US Fish & Wildlife

2016

Business Rules and Guidance – Annual Target Setting and Reporting

Division of Policy, Performance and Management Programs

US Fish & Wildlife Service

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Annual Target Setting & Reporting

Business Rules for Setting Targets and Reporting FY 2016 Annual Performance Actuals in PTrac for Operational Plan including GPRA Measures and Agency Priority Goals (APGs)

The following set of Performance Tracking (PTrac) business rules have been established for setting annual performance targets and reporting annual performance actuals.

Note: *The following programs will not contribute to the Annual target setting and reporting process at this time:* ***IRTM, BPHC, and BMO****.*

General Rules

(1) The Regional offices will be the primary Contributors for target setting and reporting FY 2016 Regional performance actuals. The Headquarters (HQ) program offices will serve as the Reviewers of performance information. The exceptions to this rule are as follows:

   a. Ops Plan and GPRA Targeting and Reporting

      i. Only those few measures which can only be reported at the National level will be handled by Headquarters. These exceptions include the Law Enforcement, International Affairs and External Affairs/NCTC programs. These Headquarters programs have both contributor and reviewer status.

   b. APG Reporting 2016 – Youth, Energy and Monarchs and other Pollinators

   Note: *Due to the limited nature of the included measures ONLY the following programs contribute to the APG reporting process:*

   - *Regional Youth program coordinators (for the Youth Priority Goal)*
   - *Regional Ecological Services (CPA and Endangered Species (for the Renewable Energy Goal), and*
   - *Headquarters Performance Leads in Coastal, Partners, Refuges and Fisheries (for the Monarchs and Other Pollinators Goal).*

   Climate Adaptation APG *measures are reported ONLY by Headquarters programs and are collected on a separate worksheet that is not included in the PTrac application.*

(2) All Washington and Regional targeting and reporting programs must have a primary and backup PTrac Contributor or Reviewer. This is necessary in order to ensure that the Annual PTrac target and reporting process will be completed within the allotted timeframe.

   a. Contact Kim Howze if PTrac licenses need to be transferred or added to provide backup capability.

(3) For percentage measures, the denominators for all measures may be changed when targeting performance measures.
(4) When reporting performance data, the denominators for most measures may not be changed when reporting performance data. These denominator fields will be made "read only" and are identified by "grey" shading in PTrac. If a performance measure denominator is not shaded, the target may be changed.

Source System Automatic Loads (for Ops Plan Measures including GPRA, APGs)

(5) For those measures that are imported from program source systems (i.e., RAPP and PRS) PTrac will be read only, so performance data cannot be corrected directly in PTrac. If, during the performance reporting process, a performance data error is discovered, the correct performance data must first be changed in the originating corporate database (i.e., RAPP, PRS) before PTrac is corrected. The corporate database should be corrected and the performance file should be sent to Nathan Zorich to re-download into PTrac and cc: Kim Howze

   a. For FY 2016 annual APG targeting and reporting, only Ecological Services (Endangered Species and Conservation Planning Assistance) programs will enter all of their FY 2016 APG Energy performance actuals from automated data feeds from PRS into PTrac.

   b. All other programs will hand enter performance data in PTrac until other program systems can be modified to provide data transfer.

Other Rules - Reporting

(6) Definitions of met/exceeded and not met for 2016 GPRA data. Note: OMB has issued Circular A-11 guidelines describing whether a GPRA target was met/exceeded or not met.
   (a) Met/Exceeded: Greater than 100% of the FY 2016 GPRA target.
   (b) Not Met: Less than 100% of the FY 2016 GPRA target.

Performance Targeting/Reporting Deadlines for FY 2016 (Approximate)

FY 2016	Priority Goals (APGs)	GPRA and Other Program Performance Measures
Target Setting	11/20/15	11/20/15
Q1	1/20/2016	NA
Q2	4/20/2016	NA
Q3	7/20/2016	NA
Q4 *	9/30/2016	9/30/2016**

** DOI/OMB require end-of -year reporting before end of year

Quarterly/Annual Reporting Timeframes

Q1 YTD = October 1st through December 31st
Q2 YTD = October 1st through March 31st
Q3 YTD = October 1st through July 31st
Q4 YTD = October 1st through September 30th

Annual performance accomplishments will be collected for all performance measures (Operational Plan measures including GPRA and APGs) in September 2016 - as usual.

Definitions of PTrac column headings for performance Reporting and Targeting

Ops Plan Application

Target Setting Columns

		Prior Years					Current Year	
Measures	Program	2013 Actual	2014 Actual	2015 Actual	2015 Substitute Actual	2015 Total	2016 Target	Comments

2016-Target (Final 2016 Target): The final Regional performance targets as set in October / November 2015.

Comment: This column is provided to capture comments/explanations regarding the target as set by the Regions. It is optional, except in cases where the target is set to zero. If a "zero" is reported as the target, a comment is required to ensure that all reviewers understand that the "zero" is legitimate target and not a missed measure.

Accomplishment Reporting Columns

		Prior Years		Current Year					
Measures	Program	2014 Actual	2015 Actual	2016 Target	2016 Actual	2016 Substitute Actual	2016 Total	% of Target Met	Comments

Prior Year Actuals – The application will show two prior years of actuals to provide a historic view of reported accomplishments. Cells will be highlighted green (met) or red (not met) to give an index of prior year successes.

2016-Target (Final 2016 Target): The final Regional performance targets as set in October / November 2015.

2016 Actual YTD (cumulative Ops Plan Actual): The total year-to-date actual performance reported as it occurred during the fiscal year covered by the report. Section 260.9 of OMB Circular A-11 states: "Actual performance is reported as it occurred during the fiscal year covered by the report. For some programs, this performance may have resulted from spending prior years monies during the fiscal year." Performance resulting from other resources such as reimbursable funding, Federal and non-Federal partner matches, etc. is also included.

2016 Substitute Actual: If a program does not have actual data to report at the time a request for actual performance is issued, the program may submit a "substitute actual", with an explanation of how the substitute was determined. PTrac will reopen in December 2015 for the program to replace substitute actual data with final actual data.

2016 Total: The sum of the Actual and Substitute Actual columns.

% of Target Met: This column calculates the percent completed of the FY 2016 Ops Plan performance target. This information will be useful to determine if a reporting program is on track for meeting or exceeding the Ops Plan Performance target. This column allows a quick read on where the accomplishment is compared to the target. Cells will be highlighted green (met) if the actual reported was 99% or better of the targeted performance. Measures that are not met by more than 1% below the targeted value are highlighted in red. These measures – and any measures highlighted green (met) or red (not met) to give an index of prior year successes.

FY Actual YTD Comment: This column is provided to capture comments/explanations regarding whether measures are not met by 1% or more below target; or the target is exceeded by 5% or more.

Note: PTrac provides the availability for reviewers to see/edit/append comments on the reviewer worksheets. This column is open to all contributors and reviewers. Reviewers now have the ability to edit/append additional comments to those provided by the contributors.

Note: Comments are required for the following reasons:

a. A comment is required for GPRA measures when the accomplishment is **1% or more below the target** or when **the target is exceeded by 5% or more**.
    - For example, if the **% of target met** column in PTrac shows **a value that is equal to or less than 98.9%** or **is equal to or greater than 105%,** a comment is required.

b. If a “zero” is reported for the data field.

c. If a “zero” is reported as the target. This ensures that the “zero” is legitimate target and not a missed measure.

Other comments are optional. Please be brief, but keep in mind that your comments help explain the status of your program’s efforts.

Adaptive Management -Topic Guidance

The Partners and Fisheries adaptive management measures are variations of existing measures that will specifically measure the contribution ONLY of projects undertaken to mitigate Climate impacts. These measures have been added to the Program's Ops Plan Worksheets.

Accessing the Annual Ops Plan including GPRA and Agency Priority Goals Applications

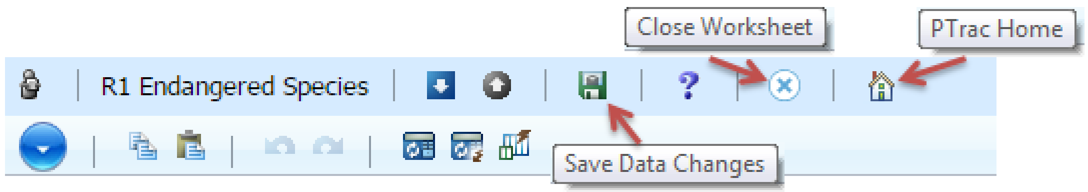
To log in to the PTrac "Ops Plan including GPRA and Agency Priority Goals Applications" to enter/review FY performance targets and actuals: (FWS Website: National Programs – Budget, Planning and Human Capital – Conservation Business Management. Once the Home Page opens, click on the Organizational Performance Management Tab and you will see the Enter / Review Performance Data link under Performance & Budgeting Applications box on the right side of the screen. You can also access PTrac on the FWS Employee Applications Page.

Access to PTrac can also be attained from ***Inside.fws.gov***

1. On the Inside.fws.gov home page click Regions to expand,
2. Click the Headquarters link
3. Click BPHC on the top navigation bar
4. Click on Division of Conservation Business Management on the top navigation bar
5. Click the Enter/Review Performance Data (PTrac) in the Quick links menu on the left

A window will open to the PTrac folder. Select the appropriate application. Each application will include up to two previous year's annual accomplishments, the current year annual target column and the input columns for the current fiscal year-to-date accomplishments (at reporting time) and comments.

Once inside any of the applications, you will need to save any data changes prior to submitting your worksheet to the next level. In order to move between worksheets in the same application, use the close worksheet button. To move to the other applications (as applicable) click the PTrac Home button inside the application on the top of open worksheet page.



Regional Reporting Responsibility: All measures with Regional breakouts are the responsibility of the Regional program contributor to enter, review, and submit data into the performance applications in PTrac. There are a few programs that will use automated downloads from program source systems (e.g., PRS and RAPP. <u>This imported data must still be reviewed and accepted in the PTrac application</u> by the Regional/Headquarters contributor

Headquarters Program Office responsibility: Headquarters Program staffs have a responsibility to review and accept Regional accomplishments in the performance applications. Their role is one of overseeing the process from a national programmatic perspective.

National Program reporting responsibility: Some measures are only targeted and reported at a nationwide level. Headquarters program staff is responsible for reporting on these measures for the Service as a whole.

The Division of Policy, Performance and Management Programs will be available to assist you and answer any questions.

- Questions?: Please contact Kimberly Howze (703 358-2588)
- Technical/Computer problems regarding PTrac? Please contact Nathan Zorich (970-226-9163) or Stephen Keith (703-358-1773).
- Changes to PTrac software licensees? Please contact Kimberly Howze (703 358-2588).

General Program Instructions
Annual Agency Priority Performance Goals (APGs) Measures

The Service is engaged in four of the DOI Agency Priority Performance Goals (APGs): Climate Adaptation Management, Renewable Energy, Next Generation (Youth) and Monarchs and Other Pollinators. The Department and OMB require the Service to **report quarterly and annually** on these efforts.

> ***NOTE:*** *Due to the unique reporting requirements for each of the Priority Goals, ONLY the following programs are impacted for this reporting requirement.*

Climate Adaptation Management
Science Applications (Headquarters Only)
Refuges (Headquarters Only)
Wildlife & Sport Fish Restoration – WSFR (Headquarters Only)
Business Management Operations – BMO (Headquarters Only)

Renewable Energy:
Regional Endangered Species – Consultations
Regional Conservation Planning Assistance

Next Generation (Youth):
Regional Youth Coordinators, Regional Budget and Administration PTrac Users, and Headquarters Refuges Youth Coordinator

Monarch and Other Pollinators Conservation:
Coastal Program (Headquarters Only)
Partners Program (Headquarters Only)
Refuges (Headquarters Only)
Fisheries (Headquarters Only)

Agency Priority Goals (APGs) Application

NOTE: The Climate Adaptation Management measures, reported by Headquarters programs are collected on a separate worksheet that is not included in the PTrac application.

The following column headings are common on the Energy, Next Generation (Youth) and Monarch and Other Pollinator Priority Goal Worksheets.

Prior Actuals		Annual Target	Annual Target Comments	Qx Actual	Qx Actual Comments
2014	2015	2016	2016	2016	2016

Prior Year Actual: The application will show two prior years of actuals to provide a historic view of reported accomplishments.

Annual Target (Final 2016 Target): The final Regional performance targets set in October / November 2015.

Target Comments: This column is provided to capture comments about the target.

2016 QX Actuals – Cumulative to Date: The total **cumulative year-to-date** actual performance reported as it occurred during the fiscal year covered by the report. Measure “targets” are numeric values. All measures are cumulative, year-to-date.

Therefore reporting is a numerical value (an integer) answering the general question, "How many *X* were completed by the end of the period (year-to-date)?"

2016 QX Comments: As stated above, please use this column to capture comments on the Annual accomplishments. A comment is required when a measure is not met by the end of the FY; OR if a "zero" is reported for the data field. Other comments are optional. Please be brief, but keep in mind that your comments help explain the status of your program's efforts to your RD or AD.

General Guidance – Priority Goals

Each Program is responsible for reviewing imported quarterly actual year-to-date results into the Priority Goals module.

PTrac Users Engaged in the Priority Goal Effort

For Ecological Services (Endangered Species and CPA) – all PTrac users are the same as for other measures in both the Regions and Headquarters. The existing set of Regional and Headquarters users have been given permission to contribute or review the PTrac sheets, as appropriate.

Renewable Energy Measures

For both programs (Consultations and CPA), there are similar measures that track the timeliness (or early planning for) responses to renewable energy consultation/planning requests. There is a split between DOI-related vs. non-DOI related. Renewable energy is defined for purposes of these APG measures to include ONLY solar, wind and geothermal energy projects.

Reporting will be via the ECOS Performance Reporting System (PRS). Data entry into PTrac will NOT be required for the Renewable Energy measures. Regions must examine the Annual TAILS data report using the worksheet provided in PRS. The ECOS technical team has created an output file which will then transfer the required data to the Service's PTrac APG module. **Then, Regions and Headquarters must still review the imported data and lock the PTrac worksheets signaling that the data was transferred accurately and completely.** Dates for the review in PRS have been sent out by the program – in general data must be reviewed by the end of the quarter so that a transfer can occur on the first day of the following quarter.

Next Generation (Youth) Employment Measure

For the Next Generation (Youth) Partnership measure, we have provided appropriate contributor/review access to the Regional Budget & Administration PTrac users and the WO-Refuges Youth Coordinator.

Youth employment figures will be extracted directly from FPPS by the Department for the "number of DOI-Direct youth employed" measure and sub-measures. **However, for each quarter, the Regions are asked to report their "partnership" youth hires figures. This information will be collected in the Youth Partner Tracking System and then imported into PTrac for quarterly Departmental reporting. <u>The Regions must still review the imported data and lock the PTrac worksheets signaling that the data is correct.</u> Please note: Youth Partnership hires data is cumulative for the fiscal year.**

The Regional and Headquarters Youth Coordinators will be responsible for collecting performance information on youth employed through affiliated partnerships and other activities. Regional and Headquarters Youth Coordinators will need to coordinate with all programs (including those outside of their reporting structure) to ensure the Service is capturing accurate counts of youth partnership hires to report against this measure. The Youth Coordinators will compile the information collected for youth partnership hires and provide that information to the Headquarters Youth Coordinator with copies to the regional Human Resources Office and the Regional PTrac contact in Budget and Administration.

> **Youth Partnership FY 2016 <u>targets will be hand-entered</u> into PTrac**. Therefore, the Regional B&A folks will need to work with their Regional Youth Coordinators to get final targets for Youth Partnership Hires.
>
> **Youth Partnership accomplishment numbers will be imported into PTrac from YouthTrac.** Therefore, the Regional B&A folks will need to work with their Regional Youth Coordinators to get final counts of Youth Partnership Hires and review/validate the imported numbers in the APG Module.

Monarchs and Other Pollinators Measures

The Headquarters performance program leads for Refuges, Coastal, Partners and Fisheries will be responsible for collecting performance information and reporting on the Monarchs and Other Pollinators measures. The Headquarters Monarch Team Leads will be responsible for reviewing and validating quarterly accomplishments.

Note: Contact Kim Howze 703-358-2588 with questions on Ops Plan and APG performance measures.