

***NATIONAL MARINE FISHERIES SERVICE POLICY DIRECTIVE 33-102
AUGUST 17, 2006***

Planning

PERFORMANCE MEASUREMENT

NOTICE: This publication is available at:

<http://www.nmfs.noaa.gov/op/pds/categories/planning.html>

OPR: F/MB (J. Bortniak)

Certified by: F/MB (G. Reisner)

Type of Issuance: Renewal with technical revision, July 2013

SUMMARY OF REVISIONS:

1. Changes responsibilities from PPBES Programs to NMFS Headquarters (HQ) Offices.
2. Updates HQ Office contacts.
3. Minor edits for clarity, mostly due to changes from PPBES to SEE process.

1. Introduction. This policy establishes the authority and procedures for performance measurement within the National Oceanic and Atmospheric Administration (NOAA) National Marine Fisheries Service (NMFS). As a legal mandate under the Government Performance and Results Act Modernization Act of 2010 (GPRAMA), performance measures are a key component of strategic planning, budget formulation, annual planning, execution of the current year budget, and formal reporting for a variety of purposes. Performance measurement includes developing appropriate performance measures, documenting business rules for the measures, producing planned targets and actual numbers for the measures, periodically reporting these numbers, establishing key annual milestones to track progress toward achieving results, identifying and quantifying impacts of budget changes on agency performance, and tracking long-term progress toward the goals and objectives of the agency.

2. Objective. To establish a system and process for developing and reporting on performance measures and milestones, which are quantitative, measurable, and verifiable metrics for gauging the success in achieving NOAA's goals and objectives and NMFS priorities. Quality measures - based on data that are supportable, consistent, and accessible to all employees - are critical to successful planning and reporting. This policy, with its procedural directives, addresses these issues.

3. Authorities and Responsibilities. This policy establishes the following authorities and responsibilities:

3.1 The Deputy Assistant Administrator for Operations (DAAO) will be responsible for:

- a. Ultimate oversight of this policy.
- b. Resolving any disputes that may arise as a result of this policy.

3.2 The NMFS Office of Management and Budget (MB) will be responsible for:

- a. Directing and supporting performance measurement within NMFS, including

providing training.

- b. Administering the data content component of the electronic Annual Operating Plan (eAOP) system for developing and tracking annual milestones and performance measures, and for coordinating the performance measure and milestone reporting process.
- c. Establishing MB procedural directives consistent with this policy for collecting, reporting, updating, and archiving performance information.
- d. Directing and supporting the development, establishment, and submission of new performance measures and establishing business rules in the form of supplemental procedural directives for this purpose.
- e. Reviewing and coordinating approval of the measures, *targets*, and *baselines* and proposed changes to them.
- f. Maintaining a central repository of approved performance measures, *targets*, actual performance data (*actuals*), and associated *metadata*, and ensuring its availability to Agency staff.
- g. Incorporating approved measures into performance-based budget documents and other associated documents, such as the Annual Performance Plan (APP) and the Performance and Accountability Report (PAR).
- h. Serving as the conduit for reporting performance measure information to NOAA, the Department of Commerce, and OMB as part of periodic reporting or in response to ad hoc requests.
- i. Coordinating NMFS' representation on NOAA performance working groups.
- j. Coordinating with NOAA Goal Team(s) and other line offices.

3.3 The HQ Offices (shown in APPENDIX 1) will be responsible for:

- a. Developing appropriate performance measures, consistent with the NOAA strategic plan and NMFS priorities, in consultation with the Regional Administrators and Science Directors to meet the needs of programmatic management, budget justification, performance reporting, the NOAA strategic plan and NMFS priorities, and for all purposes prescribed by NOAA.
- b. Coordinating the development of milestones, performance measures, and *targets*, and the reporting of this information, with the Regional Administrators, Science Directors, MB, NOAA Goal Team(s) and other line offices, as appropriate.
- c. Establishing Program business rules (in the form of procedural directive supplementals consistent with this policy) for collecting and reporting performance measure information, including processes for the development of

targets and monthly or quarterly reporting, that will describe the details of the process of data collection and coordination between the HQ Office and the various field offices.

- d. Reporting all required performance information for any performance measure that appears in the budget or is used in any formal reporting process to MB in accordance with established procedural directives (this includes GPRA and NOAA Corporate measures as well as any measures used in the quarterly reporting.
- e. Providing timely adjustments to performance measure *targets* in response to changing budget levels, with supporting budget impact statements linking budget changes to levels of performance as required for various budget documents.
- f. Ensuring adherence to established performance measure business rules providing repeatability and transparency of numbers when reporting performance information.
- g. Ensuring all other reporting of performance information is consistent with the information reported to and maintained by MB.

3.4 The Regional Administrators, Science Directors will be responsible for:

- a. Consulting with HQ Offices in the development of performance measures.
- b. Identifying and reporting to HQ Offices any problems or issues that will affect agency performance.
- c. Providing timely data to HQ Offices related to specific performance measure accomplishments or results.
- d. Assisting HQ Offices in setting performance *targets* based on planned accomplishments and in adjusting *targets* in response to changing budget levels by identifying specific impacts on operations and levels of productivity.
- e. Populating the eAOP with annual milestones and ensuring timely milestone status reporting within the eAOP system.

4. The following criteria will be used to evaluate the effectiveness of this policy:

- 4.1 Performance measures, *targets*, and *actual* values are clear, transparent, and responsive to changes in funding levels, and are reported consistently in all documents containing such information.
- 4.2 Where appropriate, performance measures meet standards established by OMB under GPRAMA.
- 4.3 Reports related to performance are submitted by MB to NOAA and others on time

and with complete and accurate information.

4.4 Reports related to performance are submitted by the HQ Offices to MB on time and with complete and accurate information.

4.5 Complete Agency performance information with sufficient supporting documentation is available to all NMFS employees from a single source - the NMFS Performance Measure Repository.

4.6 Milestones are updated with current status in a timely fashion ensuring HQ Offices can accurately report on program status.

4.7 Procedural directives establishing performance measure business rules, as described in 3.2 and 3.3, respectively, are completed in final form and posted to the NMFS Policy web site, and all newly created performance measures have business rules completed and signed prior to submission in any budget document, or external plan or report.

5. References. Procedural directives will be issued to implement this policy as needed.

6. Glossary of Terms. The following definitions are provided for reference, with additional definitions appearing in the procedural directives as necessary:

Actual – The level of performance achieved in a particular time period for a particular performance measure, expressed in units of measure (e.g., overfished stocks, habitat acres, protected species).

Baseline – Data relating to a performance measure that establishes the initial level of measurement (value and date) against which targeted progress and success is compared. A baseline includes both a starting date and starting *actual* level/value.

Business rules – The set of procedures and definitions that define how a performance measure will be measured and reported. Examples include when a stock assessment is deemed to be complete, the definition of “unknown status,” or what document is to be used as the definitive source for a particular datum. Business rules need to establish procedures for HQ Office Director review and approval of reported information.

GPRAMA – The Government Performance and Results Modernization Act of 2010 (the law that established the requirement for all federal agencies to have strategic plans with quantitative, measurable, outcome-based performance measures).

Metadata - Information about data. This is specific information relative to a particular fiscal year for a performance measure especially relating to *target* and *actual* performance data (e.g., information about which stocks were counted as rebuilt or recovered, etc.), as well as information about adjustments to planned *target* or *actual* numbers made throughout the year.

Milestone - Milestones are distinct actions, consistent with the NOAA strategic plan and NMFS priorities, planned for completion by a specific time during a fiscal year. Within the existing

eAOP structure milestones are planned within NMFS program capabilities. Milestones roll up to a corporate measure, GPRA measure, or other appropriate program measure.

Performance measure – A structured statement that describes the means by which actual outcomes and outputs are measured against planned outcomes and outputs. To be effective, the measure must be aligned with and demonstrate progress on NOAA’s strategic plan and NMFS priorities.

Target – The part of a performance measure that establishes the desired level to be reached in a defined time period, usually stated as an improvement over the baseline.

Total Universe – The full scope of all items within the realm of a particular performance measure’s unit of measure. For example, if six overfished stocks will be improved this year, the total universe would be the list of all overfished stocks.

/S/ August 3, 2006
William T. Hogarth, Ph.D. Date
Assistant Administrator for Fisheries

APPENDIX 1

The following table provides the current HQ Office and staff contacts:

HQ OFFICE CONTACT LIST				
HQ Office	HQ Office Director	HQ Office contacts	Planning MB3 Analyst	Budgeting MB4 Analyst
Office of Habitat Conservation	Buck Sutter	Robin Peuser	Laura Keeling	Ming Warren
Office of Sustainable Fisheries	Emily Menashes (acting)	Henry Hope Galen Tromble Karen Abrams	Frank Schwing	Charles D. Walker
Office of Protected Species	Donna Wieting	Larissa Plants	Susan Pasko	Marc Santora
Office of Science and Technology	Ned Cyr	Mark Chandler Hilary Goodwin	Beth Norton	Shawna Karlson
Office for Law Enforcement	Bruce Buckson	Victoria Zalewski	Frank Schwing	Ming Warren
Aquaculture Program	Michael Rubino	Robert C. Jones David O'Brien	Frank Schwing	Ming Warren