

**NATIONAL MARINE FISHERIES SERVICE INSTRUCTION 33-102-02**  
**AUGUST 17, 2006**

**Planning**  
**Performance Measurement, NMFSPD 33-102**

**PROGRAM PERFORMANCE REPORTING**

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**Type of Issuance:** Renewal with Technical Revisions,  
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**SUMMARY OF REVISIONS:**

1. Milestone reporting procedures were expanded.
2. Section 2.1 modified to reflect the replacement of formal Program AOPs sent to NOAA with HQ Office AOPs sent to MB.
3. Section 2.2.1 modified to remove PART measure reporting.
4. Section 2.2.2 on reference to Quad Charts removed to reflect current NOAA reporting guidance.
5. All references to PPBES Programs replaced with HQ Offices.

**1. Introduction.** This procedural directive establishes the process within the National Oceanic and Atmospheric Administration (NOAA) National Marine Fisheries Service (NMFS) for the development of the Annual Operating Plan and periodic reporting of performance measures and their supporting milestones. Specifically, it establishes the procedures for the review, approval, and timing of changes to performance measure *targets* and *actuals*; provides guidelines for the development and documentation of performance measure business rules; and provides guidance on the reporting of milestones and their impact on performance measures. This directive applies to performance measures that appear in the budget or are used in any formal reporting process. This includes Government Performance and Results Act (GPRA) and NOAA Corporate measures as well as any measures used in the Annual Performance Plan (APP), the Performance and Accountability Report (PAR), Annual Operating Plans (AOP) or the quarterly performance reports. Measures that appear only in internal documents and do not have formal reporting requirements are not covered by this directive.

**2. Reporting Procedures.** NMFS HQ offices will provide existing measures and their metadata, including business rules for measures, to the NMFS Office of Management and Budget (MB). Regional Administrators, Science Directors, and Office Directors will report milestone status and any performance data required to track performance measures. The following procedures will be followed in reporting performance data:

**2.1 NMFS Annual Operating Plans and HQ Office Annual Operating Plans.** A NMFS Annual Operating Plan (AOP) is developed each year, consistent with the NOAA strategic plan

and NMFS priorities to establish a plan to execute the annual budget by identifying the priority actions to be carried out in that fiscal year (FY) (i.e., the annual milestones) and the performance measure to be used to track progress. NMFS HQ offices will develop draft AOPs each year, providing their objectives, performance measures, and milestones in accordance with MB annual guidance and update these plans after annual appropriation. The NMFS AOP is based, in part, on these HQ office AOPs.

Prior to commencement of each new FY the HQ offices will establish the list of *active* performance measures (measures to be included in the HQ office AOPs with supporting milestones) and will develop guidance to the Regional Offices, Science Centers, and headquarters Program offices for developing the milestones in support of the program. All milestones will be entered into the electronic Annual Operating Plan (eAOP) database by the respective Regional Office, Science Center, or HQ office.

Milestones will be selected for inclusion in HQ office AOPs by the HQ office staff and tagged as such in the eAOP. Key milestones within the eAOP are tagged with a "Program AOP" flag status of *Yes*, indicating that the milestone is tracked by the HQ office and reported in their quarterly or semi-annual reports. HQ offices will coordinate with the Regional Office, Science Center as necessary to ensure that the eAOP tagged milestones and the HQ office "Program AOP" flagged milestones are in full alignment and remain so throughout the year.

**2.2 Milestones.** Regional Administrators, Science Directors, and HQ office Directors will ensure timely entry of milestones into the eAOP database and ensure that the status of all milestones for their organizations is accurately reported as outlined below.

By the last day of each month, all milestones tagged for inclusion in a HQ Office annual plan ("Program flag" = Y), and due for completion in the current year (even if the due date has not yet arrived), will be annotated with either actual or projected status according to the procedures described in this section.

- a. Milestones that have passed their Planned Completion date will be updated with current status using the "Status" field drop-down menu, and a completion date will be entered in the "Actual Completion" date field if it is completed. The "Accomplishment Narrative" text field will be used to describe the completion or, if not completed, to provide the explanation and new projected completion timeframe.
- b. Milestones not yet due for completion, but planned within the current year require text entered in the "Accomplishment Narrative" text field, providing a current projected completion status to indicate whether the milestone is on schedule or anticipated to be late or missed (i.e., enter a simple statement such as "Milestone is on schedule as of 4/1/14"). Those anticipated to be missed require additional text describing reasons and any impacts.
- c. The original "Planned Completion" field date is never adjusted after the NMFS AOP has been submitted to NOAA. A new date will be entered in the "Rescheduled Completion Date" field.
- d. The following status designations will be used:

- (1) Planned - Initial state of all milestones. Indicates that the milestone is not yet due for completion, but may be in progress.
  - (2) Completed - Completed in all respects, either on time or early.
  - (3) Completed Late - Completed, but after the original Planned Completion date. If it was rescheduled to a new date and completed on that new date it is still completed late because it missed the original Planned Completion date. The Accomplishment Narrative / Progress Report field will address the reasons and any impacts on performance.
  - (4) Late/Overdue - Overdue for completion and still not completed. Also use this status if not yet overdue but we are fairly certain that it will not be completed by the “planned completion” date, because we foresee specific problems. The Accomplishment Narrative / Progress Report field will address the reason, any impact, and any suggested mitigation. "Late/Overdue" status is reserved for those milestones still currently not completed because certain report criteria use this tag to call up all overdue milestones. “Late/Overdue” milestones should have a date entered in the Rescheduled Completion date field, but never change the original Planned Completion date field.
  - (5) Reschedule to next FY - Unable to complete this year, but will be pursued next fiscal year. A complete explanation will be given in the “Accomplishment Narrative / Progress Report” field.
  - (6) Unfunded - Dropped after appropriation due to insufficient funding. Use this if milestone was established at the beginning on the year but dropped after final budget allocation was made to the field. This status retains a record of all milestones that could not be pursued due to funding issues.
  - (7) Deleted - Dropped due to changed circumstance (other than unfunded or rescheduled to next FY) i.e., partner agency backed out, legislation not enacted, etc. Describe reason in the “Accomplishment Narrative / Progress Report” field and address any impacts. Milestones tracked by an HQ Office cannot be purged from the database by using the “X” icon to physically remove it from the database. Instead use the “Deleted” status because the HQ Office is required to keep track of its status through the FY and report to MB.
- e. The “Accomplishment Narrative / Progress Report” field will be filled in describing the details of the accomplishment or, if in progress, the status of progress on the milestone. In cases where the milestone has not been completed on time, is late, or has been dropped, the impact on the objectives of the Program will be described in this field.

Special attention will be given to milestones tracked by HQ offices and planned for completion at the end of the fourth quarter. Because of the processing time needed for end-of-year reporting to NOAA as well as in SES evaluations, and the inability to reschedule these milestones any later into the same FY, Regional Administrators, Science Directors, and HQ office Directors will

make every effort to ensure the completion of these milestone status reports by the middle of September and notify the HQ Office contacts as soon as any non-completion status is known or anticipated.

**2.2.1 Performance Measure Reporting.** HQ Offices will provide reports to MB as follows:

*Quarterly Performance Measure Report* - A full GPRA performance report will be due at quarter closing. Performance measure numbers will be considered preliminary and will be updated no later than 1 week after the end of the quarter, or as required by MB for reporting. Quarterly performance reports will be in the form of a memo approved and signed by the HQ office Director. The memo will form the basis for updating the performance measure repository and for reporting to NOAA and the Department of Commerce, and will include:

- a. All reported performance numbers, accompanied by a full explanation of how they were obtained (i.e., the mix of species, stocks, restoration projects, assessments, etc., that make up the reported number).
- b. An explanation of any change from the previous report.
- c. Any information concerning whether the Agency is likely to reach or miss its annual target, with a corresponding discussion of the reasons for a missed target and potential mitigation measures, including any recommended actions for NMFS or NOAA senior leadership.
- d. Any known upcoming development that could impact performance measures or *targets*.
- e. Identification of specific stocks or species, where applicable, when addressing progress in or barriers to reaching *targets*.
- f. Proposed revisions to *targets* and *actuals*, as appropriate, with justifications for proposed revisions (i.e., two stocks formally become a single stock, etc.).

At any point in the quarter, whenever an HQ office becomes aware that a performance measure is unlikely to make the target for the upcoming quarter or end of year, due to missed milestones or other circumstance, the HQ office Director will advise the Deputy Assistant Administrator for Operations and the Director of Management and Budget in writing.

**2.2.2 Quarterly Review Reports.** The quarterly reporting format is prescribed by NOAA annually as part of the Annual Operating Plan guidance, and is used to report quarterly or semi-annual performance. Quarterly performance reports must report on any GPRA measures and should include other measures deemed appropriate, or as directed by MB. Each quarter, HQ offices will provide quarterly performance reports to MB on all measures appearing in the NMFS Annual Operating Plan.

- a. Each quarter, HQ Office Directors or their Deputies and appropriate staff will attend a meeting with the NMFS leadership to present a report on their performance measures and milestones, as well as any issues to be addressed in the quarterly or semi-annual report.

- b. MB will post all quarterly or semi-annual reports, as sent to NOAA, to the NMFS Intranet. [http://home.nmfs.noaa.gov/mb/quarterly\\_review/](http://home.nmfs.noaa.gov/mb/quarterly_review/)
- c. Information reported by the HQ offices should be consistent with that housed in eAOP.

**3. Periodic Performance Measure Adjustments.** Performance measure *targets* can be changed only at key points in the budget and planning process, and sometimes only in response to changes in funding levels. The limited windows of opportunity to adjust performance measure targets as part of the budget process may not correspond to the reporting schedule described in Section 2 above. Accordingly, performance measure targets will be revised as required using the following procedure:

- a. MB will notify the HQ offices when target revisions are needed, as far in advance of the due date as possible. *Targets* will be explicitly associated with a specific funding level, and will need to be revised to reflect any changes in that level as a result of management or legislative action.
- b. Each HQ offices will provide MB with revisions to performance measure *targets* as requested, in accordance with the performance measure business rules to be developed as outlined in Section 4 below.
- c. The specific processes that present opportunities for revisions to measure targets or actuals are shown below. A timeline for updates is provided in APPENDIX 1.

**APP/Budget:** Measures that appear in the APP and in the budget require data updates with each budget submission: first to NOAA, then to the Department, and finally to OMB. This data consists of *actuals* back 5 years prior to the budget year and targets 5 years beyond the budget year. The relevant HQ offices will submit updates to these data for each budget submission at least 1 week before the submission is due to NOAA. Each data set will include two sets of targets for the budget year and beyond—one *target* that assumes funding with the requested increases and one that assumes level funding. The APP also includes other information such as performance measure descriptions, *target* explanations that the programs will submit and/or update with each submission.

April: first draft (NOAA submission)

May: DOC submission

August: OMB submission

December: OMB re-submission following passback

January: final revisions

**PAR:** The measures that appear in the PAR are identical to those that appear in the APP. The PAR includes actual data for the current year and the 4 years prior (e.g., the FY 2012 PAR includes *actuals* for FY 2008 through FY 2012) but no future *targets*. The relevant HQ offices will submit these data at least 1 week prior to the deadline for sending the submission to NOAA for the initial draft and the Departmental passback. Where *targets* were missed, the HQ offices will submit an explanation.

July: first draft

October: final submission

**Annual Operating Plan:** The annual and quarterly targets for performance measures appearing in the first draft (pre-appropriation version) of the NMFS or HQ office Annual Operating plans may be adjusted to incorporate new information since the last target update including prior year performance (actuals), adjustments to the baseline, or other new information. This will become the new official target until the submission of the next APP/President's Budget.

**4. Performance Measure Business Rules.** Each HQ offices will submit to MB a Procedural Directive Supplemental documenting the established *Business Rule* procedures for tracking and reporting on each of its performance measures. Business rules will be part of the metadata of each performance measure. Business rules will be submitted in the form of a separate Supplemental to this Procedural Directive from each HQ office, containing a separate subsection tailored specifically to each performance measure. After submission of the initial Supplemental Procedures, Each HQ office will review their Supplemental annually and submit an updated renewal to MB. The business rules identify and describe, at a minimum, the following:

- a. Criteria to determine progress in meeting a performance *target* (e.g., the criteria for identifying when an unknown stock becomes known or what criteria or level of recovery an endangered species must demonstrate to be considered stable or increasing; this should include criteria for the reverse, i.e., when a known stock becomes unknown or a stable or increasing species is no longer considered stable or increasing).
- b. Description of the specific counting methodology, algorithm, or other formula used to generate the numbers (e.g., how a restoration project counts "acres" restored, or how the Fish Stock Sustainability Index number is generated).
- c. Reporting source (i.e., identification of data source(s) and process to generate the performance data).
- d. Definitions of all terms in each measure.
- e. Composition of the target and baseline number (i.e., identification of the species, stocks, etc., that are being counted to generate both planned *targets* and *actual* numbers) and the methodology and process for setting the *targets*.
- f. Criteria for identification of the PPAs that support the measure (i.e., the rationale for deciding which PPA funding levels influence the level of performance).
- g. Description of how the measure is affected by changes in funding levels and how *targets* corresponding to different funding scenarios are determined.
- h. Additional contingencies that could impact the result in unanticipated ways (e.g., changing definitions or baselines, inconclusive or rejected stock assessments, or court decisions).
- i. Approval structure (i.e., identification of those below the HQ Office Director level who will sign off on the measure's data).

- j. Timing of when data updates are available and the periodicity of available reporting mechanisms (e.g., if data are only available upon publication of an annual report, name the report and its usual publication date, and describe why it is the only available source.) Timing of publication of such periodic reports should be made to coincide, wherever possible, with NOAA annual performance reporting cycles (i.e., end of the quarter or fiscal year).

## APPENDIX 1: Performance Measure Schedule

The performance measure schedule corresponds roughly to the President's Budget Request schedule, beginning in February and ending in January of the following year. Following is a list of the specific deliverables and their approximate due dates for each month of the cycle. All due dates are subject to change by NOAA, DOC, and/or OMB at any time.

**April:** The first draft of the APP is generally due to NOAA in early to mid-April. It includes the following:

- Priorities/management challenges
- Program changes, including brief description, matched with measures
- GPRA measure *targets* for the new year, including explanations
- Updates to GPRA *actuals*
- GPRA measure explanations
- Data validation and verification info

HQ offices will submit this information by the beginning of April. Note that the *target* for the year prior to the budget year (e.g. the FY 2014 target in the FY 2015 budget) will ultimately become the official target for that measure against which actual performance will be compared in that year's PAR.

The first draft of the budget is also due in mid-April, so the programs will also submit two sets of five outyear *targets*—one assuming the requested increases and one assuming level funding—for each performance measure that appears in a program change narrative.

**May:** The APP draft is reviewed and re-submitted as part of the DOC budget submission in mid-May. HQ offices should expect to submit any revisions or corrections by early May to any of the information submitted in April.

**July:** The first draft of the PAR is due to NOAA in early to mid-July. HQ offices will submit updated *actuals* for the 4 years prior to the current year for all GPRA measures, as well as estimated *actuals* for the current year ending in September. In cases where the actual for the current year does not meet the target, programs must provide an explanation. They should also expect to submit draft accomplishment narratives with appropriate accompanying photos for publication in the PAR.

**August:** The APP is revised to reflect the DOC budget passback in mid-August. All *targets*, especially those for the budget year and beyond with the requested increases, should be reviewed and brought into line with the passback budget numbers. Revisions to budget year *targets* require an explanation. HQ offices will submit this information by early August, along with any updates to or revisions of the information submitted in April.

**October:** The PAR is finalized in October. The due date for final PAR data to be submitted is during the first week in October, so where possible, programs will submit their final *actuals* for the year just ended during that week. However, data can be accepted until late October, so programs will submit final *actuals* by late October if at all

possible. HQ offices will also make final revisions to the accomplishment narratives during this time frame.

**December:** The APP and budget are revised to reflect OMB passback decisions and current year appropriations (usually completed by this time) in December. All *targets* must be given a final review and brought into line with passback budget numbers. Final *targets* for the new current year (1 year prior to the budget year) must be settled, and any *actual* data for the year just ended that were not reported in time for the PAR in October must be reported now. This information will be submitted in early December.

**January:** Final revisions to the APP and budget reflecting last-minute OMB decisions are incorporated in January. These revisions are unpredictable, so there is no set schedule for submission. Requests will be made as needed and turnaround time is often short.

**February:** The APP is released about the same time as the release of the President's Budget Request