



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

October 3, 2008

PROGRAM ASSESSMENT RATING TOOL GUIDANCE, NO. 2008-04

TO: OMB PROGRAM ASSOCIATE DIRECTORS
OMB PROGRAM DEPUTY ASSOCIATE DIRECTORS
AGENCY BUDGET AND PERFORMANCE INTEGRATION LEADS
AGENCY PROGRAM ASSESSMENT RATING TOOL CONTACTS

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SUBJECT: Fall Update -- Preparing Program Performance Information for Publication in
January 2009

1. PURPOSE. This memorandum provides a timeline and guidance for preparing the fall update to program performance information on ExpectMore.gov. This update will be published in early January 2009. OMB will continue to collect program-level performance information as an enduring budget requirement. Measures will continue to be updated in the spring and fall. Every effort should be made to ensure that your PARTWeb measures reflect Agency strategic priorities. Measures should be updated to incorporate feedback received as part of the quality review process RMOs and agencies have engaged in the past year. Appendix B provides guidance on requesting measure changes.

2. SCHEDULE OF REQUIRED ACTIONS.

- October 3 – PARTWeb will open for Fall Updates
- By November 1 – Agencies should email requested measures changes to 2002-2008 PARTs directly to your program examiner
- December 1 – Agencies should complete their updates
- December 1- December 31 – RMOs review agency update and ensure accuracy of the program performance data.
- January 5 – PARTWeb data entry locked

3. CHANGES FOR 2008.

- Annual and long-term performance targets should reflect a current services budget. Targets will be updated again later in 2009 to reflect FY 2009 appropriations as needed.
- Agencies using the Budget Formulation and Execution Manager Performance Module (BFEM-PM) will have the ability to automatically update PARTWeb this fall.
- Agencies and examiners should review Circular A-11 Section 230.5, “Assessing the completeness and reliability of performance data information” to ensure performance data validity. For more information, please consult http://www.whitehouse.gov/omb/circulars/a11/current_year/s230.pdf.

- OMB RMOs will have the direct ability to modify changes to measures and explanations submitted by agencies. To facilitate this process and make it more efficient, PARTWeb has been enhanced so that RMO's can directly edit, add or delete measures after consultation and agreement with agencies.
- In this fall update, agencies are expected to continue their work with RMOs and PPM to address quality improvement review findings. Efforts to improve measures will also be incorporated in the fall update process.

4. INQUIRIES. Agencies, if you have questions about this guidance, please contact your OMB counterpart. OMB staff, if you have questions, please contact your Performance Evaluation Team (PET) member or PPM examiner contact.

Appendix A: How to Update Performance Data, Improvement Plans, and Funding Information

Appendix B: How to Add OMB-Approved Measures to Older PARTs

HOW TO UPDATE PERFORMANCE DATA, IMPROVEMENT PLANS, AND FUNDING INFORMATION

In this appendix, learn how to update performance data, improvement plans, and funding information in PARTWeb.

- October 1 – December 1, agencies update performance data, improvement plans, and funding in PARTWeb. You can find a summary of the program performance requirements in Circular A-11, section 26.2 (http://www.whitehouse.gov/omb/circulars/a11/current_year/s26.pdf).
- By December 31, RMOs review and finalize performance data, improvement plans and funding in PARTWeb.

You will complete all of these actions in PARTWeb using the “2008 FALL” files. The 2008 spring updates screens in prior updates

To access the 2008 fall updates screens, hit “2008 FALL” in your “My Programs” list in PARTWeb

The OMB PPM team will automatically create the 2008 fall update file and link for you in PARTWeb. The “2008 FALL” file will be pre-populated with the latest information from PARTWeb (the 2008 SPRING assessment).

All “2008 FALL” update files will begin in “Agency and OMB Shared Draft” status level and you will be able to adjust the spring update status level. Table A-1 (“PARTWeb Status Levels”) shows the PARTWeb status levels and what each means to the agencies and OMB RMOs for fall updates.

Table A-1: PARTWeb Status Levels

Status Level	What It Means
Agency Working Draft	Only the agency has the ability to view and make changes; OMB cannot view or make changes to the PART.
OMB Working Draft	Only OMB has the ability to view and make changes; the agency cannot view or make changes to the PART.
Agency and OMB Shared Draft	Both the agency and OMB can view and make changes. All “2008 FALL” files will start at this level.
Pending Final	Only OMB has the ability to view and make changes; the Agency can view but cannot make changes.
Fall Update – Agency Fall Lockout	Only OMB has the ability to edit; the Agency can view but cannot make changes.
Final	All PART information is final and ready for

Status Level	What It Means
	publication, or has been published, and no changes can be made to the file.

PARTWeb will automatically record the information you entered on the spring update screens and to the summary in the “2008 FALL” file. This file should ultimately contain all the data that will be published on ExpectMore.gov in mid-January 2009.

1. HOW TO UPDATE PERFORMANCE DATA. Agencies and OMB staff each are responsible for completing actions related to the fall update of performance data in PARTWeb.

a. Agencies, enter updated performance information in PARTWeb. By December 1, 2008, enter updated performance data in PARTWeb.

- Actual performance information. For all performance measures included in PARTs, agencies should provide actual performance data for past years. If you do not have the data available, enter in the date when you expect to have the data available.
- Additional targets. Updated performance information may help you set or adjust future targets. For all PARTed programs, agencies should make sure annual measures include targets for FYs 2008–2010. Additional targets may be added for long-term measures, as well, but long-term measures do not need to have targets for each year. **Annual measures should have targets for three years and long-term measures should have a data point at least five years out from the current year.**

These more recent targets must agree with what the agency reports in its performance budget, and any changes from the previous years must be explained.

To update your program’s information, follow these directions:

1. Select the “2008 FALL” assessment from your program list in PARTWeb.
2. Click on the “Performance Measures” link. It is on the left side of the screen in PARTWeb. After you click on this link, you will see a full screen with all the measures for that PART.
3. Select a measure to update by hitting the “Edit” button. After you click this button, you will see a full screen-view of that measure, its type, term, and explanation, as well as a table for targets and actuals.

Note on Measure Text: Note that you can only add targets and actual performance data through the “Performance Measures” screen. To request changes to the measure text or explanation, please follow the instructions in Appendix B (“How to Add OMB-Approved Measures to Older PARTs”).

4. Add or edit future targets and 2008 actual performance data.

You should clearly identify trends or anomalies in the data in the measures explanation section. Examiners will enter the text into PARTWeb as described in Appendix B.

- In the “Seq” field, enter the sequence number. If the target for 2005 was number three, for example, 2006 should be sequence number four.
- Enter the year, target, and actual in their respective fields.
 - If your program does not yet have FY 2008 performance data, type “data lag [estimated date data will be available]” in the related field.

5. Hit the “Save” button.

6. Repeat steps 3-5 for each measure.

b. OMB RMOs, verify the performance information in PARTWeb. You should ensure that your agency provides the required performance data in PARTWeb and verify that it is correct. All performance data should be finalized by August 1. Agencies and examiners should review Circular A-11 Section 230.5, “Assessing the completeness and reliability of performance data information” to ensure performance data validity. For more information, please consult http://www.whitehouse.gov/omb/circulars/a11/current_year/s230.pdf.

2. HOW TO CREATE AND UPDATE IMPROVEMENT PLANS. Creating and updating an improvement plan (or a set of follow-up actions) is a key element of the PART process. Newly PARTed programs should identify proposed actions to improve their performance; older PARTs, those assessed or reassessed in 2002-2008, should review and update their follow-up actions. Updating improvement plans is a vital part of the assessment process and improvements plans should be aggressive and designed to improve program performance.

How each agency implements its plans is tracked through the year and the OMB PPM team reviews major agency progress on the Budget and Performance Integration scorecard. Agencies implement improvement plans in response to PART findings to improve program performance.

The follow-up actions listed in the PART details on ExpectMore.gov (*see* Figure C-3) are updated twice a year – in the spring for release in summer and in the fall for release with the President’s Budget.

a. Develop or review your program’s improvement plan. When you create or update your PART improvement plan, please:

- ✓ *Make improvement plans aggressive and design them to improve program performance.* You should give particular focus to ensuring that PART follow-up actions are directed toward improving performance and that they strive toward continuous improvement.
- ✓ *Add new follow-up actions to continue improvement.* As your program completes its follow-up actions, it should propose new ones. Additional actions may be logical next steps to completed actions or new actions relating to PART findings that have not been addressed yet.
- ✓ *Ensure that individual follow-up actions are discrete and that completion can be objectively determined.* Individual follow-up actions should be discrete, actionable items. Ideally, anyone should be able to objectively assess whether the action has been completed.
- ✓ *Break follow-up actions into major steps to be able to show progress toward completion.* Keep in mind, however, that tracking completion of follow-up actions in PARTWeb is primarily intended for public accountability, not for internal agency management of

implementation plans. Agencies may wish to maintain more detailed tracking of their follow-up actions.

- ✓ *Define the timeframe for completion, preferably one year.* If the timeframe is not one year, include the timeframe for planned completion in the accompanying explanation.

b. Enter or make updates to your program’s plan in PARTWeb. Agencies should enter all OMB-approved improvement plans into PARTWeb.

Agencies will need to provide updates on any PART follow-up actions that were not completed last year. For each follow-up action, select the appropriate status – “No Action Taken,” “Action Taken but Not Completed,” “Completed,” “Enacted,” or “Not Enacted” – and provide a brief explanation, as appropriate. In addition, once your program completes its follow-up actions, agencies should propose additional follow-up actions to ensure that it has an aggressive improvement plan.

If you are making updates, note that the intent of the original follow-up action should remain the same. For agencies to remain accountable for their improvement plans, you should only modify pre-existing follow-up actions to improve clarity and to make the plan more specific and actionable.

Agencies and OMB staff should work together to develop, revise, and finalize all PART improvement plans. PARTWeb should facilitate the process. After selecting the “2008 FALL” assessment from your program list in PARTWeb and clicking the “Improvement Plans” link on the left side of the screen, do the following for each follow-up action:

1. Hit the button to “Add Improvement Plan” (or select a follow-up action to “Edit”).
2. Enter (or revise) the sequence “Number.” If you do not have a preference for the order of the individual actions, leave this field blank.
3. Enter (or revise) the “Year Begun.” If you are creating a new follow-up action, PARTWeb defaults to 2008. If your program does not plan to start the action until 2009, change the year in the field to 2009. Use calendar years so readers can get an accurate sense of how much time it takes to complete each action.
4. Select (or revise) the “Type,” a category for the action. See definitions of each type below and use the appropriate one. Action type is used for internal tracking and is not published.
 - *Budgetary* – Use this type if the President’s Budget includes a proposal relating to the total funding for the program or funding for a portion of the program (i.e., to increase, decrease, or maintain the current level), or to change the distribution (targeting) of funding within the program. The budget recommendation is based largely on performance.
 - *Legislative* – Use this type if the follow-up action relates to submitting a legislative proposal or working with the Congress in an informal fashion to enact a legislative change. The legislative proposal may be included in the President’s Budget or submitted separately and it may be in appropriations language, considered as part of an authorization bill, or submitted as a separate bill.

- *Performance Measurement* – Use this type if the agency is developing or will develop new performance measures (long term, annual, or efficiency) or the agency is or will develop targets for its existing performance measures.
 - *Management (other)* – Use this type if the agency is taking or will take administrative steps (besides developing performance measures) in response to PART findings. For example, if the agency is putting performance contracts in place to hold managers accountable for performance, revising regulations, modifying grant announcements, establishing a methodology for measuring improper payments, etc.
5. Type the text of the “Improvement Plan.” Please use concise, direct language and define the timeframe for completion of each action. (4,000 character maximum each)
 6. Select (or revise) the status. For each follow-up action in the improvement plan, pick the status of the action based on the definitions provided below.
 - *No action taken* – Use this status if the program has not taken steps to implement the follow-up action.
 - *Action taken, but not completed* – Use this status if the program has taken some steps to implement the follow-up action, but has not completed the action.
 - *Completed* – Use this status if the program has completed the follow-up action.
 - *Enacted* – Use this status only for actions categorized as budgetary or legislative, such as when the President’s Budget included a funding proposal that was enacted by the Congress or when the Administration submitted legislation that the Congress enacted.
 - *Not enacted* – Just as “Enacted,” use this status only for actions categorized as budgetary or legislative.
 7. Provide (or edit) a “Comment.” As appropriate, explain the status of the follow-up action. There is limited space so explanations should be succinct. (500 character maximum each)
 - *No action taken* – A comment is required, except for new actions that were just added – those with “Year Begun” set to 2008.
 - *Action taken, but not completed* – Explain what has been done, what remains to be done, and the associated timeline.
 - *Completed* – Explain the associated impact on performance.
 - *Enacted* – Explain when the budget or legislative proposal was enacted, including mentioning the legislation that enacted it.
 - *Not enacted* – If a budgetary proposal from a prior year was not enacted, explain if the action is being proposed again or whether there should be an additional budgetary action listed for 2008.

Requirement for Comments about Legislative Actions: The comments relating to legislative actions should make clear what exactly was done. For instance, “legislation was introduced” (general) versus “legislation has been passed by the Senate” (specific).

8. Hit the “Save” button.
9. Repeat steps 1-8 for each follow-up action.

Note on Follow-up Actions in PART Summary: In your program’s PART summary on ExpectMore.gov, you present three key follow-up actions in a more abbreviated fashion than described above. From the summary, a reader can link to the detailed information described above. The detailed list may include more than three follow-up actions; however, the summary information must be consistent with the detailed information.

To read more about the follow-up actions in a PART summary, see Appendix C (“How to Draft PART Summaries for ExpectMore.gov”).

3. HOW TO UPDATE FUNDING INFORMATION. Funding information needs to be updated before PARTs are finalized for publication. Funding information entered into PARTWeb should be consistent with a current services budget and should include updates for FY 2008 actuals.

a. Agencies, enter updated funding information into PARTWeb. By December 1, agencies should enter the following information into PARTWeb.

- Funding information. For all programs, agencies will need to provide funding for the prior, current, and budget years (if available). As in the past, this information will be made available on the OMB website.
- Treasury accounts. Programs included in PARTWeb should already include a list of all Treasury accounts from which the program is funded. Agencies should verify that the account information is correct and make any changes in PARTWeb.

b. OMB RMOs, verify the funding information. By December 30, RMOs should verify and enter final funding information into PARTWeb.

HOW TO ADD/DELETE/EDIT OMB-APPROVED MEASURES TO PROGRAM PERFORMANCE INFORMATION

Use this appendix if you need to modify measures from an older PART (2002-2008) for publication.

As part of the PART Quality Improvement Review recently conducted by OMB and agencies, many measures will require updates to their text and explanation to make them more concise and clear to the public. Performance measures should be able to stand on their own and be understood what is being measured and it's relationship to the program's purpose.

- **By November 1, Agencies should email requested measures changes to 2002-2008 assessments directly to your program examiner.**

To facilitate this process and make it more efficient, PARTWeb has been enhanced so that RMO's can directly edit, add or delete measures. Agencies and programs should work directly with their program examiner and provide the updated information in an electronic form (e.g., email, MS Word/Excel) to their examiner. This year we will not use a form for agencies to complete.

Please pay attention to the character limits on PARTWeb when submitting revised or new measures (measure text and explanation is limited to 4,000 characters).