

SECTION 221 -- THE FY 2001 ANNUAL PERFORMANCE PLAN

221.1 Annual performance plan for fiscal year 2001.*(a) Introduction.*

The FY 2001 annual plan will expand the amount of performance information included in the FY 1999 and 2000 annual plans. The FY 2001 annual plan adds a third year of performance information. Additionally, agencies are encouraged to include performance information for fiscal years 1998, 1997, and 1996 to help show performance trends. (See section 221.2)

(b) Incorporating improvements arising from reviews of the FY 1999 and 2000 annual plans.

Being the first sets of annual plans required by GPRA, the FY 1999 and 2000 performance plans were reviewed extensively by OMB, Congress, and other parties. These reviews have produced numerous suggested improvements to individual agency plans. Agencies are expected to reflect and incorporate appropriate suggestions and comments for improving their annual plans in the fiscal year 2001 plan. (See also subsection 220.18(b).)

(c) Fiscal year 1999 and 2000 budget information.

Plans including performance goals for fiscal years 2000 (estimated performance) and 1999 (actual performance) should include the corresponding budget amounts for these goals, or sets of goals.

221.2 Fiscal year coverage of the FY 2001 annual plan.

Summary of requirement: The FY 2001 annual plan should include performance goals for both FY 2000 and 2001, and actual performance information for FY 1999. Agencies are encouraged to include actual performance information for FY 1998, 1997, and 1996 if it is available.

(a) Fiscal year 2001.

Performance goals and indicators for fiscal year 2001 set out projected levels of performance. These performance goals are a statutorily-required element of the plan.

(b) Fiscal year 2000.

For performance goals and indicators included in both the FY 2000 and 2001 plans, the target levels of performance for fiscal year 2000 should be displayed. While target values for a performance goal can differ

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by fiscal year, the goal description should be similar. The target values for FY 2000 represent estimated performance levels.

The FY 2000 target levels are those contained in either the final plan or the revised final plan for this fiscal year, whichever is most current. Although FY 2000 target levels are included in an agency's final FY 2001 plan (sent to Congress in February or March 2000), the FY 2001 plan is not used to further revise target levels for performance goals in the FY 2000 plan. Any such revision must first be made through a revised final plan for FY 2000.

Fiscal year 2000 performance goals or indicators that are not continued in the FY 2001 plan need not be included in this plan.

(c) Fiscal year 1999.

Agencies should include actual performance data for FY 1999 for those performance goals and indicators included in both the FY 1999 and 2001 plans.

Actual performance information for FY 1999 often will not be available when the initial FY 2001 plan is sent to OMB in September 1999. Data availability should increase by the time that the final plan is sent to Congress. Agencies including actual performance data in their FY 2001 plan but lacking information for specific goals or indicators should note that the information is not available. Data may also be characterized as preliminary.

An agency need not compare actual performance with fiscal year 1999 target levels for performance goals and indicators. (See also section 232.1 on other elements of a program performance report which an agency need not include in its annual plan.)

(d) Fiscal years 1998, 1997, and 1996.

Agencies having actual performance data for 1998, 1997, and 1996, which corresponds to the performance data for FY 1999, are encouraged to include this information. This data can be useful in showing trends or in establishing a baseline.

(e) Future fiscal years.

Agencies may include the projected level of performance in a future fiscal year (post fiscal year 2001). See subsection 220.11(c) on goals for performance occurring in a future fiscal year.

221.3 Display of performance goals in the FY 2001 annual plan.

Performance information for fiscal years 1999, 2000, and 2001 for a program activity should be grouped as a single array. Agencies should avoid dividing the annual plan into separate sections by fiscal year.

Agencies have flexibility in designing the array, e.g., whether to present the information as a multi-column table or vertically. The design may be influenced by how the performance goals are expressed, e.g., as quantitative values or descriptive statements. Fiscal year 2001 target levels should be defined as projected performance, FY 2000 target levels as estimated performance, and FY 1999 (or prior year) levels as actual performance.

Performance goals or indicators newly established for the FY 2001 plan may not have counterpart goals in the FY 2000 plan. The plan should indicate that these are new goals.