| |
|---|
| ***NATIONAL MARINE FISHERIES SERVICE INSTRUCTION 33-102-01***<br>***AUGUST 17, 2006*** |
| ***Planning***<br>***Performance Measurement, NMFSPD 33-102*** |
| ***PERFORMANCE MEASURE DATA REPOSITORY*** |
| **NOTICE:** This publication is available at: http://www.nmfs.noaa.gov/op/pds/categories/planning.html |
| **OPR:** F/MB3 (J. Bortniak) **Certified by:** F/MB (G. Reisner)<br>**Type of Issuance:** Renewal with Technical Revisions, July 2013 |
| ***SUMMARY OF REVISIONS:***<br>1. Minor edits to definition of *baseline*.<br>2. Revised text in Appendix 1 for clarity of procedures.<br>3. Replaced NOAA PPBES Program references with HQ Office.<br>4. Removed references to PART. |

1. <u>Introduction</u>. This procedural directive describes the procedures of the National Oceanic and Atmospheric Administration (NOAA) National Marine Fisheries Service (NMFS) for maintaining an internal repository of information on performance measures. A central repository of data is necessary to eliminate the confusion caused when information is cited from multiple, and sometimes conflicting, sources, and to identify and archive stated levels of performance at varying levels of funding.

2. <u>Procedures.</u> The following procedures establish the process to maintain an accurate online repository:

a. The Office of Management and Budget (MB) will coordinate with senior management, Goal Team Leaders, the NOAA PPI Office, and NMFS HQ Offices to establish and maintain the data requirements for definitive performance measure planning, tracking, reporting and archiving (i.e., the data fields and description of the kind of information needed).

b. MB will establish and maintain a Performance Measure Repository within the electronic Annual Operating Plan (eAOP) database available to all NMFS employees and containing all information relevant to performance measurement. This will serve as the authoritative reference for all performance measure information. The database reports are available to all NMFS employees at: http://home2.nmfs.noaa.gov/mb/eaop/aop_main.cfm

c. All data fields of the repository are described in APPENDIX 1. Business rules for data entry are included in these descriptions.

d. The repository will house all NMFS performance measures. Those measures that will be used in the budget or a formal reporting process (e.g. GPRA measures, NOAA Corporate measures, measures appearing in the budget narratives, APP, PAR, NMFS Annual Operating Plan, or the NMFS quarterly or semi-annual reports) will include *baselines*, *targets*, *actuals*, business rules, and all other information relevant to understanding and reporting on each performance measure. Except where data are unavailable on newly developed measures, data will span from FY 2003 to at least the present fiscal year. Where data are available, such as in the case of measures used in the budget, *targets* in the repository will span out to cover all available outyears.

e. NMFS HQ Offices will coordinate as necessary with Regional Offices and Science Centers to provide all performance data required for this repository as defined by the process described in Section *a* above.

f. Periodic updates to the data will be submitted in accordance with the required reporting procedures established in Procedural Directive 33-102-02 Program Performance Reporting. This includes performance measure business rules, reporting *targets* and *actuals*, and any revisions, justification for proposed revisions, and other required *metadata*.

g. All reported data will be reviewed and approved by HQ Office Directors prior to entering into eAOP to ensure its compliance with the policy and procedures established for performance measures. Information with incomplete or conflicting data or text will be corrected or confirmed before posting to ensure all data in the repository are accurate and consistent with officially reported data.

h. Performance measure data will be entered into the repository by MB staff, or by representatives from the HQ Offices, on a schedule as follows:

  (1) Quarterly within 5 business days of the due date for submission of quarterly results by the HQ Offices
  (2) Within 5 business days following each budget submission to NOAA (NOAA, DOC, and OMB)
  (3) Within 5 business days following each PAR submission to NOAA

i. MB will ensure that all performance data incorporated into quarterly or annual reports, budget documents, and other documents are the approved data, consistent with the repository.

j. The HQ program offices, consistent with the NOAA strategic plan and NMFS priorities, will ensure that all data used for any periodic performance reports, or in response to any ad hoc request, are consistent with the information contained in the repository.

k. HQ Office Directors, Regional Administrators, Science Directors, Office Directors, and their staff will review the repository reports quarterly to ensure that all data are accurate, and advise MB of any changes needed or discrepancies observed.

l. All data entry in the repository shall be made in accordance with the definitions and business rules provided in APPENDIX 1.

## APPENDIX 1 - Performance Measure Repository Business Rules

Two categories of data fields are associated with each performance measure. The first is fixed to the measure and is not sensitive to changing fiscal years. The second is fiscal year–sensitive and is fixed to both the measure and to one particular fiscal year.

**Non FY-Sensitive Fields:** The information in these fields is considered either permanent for the life of the measure or enduring for at least a 3- to 5-year period. It is updated only as needed, resulting in overwriting any previous data.

1. Measure Name - Enter the Official Title of the Measure, as approved by the HQ Office Director, and as it reads in the Annual Performance Plan (APP) or other official document. Slight adjustments to this title may occur from year to year, as long as the adjustments are approved by NMFS Leadership as the current official wording now used in all official documents, and the adjustments do not alter the meaning or change the *units of measure*. The measure is preserved and recognized as the same original measure, as indicated by the unique Measure ID number.

2. Objective - Each measure is linked to a single currently approved NOAA Performance Objective as listed in the current Strategic Plan or otherwise approved by NOAA.

3. Measure Type - The measure type is determined by the nature of the product or service being measured. Options include:
   - Output measure - counts the immediate products or services resulting from an activity or process (e.g. consultations, permits, acres restored).
   - Outcome measure - counts the effects of outputs on their intended beneficiaries (e.g., fewer overfished stocks, recovering protected species) and represents value created for the public.
   - Impact measure - a very high-level outcome measure that gauges the impact of outcomes (e.g. the economic benefit of fewer overfished stocks). This measure type is not currently used in NOAA.
   - Efficiency measure - compares inputs to outputs or outcomes (e.g., cost per acre of habitat restored).
   - Process measure - measures the efficacy of a process (e.g., time required for a permit approval).

4. Baseline - The baseline is the actual reported performance number associated with the measure in the year prior to the start of the measure's use. This field also specifies the universe of the measure (i.e., the "out of" number). For example, the baseline for the measure "Number of protected species designated as threatened, endangered or depleted with stable or increasing population levels" is 24 out of 65 species listed as threatened, endangered, or depleted in 2005. *Occasionally, there is a need to rebaseline. For example, the business rules for this performance measure were updated as of October 1, 2008 to include all species listed through the end of FY 2007 (September 30, 2007), and will be similarly updated on the first day of each fiscal year to include species listed through the end of the previous year.

5. Indicator - The indicator is the part of the measure that defines the attribute or characteristic

to be measured. It is a particular value or characteristic used to measure outcome or output. Examples include restored habitat, adequate assessments, and stable or increasing populations.

6. Unit of Measure - The unit of measure is the part of the measure that describes what is to be measured by the *target* and *actual*. Examples include acres, fish stocks, and endangered or threatened species. Units may be reported in raw numbers or percentages.

7. Reporting Individual - Name and phone number of person responsible for producing the reported number with primary responsibility for reporting performance information to the MB Office. This should be the "hands on" expert thoroughly familiar with the measure and the target and actual numbers.

8. Approving Individual - This is the name and phone number of the person responsible for ensuring the accuracy of the data by formally signing off on each data submission from the Program to MB. Generally this is the HQ Office Director.

9. Data Source - The data source is the ultimate source of performance information (i.e., where someone would go to verify or duplicate a number). It should be a document or a database rather than a person. Includes the data source(s), and describes collection processes, Teams, Councils, and all other parties involved in the data collection, and the assembly process. This information is part of the business rules submitted by the programs for each measure.

10. Verification - This field describes the quality control process for ensuring that the information is accurate, as well as the sign-off process assigning accountability for accuracy. This information is part of the business rules submitted by the HQ Offices for each measure.

11. Explanation - This field explains the measure: how it works, how the numbers are determined, why it's important, and any other information considered relevant for understanding the nature of the measure itself. This information also appears in the Measure Description section of the APP.

12. Background - This field explains the history of the measure: what year it came into effect, what measure it replaced, and any other information relevant to understanding the derivation of the measure, its baseline, or any of the other measure data fields.

**FY-Sensitive Fields:** The following fields are entered separately for each fiscal year. Updates to these fields change the field only for the associated fiscal year and do not affect the same field in a different fiscal year. (Special business rules for the timing of changes to performance measure targets and actuals related to the annual budget and reporting cycles are provided in section 3 of Procedural Directive 33-102-02.)

13. FY (Reference Year) - This field shows the fiscal year to which the data shown below (FY-sensitive data) will apply. It is called the reference year in this document to denote the fiscal year of the data entry screen in eAOP.

14. Measure Usage - This is the list of documents in which the measure is used or contexts in which the measure is reported. The following choices may be used (include all that apply for

the reference year):

a. AOP: Measure used in the Line Office Annual Operating Plan.

b. Budget: Measure used in the budget narratives, program increase justifications, etc.

c. Corporate: Measure officially established as a NOAA Corporate measure.

d. DOC Sec.: Measure used in reports to Department of Commerce or specifically addressing Commerce Plans or priorities (e.g., the Balanced Scorecard).

e. GPRA: Measure designated an official NOAA GRPA measure. All GPRA measures appear in both the Annual Performance Plan and Performance and Accountability Report.

f. Historic: The data for this fiscal year precede the measure coming into active usage, and therefore reporting for this year was not required, but data were developed for informational or comparative purposes.

g. IT Management: Measures which specifically address Information Technology.

h. PMA: Measure used in the President's Management Agenda Scorecard. (No longer used.)

i. Quarterly Report: Measure reported quarterly in either the Plan for Success, Quad Chart, or other report requiring a quarterly update.

15. Active - Active status is a yes/no indication for the reference year. It indicates whether the milestones entered into eAOP can be linked to this performance measure. If the Active status is yes, this measure appears automatically in the drop-down menu when linking milestones to measures. In general, active status is used to include the measure in the HQ Office Annual Operating Plan or the NMFS Annual Operating Plan.

    Active status should not be changed during the year, nor set to yes for outyears. Selection must be made prior to commencement of milestone data entry for a given fiscal year, typically in August of the preceding fiscal year. Selection of the set of measures to be Active is made in consultation with the HQ Office, based upon the need to use this measure in the HQ Office annual plan or the NMFS Annual Operating Plan, and to link milestones to this measure.

16. State of Development - A selection will be made among the following choices:

    a. Ready for Use: The measure is approved by the Line Office and may be used in this current year and for future years for all purposes.

    b. Under Development: This measure has not yet been approved as ready for use in this fiscal year and may be modified. This is used as a placeholder status to allow the measure to be entered into the system for storage and review.

c. Discontinued: This status is used in a fiscal year and subsequent fiscal years to indicate that a measure is no longer used. A discontinued measure in one fiscal year will have a status of either Ready for Use or Under Development in previous fiscal years. (i.e., the status changes in the first year it is no longer used.) Discontinued measures will require at least one year of FY-sensitive data entry indicating the Discontinued status, however it is not necessary to fill in all subsequent outyears with a Discontinued status.

17. Preferred Trend - This shows which trend in the numbers is considered improved performance: whether higher or lower numbers indicate improvement, or whether the goal is simply to maintain a certain level of performance.

18. Reporting Frequency - This shows how frequently updated actual performance data will be available - monthly, quarterly, annually, or multi-year. In some cases, the database will record data more or less frequently than new data actually become available (i.e., the database may make quarterly entries even though new data are actually available only annually).

19. Quarterly Targets - For all measures reported quarterly in quarterly reports or other reports, these fields show quarterly targets. They will be entered into the repository within 5 business days of the submission of the Draft Program Annual Operating Plans and updated when final Program Annual Operating Plans are submitted. The quarterly target for 4$^{th}$ quarter should agree with the current official annual target.

20. Quarterly Actuals - For all measures reported quarterly, these fields show the actual quarterly results and are updated within 5 business days of the end of each quarter. The quarterly actual for 4$^{th}$ quarter should agree with the current official annual actual. If revised quarterly actuals become available following the quarterly reporting cutoff, the numbers in this field will be updated and a notation explaining the change will be entered into the Metadata field.

21. Quarterly Score - This shows whether the *quarterly target* was met. Green = met or exceeded; yellow = missed by less than 10%; red = missed by more than 10%.

22. President's Budget Annual Target - This is an initial annual target as shown in the President's budget or if not used in the budget, then as shown in the Annual Operating Plan, as follows:

    a. For measures that appear in the budget:

        (1) If a President's Budget for the reference year has not yet been published enter the target number for this field that appears in the most recent budget submission (e.g., NOAA, DOC, or OMB submissions), and which submission shall be denoted in the *metadata* field. The number will be updated in the database by F/MB within 5 business days of each successive submission, and a notation made in the *Metadata* field.

        (2) Once the President's Budget for the reference year has been published (usually first Monday in February) the target that appears in the APP/President's Budget will be entered (i.e., the FY 2014 targets shown in the FY 2014 budget and FY 2014 APP) and this number will remain fixed, with all subsequent target revisions will be entered

into the AOP/*Enacted Annual Target* field. (see 23). This final target will be updated in the database within 5 business days of publication of the President's Budget, and a notation made in the *Metadata* field.

b. For measures that do NOT appear in the budget:

(1) If the measure appears in the HQ Office Annual Operating Plan or the NMFS Annual Operating Plan the initial value for this field will be a draft annual target set when the HQ Office submits a draft Annual Operating Plan to MB.

(2) If the measure is not used in either the budget or the Annual Operating Plan, the initial value for the President's Budget Annual Target field will still be established and entered into the eAOP not later than the date of submission of a draft HQ Office Annual Operating Plan to MB.

23. AOP/Enacted Annual Target – This field is left blank until either an AOP is submitted or the current FY budget has been enacted. This final annual target is established once the budget appropriation has been enacted. However, if the budget appropriation has not been enacted, an updated target from the draft AOP may be entered in this field until an appropriation is enacted. In either case this target reflects the best available information based upon an appropriation or upon data (and budget assumptions) available at the time of an AOP submission.

a. For Measures that appear in the budget:

(1) When the appropriation for the current FY is available before the end of the first quarter, this should be used to update the current FY target. These new current FY targets are submitted as an updated target in the following FY APP/President's Budget (i.e., an update to the FY 2014 targets are entered into the FY 2015 APP/ President's Budget). . This submission serves as the final target for which the Agency is accountable and which will be used in the Performance and Accountability Report (PAR) at the close of the current FY to determine whether the target has been met. This field will be updated in the database by F/MB within 5 days of each submission of the draft (current FY +1) budget to NOAA, DOC, and OMB, and the notes explaining which draft the number appears in will be available in the Metadata section.

(2) When the appropriation is not enacted until after the APP/President's Budget for the following FY (current FY +1) has been finalized (i.e., 2015 APP/President's Budget final in January 2014 but the FY 2014 appropriation is enacted after its publication in February 2014) this field will continue to show the Current year President's Budget target until the appropriation. Upon appropriation this field will be updated with a new target reflecting the effect of the enacted budget. Updated targets will be entered to coincide with the HQ Office submissions of final (post-appropriation) annual operating plans to MB (generally within 30 to 60 days of the appropriation). In this circumstance the updated number will be the official target but may not agree with the target that appears in the (current FY +1) President's budget. The original numbers that appeared in the published APP/President's Budget are archived in the

*metadata* field.

b. For measures that do NOT appear in the budget:

(1) If the measure appears in the HQ Office Annual Operating Plan the final value for the AOP/Enacted Annual Target field will be the annual target as adjusted when the HQ Offices submit a final revised (post-appropriation) Annual Operating Plan (typically within 30-60 days after appropriation).

(2) If the measure is not used in either the budget or in the HQ Office annual plan, the final value for the Enacted Annual Target will be set on a date not later than the submission of the final HQ Office Annual Operating Plan to MB.

24. Estimated Annual Actual – This field preserves a record of the end of fiscal year submission of an annual actual value, whether it was an estimate or a final number. If the HQ Office cannot produce a final actual number in time to meet the deadline for official end-of-year reporting, (for the PAR if applicable) this field shows the estimated number that was submitted for the *reference year*. If the number was final, the same number will also be entered in the *Final Annual Actual* field. For measures appearing in the PAR, the number will be updated within 5 days of the final submission of the PAR to NOAA. Annotations of all updates will be made in the *Metadata* field.

25. Final Annual Actual - This field shows the final verified number for the *reference year*, once available, (as published in the PAR if applicable). If subsequently updated after publication of the PAR, the updated number in the APP/President's Budget for the fiscal year 2 years after the *reference year* (*reference year* +2) will be entered and an annotation of the changes will be recorded in the *metadata*. This field will be updated within 5 days following the final submission of the PAR or the APP (whichever is applicable).

    This number should reflect the current best available data. If the number is revised after publication of the President's Budget for the reference year +2, this field will show the revised number. For measures that do not appear in the APP or the budget, this field will show the final number for an *actual* as reported by the HQ Office.

    Annotations of all updates will be made in the *Metadata* field to document when and why this number was last updated.

26. Met/Unmet - This field shows whether the target has been met or not. Yes = *Final Annual Actual* value meets or exceeds the *Enacted Annual Target* value. Updates will occur within 5 business days of the final submission of the PAR and the APP. This field will be marked N/A for historic data (provided for years prior to the introduction of a new measure for informational purposes) and for years for which no estimate or final actual is yet available.

    In certain cases, this field could show a target as being met when it appears unmet (or vice versa) if the final result was affected by factors extraneous to performance, such as shifting baselines. If there is an *Estimated Annual Actual* but no *Final Annual Actual*, the met/unmet determination will be based on the estimate; otherwise it will be based on the final actual. This could cause the determination to change from met to unmet (or vice versa).

27. Metadata - This field is populated with all available FY-specific background and explanatory information necessary to understand the data in the annual and quarterly data fields (*targets* and *actuals*). This could include the history of changes to *targets* or *actuals*, information about which specific species are behind *targets* or *actuals*, or information about the effects of extraneous factors, such as shifting baselines. It preserves a record of original *target* or *actual* submissions related to the *reference year* as well as a record of updates and the dates the adjustments were made. No *target* or *actual* should be considered complete without the information in this field, as it may be crucial to understanding the true meaning of the number. For example, for a performance measure that expresses its results in percentages, this field would mention whether the universe portion of the calculation (the denominator) has changed from the previous year. This field will be updated whenever the other fields are updated, as necessary, following these specific procedures:

    a. The most recent update will always be added at the top, so that the most recent changes are readily apparent, <u>never</u> overwriting prior entries.

    b. Each new entry will start with the date of the update, formatted as: MM/DD/YY.

    c. Each text entry will end with the name of the person making the entry formatted as: (Last Name).

    d. Older entries will not be deleted or overwritten. If entries are made to correct previous data, the current entry shall state this such as: "This updates/corrects the entry made on 10/25/08. The number should be 26, instead of 25 because sea horses were divided into separate northern and southern stocks at the last assessment review in August. See new linked file of species, etc."

28. Metadata Linked Files - Some data are too lengthy to be included in the *Metadata* field—for example, the full list of the 230 stocks that comprise the FSSI. Such data will be uploaded in the form of spreadsheets, tables, slides, or other documents. The Document Description for each uploaded file will clearly indicate the quarter or date of the data and a descriptive title for the document using standardized descriptions to the extent practicable. File names should be modified before uploading to avoid spaces in the name. Filling spaces with underscores in the file name is a good alternative.