Use SDWIS for operator certification program reporting
<u>16.</u>	Quarterly grant reports	<u>G8.</u>	Reduce reporting frequency for smaller grants and programs

Attachment 4 FY 2010 Measures Criteria and Guidelines

OCFO is providing the following measures criteria and guidelines with the intent of continuing to advance EPA 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 2010 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
- Make use of existing 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*
- 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. EPA's measures reported in the Agency's *2009-2014 Strategic Plan, FY 2010 Annual Plan and Budget, and annual Performance and Accountability Reports* (e.g. strategic and annual measures, including PART measures) 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 measures central.*
- 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 should generally 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.
- Should be supported by a stable set of measure metrics and codes to the extent possible.

Attachment 5 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 2010 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 2010
- * Identify and describe priorities, which are consistent with EPA's *2009-2014 Strategic Plan* and EPA's *FY 2010 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 2010 implementation strategies
- * Identify and describe strategies consistent with EPA's *2009-2014 Strategic Plan* and EPA's *FY 2010 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 2010

- * Note where priorities have shifted from FY 2009 NPM guidance and explain why (e.g., changes in EPA's *2009-2014 Strategic Plan* and EPA's *FY 2010 Annual Plan and Budget*; consideration of regional priorities and Agency-wide initiatives)
- * Discuss the results of the FY 2010 measures review to improve and align measures associated with implementation strategies in achieving FY 2010 results

Attachment 6
Measures Appendix Template

ENVIRONMENTAL PROTECTION AGENCY <i>[PROGRAM OFFICE]</i> FY2010 NPM GUIDANCE MEASURES APPENDIX									
Optional Column	G/O/S	Measures Central Code	Measure Text	Non-Commitment Indicator (Y/N)	State Grant Template Measure (Y/N)	Planning Target⁴	National Target (FY2010 Pres. Bud)		

⁴ For details on the Planning Target, see page 7.

Attachment 7
State Grant Measures Appendix Template

ENVIRONMENTAL PROTECTION AGENCY [PROGRAM OFFICE] FY2010 NPM GUIDANCE MEASURES APPENDIX					
Type of Categorical Grant	G/O/S	Measures Central Code	Measure Text	Planning Target ⁵	National Target (FY 2010 Pres. Bud)

⁵ For details on the Planning Target, see page 7.

Attachment 8
Explanation of Changes from FY 2009 to FY 2010
NPM Office

Instructions

Change from FY2009 Guidance Document	Reason for Change	Location of Information
<i>Briefly describe the significant changes from the FY 2009 guidance and specify whether it is a deletion, addition, or modification. Changes to measures may be grouped.</i>	<i>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.).</i>	<i>Identify where in the document the new or modified information can be found by page number and section.</i>

Template

Change from FY 2009 Guidance Document	Reason for Change	Affected Pages and Sections
Priorities		
Strategies		
Annual Commitment Measures		
Tracking Process		
Contacts		

Attachment 9
Comments and Response to Comments Summary
on FY 2010 Draft NPM Guidance

Instructions

Comment from regions, state, tribe, or other stakeholder	Commenter (s)	Location in Draft Guidance	NPM Response	Action Taken in Final Guidance
Issue Area - Divide comments into general issue areas: e.g. NAAQS, indoor air, etc. where appropriate. <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 general 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 10
Explanation of Key Changes in Measures Targets from FY 2009 to FY 2010
NPM Program Office

Instructions

Measures Central Code	Commitment Text	FY 2008 Result	FY 2009 Target	FY 2010 Target	Explanation
List Measures Central code.	Include complete commitment text.	State the result for FY 2008.	State the target for FY 2009.	State the target for FY 2010.	Describe the reason for change in targets only where the target for FY 2010 is less than the result for FY 2008 or the target for FY 2009.

Template

Measures Central Code	Commitment Text	FY 2008 Result	FY 2009 Target	FY 2010 Target	Explanation

Attachment 11
Summary of Issues for Unresolved FY 2010 Annual 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 Measures Central 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 12 EPA's Regional Commitments Quickplace Website

OCFO will post reports of the FY 2010 draft regional performance commitments for states and tribes to review on July 22, 2009. 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 2010 NPM guidance documents, which will be issued in April 2009.

Background Information

Over the last few years EPA has continued to develop a more streamlined and transparent process for NPMs and regions to reach agreement on annual performance commitments. Following the issuance of FY 2010 NPM guidance documents in April 2009, 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 13
**Key Milestones for FY 2010 NPM Guidance Development &
 FY 2009/FY 2010 Annual Commitment Process**

Process Codes: G = FY 2010 NPM Guidance development
 ACP = Annual Commitment Process

Target Date	Process Code	FY	Milestone	NPM/Reg. Action Item	Page
October 8, 2008	G ACP	09 10	“OCFO Kick-Off of the FY 2010 NPM Guidance” memo released by Lyons Gray		
October 15, 2008	G ACP	09 10	“OCFO’s Technical Guidance on FY 2010 NPM Guidance and Annual Commitment Process” memo and guidance released		
October 29, 2008	ACP	09	Measures Central is locked to prevent any adjustments to FY 2009 Commitments		10
October 2008			FY 08 End-of-Year Performance Measures Report guidance issued by OCFO		11
December 2008	ACP	10	OCFO copies FY 2009 measures into Measures Central as draft FY 2010 measures; Proposed changes to performance measures through the FY 2010 measures review are presented to DRAs/DAAs for comment; <i>FY 2008 End-of-Year Performance Measures Report</i> released and posted on OCFO’s intranet site		13
February 13, 2009	G	10	Draft FY 2010 NPM guidance and supporting documents (including: FY 2010 Measures Appendix, FY 2010 State Grant Measures Appendix, Explanation of Key Changes between FY 2009 and FY 2010) due to OCFO	*	6-8
February 18, 2009	G	10	Draft FY 2010 NPM guidance and supporting documents posted on OCFO’s internet webpage		8
February 18 - March 20, 2009	G	10	Regions, states, and tribes provide comments on Draft FY 2010 NPM guidance documents to appropriate NPMs and OCFO contacts (using Attachment 9)	*	8
March – September, 2009	ACP	10	Regions engage NPMs, states, and tribes in determining FY 2010 regional performance commitments	*	12-14
April 2009	ACP	09	FY 2009 Mid-Year Performance Measures Report guidance issued by OCFO		11
April 24, 2009	G	10	Final FY 2010 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	*	6-8
April 29, 2009	ACP	10	Text of FY 2010 commitments finalized by NPMs in Measures Central; commitment measures opened for bidding	*	12

April 30, 2009	G	10	Final FY 2010 NPM guidance, measures, and supporting documents posted on OCFO's internet webpage		8
Late April – mid May 2009	ACP	09	Actual FY 2009 mid-year data entered into Measures Central	*	10
May 25 – June 5, 2009	ACP	09	Measures Central is reopened to allow mid-year adjustments to FY 2009 commitments, only if necessary, and NPMs notify OCFO of these changes, by June 8	*	10
Early June 2009	ACP	09	<i>FY 2009 Mid-Year Performance Measures Report</i> released and posted on OCFO's intranet site		11
July 3, 2009	G	10	Optional NPM release of an addendum to FY 2010 NPM guidance documents	*	2
July 10, 2009	G	10	Optional addendums posted on OCFO's internet webpage		2
July 10, 2009	ACP	10	FY 2010 draft regional performance commitments reflecting DRA approval due in Measures Central	*	13
July 13, 2009	ACP	10	Regions send an email to OCFO indicating that draft regional performance commitments have been entered in Measures Central and have been approved by DRAs	*	13
July – September 25, 2009	ACP	10	Regions continue to engage NPMs, states, and tribes in determining final FY 2010 regional performance commitments; agreements should be reached throughout July-September timeframe	*	12-14
July 22, 2009	ACP	10	FY 2010 draft annual regional commitments are posted on EPA Quickplace site		13
September 4, 2009	ACP	10	FY 2010 regional final commitment information reflecting DRA approval due in Measures Central	*	13-14
September 25, 2009	ACP	10	NPMs and regions reach agreement in Measures Central on FY 2010 performance commitments	*	14
September 30, 2009	ACP	10	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 Measures Central have been approved by DRAs and DAAs, and that DRAs and DAAs are aware of unresolved FY 2010 commitments.	*	14
October 2009	ACP	09	<i>FY 2009 End-of-Year Performance Measures Report</i> guidance issued by OCFO		11-12
October 14, 2009	ACP	10	FY 2010 final commitments (for which agreement was reached) are posted on EPA Quickplace site		14
October – Early November 2009	ACP	09	NPMs and regions enter actual FY 2009 end-of-year performance results in Measures Central	*	11
October 30, 2009	ACP	10	Measures Central is locked to prevent any adjustments to FY 2010 commitments		15
Early December 2009	ACP	09	<i>FY 2009 End-of-Year Performance Measures Report</i> released and posted on OCFO's intranet site		11-12

Attachment 14

NPM Checklist for FY 2010 Guidance

October 2008:

- * NPMs work with regions and OCFO to resolve any outstanding FY 2009 annual commitments

By February 13, 2009:

- * NPMs submit their draft FY 2010 NPM guidance, measures, and supporting documents to OCFO. Submissions MUST include:
 - o FY 2010 Measures Appendix, reflecting the results of the measures review, and including draft planning targets and national targets
 - o FY 2010 State Grant Measures Appendix
 - o Explanation of Key Changes between FY 2009 and FY2010

March – September 2009:

- * Regions engage NPMs, states, and tribes in determining FY 2010 regional performance commitments

Late April – Mid-May, 2009:

- * FY 2009 mid-year results data entered into Measures Central

April 24, 2009:

- * NPMs submit their final FY 2010 NPM guidance, measures and supporting documents to OCFO. Submissions MUST include:
 - o Updated FY 2010 Measures Appendix, including planning targets and national targets
 - o Updated State Grant Measures Appendix
 - o Response to Comments Summary
 - o Explanation of Key Changes in Measures Targets

April 29, 2009:

- * NPMs finalize text of FY 2010 commitments in Measures Central and open commitment measures for bidding
 - o NPMs should use Measures Central codes consistent with those used in the FY 2009 process

May 25 - June 5, 2009:

- * Measures Central re-opens for **limited** mid-year adjustments on commitments not associated with the EPA's FY 2009 Budget. NPMs oversee process for approving or denying adjustments, and inform OCFO of any changes made by June 8

July 3, 2009:

- * NPMs release optional addendum to FY 2010 NPM guidance documents

By July 10, 2009:

- * Regions input their FY 2010 draft regional performance commitments reflecting DRA approval in Measures Central
 - o Draft commitments should include draft state-by-state breakouts to the extent possible

July – September 25, 2009:

- * NPMs continue to engage with regions in determining final FY 2010 regional performance commitments

By July 22, 2009:

- * FY 2010 draft regional commitments are posted on EPA Quickplace site
 - o NPMs and Regions review ORBIT reports produced by OCFO to ensure accuracy of data entry in Measures Central

By September 4, 2009:

- * FY 2010 regional final commitment information reflecting DRA approval due in Measures Central and NPMs continue to accept bids or counter

By September 25, 2009:

- * NPMs and regions enter data for all agreements reached to date on FY 2010 performance commitments in Measures Central
 - o Final commitments should include draft state-by-state breakouts to the extent possible

By September 30, 2009:

- * NPMs and regions notify OCFO of any outstanding issues with unresolved bids for dispute resolution
 - o 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 Measures Central and have been approved by DAAs

By October 14, 2008:

- * FY 2010 final commitments (for which agreement was reached) are posted on the EPA Quickplace
 - o NPMs and regions review ORBIT reports produced by OCFO to insure accuracy of data entry in Measures Central

October – Early November 2009:

- * NPMs and regions enter actual FY 2009 end-of-year results data in Measures Central

October 30, 2008:

- * Measures Central is locked to prevent any adjustments to FY 2010 commitments

Attachment 15

Regional Checklist for FY 2010 Guidance

October 2008:

- * Regions work with NPMs and OCFO to resolve any outstanding FY 2009 annual commitments

February 18, 2009:

- * Draft FY 2010 NPM guidance documents including FY 2010 Measures Appendix (reflecting results of measures review), FY 2010 State Grant Measures Appendix, and Explanation of Key Changes between FY 2009 and FY 2010) posted on OCFO's internet webpage

February 18 – March 20, 2009:

- * Regions, states, and tribes provide comments on Draft FY 2010 NPM Guidance to appropriate NPMs and OCFO contacts using Attachment 9: Comments and Response to Comments Summary

March – September 2009:

- * Regions engage NPMs, states, and tribes in determining FY 2010 regional performance commitments

Late April – Mid-May 2009:

- * Regions enter FY 2009 mid-year results data into Measures Central

By April 29, 2009:

- * NPMs finalize text of FY 2010 commitments in Measures Central and open commitment measures for bidding

By April 30, 2009:

- * Final FY 2010 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 2009:

- * FY 2009 mid-year results data entered into Measures Central

May 25 - June 5, 2009:

- * Measures Central re-opens for **limited** mid-year adjustments on commitments not associated with APGs or the EPA's FY 2009 Budget. Regions work with NPMs, who retain discretion for approving or denying adjustments

July 10, 2009:

- * OCFO posts NPMs' optional addendums to FY 2010 NPM guidance documents on OCFO's internet webpage, which regions should consider if regional performance commitments are impacted

By July 10, 2009:

- * Regions put FY 2010 draft regional performance commitments reflecting DRA approval in the Measures Central
 - o Draft commitments should include draft state-by-state breakouts, to the extent possible

July 13, 2009:

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

July - September 25, 2009:

- * Regions continue to engage with NPMs, states, and tribes in determining FY 2010 regional performance commitments
 - o State and tribal comment period on draft commitments ends August 14, 2009

July 22, 2009:

- * FY 2010 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 Measures Central

By September 4, 2009:

- * Regions input final FY 2010 commitment information reflecting DRA approval due in Measures Central

September 25, 2009:

- * NPMs and regions enter data on all agreements reached for FY 2010 performance commitments in Measures Central
 - o Final commitments should include draft state-by-state breakouts to the extent possible

By September 30, 2009:

- * 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 Measures Central and have been approved by DRAs

By October 14, 2009:

- * FY 2010 final commitments (for which agreement was reached) are posted on the EPA Quickplace
 - o NPMs and regions review ORBIT reports produced by OCFO to insure accuracy of data entry in Measures Central

October – Early November, 2009

- * Regions enter FY 2009 end-of-year results data in Measures Central

October 30, 2009:

- * Measures Central is locked to prevent any adjustments to FY 2010 commitments

Attachment 16
State and Tribal Opportunities for Engagement
2010 NPM Guidance and Annual Commitments Process

The following are the key milestones relevant to states and tribes in the 2010 NPM Guidance and annual commitment processes. This timeline is a subset of the milestones presented in **Attachment 13** presented by topic area.

FY 2010 Commitment Negotiation

March – September 2009:

- * Regions engage NPMs, states, and tribes in determining draft and final FY 2010 regional performance commitments

July 10, 2009:

- * FY 2010 draft regional performance commitments reflecting DRA approval due in Measures Central (reflects engagement between regions, state, and tribes)

July 22, 2009:

FY 2010 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 2009 regional performance commitments.

September 25, 2009:

- * NPMs and regions enter data on all agreements reached for FY 2010 performance measures in Measures Central (commitments reflect engagement between regions, states, and tribes)

October 14, 2009:

- * FY 2010 final annual regional performance commitments (for which agreement was reached) are posted on EPA's Quickplace site

FY 2010 NPM Guidance Documents Review

February 18 – March 20, 2009:

- * Draft FY 2010 NPM guidance with summary of changes and draft FY 2010 measures posted on OCFO's internet webpage.
- * Regions, states, and tribes provide comments on draft FY 2010 NPM guidance to appropriate NPMs and OCFO contacts using Attachment 9: Comments and Response to Comments Summary

April 30, 2009:

- * Final FY 2010 NPM Guidance, measures, and supporting documents posted on OCFO's internet