

CASA's Performance Measurement Strategy:

A “how to” guide to performance
measurement at CASA



Prepared by the
Performance Measures Review Working Group
for the
Clean Air Strategic Alliance
Board of Directors

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Acronyms

AER	Alberta Energy Regulator
AMSP	Ambient Monitoring Strategic Plan
AQ	Air quality
AQM	Air quality management
CAMS	Comprehensive Air quality Management System
CASA	Clean Air Strategic Alliance
CC	Communications Committee
CDM	Collaborative decision making
CDW	CASA Data Warehouse
EC	Environment Canada
ESRD	Alberta Environment and Sustainable Resource Development
GoA	Government of Alberta
MCP	Managing Collaborative Processes guide
NPRI	National Pollutant Release Inventory
PMC	Performance Measures Committee
PMF	Performance measurement framework
PMRWG	Performance Measures Review Working Group
ppm	Parts per million
SMART	Specific, Measurable, Action-oriented, Realistic, Time-bound
SoE	State of the Environment

List of Chemical Formulas

H ₂ S	Hydrogen sulphide
NO ₂	Nitrogen dioxide
NO _x	Nitrogen oxides
O ₃	Ozone
PM _{2.5}	Particulate matter of a size of 2.5 microns in diameter or less
SO ₂	Sulphur dioxide
SO _x	Sulphur oxides

Glossary

Activity	An operation or work process that is internal to an organization and uses inputs to produce outputs. ¹
Balanced Scorecard	An integrated framework for describing and translating strategy through the use of linked performance measures in four balanced perspectives: Customer, Internal Process, Employee Learning and Growth, and Financial. ²
CASA Stakeholder	Specific entities (e.g. organizations, departments, companies) that have a stake in the outcome and/or an interest in the particular air quality issue being addressed by CASA. ³
CASA Strategic Plan	This document sets out the vision, mission, and principles for CASA. It describes the purpose CASA will fulfill, outlines the organization's four goals, and provides the blueprint for achieving those goals. The plan provides a structure that can be used to amend operating policy and make day-to-day decisions.
Criteria	The development and review of performance measures/indicators at CASA is governed by a set of Criteria and Principles that were developed and approved by the CASA Board in 2001. Criteria are defined as “must do”, while Principles are defined as “should do”.
Impact	The fundamental intended or unintended change occurring in organizations, communities or systems as a result of program activities within 7 to 10 years. ⁴
Input	Resources available to do work.
Logic Model	Provides stakeholders with a road map describing the sequence of related events connecting the need for the planned program with the program's desired results. ⁴
Metric	A qualitative or quantitative standard of measurement.

¹ Treasury Board of Canada Secretariat. (2010). *Supporting Effective Evaluations: A guide to Developing Performance Measurement Strategies*. Available Online <http://www.tbs-sct.gc.ca/cee/dpms-esmr/dpms-esmr00-eng.asp>.

² Niven, Paul R. (2008). *Balanced Scorecard Step-by-Step for Government and Nonprofit Agencies*, 2nd Edition. John Wiley & Sons, Inc.: New Jersey.

³ CASA Procedural Guidelines Committee. (2009). *CASA Procedural Guidelines*.

⁴ W.K. Kellogg Foundation. (2004). *W.K. Kellogg Foundation Logic Model Development Guide*. Available Online <http://www.wkkf.org/knowledge-center/resources/2006/02/WK-Kellogg-Foundation-Logic-Model-Development-Guide.aspx>.

Objective	A concise statement describing the specific things an organization must do well in order to execute its strategy. Objectives often begin with an action verb such as “increase”, “reduce”, “improve”, “achieve” and so on. ²
Outcome	Specific changes in behaviour, knowledge, skills, status and level of functioning. Short-term outcomes should be attainable within 1 to 3 years, while longer-term outcomes should be achievable within a 4 to 6 year timeframe. ⁴
Output	The direct products of program activities and may include types, levels and targets of services to be delivered by the program. ⁴
Performance indicator	<p>A quantitative and/or qualitative metric that allows an organization to indirectly measure organizational goals/objectives in order to understand the impact of its activities on societal norms and behaviours. It differs from a performance measure in that the results go beyond the scope of the organization to describe the performance of a higher-level, complex system and are not compared to a desired target.</p> <p>Example: A pulp and paper mill located on a lake is undertaking an effluent reduction program. One objective of this program is to improve overall lake health and the mill chooses to monitor levels of a few key substances in the lake as a performance indicator. The mill has minimal control over this outcome as there are many other non-point sources of pollution on the lake, but this indicator can help to illustrate what is going on in the big picture, determine future areas requiring action and could potentially show the influence of the program on lake health over time.</p>
Performance measure	<p>A quantitative and/or qualitative metric that measures the results from organizational goals/objectives and compares them to a desired target in order to assess organizational efficiency. It differs from a performance indicator in that it measures results over which an organization has some degree of control.</p> <p>Example: A pulp and paper mill located on a lake is undertaking an effluent reduction program. One objective of this program is to reduce effluent released into the lake and the mill chooses volume of effluent released into the lake per year as a performance measure with a target of a 50% reduction in effluent volume over the first 5 years. The mill has a high degree of control over this outcome and the measure directly shows the success/failure of the program.</p>
Performance measurement	The ongoing monitoring and reporting of program accomplishments, particularly progress towards pre-established goals. It can serve as an

early warning system to management and as a vehicle for improving accountability.⁵

Performance measurement framework	Sets out an objective basis for collecting information related to a department's programs. A PMF includes performance measures/indicators and associated targets, data sources and data collection frequency. ¹
Performance measurement strategy	The selection, development and ongoing use of performance measures to guide program or corporate decision making. ¹
Performance review	A periodic re-examination of a performance measurement system to ensure that the system is up-to-date, relevant and well-designed.
Principle	The development and review of performance measures/indicators at CASA is governed by a set of Criteria and Principles that were developed and approved by the CASA Board in 2001. Criteria are defined as “must do”, while Principles are defined as “should do”.
Qualitative	Qualitative indicators are expressed in expository form, e.g. assessment of research quality. As much as possible, qualitative indicators should be condensed into a rating scale, e.g. research quality is rated as "excellent," "average" or "below average." allowing for comparability over time. ¹
Quantitative	Quantitative performance measures/indicators are composed of a number and a unit. The number indicates the magnitude (how much) and the unit gives the number its meaning (what), e.g. the number of written complaints received. ¹
Target	Represents the desired result of a performance measure. Targets make meaningful the results derived from measurement and provide organizations with feedback regarding performance. ²

⁵ United States Government Accountability Office. (2011). *Performance Measurement and Evaluation: Definitions and Relationships*. Available Online <http://www.gao.gov/new.items/d11646sp.pdf>.

1. Introduction

A performance measurement strategy is a results-based management tool that is used to guide the selection, development and ongoing use of performance measures and indicators. CASA's Performance Measurement Strategy (the Strategy) is meant to act as a repository and guide about all aspects of performance measurement at CASA. The Strategy is based on the model from the Treasury Board of Canada with input from the Office of the Auditor General of Canada.

2. History of Performance Measurement at CASA

The 1993 Stakeholder Prospectus and Business Plan outlines CASA's original strategy for performance measurement. It states that there are two distinct types of performance criteria to measure:

- "First, the environmental and economic consequences of the Alliance initiatives; and
- Second, the efficiency and effectiveness of the Organization."

It goes on to say that "[t]his will include specific performance measures for the process used, the specific outputs of the activities, the longer term results of these outputs, and the degree to which these air quality issues are resolved and do not [re]occur. Measures of success will include levels of public and stakeholder satisfaction with processes used and the content of outcomes."

In 1995, work to develop performance measurement continued as four expectations⁶ were defined for CASA:

- Improved air quality,
- Trust and credibility,
- Effective organization, and
- Recognized/influential organization.

These expectations were used to develop CASA's first performance measures which were laid out in the 1999-2002 Business Plan:

1. Improved air quality indicators in areas of CASA action.
2. Capability to measure air quality effects on humans and ecosystems.
3. Number of recommendations through CAMS process implemented.
4. Degree of CASA members, partners and clients' satisfaction with the CASA approach.
5. Degree of recognition by emitters and general public of CASA as the vehicle for delivering improved air quality management for Alberta.

In 2000, a subcommittee of the Board (now the Performance Measures Committee (PMC)) was tasked to establish a framework, select indicators, and assess CASA's performance with respect to the five performance measures. The subcommittee worked from 2001-2004 to develop metrics for each of the five performance measures. In 2004, the CASA Board determined that a process should be developed to periodically review performance measurement at CASA with the

⁶ The expectations, and associated goals, can be found in the CASA 1999-2002 Business Plan.

first review being completed in 2007. At this time, #1 from the original five performance measures was expanded so that CASA's performance measures read:

1. a) Improved air quality indicators in areas of CASA action.
b) Change in emissions of substances of concern in areas of CASA action.
c) Energy use as an indirect measure of air quality in areas of CASA action.
2. Capability to measure air quality effects on humans and the ecosystem.
3. Number of recommendations implemented through CAMS.
4. Degree of CASA members, partners and clients' satisfaction with the CASA approach.
5. Degree of recognition by emitters and general public of CASA as a major vehicle for delivering improved air quality management for Alberta.

The 2007 review also saw some of the original indicators altered as was the case during the 2009 review.⁷ The 2012 review resulted in the creation of CASA's Performance Measurement Strategy which guides performance measurement at CASA.

3. Guidance for Performance Measurement at CASA

The purpose of this section is to describe the key pieces of information that underlie performance measurement at CASA and the choice of measures and indicators that are used.

3.1. Purpose

Performance measurement at CASA is meant to track the overall performance of the organization as well as progress made towards CASA's vision, mission and goals from the Strategic Plan.

As a result, according to CASA's original work on developing performance measures from October 2000, performance measurement at CASA should clarify:

- Decisions to be made
- Accountability/comparison
- What works and what doesn't
- The need for course corrections
- Opportunities for continuous improvement

Traditionally, performance measurement at CASA has been driven by the four expectations and by the Strategic Plan (previously termed the Business Plan).

3.1.1. *Four Expectations*

In 1995, four expectations were defined to guide performance measurement at CASA:

- Improved air quality,
- Trust and credibility,
- Effective organization, and
- Recognized/influential organization.

⁷ Details on the 2007 and 2009 reviews can be found in Section 6-Performance Review Strategy.

The 2011 CASA Mission Review found that these four expectations continue to be consistently reflected in CASA's performance measures.⁸

3.1.2. Strategic Plan

The work of the Performance Measures Committee has traditionally been driven by the Strategic Plan. It is important to report on activities related to the Strategic Plan in order to measure organizational efficiency. The 2012-2016 Strategic Plan which was approved by the CASA Board in March 2012 states that "...there is a need to regularly assess CASA's effectiveness across a range of performance measures and for periodic evaluation of CASA's performance by members and stakeholders. These measures and assessments will contribute to plan revisions".

3.2. Audience

In CASA's original work on developing performance measures from October 2000, the audience for CASA's performance measures was identified as CASA teams/CASA Board, CASA stakeholders and the general public. In March 2001, CASA stakeholders (i.e. individuals and organizations associated with CASA) were identified as the primary audience for CASA's performance measurement.⁹

As CASA has evolved, the audience for performance measurement at CASA has now been refined to include:

- CASA stakeholders (including CASA teams),
- CASA Secretariat,
- CASA Board, and
- The general public.

3.3. Criteria and Principles

The development and review of performance measures/indicators is governed by a set of Criteria and Principles that were developed and approved by the CASA Board in 2001 and updated in 2012. Criteria are defined as "must do", while Principles are defined as "should do".

3.3.1. Criteria

Performance measures/indicators must:

- Be defensible, open to independent scrutiny, and transparent in their selection and evaluation.
- Be understandable and meaningful.
- Clearly identify whether progress has been made.
- Be measurable.

⁸ Consequently, if there is ever a change in organizational direction at CASA, these expectations will need to be revisited.

⁹ Report to Board March 2001

3.3.2. Principles

Performance measures/indicators should:

- Relate to CASA’s vision, mission and goals from the Strategic Plan.
- Not be required to be comprehensive and need only apply to some measurable changes¹⁰ that can be expected as a result of CASA’s activities.
- Be based on current knowledge and current measurements (or easily obtainable measurements).
- Use data that is readily available, accessible and reliable.
- Be cost effective.
- Use baseline information to assess progress.
- Where appropriate, incorporate existing measures/indicators rather than duplicate the effort and work of others.
- Assist analysis by focusing attention on key issues.

4. Methodology

This section briefly outlines the methodology that was used to develop CASA’s performance measures and indicators which are presented in section 5 of the Strategy. The application of performance measurement theory to performance measurement at CASA adds legitimacy and credibility to the development and choice of performance measures and indicators. It increases the overall robustness of the Strategy.

Performance measurement at CASA draws from two theories of performance measurement: the Logic Model and the Balanced Scorecard. The Logic Model forms the backbone of performance measurement at CASA while select concepts from the Balanced Scorecard were incorporated to enhance the Logic Model.¹¹ CASA’s Logic Model Diagram is used as a tool to guide the selection of appropriate performance measures and indicators (see Appendix 1).

¹⁰ The principle that was actually approved by the board was stated as “the indicators need not be comprehensive and need only apply to some measurable changes in air quality that can be expected as a result of CASA’s activities” but the words “in air quality” were subsequently deleted by the subcommittee to make the principle applicable for all performance indicators.

¹¹ Refer to the 2012 Performance Measures Review Report for details on the theory of the Logic Model and the Balanced Scorecard.

5. Performance Measurement Framework

The Performance Measurement Framework identifies the performance measures and indicators used to assess the performance of an organization. Additionally it provides a blueprint that describes the collection, calculation and reporting of those measures and indicators.

5.1. CASA's Performance Measures and Indicators

CASA's performance measures and indicators are presented in two tables: one for measures (Table 1) and one for indicators (Table 2). For simplicity, the Comprehensive Performance Measurement Framework including targets, baselines, data collection and reporting as well as detailed Calculation Protocols for each measure and indicator are located in Appendix 2 and 3 respectively.

Measures and indicators should be delivered to the CASA Board at the March Board meeting by the PMC in the form of a report and presentation so that the results can be approved for inclusion in the CASA annual report, if appropriate. Some performance measures are meant only for consideration by the CASA Board while others are relevant both to the CASA Board and beyond (see Appendix 2).

Table 1: CASA’s Performance Measures.

Objective	Performance Measure	Target	Initiative(s)
Secretariat			
Ensure that CASA is financially efficient and accountable.	<ul style="list-style-type: none"> Annual operations and cash flows are in accordance with Canadian generally accepted accounting principles (GAAP). Sufficient operating funds are available to bridge CASA’s and GoA’s fiscal years. 	<p>In compliance</p> <p>3 months of operating funds</p>	CASA annual audit; Monthly bank reconciliation; Prepare and track budgets, etc.
Implement the CASA Strategic Plan.	<ul style="list-style-type: none"> Percentage of objectives from the Strategic Plan listed as in progress or complete (according to the Secretariat’s colour coded rating system). 	100%	Secretariat implements and monitors implementation of the Strategic Plan
Monitor the implementation of CASA recommendations.	<ul style="list-style-type: none"> Percentage of low-rated recommendations being monitored. 	100%	PMC monitors and follows-up on low-rated recommendations and reports annually to Board; Board makes decisions regarding next steps on low-rated recommendations
Provide support to CASA stakeholders.	<ul style="list-style-type: none"> Degree of CASA members, partners and stakeholders’ satisfaction with CASA. Project teams’ degree of satisfaction with support provided by Secretariat. 	<p>Maintain or increase</p> <p>Maintain or increase</p>	Providing training and advice on CDM and MCP; Anticipating and monitoring issues; Coordinating the production of project team publications; Drafting and reviewing background, policy and communications materials; Tracking progress on workplans and “making things happen”; Facilitating meeting processes and arranging meeting logistics
Board			
Encourage Board member participation in CASA.	<ul style="list-style-type: none"> Percentage of Board attendance at Board meetings by sector. Project teams’ degree of satisfaction with support provided by Board member counterparts, by sector. 	<p>75%</p> <p>Maintain or increase</p>	Commitment from the Board to CASA; Regular liaising between the Secretariat, the Board and project team members.
Strategic Plan Goal 1: To provide strategic advice on air quality issues and the impacts of major policy initiatives on air quality.			
Influence and inform AQ policy.	<ul style="list-style-type: none"> Documents produced to inform GoA & other stakeholders which includes a 	Demonstrate influence	Periodically determining and prioritizing emerging air quality issues; Expanding screen and scope activities;

	summary of the document and a qualifying description of the anticipated influence on air quality.		Reports produced by project teams and committees; Documents developed to inform policy through the board, etc. (outside of project teams or committees)
Strategic Plan Goal 2: To contribute to the continued development and implementation of effective and efficient air quality management in Alberta.			
Develop reports and recommendations using the CDM process.	<ul style="list-style-type: none"> • Degree of satisfaction with project team work by team: <ul style="list-style-type: none"> ○ The Project Charter was completed. ○ The work was completed in a timely manner. ○ The process was collaborative. ○ The team developed SMART (Specific, Measurable, Actionable, Realistic, Time-bound) recommendations. 	75% 75% 75% 75%	Foster dialogue amongst stakeholders; Effectively engage stakeholders; Coordinate the provision of policy advice through new and existing project teams
Strategic Plan Goal 3: To contribute to the development of a reliable, comprehensive, objective knowledge system with respect to air quality, health, and environmental impacts, and management and mitigation mechanisms.			
Provide available AQ information.	<ul style="list-style-type: none"> • Number of visits to CASA's Information Portal webpage. • Number of phone inquiries for information. 	Maintain or increase Maintain or increase	Create and maintain a clearinghouse for air information and air quality history; Create and maintain a repository for information from other jurisdictions; Provide strategic advice on the CASA Data Warehouse
Strategic Plan Goal 4: To communicate information that builds awareness, understanding, and commitment to air quality management in Alberta.			
Improve project team knowledge of the CDM process.	<ul style="list-style-type: none"> • Project teams' degree of satisfaction with capacity to participate in collaborative processes. 	Maintain or increase	Orientation and training for project teams; Promote use of MCP guide; Develop and maintain a community of practice ; Support from Secretariat and Board members
Increase awareness of CASA, CASA projects and CDM.	<ul style="list-style-type: none"> • Number of 3rd party requests for CASA assistance. • Number of return and unique visitors to website. • Number of news stories about CASA. 	Maintain or increase Maintain or increase Maintain or increase	Promote CASA's key messages; Maintain an effective and functional website; Explore various avenues for outreach and public awareness campaigns; Partner with other stakeholder on communications; Convene periodic air forums for exchanging information; Develop and maintain a community of practice; Promote CASA as a hub of information-sharing and networking

Table 2: CASA’s Performance Indicators.

Objective	Performance Indicator
Implement CASA recommendations.	<ul style="list-style-type: none"> • Percentage of substantive recommendations from 4 years prior that have been implemented.
Measure impact of completed project team work.	<ul style="list-style-type: none"> • Each completed project team comes up with one specific metric to measure success of team 5 years in the future.
Improve air quality in Alberta.	<ul style="list-style-type: none"> • Annual average ambient concentrations of: NO₂, SO₂, PM_{2.5}, H₂S, O₃, benzene, and wet acid deposition • Annual peak concentrations of: NO₂, SO₂, PM_{2.5}, H₂S, O₃, and benzene • Percent hourly exceedances of: NO₂, SO₂ and H₂S • Percentage of stations assigned to all management levels defined by the Canadian Ambient Air Quality Standards based on annual three-year data assessments completed by Alberta Environment and Sustainable Resource Development. • Annual total emissions from power generation for NO_x, SO_x, PM_{2.5}, and mercury • The change in flaring and venting associated with solution gas, well test and coalbed methane
Improve capacity to monitor AQ in Alberta.	<ul style="list-style-type: none"> • The percentage of monitoring stations and/or parameters implemented from the 2009 Ambient Monitoring Strategic Plan (AMSP). • Geographic percentage of province covered by airshed zones.

5.2. Guidelines for Project Teams

The performance measures and indicators outlined in Section 5.1 are for CASA as an organization. An important part of CASA's work is that of the Project Teams. Project Teams are responsible for their own performance measures and should also be aware of any requirements to provide data to CASA's performance measures and indicators (see Appendix 4).

6. Performance Measurement Review Strategy

6.1. History of the Performance Measurement Review

In 2004, the CASA Board determined that a process should be developed to periodically review performance measurement at CASA with the first review being completed in 2007, the second in 2009 and the third in 2012.

In March 2007, an extensive review was completed and 22 recommendations were brought to the CASA Board. The Board asked the PMC to make some changes and clarifications and report back. The PMC brought forward revised reports in June and September 2007 when a final agreement was reached and 14 recommendations from the PMC were approved. At this time, #1 from the original five performance measures was expanded so that CASA's performance measures read:

1. a) Improved air quality indicators in areas of CASA action.
b) Change in emissions of substances of concern in areas of CASA action.
c) Energy use as an indirect measure of air quality in areas of CASA action.
2. Capability to measure air quality effects on humans and the ecosystem.
3. Number of recommendations implemented through CAMS.
4. Degree of CASA members, partners and clients' satisfaction with the CASA approach.
5. Degree of recognition by emitters and general public of CASA as a major vehicle for delivering improved air quality management for Alberta.

It also established the current performance measurement review process that is outlined later in this section.¹²

In December 2009, the PMC presented their recommendations to the CASA Board arising from the 2009 review. The CASA Board approved these recommendations in principle subject to further detail being provided at the next Board meeting. In June 2010, the Board approved 4 out of 5 of the PMC's recommendations. These recommendations encompassed 2 new indicators and 2 revised indicators. During the discussions around the 2010 Performance Measures report in March 2011, it was clarified that there would be 1 new indicator and 2 revised indicators used going forward:¹³

¹² All 14 recommendations can be found in the September 2007 report "Performance Measures Review Updated Final Report to the Board".

¹³ Please note that during the 2007 and 2009 reviews, different definitions of performance measure and indicator were used that are defined in the glossary of this Strategy. At this time performance measures were used to assess

- Performance Measure 1a:
 - Indicator: Percentage of stations assigned to action by the CASA Particulate Matter and Ozone Management Framework based on annual three-year data assessments completed by Alberta Environment. *(new)*
- Performance Measure 1b:
 - Indicator: The change in flaring and venting associated with solution gas, well test and coalbed methane. *(revised)*
- Performance Measure 2:
 - Indicator: The percentage of monitoring stations and/or parameters implemented from the 2009 Ambient monitoring Strategic Plan (AMSP). *(revised)*

6.2. Review Process

A review should be conducted every 3 years, with reviews scheduled to occur in 2015, 2018, 2021, etc. The review is led by the PMC. In the past, members of the CASA Board have volunteered to participate in the review process alongside the PMC. Given the length of time this process can take, it is recommended to begin the process early in the year, potentially even in the fall prior to the year the results are due. In terms of timing, the review should follow the review and approval of CASA's Strategic Plan. Any changes that are made to performance measurement as a result of the review should be updated in the CASA Performance Measurement Strategy (upon approval by the Board).

The performance measurement review should include the following steps:

- review the relevancy of the existing performance measures and indicators to the CASA mission, vision, and goals from the Strategic Plan;
- review the consistency of the existing performance measures and indicators with the Principles and Criteria;
- solicit input from the Board on all aspects of the performance measures and indicators, including the Principles and Criteria, the existing performance measures and indicators and desirable additional measures and indicators;
- solicit input from CASA teams and review past team reports regarding all aspects of the performance measures and indicators;
- review relevant reports and documents for ideas and information on all aspects of performance measurement;
- review, and update if required, the CASA Logic Model Diagram (Appendix 1);
- review whether a qualitative or quantitative metric (or combination of both) is the most appropriate way to present results;
- review targets and initiatives associated with each performance measure and indicator;
- from information gathered in these ways decide what measures and indicators should be dropped, revised or added;
- develop calculation protocols for new and revised measures and indicators; and

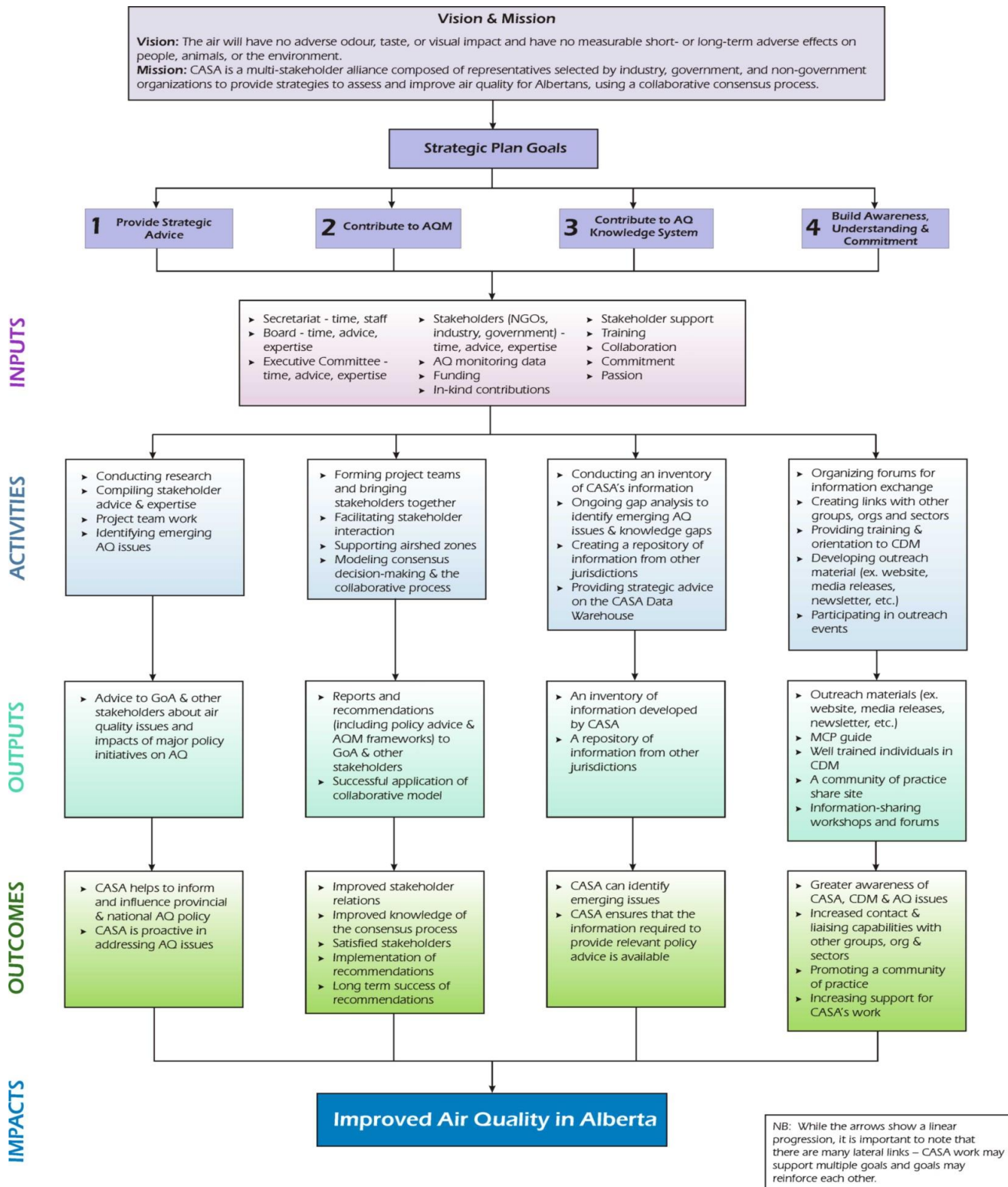
progress with respect to specific CASA goals and/ or expectations. One or more performance indicators could be used to quantify progress related to each performance measure.

- report to the Board.

6.3. Soliciting Input During the Review Process

The steps outlined in the review process state that the CASA Board and CASA project teams should be solicited for input on performance measurement. The method and extent of consultation is at the discretion of the reviewers who are expected to incorporate consultations whenever it is suitable in order to complete a comprehensive review. In the past, consultations have consisted of a survey to project team members, questionnaires to project team co-chairs, presentations and discussion questions delivered at the CASA Board meetings and consultations with the Communications Committee.

Appendix 1: CASA's Logic Model Diagram



Appendix 2: Comprehensive Performance Measurement Framework

Table 3: CASA's Performance Measures.

Objective	Performance Measure(s)	Target	Date to achieve target	Data Source	Reporting Frequency	Reporting Venue	Baseline	Responsible for data Collection	Responsible for Data Calculation	Cost (\$)
<i>Secretariat</i>										
Ensure that CASA is financially efficient and accountable.	Annual operations and cash flows are in accordance with Canadian generally accepted accounting principles (GAAP).	In compliance	Annually	CASA Secretariat	Annually	PMC annual report, CASA annual report	2013	CASA Financial Administrator	PMC	0
	Sufficient operating funds are available to bridge CASA's and GoA's fiscal years.	3 months of operating funds	Annually	CASA Secretariat	Annually	PMC annual report	2013	CASA Financial Administrator	PMC	0
Implement the CASA Strategic Plan.	Percentage of objectives from the Strategic Plan listed as in progress or complete (according to the Secretariat's colour coded rating system).	100%	Annually	CASA Secretariat	Annually	PMC annual report	2013	CASA Secretariat	PMC	0
Monitor the implementation of CASA recommendations.	Percentage of low-rated recommendations being monitored. ¹⁴	100%	Annually	CASA Secretariat	Annually	PMC annual report	2013	PMC	PMC	0
Provide support to CASA stakeholders.	Degree of CASA members, partners and stakeholders' satisfaction with CASA.	Maintain or increase	Every 3 years	CASA Satisfaction Survey	Every 3 years	PMC annual report, CASA annual report	2007	PMC	PMC	0

¹⁴ See Appendix 6 for more information on low-rated recommendations.

Objective	Performance Measure(s)	Target	Date to achieve target	Data Source	Reporting Frequency	Reporting Venue	Baseline	Responsible for data Collection	Responsible for Data Calculation	Cost (\$)
	Project teams' degree of satisfaction with support provided by Secretariat.	Maintain or increase	Annually	CASA Project Team Biannual Survey	Annually	June results: provided to project managers December results: PMC annual report	2013	Project Managers	PMC	0
Board										
Encourage Board member participation in CASA.	Percentage of Board attendance at Board meetings by sector.	75%	Annually	CASA Secretariat	Annually	PMC annual report, CASA annual report	2013	PMC	PMC	0
	Project teams' degree of satisfaction with support provided by Board member counterparts by sector.	Maintain or increase	Annually	CASA Project Team Biannual Survey	Annually	June results: provided to project managers December results: PMC annual report	2013	Project Managers	PMC	0
Goal 1: To provide strategic advice on air quality issues and the impacts of major policy initiatives on air quality.										
Influence and inform AQ policy.	Documents produced to inform GoA & other stakeholders which includes a summary of the document and a qualifying description of the anticipated influence on air quality.	Demonstrate influence	Annually	CASA Secretariat records	Annually	PMC annual report, CASA annual report	2013	CASA Secretariat	PMC	0
Goal 2: To contribute to the continued development and implementation of effective and efficient air quality management in Alberta.										
Develop reports and recommendations using the CDM process.	Degree of satisfaction with project team work by team: -The Project Charter was completed. -The work was completed in a timely manner.	75% 75%	By completion of project team	CASA Project Team Exit Survey	Annually (as required)	PMC annual report, CASA annual report	2013	Project managers	PMC	0

Objective	Performance Measure(s)	Target	Date to achieve target	Data Source	Reporting Frequency	Reporting Venue	Baseline	Responsible for data Collection	Responsible for Data Calculation	Cost (\$)
	-The process was collaborative. -The team developed SMART (Specific, Measurable, Actionable, Realistic, Time-bound) recommendations.	75% 75%								
Goal 3: To contribute to the development of a reliable, comprehensive, objective knowledge system with respect to air quality, health, and environmental impacts, and management and mitigation mechanisms.										
Provide available AQ information.	Number of visits to Information Portal webpage.	Maintain or increase	Annually	Google analytics	Annually	PMC annual report, CASA annual report	2014	PMC	PMC	0
	Number of phone inquiries for information.	Maintain or increase	Annually	CASA Secretariat	Annually	PMC annual report, CASA annual report	2014	CASA Executive Assistant	PMC	0
Goal 4: To communicate information that builds awareness, understanding, and commitment to air quality management in Alberta.										
Improve project team knowledge of the CDM process.	Project teams' degree of satisfaction with capacity to participate in collaborative processes.	Maintain or increase	Annually	CASA Project Team Biannual Survey	Annually	June results: provided to project managers December results: PMC annual report meeting	2013	Project managers	PMC	0
Increase awareness of CASA, CASA projects and CDM.	Number of 3 rd party requests for CASA assistance.	Maintain or increase	Annually	CASA Secretariat	Annually	PMC annual report, CASA annual report	2014	CASA Executive Director	PMC	0
	Number of return and unique visitors to	Maintain	Annually	Google	Annually	PMC annual	2006/	PMC	PMC	0

Objective	Performance Measure(s)	Target	Date to achieve target	Data Source	Reporting Frequency	Reporting Venue	Baseline	Responsible for data Collection	Responsible for Data Calculation	Cost (\$)
	website.	increase		analytics		report, CASA annual report	2011			
	Number of news stories about CASA.	Maintain or increase	Annually	Infomart	Annually	PMC annual report, CASA annual report	2006	CC	CC	0

Table 4: CASA's Performance Indicators.

Objective	Performance Indicator	Data Source	Reporting Frequency	Reporting Venue	Baseline	Responsible for data Collection	Responsible for Data Calculation	Cost (\$)
Implement CASA recommendations.	Percentage of substantive recommendations from 4 years prior that have been implemented.	Various, see Appendix 3	Annually	PMC annual report, CASA annual report	1997	PMC	PMC	0
Measure impact of completed project team work.	Each completed project team come up with one specific metric to measure success of team 5 years in the future.	Unique to each project	Once, 5 yrs post project	PMC annual report, CASA annual report	5 years prior	PMC	PMC	0
Improve air quality in Alberta.	Annual average ambient concentrations of: NO ₂ , SO ₂ , PM _{2.5} , H ₂ S, O ₃ , benzene, and wet acid deposition.	CDW, ESRD SoE Report	3 years	PMC annual report, CASA annual report	1994	ESRD	ESRD	0
	Annual peak concentrations of: NO ₂ , SO ₂ , PM _{2.5} , H ₂ S, O ₃ , and benzene.	CDW, ESRD SoE Report	3 years	PMC annual report, CASA annual report	1994	ESRD	ESRD	0

	Percent hourly exceedances of: NO ₂ , SO ₂ and H ₂ S.	Industrial compliance data, all available ambient monitoring stations ESRD	3 years	PMC annual report, CASA annual report	1994	ESRD	ESRD	0
	Percentage of stations assigned to all management levels defined by the Canadian Ambient Air Quality Standards based on annual three-year data assessments completed by Alberta Environment and Sustainable Resource Development.	CDW, ESRD SoE Report	3 years	PMC annual report, CASA annual report	2001	ESRD	ESRD	0
	Annual total emissions from power generation for NO _x , SO _x , PM _{2.5} , and mercury.	NPRI report from EC	3 years	PMC annual report, CASA annual report	1990	ESRD	ESRD	0
	The change in flaring and venting associated with solution gas, well test and coalbed methane.	ST60B report issued by the AER	3 years	PMC annual report, CASA annual report	2000	PMC	PMC	0
Improve capacity to monitor AQ in Alberta.	The percentage of monitoring stations and/or parameters implemented from the 2009 Ambient Monitoring Strategic Plan (AMSP).	ESRD	3 years	PMC annual report, CASA annual report	2009	ESRD	ESRD	0
	Geographic percentage of province covered by AZ organizations.	Airshed zones	3 years	PMC annual report, CASA annual report	2013	PMC	PMC	0

Appendix 3: Performance Measure and Indicator Calculation Protocols

Table 5: CASA's Performance Measures Calculation Protocols.

Objective	Performance Measure(s)	Calculation Instructions
<i>Secretariat</i>		
Ensure that CASA is financially efficient and accountable.	<p>Annual operations and cash flow are in accordance with Canadian generally accepted accounting principles (GAAP).</p> <p>Sufficient operating funds are available to bridge CASA's and GoA's fiscal years.</p>	<p>Each year CASA is subject to an audit and CASA's Financial Administrator is provided with the auditor's report. The report includes a letter which states whether CASA's operations and cash flows are in accordance with Canadian generally accepted accounting principles (GAAP). This letter is usually available in February (ex. for the 2013 PMC report, the letter from February 2014 is used).</p> <p>CASA's fiscal year ends in December while GoA's fiscal year ends in April. CASA keep 3 months worth of operating funds in reserve in order to bridge this gap as the GoA supplies CASA's funding grant. This measure is tracked by CASA's Financial Administrator. As the amount to operate may shift slightly from year to year, the measure is reported in term's on # of months of operating funds in reserve rather than in dollars. Using the bank balance account from December 31 of the year in question (please note that this number is based on the unaudited bank balance because the audit will not yet have occurred), subtract the major monthly expenses (which are the payables and payroll) until there is insufficient monies remaining to meet monthly expenses. Note that the bank balance amount is from liquid accounts.</p>
Implement the CASA Strategic Plan.	Percentage of objectives from the Strategic Plan listed as in progress or complete (according to the Secretariat's colour coded rating system).	<p>Each objective under the four goals from the CASA Strategic Plan is rated according to a colour coded scheme:</p> <ul style="list-style-type: none"> • Green – work is in progress and on track to be completed within the specified timeframe; work is complete • Yellow – work is in progress, but may not be completed within the specified timeframe • Red – project/initiative has not been initiated on time; work has been suspended and/or postponed • White – Not applicable <p>This table is updated by the Secretariat. The PMC Project Manager will count the number of objectives that are rated yellow or green and use the following calculation:</p> $\frac{\text{\# of objectives rate yellow or green}}{\text{Total \# of objectives}} \times 100\%$
Monitor the implementation of CASA recommendations.	Percentage of low-rated recommendations being monitored.	The PMC Project Manager will count the total number of recommendations in the low-rated recommendation matrix. The Project Manager will then count the number of low-rated recommendations in the matrix that are being monitored. To be considered in this category either the Project Manager has received an update on the status of that recommendation within the year (using template in Appendix 5),

Objective	Performance Measure(s)	Calculation Instructions
		<p>has received an update on the status of the recommendation in the past that asks for implementation to wait until certain milestones are met (ex. this recommendation will be covered when the Clear Air Strategy is released), or the Project Manager has made a reasonable effort to obtain an update but has not been able to do so yet. A reasonable effort constitutes making a determined attempt to locate an implementer or other (according to the decision tree – see Appendix 6) to obtain an update by email or telephone. Since many of the recommendations in the low-rated recommendation matrix are older, it can often be difficult to locate the correct person to provide an update. The Project Manager will then use the following calculation:</p> $\frac{\text{\# of recommendations being monitored}}{\text{Total \# of recommendations in matrix}} \times 100\%$
Provide support to CASA stakeholders.	Degree of CASA members, partners and stakeholders' satisfaction with CASA.	<p>The PMC is responsible for this measure. This survey is conducted every three years (1995, 2001, 2004, 2007, 2010) and was last completed in October 2013. Next scheduled survey would be 2016, 2019, etc. It has been administered online using Survey Monkey since 2007. Paper copies or laptops, however, can be provided for those without internet access. This should be considered ahead of time. The survey includes a number of questions of which 7 are used to calculate this measure. They relate to satisfaction with: overall approach (question 1); openness and transparency (question 2); implementation of recommendations (question 6); resources for teams (question 10); achievements (question 4); support to airshed zones (question 7); and communication between teams (question 9). See Appendix 7. Outside of these “core questions,” questions may be added for use by teams or committees. The CASA Secretariat should review the questions before each survey is administered. The survey is distributed to all CASA stakeholders involved in project teams, board committee and the Board of Directors in the CASA database who participated in the last 3 year period (ex. for the 2013 survey: use period from 1 January 2011 to 1 September 2013). The list should be sent out as ‘Bcc’ for privacy of stakeholders. A few (2-3) reminders are appropriate. Stakeholders should be invited via Survey Monkey. The survey responses are strictly confidential and known only to the survey administrator. Responses will be tracked to draw for prizes if desired (no other reason). The email message accompanying the survey should include:</p> <ul style="list-style-type: none"> • Invitation to participate and recognition their input is valuable • Why they were chosen to participate (i.e. as a stakeholder, participant in a team or the board) • Follow-up (report to the board, action taken to address concerns) • Time needed to complete the survey • The survey link • Assurance of confidentiality. All results will be aggregated to avoid any individual from being identified. <p>The survey is open for 6 weeks. The timing can be determined by the PMC. However, response rates tend to drop during summer months. The survey is usually administered in the fall. (Example timeline: August –prep survey, September – send out survey and reminders, October – close survey). For each question, all responses should be combined and the following calculation should be completed:</p> $\frac{\text{\# of positive responses (i.e. satisfied)}}{\text{Total \# of responses}} \times 100\%$

Objective	Performance Measure(s)	Calculation Instructions
	<p>Project teams' degree of satisfaction with support provided by the Secretariat.</p>	<p style="text-align: center;">Total # of responses</p> <p>The results of the seven questions are then averaged to present stakeholders overall satisfaction with CASA. These responses are then compared to the previous year.</p> <p>The CASA Project Team Biannual Survey is administered online (using an online service such as Survey Monkey) to all current CASA project teams twice per year (June and December). If a stakeholder belongs to multiple project teams, they will be asked to fill out a survey for each team. The PMC project manager will prepare the survey and the link will be sent out to project teams by the teams' project manager. A separate survey link should be send to each team. The June results will be presented to the appropriate project manager for their continued improvement and December results will feed into CASA's performance measurement annual reporting. Project teams should be given two weeks to respond to the survey. A reminder should be sent one week prior to the due date. The survey should take no longer than 5 minutes to complete. All responses are anonymous. Question 3 from the survey corresponds to this measure. See Appendix 8. All responses from teams should be combined and the following calculation should be completed for each sector (industry, government and NGO):</p> $\frac{\text{\# of respondents who answered "satisfied" or "very satisfied"}}{\text{Total \# of respondents}} \times 100\%$
<i>Board</i>		
<p>Encourage Board member participation in CASA.</p>	<p>Percentage of Board attendance by sector.</p> <p>Project teams' degree of satisfaction with support provided by Board member counterparts by sector.</p>	<p>The PMC Project Manager will calculate this measure and information on Board attendance is available from the Board meeting minutes. Board attendance is calculated by sector (industry, government and NGO) for each Board meeting and averaged (special Board meetings are included).</p> <p>Ex. $\frac{\% \text{ industry attendance at Board meeting \#1} + \% \text{ industry attendance at Board meeting \#2} + \dots}{\# \text{ of board meetings}}$</p> <p>To calculate the % attendance at each meeting, count the number of stakeholder groups (agriculture, federal, NGO health, etc.) under each sector (industry, government and NGO) and compare this to the list of attendees. If both the Director and Alternate Director for a sector are in attendance, this still counts as "1" towards the total count. If a seat is vacant, this counts as a '0'. Divide the total numbers of attendees by the total number of possible sector attendees and multiply by 100% to create a percentage. Repeat for each sector.</p> <p>The CASA Project Team Biannual Survey is administered online (using an online service such as Survey Monkey) to all current CASA project teams twice per year (June and December). If a stakeholder belongs to multiple project teams, they will be asked to fill out a survey for each team. The PMC project manager will prepare the survey and the link will be sent out to project teams by the teams' project manager. A separate survey link should be sent to each team. The June results will be presented to the appropriate project manager for their continued improvement and December results will feed into CASA's performance measurement annual reporting. Project teams should be given two weeks to respond to the survey. A reminder should be sent one week prior to the due date. The survey should take</p>

Objective	Performance Measure(s)	Calculation Instructions						
		no longer than 5 minutes to complete. All responses are anonymous. Question 5 from the survey corresponds to this measure. See Appendix 8. All responses from teams should be combined and the following calculation should be completed for each sector (industry, government and NGO): $\frac{\text{\# of respondents who answered "satisfied" or "very satisfied"}}{\text{Total \# of respondents - \# of N/A Responses}} \times 100\%$ NB: N/A responses are not included in total # of respondents because they are Board members.						
<i>Goal 1: To provide strategic advice on air quality issues and the impacts of major policy initiatives on air quality.</i>								
Influence and inform AQ policy.	Documents produced to inform GoA & other stakeholders which includes a summary of the document and a qualifying description of the anticipated influence on air quality.	The CASA Secretariat will compile a list of the documents that CASA produced in the year in question. These documents should have been created to inform GoA and other stakeholders vis-à-vis air quality. They can include, but are not limited to: project charters, statements of opportunity, workshop proceedings, project team reports, discussion papers, commissioned consultant's report, advice provided by CASA to policy groups, etc. A short summary of each document should be provided along with a description of any actions taken with that document and the anticipated influence on AQ policy (see example below). <table border="1" data-bbox="743 688 1864 992" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th data-bbox="743 688 1003 721">Document Title</th> <th data-bbox="1003 688 1381 721">Document Description</th> <th data-bbox="1381 688 1864 721">Anticipated Influence on Air Quality</th> </tr> </thead> <tbody> <tr> <td data-bbox="743 721 1003 992">Air quality and CASA</td> <td data-bbox="1003 721 1381 992">This report was written by the Air Quality and CASA Project Team as their final report. This team explored how CASA impacts air quality in Alberta and offers recommendations as to issues that would be suitable for CASA involvement in the future.</td> <td data-bbox="1381 721 1864 992">This report was distributed to GoA, industry and NGOs. It is also available on the CASA website. This report will create opportunities for CASA to impact specific areas of air quality policy in Alberta.</td> </tr> </tbody> </table>	Document Title	Document Description	Anticipated Influence on Air Quality	Air quality and CASA	This report was written by the Air Quality and CASA Project Team as their final report. This team explored how CASA impacts air quality in Alberta and offers recommendations as to issues that would be suitable for CASA involvement in the future.	This report was distributed to GoA, industry and NGOs. It is also available on the CASA website. This report will create opportunities for CASA to impact specific areas of air quality policy in Alberta.
Document Title	Document Description	Anticipated Influence on Air Quality						
Air quality and CASA	This report was written by the Air Quality and CASA Project Team as their final report. This team explored how CASA impacts air quality in Alberta and offers recommendations as to issues that would be suitable for CASA involvement in the future.	This report was distributed to GoA, industry and NGOs. It is also available on the CASA website. This report will create opportunities for CASA to impact specific areas of air quality policy in Alberta.						
<i>Goal 2: To contribute to the continued development and implementation of effective and efficient air quality management in Alberta.</i>								
Develop reports and recommendations using the CDM process.	Degree of satisfaction with project team work by team: -The Project Charter was completed. -The work was completed in a timely manner. The process was collaborative. -The team developed SMART (Specific, Measurable, Actionable,	Once a project team's final report has been approved by the Board and the team is disbanded, the corresponding project manager (with assistance from the PMC) will administer the CASA Project Team Exit Survey. It is administered either through email or it can be completed in person on a hard copy. See Appendix 9. The results of the survey are anonymous. For each team and each question, the following calculation should be completed for each sector (industry, government and NGO): $\frac{\text{\# of respondents who answered "satisfied" or "very satisfied"}}{\text{Total \# of respondents}} \times 100\%$						

Objective	Performance Measure(s)	Calculation Instructions
	Realistic, Time-bound recommendations.	
<i>Goal 3: To contribute to the development of a reliable, comprehensive, objective knowledge system with respect to air quality, health, and environmental impacts, and management and mitigation mechanisms.</i>		
Provide available AQ information.	<p>Number of visits to the Information Portal webpage.</p> <p>Number of phone inquiries for information.</p>	<p>CASA tracks detailed statistics about visitors to our website using Google Analytics. (http://www.google.com/analytics/) CASA’s Communications Coordinator maintains the user name and password in the Communications Folder. Once logged in, choose PTF3 account UA-11807375-7. The main dashboard defaults to providing the current month’s ‘Visitor Overview’ including the overall number of page views, visitors and their time spent on-site. The ‘In-Page Analytics’ function tracks (among other things) the number of visitors to each page.</p> <p>The CASA Executive Assistant tracks the number of phone inquiries asking CASA to provide information and the PMC Project Manager tallies these results. The number of phone inquiries is tracked in addition to the number of visits to the Information Portal webpage to account for those Albertans without access to internet. An inquiry entails a caller asking for information from CASA indicating that they are using CASA as a hub for information gathering.</p>
<i>Goal 4: To communicate information that builds awareness, understanding, and commitment to air quality management in Alberta.</i>		
Improve project team knowledge of the CDM process.	Project teams’ degree of satisfaction with capacity to participate in collaborative processes.	<p>The CASA Project Team Biannual Survey is administered online (using an online service such as Survey Monkey) to all current CASA project teams twice per year (June and December). If a stakeholder belongs to multiple project teams, they will be asked to fill out a survey for each team. The PMC project manager will prepare the survey and the link will be sent out to project teams by the teams’ project manager. A separate survey link should be sent to each team. The June results will be presented to the appropriate project manager for their continued improvement and December results will feed into CASA’s performance measurement annual reporting. Project teams should be given two weeks to respond to the survey. A reminder should be sent one week prior to the due date. The survey should take no longer than 5 minutes to complete. All responses are anonymous. Question 7 from the survey corresponds to this measure. See Appendix 8. All responses from teams should be combined and the following calculation should be completed for each sector (industry, government and NGO):</p> $\frac{\text{\# of respondents who answered “satisfied” or “very satisfied”}}{\text{Total \# of respondents}} \times 100\%$
Increase awareness of CASA, CASA projects and CDM.	<p>Number of 3rd party requests for CASA assistance.</p> <p>Number of return and unique visitors to website.</p>	<p>The CASA Executive Director tracks and the PMC Project Manager tallies the number of requests received from third party for CASA assistance. These include: requests for speaking engagements, requests for advice, request for services, etc. A request is included in the tally even if CASA chooses not to accept the request.</p> <p>CASA tracks detailed statistics about visitors to our website using Google Analytics. (http://www.google.com/analytics/) CASA’s Communications Coordinator maintains the user name and password in the Communications Folder. Once logged in, choose PTF3 account UA-11807375-7. The</p>

Objective	Performance Measure(s)	Calculation Instructions
	Number of news stories about CASA.	<p>main dashboard defaults to providing the current month's 'Visitor Overview' including the number of unique visitors (which is called 'new' in Google Analytics) to the site.</p> <p>The PMC Project Manager calculates this measure. It is calculated using the news tracking service "Infomart" by conducting a search for "CASA" and "Clean Air Strategic Alliance".</p>

Table 6: CASA's Performance Indicators Calculation Protocols.

Objective	Performance Indicator	Calculation Instructions
Implement CASA recommendations.	Percentage of substantive recommendations from 4 years prior that have been implemented.	<p>In late fall, the PMC Project Manager will compile a list of project team recommendations that were approved by the Board 4 years prior (ex. for the year 2011, examine 2007 recommendations). This list can be compiled using the minutes and agendas from the CASA Board meetings. The PMC will then decide if each recommendation is operational, administrative or substantive.</p> <ul style="list-style-type: none"> • Administrative (decisions that relate to appointing directors, banking, budgeting, etc.) • Operational (decisions that relate to process. i.e. an operational decision is one step in a process toward a final product. Note that fund raising is operational and not administrative) • Substantive (decisions that result in a product that is directly related to air quality or air quality management). <p>Those recommendations that are substantive will be compared against the additional criteria:</p> <ol style="list-style-type: none"> 1. CAMS – the recommendation had to have been derived through the Comprehensive Air Management System process. 2. Approved/Actionable – the recommendation had to have been approved by the board and it must represent a specific action that can be carried out. For instance, "approved in principle" is not considered actionable. 3. 2 years prior – this means that a recommendation must have come into force at least 2 years prior to it being assessed. Sometimes teams make recommendations that are not to be implemented immediately but only at a future time. Although the procedure for calculating the indicator for performance measure #3 means that recommendations implemented immediately after board approval would only be assessed after 3 to 4 years, recommendations that come into force only some time after board approval may be assessed after a shorter time for implementation. 4. Substantive – the recommendation must result in a product that is directly related to air quality or air quality management. 5. Final – the recommendation must be in its final form. Sometimes teams come before the board more than once and the same recommendation may be presented to the board for approval more than once.

		<p>6. Severable – recommendations are often derived by a team as a package so that not approving one recommendation may mean that the whole package becomes invalid. But such packages of recommendations may contain some recommendations that are not substantive or have not come into effect 2 years prior to the assessment. The subcommittee decided that recommendations that do not satisfy all of the 5 other criteria may be deleted from the list if they are severable, i.e. if they can be removed from the package without destroying the essence of the package.</p> <p>7. Consensus– The recommendation was approved by consensus.</p> <p>The recommendation(s) will be sent to the implementer(s) for review using the form in Appendix 10. Review forms should be sent out in late fall and implementers should be given two weeks to complete the form. If the implementer is not readily discernible it is important to make inquiries early so that the forms can be filled out in advance of the deadline.</p> <p>Once the forms are completed, the PMC should review the results and any recommendations rated 3 or lower will be considered low-rated and placed in the low-rated recommendation matrix for continued follow-up.</p> <p>Below is sample calculation for this indicator.</p>
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		Project Team (No. of substantive recommendations)	Rating of Recommendations (Original recommendation numbers placed in appropriate rating column)										
			0	1	2	3	4	5	6	7	8	9	10
		Flaring and Venting Project Team (42)						46, 47,		26, 35, 39		31,	2-13, 16-25, 28-34, 36-38, 40-44
		Airsheds Project Team (2)					3		2				
		EPT Greenhouse Gas Allocation Subgroup											
		Transportation Demand Management Subgroup (3)			1			2				3	
		Total number (47)			1		1	3	1	3		2	36
		$1 \times 2 + 1 \times 4 + 3 \times 5 + 1 \times 6 + 3 \times 7 + 2 \times 9 + 36 \times 10 = 426$											
		Overall (average rating) = $426 / 47$ = 9.06 (91%)											
		<u>Reviewers:</u> Airsheds Zone Project Team: Kevin Warren (PAMZ); PAS; Melanie Larsen, Keith Purves (FAP) Flaring and Venting Project Team: Andrew Higgins (CNRL); Michael Brown (ERCB) and Chris Severson-Baker (Pembina Institute) Transportation Demand Management Subgroup: Myles Kitagawa (Toxics Watch Society) and Alan Brownlee (City of Edmonton)											
Measure impact of completed project team work.	Each completed project team come up with one specific metric to measure success of team 5 years in the future.	When a project team is completing its final team report and is ready to disband, the team should create one performance indicator that can be used to assess the overall success of the project team five years in the future. The team should consider: "Five years from now, how will we know if our work has been successful?". The team should try to make their indicator as specific as possible, taking into consideration data availability. They should provide clear instructions for the PMC to follow-up on the indicator in the future. Project teams should contact the PMC for advice on creating the indicator and to review the final choice. Project teams can consult the guidelines in Appendix 4 as well as this Strategy.											
Improve air quality in Alberta.	Annual average ambient concentrations of: NO ₂ , SO ₂ , PM _{2.5} , H ₂ S, O ₃ , benzene, and wet acid deposition.	This indicator is calculated by ESRD's air policy group. Data is downloaded from the CDW, trends are calculated and statistical significance tests are run to see if the trends are significant. This indicator is calculated in conjunction with ESRD's annual SoE report. Please consult the 2013 CASA Annual Report for an example of the reporting of this indicator. This indicator is calculated every 3 years (ex. 2010, 2013, etc.). If calculating for the year 2013, for example, data up to the year 2012 is included.											
	Annual peak	This indicator is calculated by ESRD's air policy group. Data is downloaded from the CDW, trends are											

	<p>concentrations of: NO₂, SO₂, PM_{2.5}, H₂S, O₃, and benzene.</p> <p>Percent hourly exceedances of: NO₂, SO₂ and H₂S.</p> <p>Percentage of stations assigned to all management levels defined by the Canadian Ambient Air Quality Standards based on annual three-year data assessments completed by ESRD.</p> <p>Annual total emissions from power generation for NO_x, SO_x, PM_{2.5}, and mercury.</p> <p>The change in flaring and venting associated with solution gas, well test and coalbed methane.</p>	<p>calculated and statistical significance tests are run to see if the trends are significant. This indicator is calculated in conjunction with ESRD’s annual SoE report. Please consult the 2013 CASA Annual Report for an example of the reporting of this indicator. This indicator is calculated every 3 years (ex. 2010, 2013, etc.). If calculating for the year 2013, for example, data up to the year 2012 is included.</p> <p>This indicator is calculated by ESRD’s air policy group. The data is obtained from industrial compliance data and all available ambient (airshed and government operated) monitoring stations, beginning in 1994. For industry stations, a 90% average operational time is assumed. For each year at least 75% of the possible data must be available for that year to be included. The indicator is presented as the trend in annual percent exceedances and a trend description (increasing, decreasing, or no trend) for each substance. Trends are tested for statistical significance. Detailed information on the statistical significance test can be found at http://environment.alberta.ca/02850.html. Consult the 2013 CASA Annual Report for an example of the reporting of this indicator. This indicator is calculated every 3 years (ex. 2010, 2013, etc.). If calculating for the year 2013, for example, data up to the year 2012 is included.</p> <p>This indicator is calculated by ESRD’s air policy. This indicator is based on the action levels assigned on an annual basis to individual ambient monitoring stations, and shows the annual trend. This indicator is calculated in conjunction with ESRD’s annual SoE report. Please consult the 2013 CASA Annual Report for an example of the reporting of this indicator. This indicator is calculated every 3 years (ex. 2010, 2013, etc.). The most recent data available should be used that allows the results to be presented to the Board at the appropriate time.</p> <p>This indicator is calculated by ESRD’s air policy group and the data can be found in EC’s NPRI report. The indicator is comprised of annual trends in i) total emissions of Criteria Air Contaminants (NO_x, SO_x, PM_{2.5}) from power generation, ii) total solution gas flared and vented from upstream oil and gas sectors as well as well test and coalbed methane. Please consult the 2013 CASA Annual Report for an example of the reporting of this indicator. This indicator is calculated every 3 years (ex. 2010, 2013, etc.). The most recent data available should be used that allows the results to be presented to the Board at the appropriate time.</p> <p>This indicator is taken from the AER ST60B report which is available online from their website (usually published in the fall). The figures “Flared from all upstream oil and gas sources” and “Vented from all upstream oil and gas sources” are excerpted directly. Please consult the 2013 PMC Annual Report for an example of the reporting of this indicator. This indicator is calculated every 3 years (ex. 2010, 2013, etc.). The most recent data available should be used that allows the results to be presented to the Board at the appropriate time. For example, at the time of writing of the 2013 PMC Report the ST60B-2012 report was available and used.</p>
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<p>Improve capacity to monitor AQ in Alberta.</p>	<p>The percentage of monitoring stations and/or parameters implemented from the 2009 Ambient Monitoring Strategic Plan (AMSP).</p> <p>Geographic percentage of province covered by airshed zone organizations.</p>	<p>This indicator is calculated by ESRD's air policy group. The ambient monitoring indicator is given by the number of monitoring sites and instruments, as identified in the strategy and implementation plan, that have been implemented, divided by the number identified in the plan. The number is represented as a percentage. The formula is:</p> $\frac{\text{Number of sites and instruments implemented}}{\text{Number of sites and instruments in plan}} \times 100\%$ <p>This is calculated using a table comparing the substances monitored for at each station in Alberta and citing if the location and substances coincide with the AMSP. There are seven monitoring subprograms recommended in the 2009 AMSP. The results from each will be aggregated. Please consult the 2013 CASA Annual Report for an example of the reporting of this indicator. This indicator is calculated every 3 years (ex. 2010, 2013, etc.). The most recent data available should be used that allows the results to be presented to the Board at the appropriate time.</p> <p>'Airshed zone' in this case is defined according to CASA's Airshed Zone Guidelines. The PMC Project Manager should add up the area of each airshed zone to get a total area of province covered by an airshed zone.</p> $\text{area (km}^2\text{) airshed zone A} + \text{area (km}^2\text{) of airshed zone B} = \text{total (km}^2\text{)}$ <p>Then use this number to find a percentage:</p> $\frac{\text{Total area of province covered by airshed zones (km}^2\text{)}}{\text{Total area of province (km}^2\text{)}} \times 100\%$ <p>Current available data:</p> <ul style="list-style-type: none"> Area of province = 661848 km² ACA = 13742.38 km² CRAZ = 32000 km² FAP = 4500 km² LICA = 16000 km² PAS = 45000 km² PAMZ = 42000 km² PAZA = 38000 km² WCAS = 46000 km² WBEA = 68454 km²
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Appendix 4: Guidelines for Project Teams

Project Team Internal Performance Measures:

At CASA, project teams are responsible for creating team performance measures. Performance measures relating to timelines, budget, etc. are embedded in the CASA Project Charter. The Project Charter provides detailed information about what the team should accomplish and by when. These specifications help the project team to track their progress, remain on task and remain accountable to the CASA Board. One of the roles of the team's Project Manager is to regularly monitor these items. The Performance Measures Committee (PMC) encourages project teams to review their progress against their Project Charter on a regular basis. Information on the Project Charter as well as step-by-step advice for managing and participating on a successful project team can be found in CASA's MCP guide.

If project teams have questions about performance measures or would like to create additional performance measures, they are encouraged to contact the PMC for advice.

Project Teams' Role in CASA's Performance Measurement:

While project teams are responsible for creating their own internal performance measures, project teams have two requirements to CASA with respect to performance measurement that must be satisfied.

1. First, when project teams craft recommendations they must ensure that they are SMART (Specific, Measurable, Action-oriented, Realistic, Time-bound). This facilitates tracking the implementation of recommendation by the PMC. When a project team is ready to begin crafting recommendations, they should contact the PMC for advice on creating SMART recommendations. The PMC is available to review draft recommendations to ensure that they meet the SMART standards.

Here is an example of a "SMART recommendation" as well as a recommendation that does not meet the SMART standards:

Example: The Alberta Department of Energy should extend the Otherwise Flared Solution Gas (OFSG) program to include bitumen wells by 2011.

The wording of this recommendation meets all the SMART standards. It states specifically who is the implementer, what they are expected to accomplish and by when. The action required is reasonable and can realistically be accomplished in the time allowed. In the future, when the recommendation is reviewed, there is no ambiguity as to whether the recommendation has been implemented.

Example: Alberta Agriculture, Food and Rural Development (ARD) improve the collection of animal health data respecting the impacts of solution gas flaring.

The wording of this recommendation does not meet the SMART standards. It is not time-bound. It does name the implementer and request an action but the action required is not specific or measurable. Rather it is ambiguous as to what needs to be accomplished in order to consider this recommendation implemented. What is considered improvement? What is considered *enough* improvement? How is this wording to be accomplished? As such the wording is not realistic either. In the future, when the recommendation is reviewed, it will be unclear whether the recommendation has been implemented and opinions on implementation will be subjective and possibly conflicting. A better solution would be to specifically describe what actions ARD will do to improve the collection of data and when this will be accomplished.

2. Second, project teams should be aware of any requirements to provide data to feed into CASA's performance measures and indicators. This can be determined by reviewing the Performance Measurement Framework section of the Performance Measurement Strategy or contacting the PMC. If project teams have any questions regarding the requirements, they are encouraged to contact the PMC. Here is a list of current requirements:
 - Performance measures:
 - Completing the CASA Project Team Biannual Survey in June and December.
 - Completing the CASA Satisfaction Survey every 3 years.
 - Completing the CASA Project Team Exit Survey upon completion of project work.
 - Performance indicators:
 - Each completed project team come up with one specific metric to measure success of team 5 years in the future.

Appendix 5: Low-rated Recommendation Implementation Questionnaire

Low-rated Recommendation Implementation Assessment Questionnaire

for recommendations made by the
XX Team
in [Year]

Recommendation	
<i>[List recommendation here]</i>	
Question	Response
1. What work has been done to implement the recommendation?	
2. Please describe any future actions that are planned concerning the recommendation.	
3. To your knowledge, is the recommendation being addressed by another venue? If yes, please provide the contact information for the appropriate person to speak to this work.	
4. With respect to the future of the recommendation, do you believe that more work is warranted? Please provide your rationale.	

Appendix 6: Low-rated Recommendation Decision Tree

After three years of implementation, CASA assesses the implementation of recommendations by engaging stakeholders involved in the original team and/or the implementing agency. Assessors are asked to rate the degree of implementation on a scale of 0-10. Low rated recommendations are defined as recommendations receiving a 0-3 rating.

The Decision Tree, as illustrated on the next page, is intended to provide guidance on how to follow-up on low-rated recommendations. The Decision Tree will only be used for low-rated recommendations. The Committee will first follow-up with the implementer for information on why a recommendation was not implemented. If no implementer is discernable, the Committee approaches a CASA team (if available) for information. Should neither be available, the Committee can make a recommendation to the CASA Board. Recommendations, whether from the implementer, CASA team or Committee, could include:

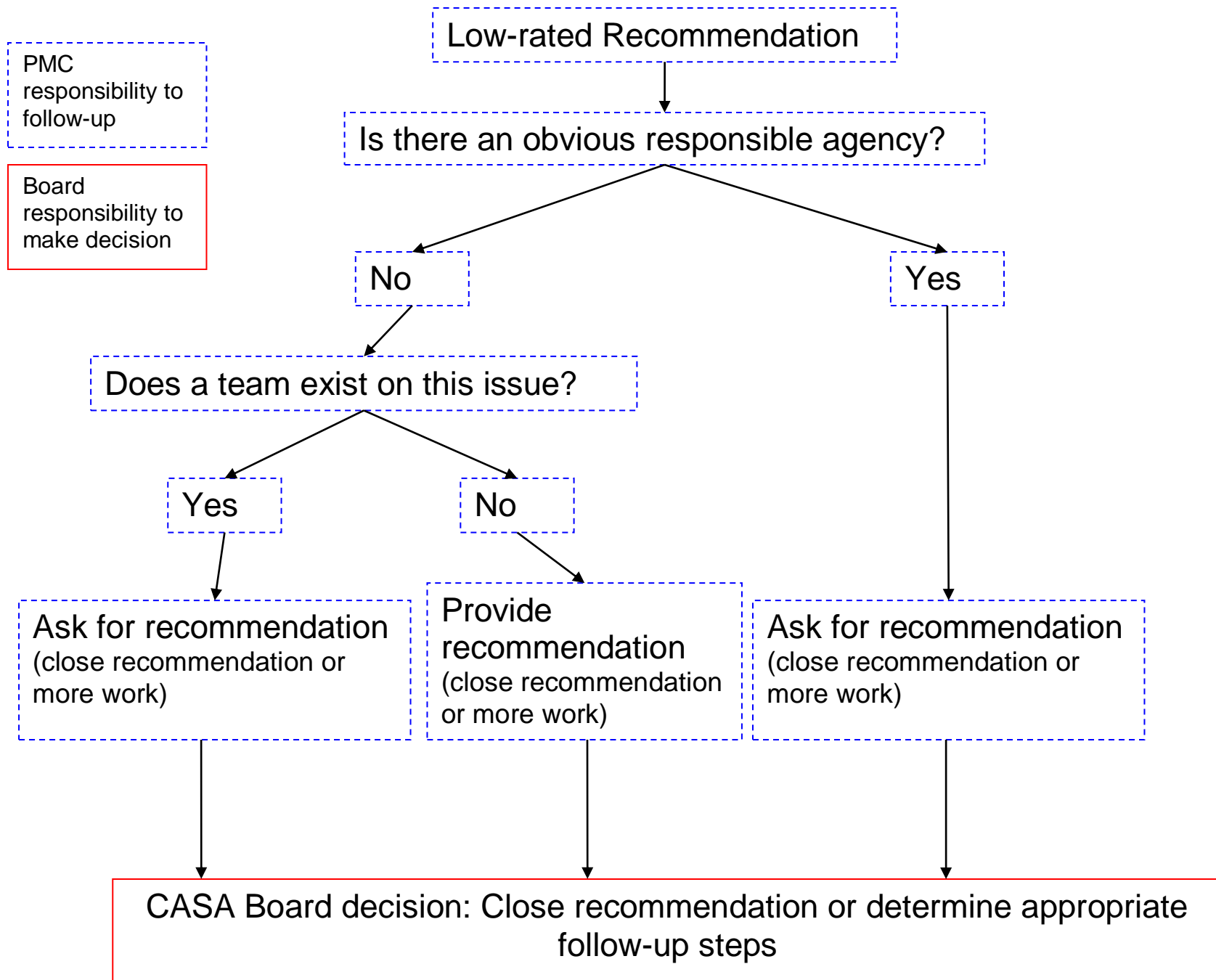
- Close the recommendation, and document the explanation
- More work that could be required, such as an implementation team, new work for an existing team, Board involvement, etc
- More information the Board would require to make its decision regarding follow-up or closure of the recommendation.

CASA Board Decision

The Performance Measures Committee will use the information to advise to the CASA Board on appropriate follow-up for the low-rated recommendation. The CASA Board has decision-making power whether to follow-up or to close the recommendation (i.e. render the recommendation no longer required).

There are three criteria to inform the board's decision to close a recommendation:

1. Priority level: Is the current importance of the issue and/or recommendation high, medium or low?
2. Need for the recommendation: Given legal, technological, societal, and economic changes since the recommendation was made, is the action prescribed still needed?
3. Practical challenges: Given the current work of the implementing body, are the necessary resources and capacity available to implement the recommendation?



Appendix 7: CASA Satisfaction Survey

CASA Stakeholder Satisfaction Survey

CASA Stakeholder Survey

The Clean Air Strategic Alliance (CASA) conducts a survey every three years to measure stakeholder satisfaction with CASA. As a CASA stakeholder between 2011 to the present, you are being asked about your level of satisfaction with CASA.

Your responses are confidential and you will not be identified. The results will be used in aggregate to calculate one of CASA's performance measures, which measures stakeholder satisfaction with various aspects of CASA process and outcomes. The results will also be used to inform the Board and Secretariat of progress to date and areas for improvement.

This survey has 16 questions and should take about 10 minutes to fill out. Please complete this survey by Friday November 8, 2013.

Section 1: Stakeholder Satisfaction

***1. How satisfied are you with the CASA way of addressing air quality issues?**

1 - Very unsatisfied 2 3 4 5 - Very satisfied

Comment

***2. How satisfied are you with the openness and transparency with which CASA conducts its business?**

1 - Very unsatisfied 2 3 4 5 - Very satisfied

Comment

3. How satisfied are you that CASA is contributing to improved air quality in Alberta?

1 - Very unsatisfied 2 3 4 5 - Very satisfied

Other (please specify)

***4. In general, how satisfied are you with CASA's achievements?**

1 - Very unsatisfied 2 3 4 5 - Very satisfied

Other (please specify)

CASA Stakeholder Satisfaction Survey

5. What, in your view, are CASA's achievements?

Achievement 1:

Reason:

Achievement 2:

Reason:

Achievement 3:

Reason:

Other/Comments:

*6. CASA recommendations are implemented by stakeholders and others. A "substantive" recommendation is one that can lead directly to improved air quality. How satisfied are you with the implementation of substantive recommendations?

1 - Very unsatisfied 2 3 4 5 - Very satisfied

Comment

*7. CASA assists airshed zones, on request, with start-up, consensus decision-making and links to other air issues work. How satisfied are you with CASA's support to airshed zones?

1 - Very unsatisfied 2 3 4 5 - Very satisfied Don't know/No opinion

Comment

Section 2: Communicating at CASA

*8. How do you access information about CASA's work?

- At Board meetings
- At team meetings
- Through the website
- Through direct contact with the Secretariat

Other (please specify)

CASA Stakeholder Satisfaction Survey

***9. Thinking of the different ways that CASA communicates with you, please rate on a scale of 1 (very unsatisfied) to 5 (very satisfied) how satisfied you are with communications:**

	1	2	3	4	5	N/A
Overall	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Between the CASA Board and yourself	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Between the CASA Secretariat and yourself	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Between CASA teams	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Within your team	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Within your sector	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other/Comments

Section 3: CASA Groups

CASA Stakeholder Satisfaction Survey

*** 10. How satisfied are you that your group has the resources it needs to meet its objectives?**

For each group you've participated in, please indicate your level of satisfaction with 1 as very unsatisfied and 5 as very satisfied. DO NOT respond for groups that you haven't participated in. If you participated on a team subgroup, please place your response next to the appropriate team. A comment area is available for additional teams or any other comments you may wish to add.

	1	2	3	4	5
Board	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
CASA and AAC Joint Standing Committee	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Communications Committee	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Confined Feeding Operations Implementation Team	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Electricity Framework Review	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Human and Animal Health Team	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Odour Management Team	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Operations Steering Committee	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Performance Measures Committee	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
PM and Ozone Implementation Team	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

11. The value my organization places on its involvement in CASA is:

- Low
 Moderate
 High

12. How could CASA improve our support for your participation?

Section 4: Looking Ahead

CASA Stakeholder Satisfaction Survey

13. What air quality issue(s), if any, should CASA pursue next?

Section 5: Participation in CASA

***14. I am a member of the following stakeholder sector:**

- Industry
 Government
 NGO
 Other

Other (please specify)

***15. I have participated in CASA for a total of:**

- Less than 1 year
 1 - 5 years
 6-10 years
 11-15 years
 Since the dawn of time

Comment

***16. Between 2011 and the present, I have been a member of: (choose one option)**

- Board of Directors ONLY
 Board + Team(s) and/or Committee(s) and/or Team Subgroup(s)
 Team(s) and/or Committee(s) and/or Team Subgroup(s) ONLY

Thank you!

CASA appreciates your time and opinions!

Appendix 8: CASA Project Team Biannual Survey

Dear CASA project team member,

Thank you for participating on a CASA project team! In an effort to serve you better and promote continuous improvement at CASA, the Secretariat asks you to complete this short, 5-minute survey. Your answers will remain anonymous and confidential. Your team's responses to some of these survey questions will be compiled and presented in CASA's Annual Report as part of CASA's performance measures.

Thank you for your time and participation,
The CASA Secretariat

1. To which project team do you belong?
 - a. List all current CASA project teams.

2. Who do you represent?
 - a. Government
 - b. Industry
 - c. Non-government organization
 - d. Airshed group

3. How satisfied are you with the support provided to you by the CASA Secretariat? The Secretariat provides strategic, advisory and administrative support to assigned project teams and their co-chairs, including:
 - providing advisory support to, and close liaison with, the co-chairs;
 - anticipating and monitoring issues;
 - coordinating the production of project team publications;
 - drafting and reviewing background, policy and communications materials;
 - tracking progress on workplans and “making things happen”;
 - facilitating meeting processes and arranging meeting logistics; and
 - preparing agendas, and records of decisions.
 - a. Very dissatisfied
 - b. Dissatisfied
 - c. Satisfied
 - d. Very satisfied
 - e. Include comment box for additional written comments.

4. Space for an additional follow-up question from the Secretariat. This question can change on a biannual basis in response to specific information needs. It is not reported as a performance measure but is in support of continuous improvement.

5. How satisfied are you with the support provided to you by your Board member counterparts? The Board provides support to project teams members from their sector, including:
 - providing advice on content and procedural issues;
 - mentoring on how to be effective in a collaborative process;
 - helping to overcome impasse; and
 - helping to report back to constituents from their sector.
 - a. Very dissatisfied
 - b. Dissatisfied
 - c. Satisfied
 - d. Very satisfied
 - e. Not applicable, I am a Board member
 - f. I do not have a Board member counterpart
 - g. Include comment box for additional written comments.

6. Space for an additional follow-up question from the Secretariat. This question can change on a biannual basis in response to specific information needs. It is not reported as a performance measure but is in support of continuous improvement.

7. How satisfied are you with your team's capacity to effectively participate in the collaborative process?
 - a. Very dissatisfied
 - b. Dissatisfied
 - c. Satisfied
 - d. Very satisfied
 - e. Include comment box for additional written comments.

8. Space for an additional follow-up question from the Secretariat. This question can change on a biannual basis in response to specific information needs. It is not reported as a performance measure but is in support of continuous improvement.

Appendix 9: CASA Project Team Exit Survey

Name: Organization:	Project Team:
Today's date (D/M/Y):	

Dear CASA project team member,

Thank you for participating on a CASA project team! In an effort to evaluate the work done by your team and promote continuous improvement at CASA, the Secretariat asks you to complete this short, 5-minute survey. Your answers will remain anonymous and confidential. The ratings provided by your entire team will be compiled and presented in CASA's Annual Report as part of CASA's performance measures.

Thank you for your time and participation,
The CASA Secretariat

Please rate the following questions on a scale from 1 to 4 and provide comment to support your rating.

- 1- Very dissatisfied
- 2- Dissatisfied
- 3- Satisfied
- 4- Very satisfied

Ex. Sample question

HOW SATISFIED WERE YOU WITH YOUR LUNCH TODAY?	YOUR RATING: 4
My lunch today was highly satisfying. The sandwich I ate was very tasty and well presented. The ingredients used were healthy and fresh. It kept me full and provided energy for the entire afternoon. I enjoyed eating it and would eat this sandwich again.	

Survey Questions

HOW SATISFIED ARE YOU THAT THE TEAM'S PROJECT CHARTER IS COMPLETE?	YOUR RATING:
Please provide comment here.	
HOW SATISFIED ARE YOU THAT THE WORK WAS COMPLETED IN A TIMELY MANNER?	YOUR RATING:
Please provide comment here.	
HOW SATISFIED ARE YOU THAT THE PROCESS WAS COLLABORATIVE?	YOUR RATING:
Please provide comment here.	
HOW SATISFIED ARE YOU THAT THE TEAM'S RECOMMENDATIONS ARE SMART (SPECIFIC, MEASURABLE, ACTION-ORIENTED, REALISTIC, TIME-BOUND)?	YOUR RATING:
Please provide comment here.	

Appendix 10: Recommendation Implementation Assessment Questionnaire

Implementation Assessment Report

for recommendations made by the
XX Project Team
 in [Year]

Implementation is to be rated:

- 0 if nothing has been done
- 1, 2, 3, 4, 5, 6, 7, 8, 9 if something has been done
- 10 if everything has been done.

Recommendation	Assessed by:	Rating 0 to 10
1		
Briefly state the rationale for the Rating: _____ _____		
If rated from 0 to 3: 1. Is the recommendation still relevant? _____ 2. Does CASA have a team on working on this issue? _____ 3. Is there an obvious responsible implementing agency? _____ 4. Why wasn't the recommendation fully implemented, in your opinion? What were the challenges? _____		