

STATE OF UTAH

PERFORMANCE


MEASUREMENT

PLAYBOOK



*Governor's Office of Planning & Budget and
Office of the Legislative Fiscal Analyst*

March 2022



“As we seek our One Utah vision, everyone is invited. Transparent communication to each other and to the public about our improvements, failures, challenges, and successes make us all better and help us to achieve more on behalf of Utahns. No one believes in our team more than I do. Thank you for your compassionate service to our state.”



- Governor Spencer J. Cox



INTRODUCTION

The Performance Measurement Playbook is meant to establish philosophy, structure, and best practices for state performance measures. Through [HB 326](#), *Performance Reporting and Efficiency Requirements*, (M. Ballard), Utah has moved to align the performance measures set by the legislative and executive branches. These measures are meant to tell the story of investments of taxpayer dollars. Performance measures help stakeholders navigate and understand state government and facilitate data-driven decision making within agencies. This playbook is a reference guide for agencies and staff in the Governor's Office of Planning and Budget (GOPB) and the Office of the Legislative Fiscal Analyst (LFA) to assist through the performance measurement process for both line item and new funding item performance measures.

MISSION

GOPB MISSION: Drive the best investment and use of Utah’s resources by providing fiscal, economic, policy, and planning expertise.

LFA MISSION: We affect good government through objective, accurate, relevant budget advice.

GUIDING STATUTES & CODE

GOPB

In [Utah Code 63J-4-301](#), GOPB is statutorily charged with establishing measurement practices across agencies and programs, assisting agencies with metrics, using clear goals and measures for evaluating agency budget requests and expenditures, and tracking and reporting performance measures. Specifically, GOPB is responsible for:

- Establishing benchmarking practices for measuring operational costs, quality of service, and effectiveness across all state agencies and programs;
- Assisting agencies with the development of an operational plan that uses continuous improvement tools and operational metrics to increase statewide capacity and improve interagency integration;
- Review and assess agency budget requests and expenditures using a clear set of goals and measures; and
- Developing and maintaining enterprise portfolio and electronic information systems to trace and report performance measures

LFA

In [Utah Code 36-12-13](#), LFA is statutorily charged with analyzing the state budget and making recommendations to the Legislature on each item or program appearing in the budget. As part of this work, LFA regularly monitors and reports on program implementation, performance, and management. Specifically, LFA is responsible for:

- Making recommendations to the Legislature on each item or program within the budget including:
 - Funding for and performance of programs, acquisitions, and services currently undertaken by state government to determine whether each department, agency, institution, or program should:
 - Continue at its current level of expenditure;
 - Continue at a different level of expenditure; or
 - Be terminated

[Utah Code 63J-1-903\(5\)](#) requires LFA to report relevant performance measure information to the Legislature (including the Executive Appropriations Committee and appropriate appropriations subcommittees).

JOINT

[Utah Code 63J-1-903](#) enables GOPB and LFA to develop a performance measure repository to collect, track, and publish agency performance. It also requires agencies to develop performance measures and targets in consultation with GOPB and LFA, and to report on those measures annually to GOPB and LFA.

AGENCIES

In [Utah Code 63F-1-903](#), executive department agencies are required to develop performance measures to include in an appropriations act for each fiscal year in consultation with GOPB and LFA. By October 1 of each calendar year, each agency must provide a report of the final status of the agency's performance measures and any recommendations for legislative changes for the next fiscal year to the agency's previously adopted line item performance measures.

For each new funding item, executive department agencies must provide GOPB and LFA with one or more proposed performance measures and targets developed in consultation with GOPB and LFA. Agencies must also report on the final status of new funding item performance measures, including actual spending and implementation, from the prior year and for supplemental funding items by August 15.

PERFORMANCE REPORTING

GUIDING PRINCIPLES

- We seek to [tie performance measures to the budget](#) by telling the story of investments, outputs, and outcomes for any organization or project funded by Utah taxpayer dollars.
- We will create a dashboard of performance measures to enable policymakers, agencies, stakeholders, and the public to see the impact of taxpayer investments.
- We align and streamline performance measure development and reporting through increased collaboration between the legislative and executive branches to reduce burden on agencies and focus their efforts on providing best service to their customers.

PERFORMANCE MEASURES

"A performance measure means a program objective, effectiveness measure, program size indicator, or other related measure." ([Utah Code 63J-1-902](#))

"A performance measure is a measure of how well a program, agency, or service system is working." (Friedman, 2015, p. 20)

"A measurement of the result of an effort or performance indicates the effect of that effort or performance in accomplishing its objective." (Ridley and Simon, 1938, p. 2)

- Performance measures should be relevant to and representative of Utah state government organizations.
- Performance measures should help internal and public stakeholders navigate and understand Utah state government.
- Performance measures should help agency officials improve the effectiveness of their programs, and provide rationale for resource allocation.
- Performance measures could also measure operational costs and quality of service.

- Performance measures should facilitate data-driven decision-making while also providing flexibility for how agencies measure performance and communicate to stakeholders.

There are two types of performance measures.

New Funding item Performance Measures

- Measures of a program’s objective, effectiveness, etc. that result from action during a legislative session that appropriate \$10,000 or more from the General Fund or Education Fund. This may include:
 - Funding that is one-time or ongoing
 - Funding for new programs or new funding for existing programs
 - Pass-through funding
- Reported once, after the close of the first fiscal year of funding
- Shows the short-term impact of new funding

Line item performance measures

- Measures of a program’s objective, effectiveness, etc. that are included as intent language under a line item, typically in a base budget appropriations bill
- Reported annually unless the Legislature votes to alter a line item performance measure and/or target
- Shows long-term trends and progress toward key agency goals

Outputs v. outcomes

- Performance measures will measure outcomes where possible

Outputs	Outcomes
<ul style="list-style-type: none"> • Direct product of program activities • Quantifies frequency and intensity of the activity of the program • Lead to a desired outcome 	<ul style="list-style-type: none"> • Meaningful impacts for citizens during or after the program • Change in behavior, skills, knowledge, attitudes, conditions • Attributable to program outputs

Outputs measure the activities or services delivered by the program. *Outcomes* measure observed characteristics of the target population and measure the benefits of those outputs (and not just their reception by participants).

Measuring and evaluating performance using outcome measures will not always provide definitive information about program impacts, and is not a substitute for quality implementation. These measures are intended to help decision-makers improve the effectiveness of programs and determine whether benefits to citizens justify investments in the programs. Outcome measures should provide reasonably reliable and valid information about the merits and results of programs and related activities.

A single program may need multiple outcomes to be measured to fully understand the impact of the intervention. For example, adapted from Rossi, Lipsey, and Freeman (2004), an education-based program intended to reduce e-cigarette usage among adolescents might assess impacts for both youths and their parents by measuring some of the following:

- Youth outcomes
- Attitudes toward e-cigarette usage
- Knowledge about e-cigarettes

- Reported conversations about e-cigarettes with trusted adults
- Rated intentions to use e-cigarettes
- Reported usage of e-cigarettes during a recent period
- Parent outcomes
- Knowledge about e-cigarettes
- Attitudes toward e-cigarette prevention programs
- Attitudes toward e-cigarette use
- Intentions to talk to children about not using e-cigarettes
- Reports of talks with their children about not using e-cigarettes

Here are examples of good performance measures:

Project	Goal	Output Measures	Outcome Measures
Permanent Supportive Housing Public-Private Partnership	Provide more units for people experiencing homelessness	<ul style="list-style-type: none"> • # of one-bedroom units produced • # of people housed 	Organizational outcome: <ul style="list-style-type: none"> • % of clients in housing after six months (% not homeless)
Family Budgeting Awareness	Increase personal financial stability of families	<ul style="list-style-type: none"> • # of financial planning sessions • # of families served 	Organizational outcomes: <ul style="list-style-type: none"> • # of families living on a budget (increased financial stability) • \$ amount families put into savings
Parent-Child Relationship Course	Improve parent skills, knowledge, and emotional functioning in parenting to decrease child abuse	<ul style="list-style-type: none"> • # of families enrolled • # of courses completed 	Organizational outcomes: <ul style="list-style-type: none"> • % change on parenting stress index score after taking course • % change on child-relationship scale score after taking course
Reduce the number of repeat offenders	Have inmates successfully complete their case action plans on time	<ul style="list-style-type: none"> • % of inmates that complete all of the milestones in their case action plans • % of attendance in post-incarceration support services • % of inmates with gainful employment 	Population outcome: <ul style="list-style-type: none"> • % change in recidivism rate

Project	Goal	Output Measures	Outcome Measures
E-cigarette education program	Reduce e-cigarette usage among adolescents	<ul style="list-style-type: none"> # of adolescents who attended the educational courses % change in adolescent e-cigarette usage after participation in program 	Population outcome: <ul style="list-style-type: none"> % change in adolescent or adults with medical conditions stemming from e-cigarette usage
State highway infrastructure	Reduce road fatalities due to highway infrastructure	<ul style="list-style-type: none"> # of hours to clear designated commuter corridors # of potholes reduced 	Organization outcome: <ul style="list-style-type: none"> # fatalities per 100,000 vehicle-miles of travel on state highways
State park facilities management	Decrease number of out-of-service bathroom facilities	<ul style="list-style-type: none"> # of customer notifications received about out-of-service bathroom facilities Mean and median response time from notification to resolution 	Organization outcome: <ul style="list-style-type: none"> % change in out-of-service bathroom facilities
Rural broadband	Increase access to broadband in rural areas	<ul style="list-style-type: none"> # households contacted about broadband 	Organization backlog: <ul style="list-style-type: none"> % change in rural broadband enrollments
Educator disciplinary action procedure	Reduce backlog of alleged educator misconduct cases	<ul style="list-style-type: none"> # of expedited hearings 	Organization status update: <ul style="list-style-type: none"> # of months from case opening to final decision
Taylorsville State Office Building remodel	Provide a better alternative to the State Office Building	<ul style="list-style-type: none"> % of key milestones completed on time % of key milestones on budget 	Organization Status Update: <ul style="list-style-type: none"> Building remodel completed on time and on budget

Questions to Help Assess Performance Measures

- Is it meaningful? Does it tie to the mission of the division/agency?
- Is it focused on customer needs and demands?
- Is it simple enough to understand? Does it avoid ambiguous concepts?
- Are the data available, accurate, and reliable?
- Is it cost effective to collect and report the data?
- If the measure captures an output, does it influence an outcome?
- Do you have a meaningful target (reasonable, not stretch or too conservative)?
- For new funding item performance measures, can the data be collected and reported within a year?

PERFORMANCE MEASUREMENT TIMELINE

Line item performance measures

<p>JANUARY FEBRUARY MARCH</p>	<ul style="list-style-type: none"> • LFA analysts include measures in an annual appropriations act during the legislative session
<p>APRIL MAY JUNE JULY AUGUST</p>	
<p>SEPTEMBER</p>	<ul style="list-style-type: none"> • GOPB and LFA analysts review measures (Sept. 15)
<p>OCTOBER</p>	<ul style="list-style-type: none"> • Agencies report the final status of measures (Oct. 1) • Agencies report recommended changes (Oct. 1) • GOPB and LFA analysts and agencies finalize measures (Friday before Oct. appropriations subcommittee meetings) • LFA analysts present measures (Oct. subcommittee meetings)
<p>NOVEMBER DECEMBER</p>	
<p>AS APPROPRIATE</p>	<ul style="list-style-type: none"> • LFA reports on performance measures information to Executive Appropriations Committee and the appropriations subcommittees as appropriate

Funding item performance measures

JANUARY FEBRUARY	
MARCH	<ul style="list-style-type: none"> • GOPB and LFA import list of new funding items into Budget Prep. Analysts will review funding items and flag ones they determine do not need a performance measure.
APRIL	
MAY	<ul style="list-style-type: none"> • Agencies submit performance measures and targets (within 60 days after the day on which the Legislature adjourns) • GOPB and LFA analysts provide feedback on measures and targets (within two weeks from the date on which agencies must submit their measures and targets)*
JUNE	<ul style="list-style-type: none"> • GOPB and LFA analysts and agencies collaborate to finalize measures and targets (within three weeks from the date on which analysts provide feedback)
JULY	
AUGUST	<ul style="list-style-type: none"> • Agencies report final status on new funding item performance measures from prior year and for supplemental items (Aug. 15)
SEPTEMBER OCTOBER NOVEMBER DECEMBER	
AS APPROPRIATE	<ul style="list-style-type: none"> • LFA reports on performance measures information to Executive Appropriations Committee and the appropriations subcommittees as appropriate

**Analysts and agencies may need to finalize performance measures for passthrough funding items sooner, based on contracting timelines.*

PERFORMANCE MEASUREMENT WORKFLOW FOR AGENCIES

Date	Perf. Measure	Action
January-March	Line item	Agency line item performance measures and targets are included in an annual appropriations act

March	Funding Item	Agencies receive a list of new funding items for which they will need to develop measures and targets (within 2 weeks after the day on which the Legislature adjourns a legislative session sine die)
May	Funding Item	Agencies submit performance measures and targets for each new funding item (within 60 days after the day on which the Legislature adjourns a legislative session sine die)
May	Funding Item	Agencies receive feedback on their proposed new funding item measures and targets (within two weeks from the date on which agencies must submit their measures and targets)
June	Funding Item	Agencies collaborate with GOPB and LFA to finalize new funding item performance measures and targets (within three weeks from the date on which analysts must provide feedback on the agency's performance measures and targets)
August	Funding Item	Agencies report final status of performance measures, actual spending, and date of implementation for prior-year and for current-year supplemental new funding items (Aug. 15)
September	Line Item	Agencies are notified by GOPB and LFA analysts of measures and/or targets that the analysts would like to consider changing (Sept. 15)
October	Line Item	Agencies provide recommendations for legislative changes to their previously adopted performance measures for the upcoming fiscal year (Oct. 1)
October	Line Item	Agencies report the final status of measures included in the appropriations acts for the prior fiscal year to GOPB and LFA (Oct. 1)
October	Line Item	Agencies and analysts collaborate to finalize line item performance measures (Friday before Oct. appropriations subcommittee meetings)
October	Funding Item, Line Item	LFA analysts present the funding item and line item performance measures results from the prior fiscal year and recommendations (as agreed to with agencies and GOPB analysts) for changes to the line item measures for the upcoming fiscal year to the appropriations subcommittees (Tuesday before the third Wednesday in Oct.)

PERFORMANCE MEASUREMENTS WORKFLOW FOR ANALYSTS

<i>Date</i>	<i>Perf. Measure</i>	<i>Action</i>
January-March	Line item	Analysts ensure agency line item performance measures and targets are included in an annual appropriations act
March	Funding Item	Analysts provide agencies with the list of funding items for which they will need to submit performance measures and targets (within two weeks after the day on which the Legislature adjourns a legislative session sine die)
May	Funding Item	Analysts receive performance measures and targets for each new funding item (within 60 days after the day on which the Legislature adjourns a legislative session sine die)
May	Funding Item	Analysts review new funding item performance measures and targets and identify those that will require additional review (within two weeks from the date on which agencies must submit their measures and targets)
June	Funding Item	Analysts collaborate with agencies to finalize new funding item performance measures and targets (within three weeks from the date on which analysts must provide feedback on the agency's performance measures and targets)
August	Funding Item	Analysts receive report from agencies on the final status of performance measures, actual spending, and date of implementation for prior-year and for current-year supplemental new funding items (Aug. 15)
September	Line Item	Analysts review measures and targets and notify agencies of measures and/or targets analysts would like to consider changing (Sept. 15)
October	Line Item	Analysts receive agency recommendations for legislative changes to the agency's previously adopted performance measures (Oct. 1)
October	Line Item	Analysts receive agency report on the final status of measures included in the appropriations acts to GOPB and LFA (Oct. 1)
October	Line Item	Analysts and agencies collaborate to finalize line item performance measures (Friday before Oct. appropriations subcommittee meetings)
October	Funding Item, Line Item	LFA analysts present the funding item and line item performance measures results from the prior fiscal year

and recommendations (as agreed to with agencies and GOPB analysts) for changes to the line item measures for the upcoming fiscal year to the appropriations subcommittees (Tuesday before the third Wednesday in Oct.)

October-January	Line Item	LFA analysts prepare measures approved by appropriations subcommittees for inclusion in draft base budget bills.
Any time	Both	LFA reports on performance measure information to the Executive Appropriations Committee and the appropriations subcommittees, as appropriate

PERFORMANCE MEASUREMENT IN BUDGET PREP

[Utah Code 63J-1-903](#) enables GOPB and LFA to develop an information system to collect, track, and publish agency performance measures. This performance measure repository has been built into Budget Prep, which agencies use to report on their budgets to GOPB and LFA.

Existing performance measures

Agencies

- Agencies will use Budget Prep to report data on established performance measures
 - New funding item performance measures for the prior-year and current-year supplemental items will be reported by August 15.
 - Line item performance measures will be reported by Oct. 1.
- Agencies will use Budget Prep to propose changes to existing measures and/or targets
 - Proposed changes to line item performance measures and/or targets will be entered by Oct. 1.
- Agencies will use Budget Prep to enter proposed performance measures, targets, and justifications for new funding items following the legislative session.
 - Proposed funding item performance measures and targets will be entered into the system within 60 days after the day on which the Legislature adjourns sine die.

Analysts

- Analysts will use Budget Prep to review performance measures
 - Review of new funding item performance measures from the most recent legislative session will begin after agencies submit performance measures and targets. Analysts will notify agencies of new funding item measures and/or targets that will require further collaboration before finalizing.
 - Review of line item performance measures will take place in late summer. Analysts will notify agencies of line item measures and/or targets analysts would like to consider changing by September 15.
- Analysts will use Budget Prep to archive line item performance measures
 - Measures will be archived after legislative action on line item performance measures. Archiving will occur after the legislative session.

New line item performance measures

Agencies will fill out the 'Create a Measure' form to propose a new measure by October 1 for GOPB and LFA approval. Best practice is to develop the new measure in collaboration with GOPB and LFA.

GOPB and LFA analysts will review newly proposed line item measures and targets. Analysts and agencies will collaborate to finalize line item performance measures by the Friday before October appropriations subcommittee meetings.

Performance measures data

The joint performance measures repository stores information about each measure including a tag ranging from something that is an interagency effort down to a program measure; the appropriation line item(s) and unit code(s) the measure corresponds to; the type of measure it is from population outcome to organization status update; the applicable impact areas and OneUtah Roadmap priorities; the target; and contact information. In addition, there are options to include documentation on the calculation of the measure and reference notes relating to the measure. See the [create a new measure template](#) which has all of the information collected for the performance measures.

CONTACT INFORMATION

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COMING SOON

Future editions of this playbook will include two additional sections. One will detail visualization tools that can be used to display performance measures data. The second will outline how to get data back out of the system for use by the agency (for example to display on an agency's website).

FREQUENTLY ASKED QUESTIONS

How many performance measures should I have?

Every government organization is different, so there is no standard for how many measures each agency should have. The important benchmark is whether your major organizational units are each tracked by at least one meaningful measure. The ultimate determination for what and how much to measure will be made between agencies and their GOPB and LFA analysts.

Are all the performance measures and their data in this repository public-facing?

Line Item Measures will all be public facing. Future enhancements to the system may allow agencies to add internal operational measures that could be kept internal.

How can agencies find what they have submitted in prior years?

In Budget Prep, agencies will be able to submit and see data for a measure over time, but this capacity will be built up over time as agencies submit performance measures data into the system.

How do we develop a performance measure and target for a passthrough funding item?

The agency that receives the funding has the responsibility to ensure that it is spent appropriately, even if the agency did not request the funding. That agency is also responsible for submitting the reports required by statute. An exception is capital projects where performance reporting for new buildings is with the agency that will occupy the building and the Utah Division of Facilities Construction and Management will report the actual spending and implementation status. Best practice is to have the passthrough entity that implements the funded program involved in the development

of a meaningful performance measure and target, and for contracts and other agreements to include specific performance measures and reporting requirements such that agencies receive required reports prior to releasing the last of the funds to ensure compliance.

How should differences between GOPB and LFA analysts be resolved?

If analysts cannot come to a consensus, then they will elevate the issue to Clare Tobin Lence at LFA and Jeff Mottisahw and Jill Curry at GOPB for resolution.

CITATIONS

Friedman, M. (2015). *Trying hard is not good enough: How to produce measurable improvements for customers and communities*. PARSE Publishing.

Ridley, C. and H. Simon (1938). *Measuring municipal activities: A survey of suggested criteria and reporting forms for appraising administration*. International City Managers' Association.

Rossi, P.H., M.W. Lipsey, and H.E. Freeman. (2004). *Evaluation: A systematic approach*, 7th edition. SAGE Publications Inc.