

2015

OCFO's Technical Guidance on the FY 2015 Addendum to the FY 2014 National Program Manager Guidance and Annual Commitment Process



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OCFO'S TECHNICAL GUIDANCE
ON THE FY 2015 ADDENDUM TO THE FY 2014 NATIONAL PROGRAM MANAGER
(NPM) GUIDANCE AND ANNUAL COMMITMENT PROCESS

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I. **INTRODUCTION**

The FY 2015 Addendum to the FY 2014 NPM Guidance will be the transition year to a two-year NPM Guidance process. In FY 2015, NPMs will develop an exceptions-based Addendum for significant changes from FY 2014.

As we look forward and fully develop the new approach to NPM Guidance for FY 2016-2017, the EPA will focus on the following areas:

- Earlier, increased, and more consistent state and tribal engagement across regions and NPMs in joint EPA/state/tribal priority-setting and the development of NPM Guidances.
- Increased and consistent flexibility from NPMs to regions for working with states through the National Environmental Performance Partnership System (NEPPS).
- Better alignment between NPM Guidance and NEPPS.
- Reduced burden/workload for EPA, states, and tribes.
- Clear, concise and implementation-focused NPM Guidances.

II. **GUIDELINES FOR DEVELOPING THE FY 2015 ADDENDUM**

1. **ADDENDUM**

Each NPM will only identify exceptions-based significant changes for the FY 2015 Addendum using the specific criteria and format available here: http://intranet.epa.gov/ocfo/npmguidance/2015/addendum_instructions_and_format_template.docx. The Addendum (not including the Measures Appendix) **will not exceed 11 pages.**

2. **OCFO'S OVERVIEW**

OCFO's [NPM Guidance website](#) will provide context for the FY 2015 Addendum and highlight the Administrator's themes.

3. **NPM AND REGIONAL COLLABORATION**

NPMs should work with their regional counterparts as they develop their draft Addendums and their Lead Regions, as appropriate, to facilitate the dissemination of information and engagement efforts. In addition, the agency is taking the following steps to facilitate collaboration:

- a. **Internal Agency Review:** The internal agency review period in **February 2014** will allow earlier input from regions and other offices on the draft Addendums prior to the public comment period. NPMs should consider and incorporate agency comments, as appropriate.
- b. **Collaboration Tools:** NPMs should consider using existing collaborative tools (e.g., Quickr, Wikis, and Adobe Connect) and any available My Workplace collaboration tools for Addendum development, as appropriate.

4. **ENGAGEMENT WITH STATES AND TRIBES**

As in past years, OCFO will post the draft and final FY 2015 Addendums to OCFO's [NPM Guidance website](#) to facilitate comments from external partners and stakeholders. States, tribes, and other partners and stakeholders may submit comments from **March - April 2014** to the EPA using the [External Comments and Response to Comments Summary template](#). During this external comment period, EPA will also engage with partners and stakeholders to discuss key changes from the FY 2014 NPM Guidance. NPMs will have three weeks to respond to comments and incorporate changes, as warranted, into the final Addendums. In addition to the external comment period, the EPA is undertaking the following initiatives to increase engagement with state and tribal partners:

- a. **State Engagement:** NPMs and regions are encouraged to solicit earlier input from states to maximize collaboration and engagement. NPMs have flexibility in determining the appropriate mechanism for conducting state engagement to help inform the development of the Addendums.

Examples of state engagement mechanisms include: using existing EPA/state partnership groups; contacting state associations/agencies to request earlier input; and/or holding discussions at EPA/state meetings. The EPA will also continue to hold joint conference calls with state associations to discuss the Addendums and other associated questions during the external comment period.

- b. **Consultation and Coordination Process with Federally Recognized Tribes:** In January 2014, OCFO will send consultation notification letters to all federally recognized tribes to provide both an opportunity for early input from tribes on the draft FY 2015 Addendum development and consultation on the draft Addendums. Outreach materials will also be provided to communicate the linkage between the NPM Guidance and other agency processes. These materials are available on the agency's Tribal Consultation Opportunities website: <http://yosemite.epa.gov/oita/TConsultation.nsf/TC?OpenView>. National teleconferences for tribes will also be held during the public comment period to provide an overview of the process for commenting on the draft FY 2015 Addendums and discuss key changes that may affect tribes.

4. INSTRUCTIONS FOR DEVELOPING FY 2015 OPERATIONAL MEASURES

NPM Guidances govern the establishment of regional commitments for annual budget measures and additional operational measures. The NPM Guidances should focus on identifying the smallest, most meaningful set of measures to assess performance results. In addition to the agency's continuing efforts to streamline performance measures, NPMs should adhere to the following guidelines when developing FY 2015 operational measures:

- a. **Measures Guidelines:** NPMs should adhere to the [performance measures guidelines](#) and OCFO's Phase [I](#) and [II](#) supplemental guidance documents, which are designed to improve the quality and consistency of measures, data and supporting information in the ACS.
- b. **Documenting Measure Changes:** Any measure changes should align with FY 2015 budget measures and strategic measures in the EPA's *FY 2014-2018 Strategic Plan* and be reflected in the [Measures Appendix](#).
- c. **Ambitiousness of Targets:** FY 2015 planning targets should not be less ambitious than FY 2013 actual results or final FY 2014 regional commitments, unless there is a compelling reason. For cumulative measures, FY 2015 commitments must be more ambitious than the FY 2014 end-of-year results.

6. FORMAT REQUIREMENTS

When developing the draft and final FY 2015 Addendums, NPMs should consult and follow the EPA's [Grammar, Style and Usage Guide](#). NPMs should also adhere to the following specified requirements:

- a. **508 Compliance:** NPMs must submit draft and final FY 2015 Addendums to OCFO in both a Word and a PDF format compliant with §508 of the U.S. Rehabilitation Act (for detailed instructions, see: EPA Web Work Group, Accessibility/508 Standards at <http://intranet.epa.gov/webgroup/accessibility.html>).
- b. **Publication Number:** Both the draft and final FY 2015 Addendums must include a National Service Center for Environmental Publications (NSCEP) number. NPMs can request a NSCEP number via the following website: http://cincinnati.epa.gov/services/nscep/nscep_form.asp. NPMs should display the NSCEP number on the cover of the Addendum.
- c. **External Comments and Response to Comments Summary Template:** NPMs must use this template to respond to all comments from states, tribes, and other partners by providing a brief, but specific, explanation of how comments were addressed in the final FY 2015 Addendum.

III. ANNUAL COMMITMENT PROCESS

The Annual Commitment System (ACS) tracks annual headquarters and regional performance commitment information and results. User manuals and instructions for entering information in ACS can be found here: <http://intranet.epa.gov/ocfo/acs>. OCFO encourages the Agency to use our [performance management dashboard](#) to analyze and evaluate performance information tracked in ACS.

1. **REPORTING FY 2014 RESULTS**

NPMs and regions must report mid- and end-of-year progress and raise performance issues and/or explain differences between the commitment and actual performance using the “Comments” field on the “Results” screen in ACS.

- a. **Mid-Year FY 2014 Reporting:** From **April - May 2014**, NPMs and regions will enter FY 2014 mid-year results data in ACS. In **March 2014**, OCFO will include more detailed instructions on mid-year reporting in its *FY 2014 Mid-Year Performance Reporting and Analysis Guidance*.
- b. **End-of-Year FY 2014 Reporting:** Starting in **October 2014**, NPMs and regions will enter FY 2014 end-of-year results in ACS. Similar to the bidding process, regions are required to enter end-of-year performance information for states and tribes in ACS for applicable measures. In **September 2014**, OCFO will include more detailed instructions on end-of-year reporting in the *FY 2014 End-of-Year Performance Reporting and Analysis Guidance*.

2. **ESTABLISHING FY 2015 COMMITMENTS**

Once OCFO posts the final FY 2015 Addendums to the [NPM Guidance website](#) in **April 2014**, NPMs and regions should finalize operational measure language in ACS. Then, from **April - October 2014**, NPMs and regions will negotiate regional commitments using the bidding function in ACS.

- a. **Entering FY 2015 Annual Commitment Measures:** In **December 2013**, OCFO will copy FY 2014 annual commitment measure codes and assignments, text, and additional information in ACS to use as draft FY 2015 measures.

NPMs should adjust the draft FY 2015 measures (e.g., edit, delete or add measures) to reflect any changes from FY 2014, consistent with EPA’s *FY 2015 Annual Plan and Budget*. NPMs and regions should follow [OCFO’s Guidances on Measures Governance](#) to ensure accurate and high-quality data for each measure. NPMs have until **April 2014** to finalize measures in ACS.

- b. **Draft FY 2015 Regional Commitments:** NPMs and regions must enter draft commitment information in ACS. In **April 2014**, NPMs must initiate the commitment process in ACS by entering a value (including “0,” if applicable) in the “Proposed Bid” field for each commitment. From **April - July 2014**, using input from states and tribes, NPMs and regions should negotiate draft FY 2015 commitments. NPMs and regions should carefully consider past performance, program priorities, and budget realities as they set FY 2015 targets and enter initial bids.

To ensure additional transparency in the commitment process, regions are required to identify contributions from states and tribes in achieving FY 2015 draft and final commitments and national targets, to the extent possible, and enter this information in ACS. Regions should enter state and tribal contributions using the “Comments” field on the “Bidding” screen in ACS or by assigning states and tribes as “Shareholders” in the “Edit” screen in ACS. Draft FY 2015 regional commitments are due in ACS in **July 2014**, and regions must e-mail OCFO confirming they have been entered in ACS. For more detailed instructions on data entry, see the [NPM User Manual](#) and/or the [Regional User Manual](#).

- c. **Draft FY 2015 Commitments on EPA's Quickr Website:** Draft bids also reduce burden and uncertainty by providing states and tribes with performance targets they can incorporate into their work plans, particularly when regions enter contributions from states and tribes in ACS. Accordingly, OCFO will post a report of draft FY 2015 regional performance commitments to the EPA's password-protected [Quickr website](#).

The report should only display draft commitments for operational measures relevant to states and tribes. NPMs can identify these measures by clicking the "Public Access" box in the "Edit" screen in ACS. Prior to posting, OCFO will send the draft FY 2015 regional performance commitment reports to NPM and regional planning contacts to review for accuracy. In **July 2014**, OCFO will post the draft regional commitments to EPA's [Quickr website](#) for review by states and tribes.

Regions should engage proactively with states and tribes and encourage them to provide comments on draft commitments before reaching agreement on final performance commitments. The reports can serve as a useful tool to facilitate engagement.

- d. **Reaching Agreement on Final FY 2015 Commitments:** Reaching agreement in ACS is the final step of the FY 2015 commitment-setting process. Performance results will be reported against these mutually agreed-upon commitments during FY 2015. Regions should engage with states and tribes to obtain their comments on regional performance commitments throughout the summer until **September 2014**. Regions should ensure DRAs remain informed throughout the negotiation process and that negotiations on final bids have fully considered cross-program impacts and comments from states and tribes. Regions should finalize bids in ACS by **October 2014**.

After final regional performance commitments are approved by the DRA and entered in ACS, NPMs and regions should indicate agreement in the system. **NPMs are required to consider and respond to all regional commitments within two weeks from when regional bids are final in ACS in October 2014.** NPMs and regions should reach agreement on final FY 2015 commitments in ACS by late **October 2014**. Once they reach agreement, NPMs must close bidding by checking the "Parties in Agreement" box in ACS.

NPMs and Regions must then e-mail OCFO confirming final performance commitments have been approved by their DAA/DRA and outstanding commitments have been brought to their attention. Additionally, NPMs and regions must notify OCFO of outstanding commitments using the [Summary of Unresolved FY 2015 Commitments Template](#). OCFO will elevate any remaining unresolved issues to the CFO for dispute resolution.

IV. KEY MILESTONES

Target Date	Milestones
Week of Dec 23, 2013	OCFO copies FY 14 measures into ACS as draft FY 15 measures. DCFO's <i>Development of the FY 15 Addendum to the FY 14 NPM Guidance</i> memo and OCFO's <i>Technical Guidance</i> are released.
Jan – Feb 2014	OCFO initiates consultation and coordination process with tribes on the FY 15 Addendum, and EPA solicits input from tribes to inform development of the Addendum. NPMs solicit input from states to inform development of the Addendum.
Feb 14, 2014	Draft FY 15 Addendums due to OCFO.
Feb 19 –28, 2014	Internal EPA review period on draft FY 15 Addendums.
March 14, 2014	Draft FY 15 Addendums due to OCFO.
March 17, 2014	OCFO posts draft FY 15 Addendums to its NPM Guidance website .
March 2014	OCFO issues <i>Mid-Year Performance Reporting and Analysis Guidance</i> . NPMs and regions enter FY 14 mid-year performance results in ACS.
March 17 – April 4, 2014	External comment period on the draft FY 15 Addendum begins March 17 . States/ECOS/NPM conference calls. National teleconferences with tribes. External partners provide comments to appropriate NPM and OCFO contacts by April 4 .
March – Oct 2014	NPMs engage regions, states and tribes in determining FY 15 regional performance commitments.
April 23, 2014	Final FY 15 Addendums and Response to Comments due to OCFO.
April 28, 2014	OCFO posts final FY 15 Addendums to its NPM Guidance website . NPMs finalize text for FY 15 commitments in ACS.
April 30, 2014	NPMs must initiate FY 15 commitment process in the system by entering a value (including “0,” if applicable) in the “Proposed Bid” field for each commitment.
July 9, 2014	FY 15 draft regional performance commitments due in ACS. Regions e-mail OCFO indicating they have entered draft FY 15 regional performance commitments.
July – Oct 2014	NPMs continue to engage regions, states and tribes in determining final FY 15 regional performance commitments; they should reach agreement throughout July-October timeframe.
July 30, 2014	OCFO posts FY 15 draft regional commitments to EPA's Quickr website .
Sept 2014	OCFO issues <i>FY 14 End-of-Year Performance Reporting and Analysis Guidance</i> .
Sept 20, 2014	Last day for states and tribes to comment on FY 15 draft regional commitments.
Oct 17, 2014	FY 15 regional final commitment information reflecting DRA approval due in ACS.
Oct 31, 2014	NPMs and regions reach agreement in ACS on FY 15 performance commitments.
Nov 14, 2014	NPMs and regions e-mail OCFO indicating DRA/DAA approval of final FY 15 performance commitments entered in ACS, and that they are aware of unresolved FY 15 commitments for CFO dispute resolution.
Nov 21, 2014	FY 15 final commitments posted to EPA's Quickr website .
Nov 25, 2014	ACS locked to prevent any adjustments to FY 15 commitments.

V. **KEY CONTACTS**

Office/Project Area	Contact	Phone
OCFO		
NPM Guidance	Joe Greenblott (<i>Management Advisor</i>)	202-564-4250
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