

Office Service Level Agreement (draft)

Office of Forecasting, Research and Analysis (OFRA)

| Document History Log | | | |
|-----------------------|----------|------------------------------|---|
| Rev. | Date | Author/Phone | Description |
| 1.0 - Original | 05/18/11 | Betsy Jensvold, 503-945-5667 | New Service Level Agreement |
| 1.1 - Minor revisions | 06/28/11 | Betsy Jensvold, 503-945-5667 | Feedback from JOSCS & OPHP |
| 1.2 – Major revision | 3/29/12 | Betsy Jensvold, 503-945-5667 | Approved budget; Updated work priorities & cost allocation process; New expectations concerning caseload forecast Steering Committees. |

TABLE OF CONTENTS

| | | |
|---|--|--|
| 1.0 SERVICE DESCRIPTIONS2 | | |
| 1.1 Office Purpose Statement2 1.2 Provided Services and performance Management Metrics...2 1.3 Services Out of Scope3 1.4 Points of Contact3 | | |
| 2.0 RESPONSIBILITIES3 | | |
| 2.1 Customer Responsibilities3 2.2 OFRA Responsibilities5 2.3 OFRA Oversight and Steering5 | | |
| 3.0 COST ALLOCATION6 | | |
| 3.1 Allocation Strategy6 3.2 Allocation Monitoring and Tracking6 3.3 Budgetary Information6 | | |
| 4.0 CONTINUOUS IMPROVEMENT PLAN7 | | |

1.0 Service Descriptions

1.1 Office Purpose Statement

The Office of Forecasting, Research and Analysis (OFRA) provides objective, transparent, independent caseload forecasts for DHS and OHA. OFRA develops caseload forecasts for all major DHS|OHA entitlement programs and caseload related research/analysis to support budgeting, policy development, and operational planning. OFRA has eight major caseload areas:

- DHS – Aging and People with Disabilities; Child Welfare; Developmental Disabilities; Self-Sufficiency; Vocational Rehabilitation Services
- OHA – Medical Assistance Programs; KidsConnect; Addictions and Mental Health

OFRA also supports DHS|OHA management with ad hoc requests for data and information, and innovative solutions to the challenge of collecting and analyzing useful data. As time allows, OFRA also provides consulting and technical assistance as outlined below.

1.2 Provided Services

Priority will be given to 1. Caseload Forecasts, 2. ICS, 3. Provider Taxes, 4. Analysis Across Caseloads. Consulting & Technical Assistance will be provided only if time allows.

| Service | Performance Measure |
|--|---|
| <p>CASELOAD FORECASTS</p> <ul style="list-style-type: none"> - Semi-annual program caseload forecasts for the current & next biennium (with published report) - Monthly caseload reports – monitoring actual client counts compared to the forecast - Caseload analysis & forecast impact assessment for policy development, program management, budgeting, legislative proposals, etc. - Analysis & integration of internal and external factors impacting caseloads - Policy history / timelines – tracking/documenting internal/external policy decisions that may affect caseloads - Research such as literature reviews and searches for publicly available data - Sub-state caseload analyses – e.g. distribution of clients, travel times & accessibility of agency offices - Stakeholder engagement for input, quality review, and feedback - Ad hoc research & analysis | <p>FOR SCHEDULED PRODUCTS</p> <ul style="list-style-type: none"> • Objectivity / Transparency / Independence – >=80% rated 4 or 5 • Customer Satisfaction – 67% rated 4 or 5 • Timeliness – Set annual calendar in Jan: Meet target dates >=80% • Accuracy (variation of actual from forecast) – For 80% of categories, 1st 3 months variation below 3%; Next 3 months variation below 6% <p>AD HOC REQUESTS</p> <ul style="list-style-type: none"> • Customer feedback – 67% answer “yes” when asked if OFRA 1. understood their request, 2. delivered product promised, 3. delivered product on-time • Track # of requests & provide quarterly summary of work performed |
| <p>INTEGRATED CLIENT SERVICES (ICS) DATA WAREHOUSE</p> <ul style="list-style-type: none"> - Maintenance & development | <ul style="list-style-type: none"> • <i>ICS data is current, available, reliable – to OFRA staff and others</i> • <i>Core processes documented</i> • <i>New data sources integrated accurately</i> |
| <p>PROVIDER TAX COLLECTION – Hospitals, Long-term care, Managed care (see section 1.3 Out Of Scope)</p> <ul style="list-style-type: none"> - Collection & reconciliation of tax payments - Interpretation & enforcement of policies and rules & initial level of appeal - Provider notification of rate changes | <ul style="list-style-type: none"> • Develop annual calendar by January 31st • Tax collections are complete, accurate, on time – 98% • Communication with providers – Respond within 2 business days – 95% |
| <p>RESEARCH & ANALYSIS ACROSS CASELOADS</p> <ul style="list-style-type: none"> - Agency-wide data for executive management & communications - Analysis across caseloads or crossing program boundaries – e.g. clients using multiple services - Sub-state caseload analyses – e.g. impacts by region, county, legislative district, etc. - Ad hoc research & analysis | <p><i>Same as listed above for Ad Hoc Requests, plus</i></p> <ul style="list-style-type: none"> • <i>Educate agency management about the kinds of support available</i> - <i>Prepare presentation, present to exec leadership</i> |

| | |
|--|--|
| <p>EXPERT CONSULTING & TECHNICAL ASSISTANCE – Subject to staff availability</p> <ul style="list-style-type: none"> - Utilizing data from ICS (integrated client services data warehouse) - Quantitative analysis - Qualitative analysis – e.g. surveys, focus groups, interviews, case studies, etc. - Utilization of GIS tools (geographic information systems) - Development of GIS data layers and assistance with geocoding of clean data - Seek / develop / disseminate best practices and innovative solutions for obtaining and utilizing data - Partner with other organizations to improve understanding of issues pertinent to DHS and OHA | <p>Same as listed above for Ad Hoc Requests, plus</p> <ul style="list-style-type: none"> • Educate agency management about the kinds of support available <ul style="list-style-type: none"> – Prepare presentation, present to exec leadership |
|--|--|

1.3 Services Out Of Scope

Items listed below are outside of the scope of service for this agreement

- Original legislation
- Original fiscal data
- Creating or leading program/policy evaluation
- Provider Tax collection appeals are escalated to the applicable DHS/OHA Director
- Insurer Tax collections performed by the Department of Consumer and Business Services
- Geocoding data that requires significant manual work
- Information requests from non-state agencies unless approved by applicable agency management (e.g. data or research for advocacy groups)

1.4 Point of Contact

| | | | |
|---------------------------------|--------------------------|--------------|----------------------------|
| Administrator | Betsy Jensvold | 503.945.5667 | bajensvold@DHS.state.or.us |
| Miscellaneous & Provider Tax | Katie L Smith | 503.947.5185 | klsmith@DHS.state.or.us |
| ICS | Pam McVay / Taylor Doren | 503.945.5930 | pmcvay@DHS.state.or.us |
| CW, SS, and VR Forecaster | Sue Porter | 503.945.9778 | sporter@DHS.state.or.us |
| APD and DD Forecaster | Kush Shreshtha | 503.945.5852 | kshresth@DHS.state.or.us |
| Medical programs Forecaster | Stephen Willhite | 503.945.6131 | swillhit@DHS.state.or.us |
| AMH Forecaster | Laurel Goode | 503.945.7666 | lkgoode@DHS.state.or.us |
| Regional & Sub-State Forecaster | Greg Tooman | 503.945.6239 | gdtooman@DHS.state.or.us |
| Policy & Qualitative Analyses | Melissa Hanks | 503.945.6237 | mahanks@DHS.state.or.us |
| GIS & Mapping Analyses | Arron Heriford | 503.945.5626 | aeheriford@DHS.state.or.us |

2.0 Responsibilities

2.1 Customer Responsibilities

Requesting service: Information requests are encouraged and are best submitted in writing. Send requests which apply to a single program area to that program’s assigned forecaster. Send requests which cross program boundaries to the OFRA administrator. Send provider tax requests to the provider tax contact. For urgent requests, or when the primary contact is not available, use the contact listed for “Miscellaneous” requests.

Time frames and prioritization: The OFRA Administrator will develop an annual calendar each January for scheduled work and share it with budget managers, program leadership, and Forecast Steering Committees. Time frames for ad hoc requests should be discussed with the program's assigned forecaster. Customers should provide as clear a request as possible, including a description of the issue (or question), who the work is for, the kind of output envisioned, and the desired delivery date. OFRA forecasters and technical staff are available to help customers develop requests. OFRA will notify the requestor if resource constraints prevent OFRA from performing the work requested, or if the project cannot be delivered by the agreed upon delivery date.

Providing information and data:

For semi- annual Caseload Forecasts:

OFRA forecasts are organized into eight major caseload areas. Each caseload area has a Forecast Steering Committee composed of forecasting staff, program experts (design, delivery & analytics), budget analysts (OHA/DHS, BAM & LFO), other impacted areas (e.g. workload planning). Each steering committee provides critical program information and serves to review & advise on the forecasts developed by OFRA.

Members of the Caseload Forecast Steering Committees are expected to:

- a) Advise OFRA about program areas being forecast, as well as new areas requiring a forecast.
- b) Maintain an objective perspective on the forecast process in order to ensure integrity and objectivity of the forecast.
- c) Assess forecast assumptions for their policy relevance and reasonableness.
- d) Identify policy, program and environmental factors that are likely to impact the caseload.
- e) Inform OFRA of currently enacted policy, program, and process changes that have the potential to affect caseload count.
- f) Provide program-level information (numerical and narrative) that informs OFRA forecasters and staff of caseload context.
- g) Provide expert review of forecast parameters, including recommended adjustments, risks, and alternative approaches.
- h) Provide other expert information relevant to maintenance, program information, and exogenous data sources.

- i) Attend steering committee meetings or send a knowledgeable representative empowered to exercise the authority of the member.
- j) Inform the assigned forecaster about staffing/organizational changes that might affect membership of the forecast steering committee.
- k) Participate in candid discussion about the forecast and programs, including asking/answering probing questions from committee members.
- l) Communicate with forecasting on a regular basis outside of steering committee meetings to ensure forecasting understands what is happening in their program areas.
- m) Provide feedback on OFRA's work product, processes, and performance.
- n) Provide resources within their authority to develop recommendations under the scope of this Charter.

For additional information about the Steering Committees' purpose, membership, roles, responsibilities, meetings, and recommendations see the Caseload Forecast Steering Committee Charter.

For ongoing Geographic Information Systems (GIS) work :

- Information necessary to support activities under the GIS enterprise license agreement (ex. licensing, training, technical assistance)
- If an agreement is in place, spatial and additional data specific to the agreement

For ongoing Integrated Client Services (ICS) data warehouse work:

- Participation of program leadership and key data staff on the ICS Steering Committee and ICS Data Use Committee
- Subject to interagency data sharing agreements, provide program and client data for the monthly ICS update
- Subject to applicable approvals, additional fields may be added to the data required for ICS

For ongoing Provider Tax work:

- At least once a year, MAP and APD program/budget staff shall provide OFRA with the new provider tax rates
- Each quarter, Financial Services shall provide OFRA with copies of individual Providers' completed quarterly tax form and payment record

For AD HOC work products and expert/technical consulting:

OFRA handles ad hoc requests as iterative research projects. Customers may be asked to provide clarification in order to increase the usefulness of the product, or to simplify the work involved. Examples of information that may be requested include:

- An explanation of the issue (or question)
- Who the work is for
- Description of the kind of output envisioned and desired delivery date
- Intended use, availability and distribution of final product
- Refined research question(s)
- Appropriate exogenous data
- Appropriate methodology
- Detailed program and policy information (numerical and narrative)
- Institutional studies related to the topic
- Review and feedback on OFRA staff methodology and results

Examples of information that may be needed for GIS requests:

- Applicable geocoded data from the requestor
- Information to facilitate intergovernmental data sharing agreements
- Information to support ESRI or DAS assistance

Providing feedback on services provided:

OFRA will develop tools to solicit customer feedback on scheduled and ad hoc work. Customers are expected to provide feedback when requested.

2.2 OFRA Responsibilities

Process for responding to requests: The applicable OFRA staff will acknowledge work requests in writing within two business days or less.

Time frames including response time and prioritization: The applicable OFRA staff (Administrator, Forecaster, or Research Analyst) will clarify the request, set a target delivery date, and notify the requestor if delays or issues arise during the course of the work. Based on need and priorities, the OFRA Administrator may assign additional staff to the project.

Business unit identified data needs from customer and how the data will be accessed by the business unit:

For ongoing Integrated Client Services (ICS) data warehouse work:

Customer data is routinely collected as part of the monthly ICS update process. However, when additional data is needed, OFRA staff will request data from the appropriate Program staff (e.g. program, budget, etc.). Data requests will clearly identify whether the request is for one-time information or a request for periodic (scheduled) updates.

For semi-annual Caseload Forecasts:

OFRA forecasts are organized into eight major caseload areas. Each caseload area has a Forecast Steering Committee composed of forecasting staff, program experts (design, delivery & analytics), budget analysts (OHA/DHS, BAM & LFO), other impacted areas (e.g. workload planning). Each steering committee provides critical program information and serves to review & advise on the forecasts developed by OFRA.

OFRA staff are expected to:

- a) Produce and distribute a forecast schedule in calendar form, sharing updates as necessary.
- b) Analyze and integrate internal and external factors impacting caseloads.
- c) Verify/evaluate empirical evidence used to support assumptions.
- d) Develop and maintain the Integrated Client Services Data Warehouse (ICS).
- e) Develop mathematical models used to complete base, adjusted and risk forecasts.
- f) Meet with Forecast Steering Committee at least once each cycle to discuss the forecast and obtain/discuss/consider input of committee.
- g) Provide committee members with the base forecast, including month-to-month projected caseload for current and subsequent biennia.
- h) Provide committee members with adjusted forecasts including month-to-month projected caseload for current and subsequent biennia.
- i) Provide backup materials and document explanations, assumptions, risks, etc.
- j) Provide documentation about the forecast methodologies used.
- k) Produce and distribute the official caseload publication describing the programs, general assumptions and risks, data tables, graphs, charts.
- l) Produce a regional caseload forecast by county and DHS|OHA service district.
- m) Produce monthly caseload reports – monitoring actual client counts compared to the forecast.
- n) Engage stakeholders for input, quality review, and feedback.

OFRA will use the final forecast discussed at the semi-annual caseload steering committee meetings as the official forecast. On rare occasions additional adjustments may need to be considered after the final committee meeting. When that occurs, the forecaster will notify all steering committee members about the proposed change, providing an explanation and giving committee members a chance to comment. This communication may be in-person, by phone, or via email. Following that exchange, the forecaster will communicate the final decision to all steering committee members.

For additional information about the Steering Committees' purpose, membership, roles, responsibilities, meetings, and recommendations see the Caseload Forecast Steering Committee Charter.

Communication of additional resource requirements to the customer: If resources beyond OFRA’s current capacity are required, the OFRA Administrator will contact the requesting Program administrator / management to discuss the work requested and potential solutions (including potential costs).

2.3 Office Oversight and Steering:

The OFRA will receive guidance and oversight from The Joint Operations Steering Committee. The JOSOC will determine priorities and assign work to the office as needed. Additional workload will be managed and distributed by the OFRA Administrator based on available resources. In cases where conflicting priorities or scarcity of resources exist to complete the assignment in the time frame required, a request for prioritization assistance will be elevated to the Joint Operations Steering Committee for final prioritization and workload realignment.

3.0 Cost Allocation

3.1 Allocation Strategy

Costs for the OFRA will be allocated to DHS and OHA based on an estimated distribution of services provided, which will be reviewed and updated quarterly. Actual OFRA costs will be allocated monthly, at which time DHS and OHA will transfer revenue for their share of the costs to the OFRA.

3.2 Allocation Tracking and Monitoring

Monthly reports will be generated by the budget unit reflecting the costs associated with the OFRA and charged to the respective agencies. These reports will reflect expenditures incurred each month as compared to planned expenditures for the month, as well as projections for the remainder of the budget period.

3.3 Budgetary Information

OFRA’s work is completely dependent on the Integrated Client Services (ICS) Data Warehouse, for which only some of the costs are included in the OFRA budget listed below; additional costs are included in the IT budget.

| | | |
|---|------------------------|--------------------|
| Office of Forecasting, Research and Analysis | 010-45-03-00000 | |
| Personal Services | | \$2,459,212 |
| Services and Supplies | | \$80,180 |
| Capital Outlay | | - |
| Special Payments | | - |
| Debt Services | | - |
| Total Expenses | | \$2,539,392 |
| POS | | 14 |
| FTE | | 13.04 |

4.0 Continuous Improvement Plan

| Start Date | Objective | Complete Date |
|--------------------------------|--|---------------|
| Twice/year starting Q2 2011 | Develop customer feedback survey to improve service <ol style="list-style-type: none"> 1. Utilize results to identify weakest service areas 2. Set baseline for performance 3. Set targets for improvements 4. Develop plan for reaching target 5. Implement plan | On going |
| Q4 2011 | Develop office level strategic plan <ol style="list-style-type: none"> 1. Align vision and mission from OFRA with DHS/OHA 2. Set 1, 3, 5 year objectives for OFRA 3. Determine relative management metrics 4. Establish current performance baseline 5. Perform gap analysis of current performance vs. objectives 6. Develop gap closure plan (level 1) for biennium 7. Get approval of gap closure plan from JOSC 8. Provide gap closure plan as an appendix to OFRA SLA | End Q1 2012 |
| Q2 2012 | Implement gap closure plan | Q3 2012 |
| Q4 2012 | Monthly review of gap closure plan <ol style="list-style-type: none"> 1. Check actual performance against gap closure plan 2. Verify alignment with agency objectives 3. Adjust plan to continue towards objectives as needed | Ongoing |