



# **OCFO's Technical Guidance on FY 2013 National Program Manager Guidance and Annual Commitment Process**

**October 28, 2011**

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Commitment Process**  
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**Blank Templates: Available via the Web**

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## Introduction to the NPM Guidance Process

Every year EPA's National Program Managers (NPMs) develop guidance that identifies their program priorities, strategies, and operational measures in accordance with EPA's Strategic Plan and Annual Plan and Budget. Taken together, these NPM guidance documents serve as a national framework for Regions to use as they establish their own work plans and work-sharing strategies with the states. The NPM guidance process is an important communications tool, supporting the alignment of the Agency's long-term strategic goals and annual budgetary decisions with more detailed implementation instructions. Given the FY 2013 budget levels, the NPM guidance documents will be critical in translating the budget choices and redirections into operational details. OCFO's Technical Guidance on the FY 2013 National Program Manager Guidance and Annual Commitment Process supports improved Agency program management and decision making by:

- Ensuring consistency and clarity across NPM guidance documents so that Regions, states, and tribes are better able to identify priorities, specific focus areas for FY 2013, and cross-program opportunities for implementing EPA programs.
- Encouraging early cross-program communication on joint efforts to advance priorities and initiatives.
- Identifying the smallest, most meaningful set of measures to assess performance results.
- Establishing processes to improve the quality, consistency, and reliability of performance measures and data reporting in EPA's Annual Commitment System (ACS), consistent with OCFO's measures governance guidance.
- Maintaining consistent deadlines and milestones for guidance development and reporting.

OCFO's Technical Guidance addresses three areas of national program management: 1) developing FY 2013 NPM priorities, strategies, and associated operational measures; 2) reporting and analyzing results for FY 2012 performance commitments; and 3) negotiating agreements for FY 2013 performance commitments.

The overall process and timeline of events for the NPM guidance process will remain largely the same as last year. For a complete list of key milestones and relevant contact information for the NPM guidance process, please see **Attachments 1 and 2**. In addition, individual schedules for Regions (**Attachment 6**), and states and tribes (**Attachment 7**) are also provided.

OCFO has made changes to our technical guidance, including:

- Adding a deadline for NPMs to enter initial bids into the ACS.
- Continuing last year's pilot effort to facilitate state engagement on draft guidance as an integral part of the FY 2013 NPM guidance process and expanding it to include tribes.
- Emphasizing that mid-year target adjustments are not a reopening of FY 2012 commitments
- Requiring NPMs to obtain a National Service Center for Environmental Publications (NSCEP) number for draft and final documents before posting online (**See Attachment 3**).

## **Development of the FY 2013 National Program Manager Guidance**

The following sections provide the framework for FY 2013 NPM Guidance. In addition to the information contained within this section, NPMs will need to consult and complete the following attachments and templates to fulfill all requirements:

- ✓ Attachment 3: Format Requirements for FY 2013
- ✓ Attachment 4: FY 2013 Measures Criteria and Guidelines
- ✓ [Explanation of Changes Between FY 2012 and FY 2013 Template](#)

### **Key Considerations for Developing NPM Priorities and Strategies**

The NPM guidance documents are important tools for linking Agency priorities to annual performance. NPM guidance documents should clearly communicate how NPM priorities align with the Administrator's priorities, the FY 2011-2015 Strategic Plan, and the FY 2013 Annual Plan and Budget

- ✓ [\*The Administrator's Priorities\*](#): Similar to FY 2012, NPMs should continue to consider and incorporate the Administrator's priorities into NPM implementation priorities and strategies to the extent feasible and appropriate.
- ✓ [\*Strategic Plan\*](#): The FY 2011-2015 Strategic Plan sets forth the Agency's long-term vision, strategic goals, objectives, measures and strategies to achieve them. The Plan presents five strategic goals and cross-cutting fundamental strategies for advancing the Agency's mission and the Administrator's priorities. NPMs should consider the long-term strategies and measures identified in the Strategic Plan as they make adjustments to priorities, strategies, and operational measures for their FY 2013 NPM guidance documents.

The five cross-cutting fundamental strategies (XCFS) in the FY 2011-2015 Strategic Plan are designed to promote cross-program coordination and fundamentally change the way the Agency works to achieve our mission. The FY 2012 XCFS Action Plans, which articulate specific measurable actions that will be undertaken across the agency in FY 2012, will be available at <http://www.epa.gov/planandbudget/annualplan/fy2012.html> after October 31, 2011. NPMs should incorporate, as applicable, expectations for advancing the XCFS and Action Plans in their FY 2013 NPM guidance (e.g. program strategies, operational measures). Strategy Implementers and their lead staff, in addition to OCFO staff, are a resource. (**Attachment 2**).

EPA's FY 2011-2015 Strategic Plan contains several cross-program goals, such as climate change, that rely on increased Agency-wide collaboration for successful implementation. NPMs should collaborate, as appropriate, to develop strategies in their NPM guidance documents to advance the cross-program goals. For example, the EPA is actively working to incorporate climate change adaptation strategies into Agency programs, as appropriate. Towards this end, NPMs should carefully review how Agency programs will be affected by climate change and identify strategies to address these impacts within the guidance documents.

- ✓ *FY 2013 Annual Plan and Budget:* The FY 2013 Annual Plan and Budget sets forth Agency priorities to advance EPA's FY 2011-2015 Strategic Plan. NPMs should consider the redirections and disinvestments in the FY 2013 budget and adjust strategies, measures, and operational commitments accordingly. NPM guidance documents should describe any impacts of changes to state and tribes, and explore new effective and efficient approaches to carrying out their programs.
- ✓ *Priority Goals:* As part of EPA's FY 2013 budget development and consistent with the GPRA Modernization Act, EPA is developing new FY 2012-2013 Priority Goals (PGs). EPA's new PGs represent particular areas of focused implementation over the next two years to advance EPA's FY 2011-2015 Strategic Plan. The NPMs should address in their guidance how their strategies advance the PGs and ultimately contribute to their achievement, as appropriate.

### Management Focus Areas for FY 2013 Guidance

NPMs should incorporate the following focus areas to strengthen the effectiveness and efficiency of program management, to the extent applicable, as they develop their FY 2013 guidance:

- ✓ *Emphasize NPM Guidance as an Internal Control:* The annual NPM guidance documents set forth program priorities and key actions for the upcoming year, and therefore serve as important internal controls for Agency programmatic operations. In developing their guidance, NPMs should reflect input from Regions, provided through the Agency's Lead Region process, on program risks, vulnerabilities and actions to reduce these risks. NPMs are encouraged to discuss use of their NPM guidance documents as a key internal control<sup>1</sup> for managing and carrying out their programs. In addition, Assistant and Regional Administrators should identify any vulnerabilities in implementing their NPM guidance when developing FY 2012 assurance letters to the Administrator (due in August 2012).
- ✓ *Highlight Opportunities to Gain Efficiency:* Consistent with the Administrator's priorities and EPA's FY 2011-2015 Strategic Plan, NPMs should describe the efforts undertaken to improve efficiency for their key national program priorities and strategies, where relevant.
- ✓ *Investing in 21<sup>st</sup> Technology:* In FY 2013, the Agency will utilize new information technology (IT) tools to improve program management including e-reporting, new targeting tools, and upgrades to Agency IT infrastructure. A key part of this approach is assisting states in modifying their programs to implement electronic reporting with regulated facilities. For those NPMs that issue state grant guidance as a component of their NPM guidance, they should include IT infrastructure and reporting as allowable costs in programmatic grants.
- ✓ *Enhance-EPA Engagement with States and Tribes:* OCFO, in collaboration with the Environmental Council of States (ECOS), successfully implemented a pilot program in FY 2011 to facilitate state-EPA engagement during the draft FY 2012 NPM guidance process. The pilot included conference calls between ECOS, EPA, and state associations which focused on impacts of changes in draft guidance to states. Based on the success of the pilot, OCFO will incorporate this effort in FY 2013, expanding it to tribes. OCFO expects these

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<sup>1</sup>As 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 2012 FMFIA/Management Integrity guidance in November/December 2011.

meetings to occur during the first few weeks of the public comment period. Please see the schedule of key milestones for more information (**Attachment 1**).

- ✓ [State Grant Workplans and Progress Reports](http://intranet.epa.gov/ogd/policy/final_grants_policy_issuance_11_03_state_grant_workplans.pdf): NPMs are expected to modify sections of their state grant guidance so they comply with the Office of Grants and Debarment's Grants Policy Issuance (GPI) 11-03, "State Grant Workplans and Progress Reports", effective for any grant awarded on or after October 1, 2012. The GPI was developed by the State Grant Workplan Workgroup, composed of EPA and state grant practitioners, and replaces the State Grant Performance Measures Template. The GPI applies to the fourteen state categorical grant programs previously subject to the State Grant Performance Measures Template. It supplements, but in no way supersedes, existing workplan requirements in 40 C.F.R. Part 35 Subpart A. To view the GPI, please go to:  
[http://intranet.epa.gov/ogd/policy/final\\_grants\\_policy\\_issuance\\_11\\_03\\_state\\_grant\\_workplans.pdf](http://intranet.epa.gov/ogd/policy/final_grants_policy_issuance_11_03_state_grant_workplans.pdf)

In addition, EPA is committed to providing our state and tribal partners with the resources they need to implement environmental programs in a timely manner. NPMs should describe efforts to streamline the grant distribution process in their guidance, as appropriate.

## **Developing FY 2013 Operational Measures**

NPM guidance documents govern the establishment of Regional commitments for annual budget measures and additional operational measures. The NPM guidance documents should focus on identifying the smallest, most meaningful set of measures to assess performance results. Since the State Grant Performance Measures Template is no longer required, NPMs have discretion whether or not to continue those measures as part of their overall set of FY 2013 measures. The Agency achieved a 19 percent reduction in FY 2013 annual budget measures and encourages programs to continue this trend in their NPM guidance measures.

The Agency will continue to develop quarterly [American Recovery and Reinvestment Act \(ARRA\)](#) reports. NPMs are only required to report on measures where work is still underway (**Attachment 5**). NPMs should remove measures where regular reporting is no longer necessary and maintain measures where work remains. 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. As a reminder, 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).

When developing FY 2013 operational measures, NPMs should adhere to the following guidelines:

- ✓ All measures should adhere to OCFO's measures criteria, found in **Attachment 4**.
- ✓ Any measure changes should align with FY 2013 budget measures and strategic measures in EPA's FY 2011-2015 Strategic Plan.
- ✓ Changes made to operational measures should be documented using the [Explanation of Changes Between FY 2012 and FY 2013 Template](#) and reflected in the [Measures Appendix](#).
- ✓ Planning targets for FY 2013 should not be less ambitious than the FY 2011 actual results or FY 2012 commitments unless there is a compelling reason. If measures targets do change, use the [Explanation of Key Changes in Measures Targets from FY 2012 to FY 2013 template](#) to justify the change.

- ✓ Consider guidance from OCFO's Phase [I](#) and [II](#) supplemental documents, which are designed to improve the quality and consistency of measures, data, and supporting information in ACS.

For the schedule of milestones for the development of the FY 2013 NPM Guidance, please see **Attachment 1** "Key Milestones for the FY 2013 NPM Guidance Process".

## Annual Commitment Process

This section of OCFO's guidance provides guidelines and milestones for finalizing and reporting results for FY 2012 performance commitments, and negotiating FY 2013 performance commitments. This section primarily applies to operational measures that have Regional targets, i.e. annual commitment measures. The FY 2013 process continues over the next two fiscal years and overlaps with aspects of the annual commitment process started in previous years.

The [Annual Commitment System \(ACS\)](#), a performance module located within EPA's Budget Automation System (BAS), is used to track annual headquarters and Regional performance commitment information and results. User manuals, training materials, data entry requirements, instructions for entering state and tribal information into the system, and other information about ACS can be found on OCFO's intranet website at <http://intranet.epa.gov/ocfo/acs> (internal).

### FY 2012

**Finalizing FY 2012 Commitments:** Regions and NPMs should have completed or communicated the status of final FY 2012 commitments according to the schedule below from OCFO's FY 2012 technical guidance:

- ✓ NPMs and Regions should reach agreement on final FY 2012 commitments in ACS by October 21, 2011.
- ✓ By October 28, 2011, NPMs and Regions should send OCFO an e-mail confirming that the final performance commitments in ACS have been approved by their DAAs/DRAs.
- ✓ By October 28, 2011, NPMs and Regions must notify OCFO of outstanding commitments (using **"Summary of Issues for Unresolved FY 2012 Commitments Template"**) and confirm that outstanding commitments have been brought to the attention of their DAAs/DRAs.

**Mid-Year Adjustments for FY 2012 Commitments:** OCFO emphasizes mid-year target adjustments are not a reopening of FY 2012 commitments. Adjustments are warranted on an exception-only basis. There are many valid reasons for missing a target and mid-year adjustments should not be made to ensure a target is achieved. OCFO will open ACS for a two-week period in late spring 2012. 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. Target adjustments for measures associated with the budget (i.e., targets in the budget) are not allowed. NPMs will work with Regions on the proposed target adjustments. Changes will be kept to a minimum and require NPMs to submit a description of the change and a rationale to OCFO by **June 12, 2012**. NPMs will also be responsible for entering the mid-year target adjustments in ACS. ([Mid-Year Adjustments for FY 2012 Commitments Template](#)).

**Reporting FY 2012 Results:** Regions and NPMs will report their progress at mid-year and end-of-year, and raise performance issues or explain differences that occur between the commitment and actual performance (using the "Comments" field on the results screen in ACS).

- ✓ NPMs and Regions will enter actual FY 2012 mid-year data in ACS starting in late April 2012 to mid-May 2012. Additional guidance and milestones for mid-year data entry will be released along with the FY 2012 Mid-Year Reporting Guidance in April 2012.
- ✓ NPMs and Regions will enter actual FY 2012 end-of-year data in ACS starting in October 2012 through early November 2012. Similar to the bidding process, Regions are required to



enter state-by-state, end-of-year performance information in ACS for measures with state-specific results. Additional guidance and milestones for end-of-year data will be released with the FY 2012 End-of-Year Reporting Guidance in October 2012.

OCFO encourages Agency managers and staff to use our semi-annual reports to analyze and evaluate performance information tracked in ACS and found at the following intranet site: [http://intranet.epa.gov/ocfo/perform/perform\\_mgmt.htm](http://intranet.epa.gov/ocfo/perform/perform_mgmt.htm).

For the schedule of milestones for finalizing and reporting results for FY 2012 performance commitments, please see **Attachment 1**, “Key Milestones for the FY 2013 NPM Guidance Process”.

## **FY 2013**

**Entering FY 2013 Annual Commitment Measures:** NPMs are expected to finalize annual commitment measures text in ACS. NPMs and Regions will then bid on Regional commitments for these Annual Commitment Measures.

- ✓ OCFO will copy FY 2012 Annual Commitment measures in ACS as draft FY 2013 measures in December 2011.
- ✓ NPMs have until April 27, 2012 to finalize measures inside ACS.

After OCFO copies FY 2012 annual commitment measures in ACS as draft FY 2013 measures, NPMs should adjust the draft FY 2013 measures (e.g., edit, delete or add measures) to reflect any changes to measures, consistent with EPA’s FY 2013 Annual Plan and Budget, and NPM-specific measure adjustments. OCFO will also copy the same measure assignments for Regions, states, and tribes associated with each measure, but without FY 2012 performance information. NPMs and Regions should follow OCFO’s guidance documents on measures governance to ensure accurate and high quality data for each measure (**Attachment 3**).

**Draft FY 2013 Commitments:** OCFO requires NPMs and Regions to enter draft target information into ACS. NPMs and Regions should carefully consider past performance, program priorities and budget realities as they set FY 2013 targets and enter initial bids. Entering draft bids allows DRAs to look across all programs and ensure that they are aware of their Regions’ draft bids for all measures for which they must report. Draft bids also reduce burden and uncertainty for the states by giving states a range of performance targets they can incorporate into their work plans.

- ✓ 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 by May 25, 2012.
- ✓ Draft FY 2013 Regional Commitments are due in ACS on July 6, 2012.
- ✓ Regions must send an e-mail to OCFO confirming draft Regional performance commitments have been entered in ACS and been approved by their DRAs by July 9, 2012.
- ✓ OCFO will post draft Regional commitments on EPA’s Quickr website for state review on July 20, 2012.

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 2013 NPM and Regional performance commitments are due in ACS. An e-mail 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.

Regions are required to develop state-by-state and tribal contributions to FY 2013 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. For more information on entering state and tribal information into the system, see the [Regional Users Manual](#) (internal).

OCFO will post a report of external, draft FY 2013 Regional performance commitments on EPA's password-protected Quickr website. Prior to posting on EPA's Quickr, OCFO will send the reports of the draft FY 2013 Regional performance commitments to NPM and Regional planning contacts to review for accuracy. 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.

**Final FY 2013 Commitments:** Reaching agreement in ACS finalizes the FY 2013 commitment setting process. Performance results will be reported against these mutually agreed upon targets during FY 2013.

- ✓ Regions should enter final bids in ACS no later than October 3, 2012.
- ✓ NPMs and Regions should reach agreement on final FY 2013 commitments in ACS by October 19, 2012.
- ✓ On October 26, 2012, NPMs and Regions should send OCFO an e-mail confirming that the final performance commitments in ACS have been approved by their DAAs/DRAs.
- ✓ NPMs and Regions must notify OCFO of outstanding commitments (using [Summary of Unresolved FY 2013 Commitments Template](#)), and confirm that outstanding commitments have been brought to the attention of their DAAs/DRAs.
- ✓ Once agreement has been reached, NPMs must close bidding by checking the 'Parties in Agreement' box in ACS.

After DRA-approved draft Regional performance commitments are entered into ACS, NPMs and Regions should 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.**

For the schedule of milestones for the negotiation and agreement of FY 2013 performance commitments, please see **Attachment 1**, "Key Milestones for the FY 2013 NPM Guidance Process".

**Attachment 1**  
**Key Milestones for the FY 2013 NPM Guidance Process**

FY = Fiscal Year for which action item pertains to

[FY 2012 Milestones](#)

[FY 2013 Milestones](#)

Target Date	FY	Milestone	NPM/Reg. Action Item
October 25, 2011	12 13	“OCFO Kick-Off of the FY 2013 NPM Guidance” memo released by Barbara Bennett.	
October 28, 2011	12 13	“OCFO’s Technical Guidance on FY 2013 NPM Guidance and Annual Commitment Process” memo and guidance released.	
October 21, 2011	12	NPMs and Regions reach agreement in ACS on FY 2012 performance commitments.	✓
October 28, 2011	12	NPMs and Regions notify OCFO of any outstanding issues for dispute resolution. NPMs and Regions send an e-mail 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 2012 commitments.	✓
November 18, 2011	12	FY 2012 final commitments (for which agreement was reached) are posted on EPA Quickr site.	
November 25, 2011	12	ACS is locked to prevent any adjustments to FY 2012 commitments.	
December 2011	12 13	OCFO copies FY 2012 measures into ACS as draft FY 2013 measures.	
February 10, 2012	13	Draft FY 2013 NPM guidance and supporting documents (including: <a href="#">FY 2013 Measures Appendix</a> , <a href="#">Explanation of Key Changes between FY 2012 and FY 2013</a> , and <a href="#">state</a> and <a href="#">tribal</a> change templates) due to OCFO.	✓
February 17, 2012	13	Draft FY 2013 NPM guidance and supporting documents posted on OCFO’s internet webpage.	
February 17 – March 19, 2012	13	States/ECOS receive NPM templates that identify changes in the FY 2013 NPM guidance that impacts states; States/ECOS submit feedback on the NPM templates; States/ECOS/NPM conference calls held; Regions, states, and tribes provide <a href="#">comments</a> on Draft FY 2013 NPM guidance documents to appropriate NPMs and OCFO contacts by <b>March 19th</b> .	✓
March – October, 2012	13	Regions engage NPMs, states, and tribes in determining FY 2013 Regional performance commitments.	✓
April 2012	12	<i>FY 2012 Mid-Year Reporting</i> guidance issued by OCFO.	
April 20, 2012	13	Final FY 2013 NPM guidance, measures, and supporting documents (including: all finalized documents included in draft submission, Response to Comments, and Explanation of Key Changes in Measures Targets) due to OCFO.	✓

Target Date	FY	Milestone	NPM/Reg. Action Item
April 27, 2012	13	Final FY 2013 NPM guidance and supporting documents posted on OCFO's internet webpage. Text of FY 2013 commitments finalized by NPMs in ACS; commitment measures opened for bidding.	✓
Late April – Mid May 2012	12	Actual FY 2012 mid-year data entered into ACS.	✓
May 25, 2012	13	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.	
May 28 – June 8, 2012	12	ACS is reopened to allow <b>limited</b> mid-year adjustments to FY 2012 commitments.	
June 12, 2012	12	NPMs notify OCFO of any <a href="#">Mid-Year Adjustments to FY 2012 commitments</a>	✓
Late June 2012	12	<i>FY 2012 Mid-Year Data Review</i> released and posted on OCFO's intranet site.	
July 6, 2012	13	FY 2013 draft Regional performance commitments reflecting DRA approval due in ACS.	✓
July 9, 2012	13	Regions send an e-mail to OCFO indicating that draft Regional performance commitments have been entered in ACS and have been approved by DRAs.	✓
July – October 21, 2012	13	Regions continue to engage NPMs, states, and tribes in determining final FY 2013 Regional performance commitments; agreements should be reached throughout July-October timeframe.	✓
July 20, 2012	13	FY 2013 draft annual Regional commitments are posted on EPA Quickr site.	
September 19, 2012	13	Last day for states and tribes to comment on FY 2013 draft Regional commitments.	
October 3, 2012	13	FY 2013 Regional final commitment information reflecting DRA approval due in ACS.	✓
October 19, 2012	13	NPMs and Regions reach agreement in ACS on FY 2013 performance commitments.	✓
October 26, 2012	13	NPMs and Regions notify OCFO of any outstanding issues for dispute resolution. NPMs and Regions send an e-mail 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 <a href="#">unresolved FY 2013 commitments</a> .	✓
October 2012	12	<i>FY 2012 End-of-Year ACS reporting</i> guidance issued by OCFO. NPMs and Regions enter actual FY 2012 end-of-year performance results in ACS.	
November 16, 2012	13	FY 2013 final commitments (for which agreement was reached) are posted on EPA Quickr site.	
November 30, 2012	13	ACS is locked to prevent any adjustments to FY 2013 commitments.	
Early December 2012	12	<i>FY 2012 End-of-Year Data Review</i> released and posted on OCFO's intranet site.	

## Attachment 2 Key Contacts

### OCFO Contacts

- Management Advisor ..... Felicia B. Young (202-564-3254)
- National Program Manager Guidance Development ..... Daniel J. Hopkins (202-564-8626)  
Marc Vincent (202-564-0876)  
Benita Mahanta (202) 564-1881)
- Cross-Cutting Fundamental Strategies. .... Margaret Walters (202-564-4107)
- Management Integrity ..... Annette Morant (202-564-3671)
- Annual Commitment System. .... Nicholas Grzegozewski (202-564-0876)

### 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 Chemical Safety and Pollution Prevention ..... Jennifer Vernon (202-564-6573)
- Office of Enforcement and Compliance Assurance ..... Lisa Raymer (202-564-7059)
- Office of Environmental Information (Exchange Network). . . Laura Palmer (202-564-0726)
- Office of the Inspector General ..... Richard Eyermann (202-566-0565)
- State Grant Work Plans ..... Jennifer Bogus (202-564-5294)

### Cross-Cutting Fundamental Strategies Contacts – Staff Leads

- Expanding the Conversation on Environmentalism ..... Jennifer Thatcher (212-637-3593)
- Working for Environmental Justice and Children’s Health:  
Environmental Justice ..... Heather Case (202-564-2602)  
Children’s Health ..... Khesha Reed (202- 566-0594)
- Advancing Science, Research, and Technological Innovation . . . Mya Strauss (202-564-2213)
- Strengthening State, Tribal, and International Partnerships. . Mike Weckesser (202-564-0324)
- Strengthening EPA’s Workforce and Capabilities ..... Beth Means (202-564-1863)

### Regional Planning Contacts

- Region 1 ..... Matt Hoagland (617-918-1361)
- Region 2 ..... Jennifer Thatcher (212-637-3593)
- Region 3 ..... Catherine Mastropieri (215-814-5250)
- 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 (303-312-6771)
- Region 9 ..... Donna Turnley (415-972-3833)
- Region 10 ..... Brooks Stanfield (206-553-4423)

## Attachment 3 Format Requirements

NPMs should follow specified format and content requirements in developing FY 2013 NPM guidance documents, including the attachments. Similar to past years, this template requires that all FY 2013 NPM guidance documents display the following elements consistently to improve transparency and communications and to facilitate more meaningful involvement by Regions, states, and tribes:

### Paginated Table of Contents

Executive Summary NPMs will use the outline provided below to prepare a concise Executive Summary (not more than 3 pages) in order to make FY 2013 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 2013.
  - Identify and describe priorities, which are consistent with EPA's FY 2011-2015 Strategic Plan and EPA's FY 2013 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 2013 implementation strategies.
  - Identify and describe strategies consistent with the Administrator's priorities and EPA's FY 2011-2015 Strategic Plan, and highlight new actions.
  - Fulfill commitments set forth in EPA's FY 2013 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 2013**
  - Note where priorities have shifted from FY 2012 NPM guidance and explain why (e.g., changes in EPA's FY 2013 Annual Plan and Budget; consideration of Regional priorities and Agency-wide initiatives).

Key national program strategies and priorities, which take into consideration Regional, state, and tribal involvement, describe NPM's FY 2013 programmatic priorities and strategies that support EPA's FY 2013 Annual Plan and Budget and FY 2011-2015 Strategic Plan, including implications of cross-cutting programs, Administrator priorities, and management focus areas.

Brief synopsis of the NPM feedback process for considering and responding to major comments from Regions, states, and tribes throughout FY 2013 NPM guidance development.

Required attachments to the draft and final FY 2013 NPM guidance narratives are identified below. All documents will be posted on OCFO's intranet website unless otherwise noted. OCFO provides flexibility if NPMs want to go beyond the required attachments to provide supplemental information.

- **FY 2013 Measures Appendix**: This appendix 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 guide the negotiation process for commitments developed from the aggregate contributions of headquarters, Regions, states, or tribes. NPMs should also include the national targets from the FY 2013 Annual Plan and Budget, where applicable. OCFO encourages NPMs to cite performance measures associated with their program's core work in their narratives. For an example, NPMs can refer to the Office of Water (OW)'s [program guidance](#).
- **Explanation of Changes Between FY 2012 and FY 2013**: 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**: This template is only required for submission of final FY 2013 NPM guidance documents. This template is to be used for two purposes: 1) Regions, states, tribes, and other stakeholders should provide comments on the draft FY 2013 NPM guidance documents using this template and submit these to the appropriate NPM and OCFO contacts (**Attachment 2**); and 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 2013 NPM guidance documents.
- **Explanation of Key Changes in Measures Targets**: Please note this is only required for submission of final FY 2013 NPM guidance documents and provides a justification to OCFO for internal Agency purposes only for any targets that are less ambitious than FY 2011 results or FY 2012 targets. This information will not be posted on OCFO's website.

NPMs should submit draft and final FY 2013 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.<sup>2</sup> 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.

Before OCFO can post draft and final NPM guidance documents to the internet, the documents must have a National Service Center for Environmental Publications (NSCEP) number. This number must be written on the document. NPMs can request a NSCEP number via the following website [http://cincinnati.epa.gov/services/nscep/nscep\\_form.asp](http://cincinnati.epa.gov/services/nscep/nscep_form.asp)

OCFO will post FY 2013 NPM draft and final guidance documents on the OCFO's planning and budgeting website. To promote consideration of all NPM priorities, strategies and measures in the documents concurrently, OCFO also will e-mail the link to draft guidance documents to NPMs, Regions, states, and tribes. The schedule of milestones provides approximately four weeks for Regions, states, tribes, and others to review and comment on the draft FY 2013 NPM guidance. During this time, NPMs will engage in a dialogue with affected 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.

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<sup>2</sup> See <http://www.section508.gov/> for government-wide Section 508 information.

## Attachment 4 FY 2013 Measures Criteria and Guidelines

The following measures criteria and guidelines support continued progress towards a stable set of higher quality, more consistent Agency measures. This will contribute to a more reliable basis for analyzing performance trends, supporting effective program management in achieving Agency goals.

**All FY 2013 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 FY 2011-2015 Strategic Plan.
- Serve **multiple performance assessment purposes** to the extent possible 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 FY 2011-2015 Strategic Plan and FY 2013 Annual Plan and Budget (e.g. strategic and annual measures) are required to have targets in order to measure progress toward annual and strategic results. 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), which 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 5**  
**Operational Measures Which Include Recovery Act Performance**

ACS Codes	Measure Text
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 6

### Regional Checklist for FY 2013 NPM Guidance

#### **November 2011:**

- ☐ Regions work with NPMs and OCFO to resolve any outstanding FY 2012 annual commitments.

#### **February 10, 2012:**

- ☐ Draft FY 2013 NPM guidance documents including [FY 2013 Measures Attachment](#) (reflecting results of measures review); [Explanation of Key Changes Between FY 2012 and FY 2013](#); [Summary of Key Changes for States](#); and [Summary of Key Changes for Tribes](#) are due to OCFO and will be posted on OCFO's internet webpage by the 19<sup>th</sup>.

#### **February 17 – March 19, 2012:**

- ☐ Regions, states, and tribes provide comments on Draft FY 2013 NPM guidance documents to appropriate NPMs and OCFO contacts using [Comments and Response to Comments Summary](#).

#### **March – October 2012:**

- ☐ Regions engage NPMs, states, and tribes in determining FY 2013 Regional performance commitments.

#### **By April 27, 2012:**

- ☐ NPMs finalize text of FY 2013 commitments in ACS and open commitment measures for bidding.

#### **By April 27, 2012:**

- ☐ Final FY 2013 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 2012:**

- ☐ Regions enter FY 2012 mid-year results data into ACS.

#### **May 28 - June 8, 2012:**

- ☐ ACS re-opens for **limited** mid-year adjustments on commitments not associated with APGs or the EPA's FY 2013 Budget. Regions work with NPMs, who retain discretion for approving or denying adjustments.

#### **By July 6, 2012:**

- ☐ Regions put FY 2013 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 9, 2012:**

- ☐ Regions send an e-mail to OCFO indicating that draft Regional performance commitments have been entered in ACS and have been approved by DRAs.

#### **July - October 21, 2012:**

- ☐ Regions continue to engage with NPMs, states, and tribes in determining FY 2013 Regional performance commitments.
  - o State and tribal comment period on draft commitments ends **September 16, 2012**.

**July 20, 2012:**

- ☐ FY 2013 draft annual Regional commitments are posted on EPA Quickr site.
  - Regions and NPMs review reports produced by OCFO to ensure accuracy of data entry in ACS.

**By October 3, 2012:**

- ☐ Regions enter final FY 2013 commitment information reflecting DRA approval in ACS.

**October 19, 2012:**

- ☐ NPMs and Regions enter data on all agreements reached for FY 2013 performance commitments in ACS.
  - Final commitments should include draft state-by-state breakouts to the extent possible.

**By October 26, 2012:**

- ☐ 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 e-mail to OCFO indicating that final Regional performance commitments have been entered in ACS and have been approved by DRAs.

**By November 16, 2012:**

- ☐ FY 2013 final commitments (for which agreement was reached) are posted on the EPA Quickr website.
  - NPMs and Regions review reports produced by OCFO to ensure accuracy of data entry in ACS.

**October – Early November, 2012**

- ☐ Regions enter FY 2012 end-of-year results data in ACS.

**November 30, 2012:**

- ☐ ACS is locked to prevent any adjustments to FY 2013 commitments.

## Attachment 7

### State and Tribal Opportunities for Engagement in FY 2013 NPM Guidance Process

The following are the key milestones relevant to states and tribes in the 2013 NPM guidance and annual commitment processes. This timeline is a subset of the milestones presented in **Attachment 1**, “Key Milestones for the FY 2013 NPM Guidance Process.”

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#### **FY 2012 NPM Guidance Documents Review**

##### **February 17 – March 19, 2012:**

- ☐ Draft FY 2013 NPM guidance with summary of changes and draft FY 2013 measures posted on OCFO’s internet webpage.
- ☐ Regions, states, and tribes provide comments on draft FY 2013 NPM guidance to appropriate NPMs and OCFO contacts using [Comments and Response to Comments Summary](#).

##### **April 27, 2012:**

- ☐ Final FY 2013 NPM guidance, measures, and supporting documents posted on OCFO’s internet.

#### **FY 2013 Commitment Negotiation**

##### **April - October, 2012:**

- ☐ Regions engage NPMs, states, and tribes in determining draft and final FY 2013 Regional performance commitments.

##### **July 9, 2012:**

- ☐ FY 2013 draft Regional performance commitments reflecting DRA approval due in ACS (reflects engagement between Regions, states, and tribes).

##### **July 20, 2012:**

- ☐ FY 2013 draft annual Regional performance commitments are posted on EPA Quickr site for state and tribal review. Regions engage with NPMs, states, and tribes to determine final FY 2013 Regional performance commitments.

##### **September 19, 2012:**

- ☐ Last day for states and tribes to comment on FY 2013 draft Regional commitments.

##### **October 19, 2012:**

- ☐ NPMs and Regions enter data on all agreements reached for FY 2013 performance measures in ACS (commitments reflect engagement between Regions, states, and tribes).

##### **November 16, 2012:**

- ☐ FY 2013 final annual Regional performance commitments (for which agreement was reached) are posted on EPA’s Quickr site.