Performance Management Evaluation to Support FY19 Operating and Capital Budget Requests

Guidelines and Submission Procedures for UA, SW, UAA, UAF and UAS

LAST UPDATED: MAY 16, 2017

I. PREFACE FOR FY19

UA's Performance Management Evaluation in support of the FY19 budget request will be prepared against an environment of continuing, indeed intensifying, fiscal austerity. To help UA navigate this challenging background, the following document details two essential issues: 1) programmatic considerations in formulating goals and metrics (Part A); and 2) specific deadlines and step-by-step instructions to upload objectives into iData and goals and metrics into the OMB website (Part B).

II. PART A – CONTENT GUIDELINES

The material below sets the tone for UA's submission to the State of Alaska, UA's single largest---and most widely used---source of funding. Intent and objectives are critical and must reflect UA's overarching priorities. Therefore, content has been reviewed and further refined by a broad-based group including Strategy, Planning and Budget, the Budget Workteam and the IR Council.

A. Planning and measuring strategic progress toward the Board of Regents and university administrative long term goals

Stress three themes: Strategic Pathways, UA's Financial Framework and Alaska 65 X 2025.

- Presentations need to **reflect the impact of Strategic Pathways** (http://www.alaska.edu/pathways/) on individual goals in FY19. This is very important: Strategic Pathways is the bridge that UA is implementing to ensure UA remains relevant, productive and efficient, State of Alaska's financial situation notwithstanding. Be specific about how UA's change process---Strategic Pathways---strengthens achievement of goals.
- Budgets and goals need **to support UA's Financial Framework,** Scenario 1, Investing in Alaska's Future. See http://www.boarddocs.com/ak/alaska/Board.nsf/files/AFQ2U403D098/$file/Budget%20Presentation%20as%20of%20November%209%202016.pdf. Universities' goals should demonstrate how they support cost effectiveness including sustainability, quality, affordability and lowering cost of instruction while reducing negative community impact of any cutbacks.
- Submissions should **demonstrate how Universities' goals support the "Alaska 65 X 2025"** effort--- to "increase the percentage of working-age Alaskans who hold postsecondary credentials – from apprenticeship or certificate completion to advanced degrees – to 65% by the year 2025." See http://65by2025.org/about/behind-the-campaign/. Here, universities should stress efforts on three related issues: a) improving the success of developmental students; b) reducing "stop-outs" or students who leave UA without credentials; and c) increasing the percentage of students attending full-time. Combined, these efforts should result in movement towards the 65 X 2025 goal---a significantly more skilled Alaskan workforce----something all universities should highlight in their submissions.

B. Content guidelines - State of Alaska Office of Management and Budget recommendations

Make sure submissions reflect State OMB's strategic and stylistic perspectives and suggestions.

- **Provide analysis and supporting justification** for all goals. Compelling substantiation will help support successful competition for funding with other needs and requirements at the State of Alaska level.
- **Analyses should be concrete**, describing the human impacts of budget allocations and the incremental impacts on outputs of budget decrements. In other words, the impacts of *each* budget request should be quantified…such as "an allocation of $X will enable UA to graduate XX more engineers by FY22; a loss of $Y will result in YY fewer grads and an estimated ZZ more out-of-state engineers on short term contracts in Alaska. This is an undesirable result: out of state engineers on short term contracts would be less likely to retain earnings in Alaska and will be less sensitive to Alaska's needs than would Alaskan engineers."
- **Targets need to be realistic and focused** on the University's core mission. Operating with fewer support staff and reduced funding substantially constrains UA's capacity. Be ware of overestimation: this is neither the time to optimistically project achievements nor to "branch out" into areas peripheral to UA's mission. Therefore, it's anticipated that universities' performance projections would proportionately show performance decreases as a result of dramatic funding decrements in some cases.
- **Describe impacts of reallocated funding.** If a university received reallocated funding in FY17, it should indicate how it used the allocation and how that funding supported UA goals.

III.   PART B – SUBMISSION PROCEDURES

To be included, a performance measure must have an approved definition in iData. Please refer to UA's process for documenting data and data definitions, available online at: https://www.alaska.edu/swbir/ir/data-architecture/data-definitions/UA_Process_Data_and_Definitions.pdf.

The month of May is an excellent time to be fleshing out and refining data definitions in order to meet the deadline of June 16 for fully-fleshed out drafts to be in iData (see schedule below). IRPA can assist formulating data definitions and help with navigating the process to completion.

A. Responsible People, Tasks, and Key Dates

The following persons have been formally designated by their respective organization to deliver the coordinated Performance Evaluation in accordance with these Guidelines and Submission Procedures in support of UA's FY19 budget request:

- Erin Holmes: UA Anchorage
- Ian Olson: UA Fairbanks
- Brad Ewing: UA Southeast
- Myron Dosch: UA Statewide
- Arthur Hussey: University of Alaska System

The comprehensive UA Budget Calendar for the FY19 budget development cycle will be posted online on the Statewide Office of Strategy, Planning, and Budget website at: www.alaska.edu/swbir/budget/budget_planning/.

Dates given below may change if required by the State of Alaska Office of Management and Budget and/or the UA Board of Regent's schedule requires ~ responsible parties will be notified of the new due dates ASAP if that occurs. Key early dates in the FY19 Performance Management Evaluation process include:

- **16 June 2017**   Last day for Statewide, UA and Universities to change performance evaluation metrics and reporting definitions via iData
- **26 June 2017**   Final set of performance evaluation metrics and reporting definitions approved by IRPA
- **29 July 2017**   Universities, UA and Statewide submit preliminary performance report data analysis via OMB web site for initial review and comment
- **07 August 2017**   First draft performance analysis report to IRPA and to President and senior leadership
- **26 August 2017**   Final draft performance analysis report to President and senior leadership reflecting feedback from first draft
- **02 September 2017**   UA, SW, UAA, UAF and UAS performance analysis published on OMB web site and used in discussion during initial meetings with OMB. Changes after this date must be approved and effected by OMB staff

1.   Assure Data Definition Alignment (Due 16 June 2017)

The two steps below, assuring data definition alignment across the UA System, may be accomplished simultaneously:

Step 1: Validate and adjust any definitions to be used on OMB

(a) Log-in to the iData application (alaska.datacookbook.com). Use your UA Single-Sign-On (SSO) log-on and corresponding password.
(b) Select the 'Definitions' tab and "Browse Definitions."
(c) In the righthand box titled "Search:" type in key words appearing in the definition, such as "Institutional Support", highlight the adjacent arrow button and hit Enter.
(d) Select the applicable definition.
(e) Validate that the definition you used for OMB is aligned with iData definition.
(f) If there is an adjustment to be made, then click on "*New Version*" and submit the revised definition.
- If there is an additional definition to be made, then create it and submit. To create the definition, you select "Create a Definition" dropdown under the "Definitions" tab.
- The 'Create a New Version' option is available underneath the title.
- The 'SUBMIT' option is at the bottom of the page.
- You can make any comments at the bottom of the definition's page.

If you have problems logging in, please contact Alesia Kruckenberg, amkruckenberg@alaska.edu, or 907-450-8426.

Step 2: Identify Your OMB Performance Measures on a Spreadsheet Provided by UA Institutional Research, Planning and Analysis

You will return this spreadsheet to Arthur Hussey (amhusseyiii@alaska.edu) by 16 June, 2017, completely filled in for each performance measure you are using in FY19. This document seeks to link what is in OMB with what is in iData. For purposes of brevity, some OMB target titles have been shortened; in addition, actual targets (e.g., X degrees) have been omitted as these vary from year to year. Note that mission level entries are in bold; core service entries are in normal font.

a) To uniquely identify each performance measure in the OMB report, the spreadsheet contains the following six features as Columns A to F:

- University Reporting the Measure (UA, SW, UAA, UAF, UAS)
- Letter designation of OMB Mission Result of each measure. The measure 'Confer 4,900 degrees, certificates & endorsements in FY17 and 5,000 in FY18' falls under UA's OMB Mission result 'University of Alaska System:'. So **A** is the OMB Mission.
- Letter designation of OMB Core Service of each measure. For example, 'Confer 175 baccalaureate engineering degrees' falls under 'A1: Student Instruction'. So **A1 (Student Instruction)** is the OMB Core Service.
- Target number in the Core service area, such as 1, 2, 3, etc. Some Core service areas have several different targets.
- Title, in OMB, of the target, such as "Confer baccalaureate engineering degrees."
- Whether the measure is newly introduced in the current reporting year ("New" or "Old").

b) To uniquely reference each performance measure's iData definition, the spreadsheet contains the following two additional columns, G, H and I:

- URL link to the measure's iData definition (Column G). This can be copied for the address bar of your web browser, if you are looking at the iData definition.
- iData Term (Column H). The name of the measure in iData.
- Any explanatory notes (column I).

FY19 OMB Performance Management Measures Linked to iData								
				Targets from FY18-based UA Pages of OMB Website				
University	OMB Mission	OMB Core Service	OMB Target	OMB Target Title	New or Old	iData URL link per OMB (or correct link)	iData Title	Notes
UAF	**A**		**1**	**Confer academic awards in high-demand job area programs**	**Old**	**https://alaska.datacookbook.com/institution/terms/14836**	**High Demand Job Area Degrees Awarded**	
UAF	A	A1 (Student Instruction)	1	Enroll students majoring in high-demand job area programs	Old	https://alaska.datacookbook.com/institution/terms/1968 1	High Demand Job Area (HDJA) Enrollment by Fiscal Year and MAU	
UAF	A	A1 (Student Instruction)	2	Students majoring in high-demand health-related job programs	Old	https://alaska.datacookbook.com/institution/terms/3555 3	UAF OMB High Demand Job Area (HDJA) Health Enrollment	

You will return the spreadsheet, edited, to Arthur Hussey. If you are retaining a target from FY18, you need do nothing. If you are discontinuing it, please hide (do not delete) the row. If you are adding a target, you will add a

row, filling in the appropriate cells; column F will obviously be "New".

B. Logging in and editing on OMB's Performance Framework

1. Log in to the Performance Framework

(a) Go to website -> http://omb.alaska.gov/results/admin/index.php
(b) Log-in with information -> USERNAME: XXXX   PASSWORD: XXXX

Please Login:
Username: Password:
[   ]   [••••••••••] [Login]
Forgot your **password**?

This is not your UA login but rather one assigned you by OMB.

2. Select your university

After logging-in, you should see the options below. Select your university.

Agency Listing | **Department Key Performance Indicators** | **Reports**

University of Alaska   (Recent Edits)
• Statewide Programs and Services (RDU 234)
• University of Alaska Anchorage (RDU 235)
• University of Alaska Fairbanks (RDU 236)
• University of Alaska Southeast (RDU 237)

3. Edit your performance report in Draft Mode

Important note: if at all in doubt, see OMB's *Performance Web Application User Guide: https://www.omb.alaska.gov//results/admin/MM_User_Guide.pdf.*

(a)   After selecting your university, select the **DRAFT** edit mode by clicking on 'Draft.'
(b)   Once you have selected draft, the word "DRAFT" will be larger and "PUBLISHED" will be smaller.

The box becomes the following:

Edit Mode
Published | Draft
Viewing proposed additions (purple), deletions
(strikethrough), and revisions (red). Changes will
only appear on the public website after they are
approved.
[Approve all changes on this page]

C. Editing your 'Mission'

'MISSION' IS NOT NORMALLY EDITED – MISSION CHANGES REQUIRE ADVANCE BOR APPROVAL AND DISCUSSION WITH STATE BEFORE INCORPORATION. SUCH CHANGES CAN, HOWEVER, BE APPLIED FOR IN ADVANCE.

Important: Changing your university mission statement is not trivial. **Even slight *proposed* changes should be approved at the highest level at your university** to avoid executives being blindsided by legislative demands for

justification. Contact UA Institutional Research, Planning and Analysis for more information.

D. Editing 'Core Services'

NOTE: one cannot directly edit the list of Core Services that appears below the mission statement. The list is automatically populated from your entries below in 'Mission Results' and 'Core Services'.

Here's what the section looks like now in DRAFT mode:

Core Services
- Student Instruction
- Research: Advancing Knowledge, Basic and Applied
- Service: Sharing Knowledge to Address Community Needs

Note that there are no options to edit the bullet items. This list auto-populates from the core services listed below.

1.   Begin editing Core Services located in the Mission Results table

You can edit or remove core services by clicking on 'Edit' or 'Mark for Removal':

A1: Student Instruction
[Edit] [Mark for Removal]
Last modified: Aug 22 2014 15:10:51

⭐ Key Department Performance Indicator

- TARGET #1: Confer 4,900 degrees, certificates & endorsements in FY16 and 4,900 degrees in FY17.
  [Edit] [Mark for Removal] Details >
  [Duplicate this target]
  Last modified: Sep 11 2015 11:10:56

2.   Edit Core Services

(a) Editing the core service will show 2 different versions: Current and Modified.
(b) The current version shows the text of what is currently used on the website.
(c) The 'modified' version is a text box that will make all edits/deletions/additions to your specific Core Service. Tip: If the text box is not big enough, you can drag the lower right hand corner of the box to make it larger.

Editing Core Service for University of Alaska:
Current Version:
Student Instruction

Student Instruction

Comments:
This program category represents the university systems instructional programs, including all credit and non-credit courses for academic and vocational instruction, as well as directly related support functions: student services; academic support; scholarships; athletics; and library.

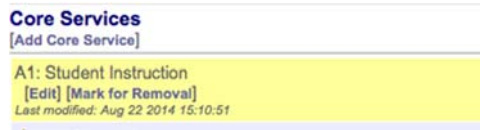| UGF Amount	DGF Amount	Other Amount	Fed Amount	PFT	PPT	NP
288047.3	255613.9	65746.7	69461.0	3686	181	0

Save

< Return

(d) click on the save button.

(e) Click on the Return option to continue editing without saving.

3.   To Add a new Core Service

(a) Click on 'Add Core Service.'

Core Services
[Add Core Service]

A1: Student Instruction
[Edit] [Mark for Removal]
Last modified: Aug 22 2014 15:10:51

You now see the below. Add the service into the text box.

Editing Core Service for University of Alaska:

Comments:

UGF Amount   DGF Amount   Other Amount   Fed Amount   PFT PPT NP

Save
< Return

(b) Change your mind and don't want to add the extra service? Click on the Return option to continue editing without making changes; or
(c) Input text that defines the new Core Service and save.

E. Editing Core Services Target Details

1.   Log in and find one of the Core Services sections

(a)   Log in to OMB and access the DRAFT version of your university.
(b)   Find the **Core Services** section (located under the Core Services title):

Core Services
[Add Core Service]

A1: Student Instruction
[Edit] [Mark for Removal]
Last modified: Aug 22 2014 15:10:51

⭐ Key Department Performance Indicator

- TARGET #1: Confer 4,900 degrees, certificates &
endorsements in FY16 and 4,900 degrees in FY17.
[Edit] [Mark for Removal] Details >
[Duplicate this target]
Last modified: Sep 11 2015 11:10:56

⭐ Key Department Performance Indicator

(c)   For each core service target, you can [Edit], [Mark for Removal], view [Details], [Duplicate this target]

2.   Edit the Target

(a) If you want to delete a target, click [Remark for Removal].
(b) Core service targets are ordered according to how you enter them. If you need to change the order, you may need to use 'Duplicate this Target' strategically to get the order you need.

9

- TARGET #1: **Confer 4,900 degrees, certificates & endorsements in FY16 and 4,900 degrees in FY17.**
  [Edit] [Mark for Removal] Details >
  [Duplicate this target]
  Last modified: Sep 11 2015 11:10:56

(c) Click on the [Edit] button.

Editing Target for University of Alaska:

Please limit targets and status statements to 35 words

Target:
Current Version:
Confer 4,900 degrees, certificates & endorsements in FY16 and 4,900 degrees in FY17.

Revised Version: (erase contents to revert to published value)

Confer 4,900 degrees, certificates & endorsements in FY16 and 4,900 degrees in FY17.

Save

< Return

(d) After editing a new version in the text box, click [Save] and Return

3.   Adding a 'Target' (aka "Key Performance Indicator")

(a) To add a target, click on the "Add Target" option at the end of the Core Service.
(b) The **Target** should be confined to a single statement of the fiscal year. There should be mention of the category and the numeric amount (with units). For example, "Graduate 114 students from Certificate programs in FY19."
(c) After entering a new target in the text box, click [Save] and Return.
(d) Once returned, you will be returned to the 'Main Page.'
(e) Next, click on [Details] for the core services target.

"Details" will get you to a page like the following. Note that you can select 'Edit' at various points on the page to analyze target detail, the data and graph, and the analysis portion.

Editing Table for University of Alaska

Title: Degrees, Certificates & Endorsements Awarded   Fiscal Year ⌄   Align Header Right ⌄ ☑ Show % change

Select Year	Quarter 1	Quarter 2	Quarter 3	Quarter 4	YTD*	Target	Quarter 7	Visibility	Compute as	
2010 ⌄	0	0	0	0	3,754		0	Public ⌄	Text ⌄	Remove**
2011 ⌄	0	0	0	0	3,983		0	Public ⌄	Text ⌄	Remove**
2012 ⌄	0	0	0	0	4,174		0	Public ⌄	Text ⌄	Remove**
2013 ⌄	0	0	0	0	4,491		0	Public ⌄	Text ⌄	Remove**
2014 ⌄	0	0	0	0	4,908		0	Public ⌄	Text ⌄	Remove**
2015 ⌄					4,678	5,000	0	Public ⌄	Text ⌄	Remove**
2016 ⌄						4,900	0	Public ⌄	Text ⌄	Remove**
2017 ⌄						4,900	0	Public ⌄	Text ⌄	Remove**
None ⌄	0	0	0	0	0	0	0	Public ⌄	Values ⌄	
None ⌄	0	0	0	0	0	0	0	Public ⌄	Values ⌄	
	☑ Hide	☑ Hide	☑ Hide	☑ Hide	☐ Hide	☐ Hide	☑ Hide			
Graph as:	None ⌄	None ⌄	None ⌄	None ⌄	Bar ⌄	Bar ⌄	None ⌄			
Color:	Blue ⌄	Red ⌄	GrnLt ⌄	GrnDk ⌄	Blue ⌄	BlueLt ⌄	Black ⌄			
Show value:	None ⌄	None ⌄	None ⌄	None ⌄	Top ⌄	Top ⌄	None ⌄			
Translucent:	☐	☐	☐	☐	☐	☐	☐			

Override vertical axis scale with: 0   Min. 0   Max. (leave blank or 0 for autoscaling)

*YTD input will be overridden by computed value unless "Compute as" is set to "text".
**Save any changes prior to removing a row or any unsaved edits will be lost.

4.   Editing your University's Data

There are two ways to edit data. One is to enter "Published" mode and select "Details", then "Edit." The other is to go to "Draft" mode and select "Duplicate this Target." If you choose the former, click on 'Edit' above the chart. This pulls up the data page as above):

Start at the above diagram's upper left, and moving clockwise:

(a) Select years from the pull-downs.
(b) Enter a chart title, and select fiscal or calendar year.
(c) Enter your annual data in the YTD column (unless you have a good reason to do otherwise).
(d) Enter your targets under the 'Target' column. You may need to type 'Target' in as the name of the column.
(e) 'Show % Change' refers to the optional data table that can be produced with the chart. The 'Hide' boxes below the data also refer to the data table. As you see it here, the data table is produced because 'Hide' is not selected for any column.
(f) Make sure you have 'Text' selected under the 'Compute as' column.
(g) To get the chart to plot, you must select something, usually 'bar' for the 'Graph as' row. The data and target columns are graphed as bars here.
(h) Notice that you can also override the vertical axis scale if you need to.
(i) Click 'Save.'

F. Editing Results

Follow the process outlined above for Core Services.

G. Previewing Your 'Results at a Glance'

1.   Log in and Find Export section (This process doesn't work well on Mac OS, use Windows)

(a) Log in to OMB and access the DRAFT version of your university.
(b) Find the 'RTF Exports' option at the bottom of the page under the Results/Core Services section**.**

RTF Exports
Performance Detail [w/RDUs & Comps]
Heads Up/Budget Book Format [w/RDUs & Comps]

2.   Find and Download Performance Detail

(a) Click [Performance Details] and your browser will download the RTF file.

You can view the RTF file in Notepad (Windows), Word (Windows/Mac), Text Editor (Mac).

H. Previewing Your Results as Public

1. Log in and find your report in draft mode

(a) Log in to OMB and access the DRAFT version of your university.
(b) Find the 'Preview as Public' option (located under the Mission Results/Strategies section), located to the right of 'RTF Exports'.
(c) The 'Preview as Public' will show how the report will be detailed on the website.

I. Data Review

1. Notify UA Institutional Research, Planning and Analysis

After previewing your DRAFT, notify Arthur Hussey by e-mail (amhusseyiii@alaska.edu).

2. UA Institutional Research, Planning and Analysis Review

(a) UA Institutional Research, Planning and Analysis will respond to your e-mail (sent in Step 1). Response will come after the submitted data has been reviewed.
(b) If edits are necessary, login to the OMB website and make changes.
(c) Notify UA Institutional Research, Planning and Analysis that all edits have been made (Repeat steps 1-2 if necessary).
(d) After final review, UA Institutional Research, Planning and Analysis approves submission of the university's Performance Evaluation to OMB.

IV.   APPENDIX A: Metrics – What are These?

A metric is a quantitative way of measuring a certain activity, usually over time, as measures of institutional health or progress toward institutional goals. There are a number of different types of metrics.

Definitions

1. **Input metrics** are measures of the resources or 'raw materials' that enter the system. Examples are recent Alaska high school graduates attending the University of Alaska or the number of new research grants.

2. **Progress metrics** measure activities completed to bring the institution closer to reaching its outcomes goals. Examples are enrollment and student credit hours attempted.

3. **Outcome metrics** specifically refer to 'products' of university activity, such as the number of degrees, certificates and endorsements awarded, or total direct research expenditures.

4. **Effectiveness metrics** measure the quality of work done by the institution. Examples are six-year graduation rate and number of graduates per 100 degree-seeking undergraduates.

5. **Efficiency metrics** measure how well the input measures are processed relative to resources used. Examples are Instructional Expenditures per Student FTE and Ratio of Instructional Faculty FTE to Student FTE.

Example

A simplistic real-world example: a delivery van.

- **Input metrics** could be amount of gasoline in the tank at the start of the day, or number of packages to deliver.
- A **progress metric** could be miles driven or gasoline burned.
- An **outcome metric** could be the number of deliveries performed in a day.
- An **effectiveness metric** could be proportion of packages delivered properly.
- **Efficiency metrics** could be miles per delivery, or gasoline burned per package delivered.

For the State of Alaska's Performance Management resources, see:
https://omb.alaska.gov/html/performance/resources.html

V.   APPENDIX B: Links to University of Alaska Reports, OMB Website

University of Alaska System
http://omb.alaska.gov/html/performance/details.html?p=172

Statewide Programs and Services
http://omb.alaska.gov/html/performance/details.html?p=232

University of Alaska Anchorage
http://omb.alaska.gov/html/performance/details.html?p=233

University of Alaska Fairbanks
http://omb.alaska.gov/html/performance/details.html?p=234

University of Alaska Southeast
http://omb.alaska.gov/html/performance/details.html?p=235