2015 Performance Measures Committee Report

Prepared by the
Performance Measures Committee
for the
Clean Air Strategic Alliance
Board of Directors

15 June 2016

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Acknowledgements

The Committee would like to thank various CASA team members and implementers for their assistance reviewing the implementation of past CASA project team recommendations.

The members of the Committee are: Martina Krieger (Alberta Environment and Parks); Ruth Yanor (Mewassin Community Council); Keith Denman and Warren Greeves (CASA Secretariat).

Executive Summary

In March 2016, the CASA board approved the new CASA Performance Measurement Strategy. The strategy ensures transparency and accountability in the performance measurement process, and reflects stakeholder satisfaction in elements of project team work. The strategy contains modified performance measures and indicators for the Secretariat, the Board, the goals from CASA's Strategic Plan as well as project teams. These modified measures and indicators were incorporated with CASA's pre-existing metrics and reorganized according to the definitions of performance measure and indicator achieved in the first revision of the strategy undertaken in 2012. 2015 will be the first year reporting on the new strategy. Because of the revision of the strategy, not all metrics were measured during this cycle, and revisionary data was provided where applicable.

In 2015, the Performance Measures Committee was charged with two tasks:

1. To calculate CASA's performance measures and indicators, and
2. To follow-up on low-rated recommendations from previous years.

The Committee calculated the results of CASA's performance measures and indicators which are outlined in Table 1 and Table 2 respectively. Performance indicators are not compared to a target, but rather provide context for the bigger picture in which CASA works.

The Committee collected updates on the low-rated recommendations from previous years which are tracked in a living document called the low-rated recommendations matrix. In light of this information, the committee requests further direction from the board on four recommendations from the following past project teams:

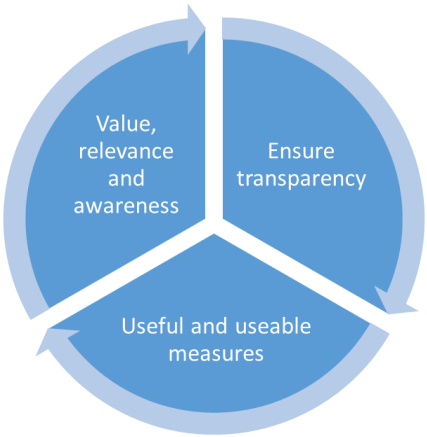
- 2002 Acidifying Emissions Project Team (1 recommendation)
- 2007 Renewable and Alternative Energy Project Team (1 recommendation)
- 2013 Ambient Monitoring Strategic Planning Project Team (2 recommendations)

Introduction

In March 2016, the CASA board approved the new CASA Performance Measurement Strategy. The review of the strategy involved investigating the alignment between performance measurement and CASA's audience, mission, vision, Strategic Plan, strategic plan goals, principles and criteria, as well as conducting consultations with current CASA project team co-chairs, the CASA Communications Committee, the CASA Board and a survey design expert from Alberta Environment and Parks.

The strategy provides definitions of performance measure (areas where CASA has a higher degree of control over results) and performance indicator (areas where CASA has a lower degree of control over results). This provides a resolution to a longstanding board concern that these two levels of performance assessment had been treated similarly.

The 2015 strategy contains new performance measures and indicators for the secretariat, the board, the goals from CASA's Strategic Plan, and project teams. This combination of performance measures and performance indicators provides a well-rounded description of CASA as an organization and provides meaningful information that supports continuous improvement at CASA.



Some of CASA's performance measures and indicators are calculated annually and some are calculated every three years. The three-year metrics were last calculated and reported on, as scheduled, in the 2013 report. 2015 is the first year reporting on the new strategy. Because of the revision of the strategy, not all metrics were measured during this cycle, and revisionary data was provided where applicable.

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1. To calculate CASA's performance measures and indicators, and
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Performance Measures

Table 1 outlines the 2015 performance measures results.

Table 1: Performance Measures (* indicates that the measure will be included only in the PMC Annual Report and NOT in the CASA Annual Report. These measures are for internal consideration only. All other measures will be included in the PMC and CASA Annual Report)

Objective		Performance Measure	Target	Actual	Notes
Ensure that CASA is financially efficient and accountable.	1.	*Sufficient operating funds are available to bridge CASA's and GoA's fiscal years.	3 months of operating funds	3 months	Based on estimated operating expenses for January through March.
Implement the CASA Strategic Plan.	2.	*Percentage of objectives from the Strategic Plan listed as in progress or complete (according to the Secretariat's colour coded rating system).	Goal 1 100% Goal 2 100% Goal 3 100% Goal 4 100%	Goal 1 75% Goal 2 78% Goal 3 0% Goal 4 58%	Some initiatives under Goal 1 and Goal 3 are currently not attainable in the current fiscal climate.
Monitor the implementation of CASA recommendations .	3. a.	*Percentage of low-rated recommendations being monitored.	100%	100%	Currently monitoring five low rated recommendations.
	3. b.	*Percentage of administrative and operational recommendations from the previous four years that have been implemented.	Administrative 100% Operational 100%	Administrative 100% Operational 100%	This is the first year this measure has been calculated. A period of the last four years has been examined by the PMC.
Provide support to CASA stakeholders.	4.	a. *Degree of satisfaction with support provided by Secretariat.	Awareness: See Appendices of Annual PMC Report Value: Maintain or increase Relevance: Maintain or increase	No data	No data collected for this measure as it was developed during the recent review of CASA's Performance Measurement Strategy.

Objective		Performance Measure		Target	Actual	Notes
		b.	Project teams' degree of satisfaction with support provided by Secretariat	Maintain or increase	Increase - 75%	June (mid-year) results reported. Statistic does not reflect recent review of CASA's Performance Measurement Strategy. The 2016 report will reflect the new measurement methodology. Was 74% in 2014.
Encourage Board member participation in CASA.	5.	a.	Percentage of Board attendance at Board meetings by sector.	75%	Government – 52%[1] Industry – 92%[2] NGO – 100%	The target for government was not met. The government caucus consists of federal, provincial, municipal, First Nations, and Métis representatives. 2014 Results: Government – 53.1% Industry – 83.3% NGO – 85%
		b.	*Project teams' degree of satisfaction with support provided by Board member	Maintain or increase	Maintain – Government – 100%[3] Industry – 100% NGO – 75%	June (mid-year) results reported. Statistic does not reflect recent review of CASA's Performance Measurement Strategy.

[1] Government attendance:
Aboriginal (First Nations): 0%
Aboriginal (Metis): 0%
Federal: 66%
Local (Rural): 66%
Local (Urban): Vacant, not included in totals
Provincial (Energy): 33%
Provincial (Environment): 100%
Provincial (Health): 100%

[2] Industry attendance:
Agriculture: 100%
Alternate Energy: 66%
Chemical Manufacturers: 100%
Forestry: 66%
Mining: 100%
Oil & Gas – Large: 100%
Oil & Gas – Small: Vacant, not included in totals
Petroleum Products: 100%
Utilities: 100%

[3] Government of Alberta has a different process for providing support to board member counterparts

Objective		Performance Measure	Target	Actual	Notes
		counterparts, by sector.			2014 results: Government – 80% Industry – 100% NGO – 100%
Develop reports and recommendations adhering to CASA's managing collaborative processes guide	6.	Degree of satisfaction with project team work by team: ○ The Project Charter was completed. ○ The process was collaborative. ○ The team developed recommendations using the SMART (Specific, Measurable, Actionable, Realistic, Time-bound) model.	75% 75% 100%	85% 77% 71%[4]	Old CASA Project Team Exit Survey used for EFR and OMT Project Teams. Statistic does not reflect recent review of CASA's Performance Measurement Strategy. The 2016 report will reflect the new measurement methodology.
Improve project team knowledge of the managing collaborative processes guide.	7.	* Project teams' degree of satisfaction with ability to participate in collaborative processes.	Maintain or increase	Decrease – 58%[3]	Target was not met – was 74% in 2014. Old CASA Project Team Exit Survey used for EFR and OMT Project Teams. Statistic does not reflect recent review of CASA's Performance Measurement Strategy. The 2016 report will reflect the new measurement methodology.
Increase awareness of CASA, CASA projects and the managing	8.	Speaking engagements and meetings undertaken by CASA's Executive Director.	Maintain or increase	20	Includes 16 meetings with external stakeholders, and 4 speaking engagements starting from March 2015.

[4] Please refer to the Final Reports for the Odour Management Team and Electricity Framework Review.

Objective		Performance Measure	Target	Actual	Notes
collaborative processes guide.					This is the first year this measure has been calculated.

Recommendation 1: Approve performance measures results.
The Performance Measures Committee recommends that the Board approve the 2015 performance measures results for inclusion in the 2015 CASA Annual Report.

Performance Indicators

Table 2 provides a summary of the 2015 performance indicator results. Additional information can be found in Appendix 2.

Table 2: Performance Indicators Summary (all indicators will be included in CASA's Annual Report)

Objective		Performance Indicator	Actual	Notes
Implement CASA recommendations.	1.	Percentage of substantive recommendations from 4 years prior (2013) that have been implemented.	70%	See "Additional Information in Appendix 1 – Section 1". Note that this % is based on 1 recommendation that was classified as substantive (out of a total of 4 recommendations from 2011-2014).
Measure impact of completed project team work.	2.	Each completed project team comes up with one specific metric to measure success of team 5 years in the future.	N/A	No team metrics were scheduled for reporting in 2015.

Recommendation 2: Approve performance indicators results.
The Performance Measures Committee recommends that the Board approve the results of the 2015 performance indicators for inclusion in the 2015 CASA Annual Report.

Review of Past Recommendations

In June 2008 the CASA Board identified the need to follow-up on low-rated recommendations on a longer term basis, rather than just the one year snapshot provided in the related performance indicator. The Committee developed a matrix of all low-rated recommendations since 1997 as well as a Decision Tree for assessing low-rated recommendations which was approved by the Board in 2009 (see Appendix 2). The matrix is intended to be a living document that will be updated as the Committee gathers information from implementers. The Committee will then use this information to advise the CASA Board on appropriate follow-up for the low-rated recommendations.

The CASA Board has the final decision whether to consider a recommendation closed (i.e. CASA no longer pursues information on its implementation). There are three criteria to weigh in the decision that were approved by the Board in September 2009:

1. Priority level: Is the current importance of the issues 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 recommendations?

The Committee found that they require further guidance and information from the board in order to make a recommendation on the following four (4) low-rated recommendation:

Recommendation	Recommendation from PMC
2002	
Acidifying Emissions Project Team	
3. Alberta Environment should lead an evaluation of the acidifying emissions management system every two to three years based on the evaluation process that has been established by AEMIT. Evaluation results should be reported to the CASA Board and the next evaluation should be done in 2003. This task would require Alberta Environment to complete the	The Committee is requesting further direction from the Board on next steps for this recommendation. <u>Reason:</u> The Acid Deposition Framework was created and has a 5-year review process. The Framework appendices contain two forms related to the bullets in the recommendation. In April 2013 the PMC sent a letter to ESRD requesting that each review include completion of the forms in the appendices, and that the results be shared with the CASA board. In February 2014, ESRD responded to the letter with copies of the completed forms from the appendices.

forms that AEMIT has developed and used to conduct its evaluation; these are: • the goals, objectives and performance measures table, and • the evaluation protocols table.	The Acid Deposition Framework is currently being reviewed and the CASA board will be provided with an update,
2007	
Renewable and Alternative Energy Project Team	
1. The Renewable and Alternative Energy Project Team recommends that the Government of Alberta develop and implement a policy framework to increase the supply of and demand for renewable and alternative electrical energy in Alberta. This policy framework should be developed and implemented in a timely manner, and the Government should consider including in the policy framework the elements and policy options described in this report.	The Committee is requesting further direction from the Board on next steps for this recommendation. Reason: The Climate Leadership Plan sets targets on greenhouse gas (GHG) emissions and will lead to performance standards for industry sectors, including electricity. Among the key outcomes: • Phasing out coal emissions from coal-generated electricity and developing more renewable energy ○ (up to 30 per cent renewable by 2030); • Implementing a new carbon price on greenhouse gas emissions; • A legislated oil sands emission limit; • Employing a new methane emission reduction plan.
2013	
Ambient Monitoring Strategic Planning Project Team	
18. The AMSP team recommends that the MIC: • Do a scientific, objective analysis to determine the appropriate network density for a province-wide network that will spatially represent air quality in Alberta. • Use industry, airshed and government monitoring stations where possible to address gaps in air monitoring. An assessment	The Committee is requesting further direction from the Board on next steps for this recommendation. Reason: The passive air monitoring networks in Alberta have been plotted on a map showing where redundancies and gaps may be apparent. A formal analysis has not been completed. AEMERA/AEP Monitoring and Science intend to evaluate the existing passive monitoring program with airsheds and make recommendations for redistribution of passive monitoring in the province.

of where these gaps are and what stations could be used to fill these gaps is required.	
26. The AMSP Project Team recommends that: Alberta Environment develop and maintain a comprehensive GIS-based provincial inventory of all relevant emission sources that influence provincial air quality commencing within one year following board approval.	The Committee is requesting further direction from the Board on next steps for this recommendation. <u>Reason:</u> The provincial air emissions inventory has not yet achieved the desired level of comprehensiveness or geoanalytical capabilities. The provincial air emissions inventory is not currently being maintained by Alberta Environment and Parks, and does not include any emissions information after 2010. Comprehensive emissions inventory reporting requirements for EPEA approved industrial facilities are included in the proposed draft Chapter 9: Reporting of the Alberta Air Monitoring Directive and will require enhanced emissions reporting beginning in 2018/19. The collected emissions information would be used to update part of the provincial inventory. There are many actions planned to update and enhance the provincial air emissions inventory, however, none of the required resources have been allocated and likely won't be in the foreseeable future. While more up-to-date Alberta emissions inventories have been prepared for regional photochemical modelling and regulatory dispersion modelling, these are not adequate or sufficient to meet the AMSP recommendation for "a comprehensive GIS-based provincial inventory". This recommendation is therefore not being addressed by another venue. More work by Alberta Environment and Parks is certainly necessary. Additional work by CASA likely will not help to address the significant resource limitations of Alberta Environment and Parks.

Recommendation 3: Create a list of recurring recommendations to be reviewed on a rotating basis.

The Performance Measures Committee recommends that monitoring of certain recommendations be monitored on a rotating cycle as applicable.

The Committee found that the following low-rated recommendation requires continued tracking as implementation progresses:

2009	
2008 Electricity Framework Review Team	
7. The following deemed credit thresholds for the 2011 BATEA standards be applied to new coalfired and gas-fired units: A. NOx (coal-fired) – 0.38 kg/MWh net B. SO2 – 0.55 kg/MWh net C. NOx (gas-fired) – "A" factor = 0.07 kg/MWh net and "B" factor = 0.008 kg/GJ Non-Peaking Standard Formula: NOx (kg/h) = [Net Power Output (MW net) x A] + [Heat Output (GJ/h) x B]	<u>Reason to keep in the low-rated matrix / continue to monitor</u>: The 2013 EFR Team agreed that this recommendation has not been implemented. This is because it is felt that the renewed Climate Change Strategy (which should be finished soon) may affect parts of the Framework. Once the Strategy is complete, the recommendation will be revisited. The consensus recommendations are being used informally by ESRD but have not been formally incorporated into standards, in part because no new plants have been approved since January 1, 2011.

Summary of PMC Recommendations

Recommendation 1: Approve performance measures results.
The Performance Measures Committee recommends that the board approve the 2015 performance measures results for inclusion in the 2015 CASA Annual Report.

Recommendation 2: Approve performance indicators results.
The Performance Measures Committee recommends that the board approve the results of the 2015 performance indicators for inclusion in the 2015 CASA Annual Report.

Recommendation 3: Create a list of recurring recommendations to be reviewed on a rotating basis.
The Performance Measures Committee recommends that monitoring of certain recommendations be monitored on a rotating cycle as applicable.

Appendix 1: Additional Information for Table 2 (Performance Indicators)

Performance Indicator 1: Percentage of substantive recommendations in the last four years (2011 onwards) that have been implemented.

For 2015, the Performance Measures Committee considered the recommendations approved by the CASA Board in 2011, 2012, 2013 and 2014. In these years, the CASA board approved one recommendation from the Confined Feeding Operations Project Team, two recommendations from the PM and Ozone Implementation Team, and one recommendation from the Human and Animal Health Team. Of these, one recommendation from the PM and Ozone Implementation Team was deemed substantive by the committee. The remaining recommendations were deemed either administrative or operational and so are only recorded under performance measure 3.b.

Overall, the degree of implementation of CASA recommendations approved in 2015 is 70%. Table 1 shows the rating of the substantive recommendation and subsequent calculation of overall implementation of recommendations and Table 2 summarizes the results since 1997.

Table 1: Rating of Substantive Recommendations

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
PM & Ozone Implementation Team (1)								2			
Total number (1)								1			1
Mean Calculation: 7 x 1 = 7 **Overall (average rating)** = 7/1 = 7 or 70%											
Reviewer: PM & Ozone Implementation Team: Bob Myrick (AEMERA)											
Comments: This recommendation was essentially implemented as planned from a technical perspective. The technical expertise in the AEP Air Policy group was available and part of the development of the CAAQS. However, there were no additional CASA teams developed to assess the CAAQS during the transition from Canada-wide Standards to CAAQS.											

Table 2: Summary of Results for Recommendation Implementation

Year Approved by CASA Board	Number of Substantive Recommendations	Degree of Implementation of Substantive Recommendations (%)
1997	25	77
1998	54	76
1999	30	62
2000	0	n/a
2001	5	94
2002	53	74
2003	79	73
2004	47	91
2005	18	77.2
2006	1	100
2007	1	30
2008	2	90
2009	3	42
2010	1	100
2011	0	n/a
2012	0	n/a
2013	1	70
2014	0	n/a

Appendix 2: Decision Tree for Low-rated Recommendations

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.

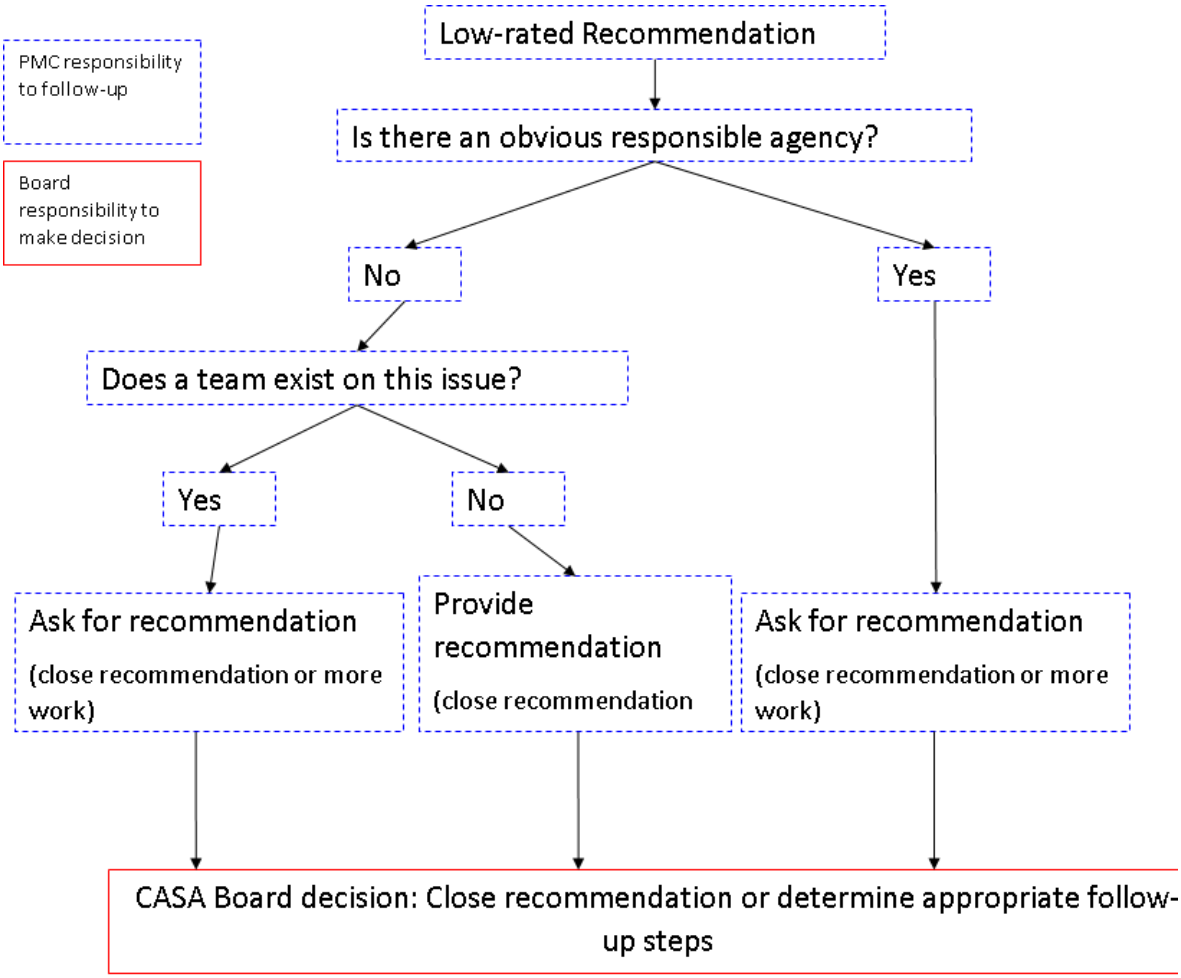
The Decision Tree, as illustrated on the next page, is intended to provide guidance on how to follow-up on low-rated recommendations. The Decision Tree will only be used for low-rated recommendations. The Committee will first follow-up with the implementer for information why a recommendation was not 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.

<u>CASA Board Decision</u>
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?


PMC responsibility to follow-up
Board responsibility to make decision
Low-rated Recommendation
Is there an obvious responsible agency?
No
Yes
Does a team exist on this issue?
Yes
No
Ask for recommendation
(close recommendation or more work)
Provide recommendation
(close recommendation
Ask for recommendation
(close recommendation or more work)
CASA Board decision: Close recommendation or determine appropriate follow-up steps

Appendix 3: Summary of low-rated recommendations

Year	Project Team	Recommendation	Status
2002	Acidifying Emissions Project Team	3. Alberta Environment should lead an evaluation of the acidifying emissions management system every two to three years based on the evaluation process that has been established by AEMIT. Evaluation results should be reported to the CASA Board and the next evaluation should be done in 2003. This task would require Alberta Environment to complete the forms that AEMIT has developed and used to conduct its evaluation; these are: • the goals, objectives and performance measures table, and the evaluation protocols table.	Require further guidance
2007	Renewable and Alternative Energy Project Team	1. The Renewable and Alternative Energy Project Team recommends that the Government of Alberta develop and implement a policy framework to increase the supply of and demand for renewable and alternative electrical energy in Alberta. This policy framework should be developed and implemented in a timely manner, and the Government should consider including in the policy framework the elements and policy options described in this report.	Require further guidance
2009	Ambient Monitoring Strategic Planning Project Team	18. The AMSP team recommends that the MIC: • Do a scientific, objective analysis to determine the appropriate network density for a province-wide network that will spatially represent air quality in Alberta. Use industry, airshed and government monitoring stations where possible to address gaps in air monitoring. An assessment of where these gaps are and what stations could be used to fill these gaps is required.	Require further guidance
2009	Ambient Monitoring Strategic Planning Project Team	26. The AMSP Project Team recommends that: Alberta Environment develop and maintain a comprehensive GIS-based provincial inventory of all relevant emission sources that influence provincial air quality commencing within one year following board approval.	Require further guidance
2009	2008 Electricity Framework Review	7. The following deemed credit thresholds for the 2011 BATEA standards be applied to new coalfired and gas-fired units: A. NOx (coal-fired) – 0.38 kg/MWh net B. SO2 – 0.55 kg/MWh net C. NOx (gas-fired) – "A" factor = 0.07 kg/MWh net and "B" factor = 0.008 kg/GJ Non-Peaking Standard Formula: NOx (kg/h) = [Net Power Output (MW net) x A] + [Heat Output (GJ/h) x B]	Continued monitoring

Appendix 4: Number and location of air monitoring stations

As requested under recommendation three of the 2015 Performance Measures Review, the PMC has been asked to provide a snapshot of the number and location of air monitoring stations in the province of Alberta.

[content to be contributed by Bob Myrick at AEMERA]