

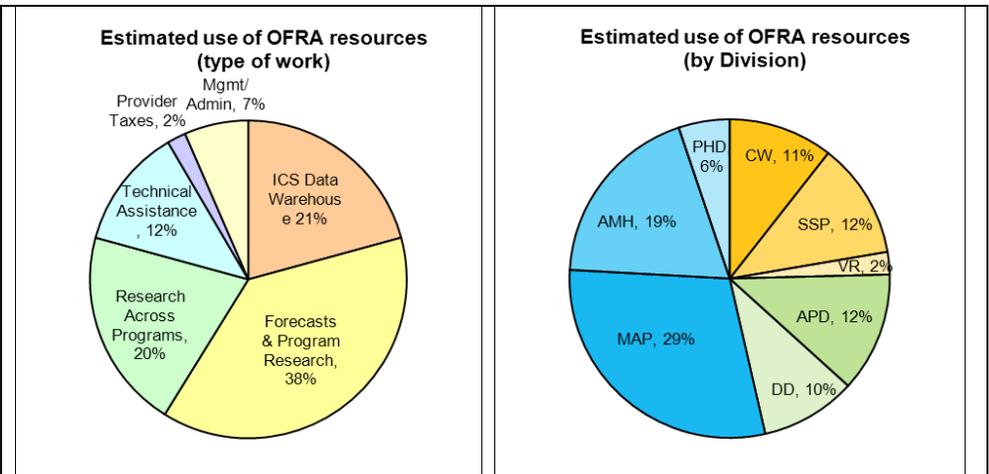
Office Service Level Agreement

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 Advisory Committees.
1.3 – Routine update	8/9/13	Betsy Jensvold, 503-884-4975	Budget, metrics, employees, and improvement plan updated; minor text changes throughout

TABLE OF CONTENTS

1.0 SERVICE DESCRIPTIONS	
1.1 Office Purpose Statement	2
1.2 Provided Services and performance Management Metrics...	2
1.3 Services Out of Scope	3
1.4 Points of Contact	3
2.0 RESPONSIBILITIES	
2.1 Customer Responsibilities	3
2.2 OFRA Responsibilities	6
2.3 OFRA Oversight and Steering	7
3.0 COST ALLOCATION	
3.1 Allocation Strategy	7
3.2 Allocation Monitoring and Tracking	7
3.3 Budgetary Information	7
4.0 CONTINUOUS IMPROVEMENT PLAN	8



1.0 Service Descriptions

1.1 Office Purpose Statement

The Office of Forecasting, Research and Analysis (OFRA) provides independent, objective, transparent 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 seven major caseload areas:

- DHS – Aging and People with Disabilities; Child Welfare; Developmental Disabilities; Self-Sufficiency; Vocational Rehabilitation Services
- OHA – Medical Assistance Programs; 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 described below.

1.2 Provided Services

Priority of work 1. Caseload Forecasts, 2. ICS, 3. Provider Taxes, 4. Analysis Across Caseloads. Consulting & Technical Assistance will be provided 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) - Semi-annual regional caseload forecasts for the current & next biennium (with published report) - Accuracy reports 1) Monthly caseload variance reports, 2) Annual accuracy tracking report - 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 policy decisions that may affect caseloads - Research such as literature reviews and searches for publicly available data - Stakeholder engagement for input, quality review, and feedback - Sub-state caseload analyses – e.g. distribution of clients, travel times & accessibility of agency offices - Ad hoc research & analysis; collaboration with other agency researchers 	<ul style="list-style-type: none"> • Objectivity / Transparency / Independence $\geq 90\%$ top two ratings • Customer Satisfaction $\geq 90\%$ top two ratings • Timeliness of semi-annual forecasts 100% by target date • Timeliness of monthly variance reports 90% by target date • Accuracy of actual caseload (vs. forecasted caseload) for selected categories in MAP, SSP, CW, APD, and DD for the current & prior forecast cycles. <ul style="list-style-type: none"> Target accuracy varies with caseload size ✓ Large categories, variance of $\leq 1\%$ ✓ Small categories, variance of $\leq 2\%$
<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 - Ad hoc research & analysis; collaboration with other agency researchers 	
<p>INTEGRATED CLIENT SERVICES DATA WAREHOUSE (ICS)</p> <ul style="list-style-type: none"> - Maintenance & development 	
<p>PROVIDER TAX COLLECTION – Hospitals, Managed care, Long-term care (see section 1.3 Out Of Scope)</p> <ul style="list-style-type: none"> - Collect & reconcile tax payments - Interpret & enforce policies and rules & initial level of appeal - Notify providers of rate changes 	

<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) - Client matching and merging of data from separate sources - 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 	
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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/research for advocacy groups)

1.4 Point of Contact

Administrator	Betsy Jensvold	503.884.4975	betsy.a.jensvold@state.or.us
Miscellaneous & Provider Tax	Katie L Brown	503.947.5185	katie.l.brown@state.or.us
ICS	Pam McVay / Taylor Doren	503.945.5930	pam.mcvay@state.or.us
CW, SS, and VR Forecaster	Sue Porter	503.945.9778	sue.porter@state.or.us
APD and DD Forecaster	Kush Shreshtha	503.945.5852	kush.n.shreshth@state.or.us
Medical programs Forecaster	Stephen Willhite	503.945.6131	stephen.willhit@state.or.us
AMH Forecaster	Laurel Goode	503.945.7666	laurel.k.goode@state.or.us
Regional & Sub-State Forecaster	Greg Tooman	503.945.6239	gregory.tooman@state.or.us
Research Analyst	Sata Hackenbruck	503.945.6221	satenik.r.hackenbruck@state.or.us
GIS & Mapping Analyses	Arron Heriford	503.945.5626	arron.e.heriford@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 staff and the Forecast Advisory 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 routine semi- annual Caseload Forecasts:

OFRA forecasts are organized into major caseload areas. Each caseload area has a Forecast Advisory Committee composed of subject matter experts from within DHS|OHA, subject matter experts from outside DHS|OHA, and budget staff (OHA|DHS, DAS CFO's Office & LFO). Each Forecast Advisory Committee shall advise the relevant OFRA forecaster about the caseload forecast. The official semi-annual caseload forecast will not be finalized unless the forecast advisory committee has had a chance to review and comment on the specific recommended forecast. Attendance and active participation is essential.

Expectations for Forecast Advisory Committee members:

FORECAST INPUT

- a) Attend advisory committee meetings or send a knowledgeable representative empowered to exercise the authority of the member.
- b) Participate in candid discussions about the forecast & programs, including asking/answering probing questions from other committee members.
- c) Maintain an objective perspective on the forecast process in order to ensure integrity and objectivity of the forecast.
- d) Advise OFRA about program areas being forecast, as well as new areas requiring a forecast.
- e) Identify policy, program and environmental factors that are likely to affect the caseload.
- f) Provide OFRA with information &/or feedback about:
 - Currently enacted policy, program, and process changes that might affect caseload count
 - Program-level information (numerical and descriptive) that might affect caseload context
 - Other information relevant to maintenance, program information, exogenous data sources, etc.
- g) Assess forecast assumptions for their policy relevance and reasonableness.
- h) Provide expert review of forecast parameters, including recommended adjustments, risks, and alternative approaches.

OTHER

- i) Keep OFRA informed on staffing/org changes that might affect committee membership.
- j) Communicate with forecasting on a regular basis outside committee meetings to ensure forecasters understand what is happening in the program area.
- k) Provide feedback on OFRA's work product, processes, and performance.
- l) Provide resources within their authority to develop recommendations under the scope of this Charter.

See the Caseload Forecast Advisory Committee Charter for additional information about the committees' purpose, roles, responsibilities, etc.

For routine Integrated Client Services (ICS) data warehouse work, the following is needed:

- 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 routine Geographic Information Systems (GIS) work, the following is needed:

- 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 routine Provider Tax work, the following is needed:

- 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 requests and expert/technical consulting, the following is needed:

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

Ad hoc GIS requests may also need:

- 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 semi-annual Caseload Forecasts:

OFRA forecasts are organized into major caseload areas. Each caseload area has a Forecast Advisory Committee composed of subject matter experts from within DHS|OHA, subject matter experts from outside DHS|OHA, and budget staff (OHA|DHS, DAS CFO's Office & LFO).

Expectations for OFRA Program Forecasters:

- a) For the current and subsequent biennia, develop month-to-month forecasts for review and discussion with the forecast advisory committee.
- b) Develop mathematical models used to complete preliminary, adjusted, and final forecasts.
- c) Analyze and integrate internal and external factors affecting caseloads.
- d) Verify/evaluate empirical evidence used to support assumptions.
- e) Provide backup materials and document explanations, assumptions, risks, uncertainties, etc.
- f) Meet with the applicable Forecast Advisory Committee(s) at least once each forecast cycle to discuss the forecast and to obtain, discuss, and consider input of committee members.
- g) Establish a "final" forecast; provide a copy to advisory committee members; provide applicable monthly detail to DHS|OHA budget staff.
 - In most cases, OFRA will use the final forecast discussed at the semi-annual caseload advisory committee meetings as the official forecast. Occasionally additional adjustments may need to be considered after the final committee meeting. When that occurs, the forecaster will notify all advisory committee members about the proposed change, providing a full 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 make the final decision and communicate the results to all advisory committee members in writing.

Expectations for OFRA Unit:

- a) Develop and maintain the Integrated Client Services Data Warehouse (ICS).
- b) Engage stakeholders for input, quality review, and feedback.
- c) Forecasting products – publish, distribute and post to the internet
 - DHS|OHA Caseload Forecast Overview Tables
 - A statewide forecast publication describing the programs, forecasts, assumptions, risks, etc.
 - A regional forecast by county and DHS|OHA service district for selected caseload categories
- d) Administrative info - publish and post to the internet
 - Annual calendar of scheduled work
 - Information about governance, forecasting methodology and processes, committee membership, etc.
 - Forecast accuracy reports

- Monthly caseload variance reports – monitoring actual client counts compared to the forecast
- Quarterly business scorecard which includes forecast accuracy metrics
- Annual forecast accuracy tracking report

See the Caseload Forecast Advisory Committee Charter for additional information about the forecaster’s roles, responsibilities, etc.

For 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.

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:

OFRA will receive guidance and oversight from The Joint Operations Steering Committee. 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 estimated employee time, 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	\$2,663,161
Services and Supplies	\$68,120
Capital Outlay	-
Special Payments	-
Debt Services	-
Total Expenses	\$2,731,281
POS	13
FTE	13

4.0 Performance Reporting and Continuous Improvement Plan

Timing or <i>Start Date</i>	Objective	Date Completed or <i>Due</i>
Four times a year	PERFORMANCE SCORECARD – Developed performance scorecard using standard QBR template Update scorecard each quarter	2012 Q4 On-going
Twice a year	CUSTOMER FEEDBACK – Developed semi-annual survey for feedback on forecast services & products Survey forecast advisory committee members following each forecast development cycle	2011 Q1 On-going
Each January Throughout year	CALENDAR OF WORK AND TIMELINESS – Update annual calendar for scheduled work (forecasts, variance reports, etc.) Track actual delivery relative to scheduled date	Q1 each year since 2011 On-going
Monthly <i>2013 Q2</i>	FORECAST ACCURACY – Continue monthly variance reporting Develop new annual accuracy tracking report which includes all major caseload areas over multiple forecast cycles	On-going <i>2013 Q4</i>
Monthly <i>2013 Q2</i> <i>2013 Q1</i>	TRANPARENCY – Created public website for unit work products, admin & governance materials Update the website regularly Caseload Forecast Advisory Committees – recruit external participants Forecast Policy Oversight Committee – create a new technical oversight committee, recruit members, and meet regularly (at least twice a year)	2013 Q1 On-going <i>2013 Q3</i> <i>2013 Q4</i>