

# FY 2017

## Technical Guidance for the FY 2017 Exceptions-Based Addendums to the FY 2016-2017 National Program Manager Guidance and Annual Commitment Process



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# TECHNICAL GUIDANCE FOR THE FY 2017 EXCEPTIONS-BASED ADDENDUMS TO THE FY 2016-2017 NATIONAL PROGRAM MANAGER GUIDANCE AND ANNUAL COMMITMENT PROCESS

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## I. INTRODUCTION

This technical guidance provides the NPMs with specific details, deliverables, and milestones to guide development of exceptions-based FY 2017 Addendums to the [FY 2016-2017 National Program Manager \(NPM\) Guidances](#).

Beginning in FY 2016, the EPA will implement a new two-year cycle for the NPM Guidance process, which was developed collaboratively with our state/tribal partners through the NPM Guidance/NEPPS Workgroup. The EPA initiated this effort to help advance a New Era of State, Local, Tribal, and International Partnerships, a cross-agency strategy in the *FY 2014-2018 EPA Strategic Plan*. The workgroup focused on ways to provide more meaningful engagement and flexibility, which resulted in the following key changes:

- Earlier and more meaningful state and tribal engagement in jointly identifying the most important areas of work for protecting the environment and human health.
- Clear and transparent support for flexibility within the NPM Guidances.
- Better alignment of NPM Guidances and programmatic grant guidances.
- Earlier and more meaningful state and tribal engagement in establishing annual commitments, including proactive dialogue to develop draft regional commitments aligned to the extent possible with grant work planning.

To preserve the integrity of the new two-year process, the EPA-state-tribal NPM/NEPPS Workgroup reviewed our experience with the FY 2015 Addendum process to the FY 2014 NPM Guidances. Based on this review, the Workgroup revised the criteria with the goal of establishing a high threshold for exceptions-based changes to the FY 2016-2017 NPM Guidances, including to those programmatic grant guidances that are aligned with the NPM Guidances.

## II. INSTRUCTIONS FOR DEVELOPING FY 2017 ADDENDUMS

### A. ADDENDUM TEMPLATE

NPMs will complete the [FY 2017 Addendum Template](#), which includes the following sections:

- **Introduction:** This section should be no more than one page and provide any relevant programmatic messages for FY 2017 and a high-level summary of exceptions-based changes and their rationale.
- **Exceptions-Based Changes for FY 2017:** This section should be no more than 5 pages and should

include a 3-5 sentence description of any new/changed activity and expected impact on programmatic grant work plans, if any. NPMs should apply the following criteria to determine if an exceptions-based change is warranted:

- New initiatives or actions from the Administrator/Administration/Congress/Courts (e.g., statutory changes, regulatory changes, policy changes, Executive Orders, legal decisions/court orders).
- Significant budgetary changes from FY 2016 that impact programs (e.g., program elimination, addition, or restructuring).
- Unanticipated events that significantly impact a NPM's program strategies/activities (e.g., emergency response to natural or man-made disasters).
- Activities that must be initiated in FY 2017. All other activities should be deferred to the FY 2018-2019 NPM Guidance.

*Note: Changes to measures will be included only in the Measures Appendix*

- **Measures Appendix:** The FY 2017 addendum template includes sections for identifying FY 2017 operational measures, including those that will be continued, discontinued, or revised/new as compared with FY 2016 measures. For developing FY 2017 operational measures and regional commitments, please refer to *Section III*, page 5, of [\*OCFO's Technical Guidance: FY 2016-2017 National Program Manager Guidance and Annual Commitment Process\*](#).

#### **B. NPM AND REGIONAL/STATE/TRIBAL COORDINATION**

NPMs should work with their EPA lead regions, as appropriate, to develop their draft FY 2017 Addendums and facilitate the coordination efforts.

Early engagement is not an explicit part of the FY 2017 Addendum process, given the extensive engagement effort with states and tribes for the FY 2016-2017 NPM Guidance process. The FY 2017 Addendum process will include an internal agency review and an external comment period, as described below.

#### **C. INTERNAL AGENCY REVIEW**

A two-week internal agency review period allows for agency-wide review of all draft FY 2017 Addendums prior to the external comment period. NPMs should consider agency comments and work with the lead regions to address and incorporate agency comments, as appropriate. The draft NPM Guidances will be posted on the [NPM Guidance SharePoint Site](#), along with the [Internal Comments Template](#).

#### **D. EXTERNAL COMMENT PERIOD**

OCFO will post the draft FY 2017 Addendums to OCFO's NPM Guidance website for public comments. States, tribes, and other interested parties may submit comments using the External Comments template that will be available on [EPA's NPM Guidance website](#).

#### **E. FORMAT AND DOCUMENT PREPARATION**

Please refer to *Section X*, page 12, of [\*OCFO's Technical Guidance: FY 2016-2017 National Program Manager Guidance and Annual Commitment Process\*](#) for format requirements (e.g., grammar, document structure, Section 508 compliance, publication number) for the FY 2017 Addendums.

### **III. ANNUAL COMMITMENT PROCESS**

Please refer to *Section IV*, page 6, of [\*OCFO's Technical Guidance: FY 2016-2017 National Program Manager Guidance and Annual Commitment Process\*](#) for instructions on developing and negotiating FY 2017 commitments. It also includes information on making mid-year adjustments to FY 2016 commitments. The updated schedule for the FY 2017 annual commitment process is provided below.

## IV. SCHEDULE FOR THE FY 2017 ADDENDUM AND COMMITMENT PROCESS

Target Date	Milestones for Addendum
October 9, 2015	OCFO posts: Final Technical Guidance on the FY 2017 Addendum and the DCFO's Kick-off memo, on <a href="#">EPA's NPM Guidance website</a>
January 15, 2016	NPMs email draft FY 2017 Addendums to OCFO ( <a href="mailto:Burchard.beth@epa.gov">Burchard.beth@epa.gov</a> and <a href="mailto:murphy.dan@epa.gov">murphy.dan@epa.gov</a> ) and OCFO posts them to the <a href="#">NPM Guidance SharePoint Site</a>
January 18-29	<b>Internal review:</b> By <b>January 29</b> , internal partners post comments to the <a href="#">FY 2017 Addendum Internal Comments Folder</a> on the NPM Guidance SharePoint site using the <a href="#">FY 2017 Addendum Internal Comments Template</a>
February 12	NPMs email draft FY 2017 Addendums to OCFO ( <a href="mailto:Burchard.beth@epa.gov">Burchard.beth@epa.gov</a> and <a href="mailto:murphy.dan@epa.gov">murphy.dan@epa.gov</a> )
February 19	OCFO posts draft FY 2017 Addendums to <a href="#">EPA's NPM Guidance website</a>
February 19 - March 18	External comment period on the draft FY 2017 Addendums: <ul style="list-style-type: none"> <li>• States/ECOS/NPM conference calls</li> <li>• National teleconferences with tribes</li> <li>• February P&amp;P Call (OCFO and OCIR)</li> </ul>
April 22	NPMs email Final FY 2017 Addendums and Response to Comments to OCFO ( <a href="mailto:Burchard.beth@epa.gov">Burchard.beth@epa.gov</a> and <a href="mailto:murphy.dan@epa.gov">murphy.dan@epa.gov</a> )
April 29	OCFO posts final FY 2017 NPM Addendums, along with response to comments, to <a href="#">EPA's NPM Guidance website</a>
Summer	Assess final FY 2017 NPM Guidance Addendums with NPM Guidance/NEPPS Workgroup

Target Date	Milestones for Developing FY 2017 Annual Commitment Process
December 1, 2015	OCFO copies FY 2016 measures into ACS as draft FY 2017 measures
March - June	Regions proactively engage states and tribes for their input, as appropriate, to inform FY 2017 regional performance commitments
April	NPMs finalize text for FY 2017 commitments in ACS
April 29	NPMs initiate the FY 2017 commitment process in the system by entering a value (including "0," if applicable) in the "Proposed Bid" field for each commitment
May 23 - June 3	ACS is reopened to allow <b>limited</b> mid-year adjustments to FY 2016 commitments
June 10	NPMs email OCFO ( <a href="mailto:Burchard.beth@epa.gov">Burchard.beth@epa.gov</a> and <a href="mailto:murphy.dan@epa.gov">murphy.dan@epa.gov</a> ) with mid-year adjustments to FY 2016 commitments using the <a href="#">Mid-Year Adjustments for FY 2016 Commitments Template</a> . Mid-year adjustments are limited to cases where both the NPM and region believe the adjustment is <b>significant and critical</b> . <b>Commitment adjustments for FY 2016 operational measures associated with the budget (i.e., budget measure targets) are not allowed.</b> Adjustments that align the commitment with the budget target following OMB approval of FY 2016 target changes are allowed
June 30	FY 2017 draft regional performance commitments due in ACS. Regional planners notify OCFO by e-mail ( <a href="mailto:burchard.beth@epa.gov">burchard.beth@epa.gov</a> and <a href="mailto:murphy.dan@epa.gov">murphy.dan@epa.gov</a> ) that the information has been entered.
July - October	NPMs continue to engage regions, states and tribes in negotiating final FY 2017 regional performance commitments, so as to reach agreement in the July-October timeframe
September 9	Last day for states and tribes to comment on FY 2017 draft regional commitments
September 16	NPMs and Regions finalize FY 2017 commitments
October 24	FY 2017 regional final commitment information reflecting DRA approval due in ACS
November 7	NPMs and regions reach final agreement in ACS on FY 2017 performance commitments
November 14	NPMs and regions email OCFO ( <a href="mailto:burchard.beth@epa.gov">burchard.beth@epa.gov</a> and <a href="mailto:murphy.dan@epa.gov">murphy.dan@epa.gov</a> ) indicating DRA/DAA approval of final FY 2017 performance commitments in ACS. Using the <a href="#">Summary of Issues for Unresolved FY 2017 Commitments template</a> , NPMs will indicate unresolved FY 2017 commitments for CFO dispute resolution
December 5	ACS locked to prevent any adjustments to FY 2017 commitments

**V. KEY CONTACTS****OCFO**

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