

MANAGING FOR RESULTS SUBMISSION REQUIREMENTS

DBM Electronic Files: DBM has e-mailed each agency the electronic files that were used to print the FY 2012 MFR Budget Book. Each agency must use the electronic files that were sent by DBM to create the FY 2013 MFR budget book submission. DBM made numerous editorial and format changes to the files submitted by agencies last year. Agencies should not change the format or re-insert goals, objectives, and/or performance measures that were removed from the FY 2012 budget book pages by DBM. Agencies that submit files that do not contain the FY 2012 editorial revisions made by DBM will be asked to resubmit using the DBM files.

Due date, where to send MFR files, and subject line of e-mail: Agencies should e-mail MFR documents to MFR@dbm.state.md.us and to the assigned DBM budget analyst by the budget submission due date (listed in the budget target letter). Do not e-mail copies to Cheri Gerard or Rachel Monks.

The subject line of the e-mail must list the applicable 6 digit (or 8 digit) budget code for the agency and the acronym for each file attached, for example, M00F02 BB, DC, PD, G, C. Do not send a separate e-mail for each file. Attach as many documents as possible to each e-mail.

Hard copies are not needed, except for the signed data certification if that electronic file does not have an electronic signature.

File names: The file name for each document must include the budget code, the acronym that identifies the subject of the file, and the fiscal year. When agencies submit revised files after the initial file submission, they should include the date of revision in the file name, for example “M00F02 BB 12 revised 11 12 10.” The acronyms and examples of file names are shown below:

| <u>Acronym:</u> | <u>Examples of file names:</u> |
|-------------------------------|--------------------------------|
| BB = Budget book | M00F02 BB 13 |
| DC = Definitions and controls | M00F02 DC 13 |
| PD = Performance discussion | M00F02 PD 13 |
| G = Graphs | M00F02 G 13 |
| C = Certifications | M00F02 C 13 |
| ST = Strategies | M00F02 ST 13 |
| SUPP = Supplemental document | M00F02 SUPP 13 |

Separate electronic files for each MFR component: Agencies must submit a **SEPARATE** electronic file for each component of the MFR submission. The components include:

- MFR budget book pages (mandatory): The budget book Word files must not include any other MFR components such as strategies, performance discussions, or data definitions.
- Graphs: (mandatory) Existing graphs should be updated in the budget book pages within the Word file. If an agency has difficulty updating the graphs in the Word document, the agency may submit the updated graph in a separate Excel file with an explanatory note in the transmittal. Submit new graphs and corresponding data tables in a separate Excel file.

- Data definitions and control procedures are mandatory. See pages 148 and 165-180 for guidance.
- Signed data certification statement as a PDF file or hard copy (mandatory)
- Performance discussions (mandatory)
- Strategies are optional with the exception of strategies supporting State Plan measures.
- Supplemental MFR document (optional)

Agencies should include all information for each component in the electronic file for that component. For example, all data definitions and control procedures should be included in one electronic file rather than creating a separate file for each definition. Large agencies may submit separate electronic files at the six-digit program level for each component. The name of the agency and the six-digit budget code should be included on each document (in the header or at the top of the page).

Budget Book pages: Each agency must use the format prescribed in these instructions unless the assigned DBM budget analyst, or Cheri Gerard, or Rachel Monks agrees to a change. While updating the budget book pages in the Word document, it is helpful to display the ruler that shows tabs as well as formatting marks in the print layout view by clicking on the button on the toolbar that contains the ¶ (display) symbol. This allows the user to see where tabs are set and the number of spaces between lines. See pages 151-158 for more formatting information.

Actual and estimated performance data should include FY 2010 and 2011 actuals and FY 2012 and 2013 estimates for most agencies. Some agencies use alternate reporting periods that were approved by DBM. Data may be reported by Calendar Year (CY), Federal Fiscal Year (FFY), or Academic Year (AY).

Eliminated programs: If a program was eliminated that had appropriations for FY 2010 and/or 2011, agencies must provide actual data for those years, but estimates are not required for FY 2012 and 2013. The agency should revise the Program Description if needed and add a footnote stating that estimated data are not provided because the program was eliminated.

New programs or reorganizations (already approved by DBM): Actual data may not yet be available if an agency has revised or created new measures. In that case, agencies should include estimates for fiscal years 2012 and 2013 related to targets in the objectives.

Changes to the MFR must be discussed with DBM before submitting Budget Book pages. Such discussions should occur during the spring and summer months. When considering changes, agencies should focus on goals, objectives, and measures that illustrate the key activities and desired outcomes of the agency. Changes often occur when an agency has reorganized or created a new program.

State Comprehensive Plan measures to be included in agency MFR budget book pages: Agencies must include in the MFR budget book pages all State Comprehensive Plan measures for which they collect data. If an agency has changed State Plan measures in some way, such as datasets or calculation methodologies, the agency must notify Rachel Monks (rachelm@dbm.state.md.us)

and its assigned DBM budget analyst of those changes. The MFR State Comprehensive Plan was revised in November 2009. The Plan may be found on the DBM website at:

http://dbm.maryland.gov/agencies/Documents/MFR_documents/MFRStateComprehensivePlan.pdf

Explanatory Notes in budget book pages are not required except in the following circumstances

- Actual data is not yet available.
- Actual data was revised from a prior year “actual.”
- Actual data is an estimate rather than final.
- Actual data was not collected in a specific year or is collected in alternate years.
- Significant declines or improvements in performance are indicated in the data.
- Performance target amount has changed (not year)
- Definition or calculation method for a measure has changed.
- Reporting period for data has changed (for example from state fiscal year to federal).
- Technical or unusual term is used, for example “walk-off.”
- Measure is extremely complicated.
- New goals, objectives, or measures.
- Third-party data is used.
- Measure no longer used, whether due to unavailable data or use of an improved measure.

Notes must be concise.

Use the footnote or endnote function in Word rather than using symbols or manually entering numbered notes. Using this function ensures that the numbers remain in sequence when notes are added or deleted. Agencies unsure of when to include notes should contact their DBM budget analyst. If an explanation is too long to include in a note, the information should be provided to DBM in a supplemental document (see pages xx and xx) rather than in the budget book pages.

Revisions after submission of initial budget book pages: Agencies expecting changes to data or that have measures for which data are not available at the time the MFR submission is due, must include an explanation in the transmittal e-mail when sending the initial MFR budget book Word file to the MFR mailbox and the DBM budget analyst. Agencies must include a statement in the e-mail about which data will change and when the final data will be available. Agencies should send the final budget book files when the final data are available rather than sending multiple versions of files pending final data. Agencies must finalize data as quickly as possible after the due date of the MFR submissions. When agencies submit the final files, the subject of the transmittal e-mail should include the language “**Final files** including all data” and the e-mail message should clearly state what has been revised including the six-digit budget code(s) and the number(s) of the objectives where the revisions may be found.

Proofreading: Agencies must proofread completed budget book pages before submission to DBM to ensure that:

- The narrative makes sense,
- The submission is in compliance with the prescribed format and content, and
- Spelling is correct and that there are no spacing errors.

Changes to components other than Budget Book pages after original submission: If an agency revises one of the documents other than Budget Book pages after the first submission, the agency must include the word “revised” and the date of the revision on the first page of the

document or in the header. The date of revision should also be included in the document file name. Example: M00F02 DC 13 revised 9 29 11.

Submission of supplemental MFR information in addition to MFR budget book pages:

Submission of a supplemental document is optional. If an agency wants DBM to review goals, objectives, measures, performance data, and explanatory notes that are not printed in the budget books, the agency may submit a supplemental document. Agencies should not repeat all of the content of the MFR budget book pages in the supplemental document. The file name and title must identify it as a supplemental document. (Example: M00F02 SUPP 13) Include the agency name and budget code on the first page of the document or in its header.

MFR resources: The MFR Guidebook provides definitions and detailed instructions on how to develop an agency MFR strategic plan, and how to manage performance measurement data. The Guidebook may be found at:

<http://dbm.maryland.gov/agencies/Pages/ManagingResultsGuidebook.aspx>

As stated above, agencies should discuss revisions to the MFR with the DBM budget analyst. Although DBM no longer has a statewide MFR consulting agreement with the Schaefer Center and the University of Baltimore (UB), agencies may contact UB directly for assistance in developing an MFR strategic plan and performance measurement system.

Detailed Requirements for each component of the MFR submission are included on pages 146-150

SUMMARY OF MFR SUBMISSION REQUIREMENTS FOR FY 2013

| MFR COMPONENT | AGENCY LEVEL | PROGRAM LEVEL (Mandatory items apply to each appropriated 8-digit program) | GUIDANCE |
|---------------------|------------------|----------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Budget Book Pages | Mandatory | Mandatory Submit MFR pages for <u>all</u> appropriated programs. | Goals, objectives, and performance measures should remain the same as last year unless changes have been approved by the DBM budget analyst <u>in advance of the agency submission to DBM</u> . Among other things, this applies to the number of goals, objectives, and measures printed previously. Agencies should not drop or add goals, objectives, and measures without first consulting their DBM budget analyst. |
| Program Description | Not Applicable | Mandatory Describe major on-going activities and responsibilities. | Program descriptions must be updated for any changes in authority and/or responsibility. For example additional responsibilities as a result of legislation or fewer responsibilities due to sunset of an initiative or program should be described. If applicable, include in the description the appropriate sections from the Annotated Code. Include program descriptions for capital programs funded with General Funds. If an agency has programs that share the same mission, vision, goals, objectives, and performance measures, it is not necessary to repeat these items for each program. The agency should include a reference to the shared program in the Program Description such as “This program shares the goals, objectives, and performance measures of (insert program name and budget code).” |
| Mission | Mandatory | Mandatory | |
| Vision | Optional | Optional | |
| Key Goals | Mandatory | Mandatory | Agencies with multiple budgeted programs must submit program-level goals for <u>each</u> budgeted program in addition to agency-level goals. Goals must be numbered. See additional information under Program Description for goals shared among various programs. Changes must be approved by the DBM budget analyst before submission to DBM |
| Key Objectives | Optional | Mandatory | List objectives under goals in the MFR presentation using the numbering system outlined in the MFR Guidebook found at: http://dbm.maryland.gov/agencies/Pages/ManagingResultsGuidebook.aspx Include explanatory notes in the budget book pages if a performance target in an objective has changed. See additional information under Program Description for objectives shared among various programs. Changes must be approved by the DBM budget analyst before submission to DBM. |

| MFR COMPONENT | AGENCY LEVEL | PROGRAM LEVEL (Mandatory items apply to each appropriated 8-digit program) | GUIDANCE |
|--------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Key Performance Measures | <p>Mandatory</p> <p>Focus on <u>key</u> outcomes and efficiency measures. May include input, output, and quality measures if the measures enhance understanding of key activities of the agency.</p> | <p>Mandatory - Same as for agency level</p> | <p>Changes must be approved by the DBM budget analyst before submission to DBM. Agencies must continue to include performance measures and report performance data for measures included in the MFR State Comprehensive Plan. List each performance measure under the objective to which it pertains, using the format shown on pages 159-160 (sample budget book page). Performance measures that do not pertain to specific objectives may be grouped together following all objectives. See additional information under Program Description for shared measures.</p> |
| Data for Key Measures | <p>Mandatory</p> | <p>Mandatory</p> | <p>Update years for which actual and estimated data will be reported. Submit actual statistics for measures for the two most recently completed fiscal years (2010, 2011), and estimated data for the current and request years (2012, 2013). Include explanatory notes in the budget book pages if actual data for a measure has changed, estimated data is reported rather than actual data, data is from a third party, and/or the complexity of the measure requires explanation. If the data is not reported by State fiscal year, the agency must change the heading to indicate the appropriate reporting period, for example CY for Calendar Year, FFY for Federal Fiscal Year, or AY for Academic Year.</p> |
| Performance Discussion | <p>Mandatory</p> <p>The agency may discuss overall performance or focus on specific programs or initiatives.</p> <p><u>If an agency is responsible for reporting data for measures included in the MFR State Comprehensive Plan, the agency must submit performance discussions regarding goals and objectives that support the State Plan measures.</u></p> | <p>Mandatory - Same as for agency level</p> | <p>Include in the document header the agency and/or program budget codes and the agency and/or program names. In the body of the document include goals and objectives as applicable. Describe what performance data reveal about agency performance during the past fiscal year. Agencies may submit documents that are already produced for other purposes that discuss performance related to MFR measures, for example reports to the legislative committees, reports to the Federal government, and annual reports. If agency annual reports are posted on the agency's Web site, provide the URL where the reports may be found.</p> <p>Performance discussions should include:</p> <ul style="list-style-type: none"> • Concise statement of overall agency and/or program performance including what reported outcome and efficiency measures and other indicators show about the effectiveness and efficiency of the agency. • Outcomes attained and explanations for performance that surpasses, meets, or fails to achieve program targets for outcomes and service delivery. When applicable include a comparison of program performance to similar programs in other jurisdictions using information obtained from benchmarking, national standards, the experience of other similar states, or published articles, research, audits, or management evaluations. |

| MFR COMPONENT | AGENCY LEVEL | PROGRAM LEVEL (Mandatory items apply to each appropriated 8-digit program) | GUIDANCE |
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| Data Definitions and Descriptions of Data Control Procedures | <p>Mandatory Submit data definitions and control procedures for at least 10 agency-level measures for which documentation has not been previously submitted. Submit definitions and controls for outcome and efficiency measures prior to sending documentation for other measures. If an agency has already submitted definitions and controls for all its performance measures, it must notify DBM in the e-mail sent to the MFR mailbox that definitions and controls have been submitted for all measures. In that case, agencies should submit only <u>revised</u> definitions and control procedures.</p> | <p>Mandatory after submitting documentation for all agency-level measures. Submit data definitions and control procedures <u>not previously submitted</u> for 10 or more performance measures. Submit data definitions and control procedures for outcome and efficiency measures before other types of measures. Agencies that report “Other Performance Measures” must submit definitions and control procedures for those measures also.</p> | <p>Data definitions and control procedures are the first step toward ensuring data integrity. Guidance concerning data reliability, definitions and control procedures, as well as examples of templates, are provided in on pages 165-180. Agencies are not required to use a specific format, but are required to submit <u>all</u> information indicated in the templates included in on pages 165-180. Include in the document header the agency budget code and name. In the body of the document include the program budget code and name, and the corresponding goal and objective preceding each performance measure.</p> <p>Agencies should revise previously submitted definitions and control procedures if they do not include the required information shown in the sample template (see on pages 165-180).</p> <p>If data definitions and control procedures submitted for prior years have been revised, submit the revised definitions and control procedures and include the agency name, the word “Revised”, and the date of the revision in the document header. Include the date of the revision in the document file name.</p> |
| Certification of the integrity of the MFR Data | <p>Mandatory Each agency must submit a certification signed by the agency head or designee of the integrity of the MFR data.</p> | Not applicable | <p>Designees are Deputy or Assistant Secretaries in departments or Deputy Directors in independent agencies. Certifications <u>must be signed</u>, and may be submitted electronically in PDF format or in hard copy. If an agency submits an electronic unsigned certification, the agency must submit a signed hard copy to its DBM Budget analyst. Include the agency name and budget code in the certification letter. Only <u>one</u> signed certification which certifies integrity of all of the agency’s data is required.</p> |

| MFR COMPONENT | AGENCY LEVEL | PROGRAM LEVEL (Mandatory items apply to each appropriated 8-digit program) | GUIDANCE |
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| <p>Graphs and/or Charts of Performance Data for Significant Outcome Measures</p> | <p><u>Graphs printed in the prior year budget book</u> Mandatory for all agencies Graphs printed in the FY 2012 budget books must be updated in the Word document sent to the agency by DBM.</p> <p><u>New graphs</u> Mandatory for Cabinet level agencies Cabinet level agencies must submit a minimum of two new graphs or charts in addition to updated graphs/charts printed in the prior year’s budget book.</p> <p>Optional for non-Cabinet agencies with the exception of those that have not yet submitted any graphs/charts, and those that report data for a measure contained in the MFR Comprehensive State Plan. Those agencies that have never submitted a graph or chart are required to submit at least one graph or chart.</p> <p><u>Graphs for measures in the MFR State Comprehensive Plan:</u> Mandatory for all agencies that report data for measures included in the MFR State Plan The MFR State Plan is on the DBM website</p> | <p>Same as for agency level</p> | <p>Format graphs in black and white only, using patterns instead of color to differentiate data. Font should be Times New Roman, size 10. See page 159-160 for an example. When available, include five or more years of actual data, and 2012 and 2013 estimates.</p> <p>Graphs printed in the 2012 budget book must be updated <u>in the Word file</u> sent to the agency by DBM. If an agency is unable to update the graph in the Word document, update it in Excel and insert the graph into the Word document by copying the graph from the Excel file, and then selecting in Word “Edit, Paste Special, Paste as MS Office Excel chart object.” Do <u>not</u> paste graphs into Word as pictures. DBM is not able to edit graphs inserted as pictures.</p> <p>Submit <u>new</u> graphs in Excel, separate from budget book pages. In each Excel file, create a new tab for each graph and include the corresponding data table. Small agencies should include all graphs in one Excel file, with each graph in a separate tab in the file. Large departments may submit a separate Excel file for each program that includes all graphs for that program. Include “newfy13” as part of the tab/sheet name for each of the charts that are being submitted the <u>first time</u>, for example, “safe schools newfy13.” Graphs that were submitted previously but not printed in the budget books should be updated, and the tab/sheet name should <u>not</u> contain the word “new”.</p> |

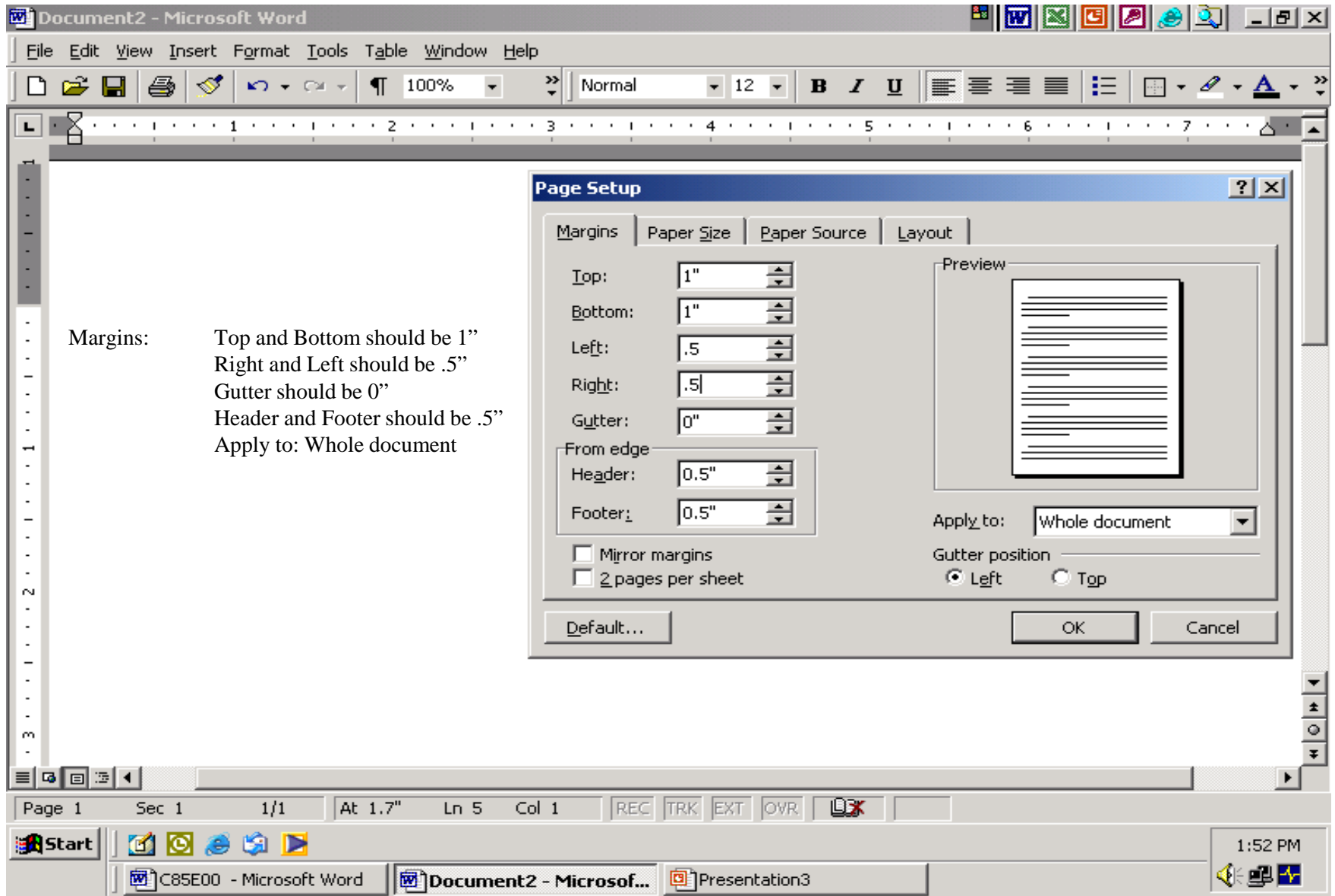
| MFR COMPONENT | AGENCY LEVEL | PROGRAM LEVEL (Mandatory items apply to each appropriated 8-digit program) | GUIDANCE |
|-------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Key Strategies | Optional with the exception of strategies that support achievement of goals and objectives related to measures in the MFR State Comprehensive Plan. | Optional - Same as for agency level | Include in the document header the agency budget code and name. In the body of the document include the program budget code and name, and the goals and objectives to which the strategies pertain. Use numbering as shown in the MFR Guidebook. If an agency is responsible for reporting data for measures included in the MFR State Comprehensive Plan, the agency <u>must</u> submit strategies that support achievement of related goals and objectives. The State Plan is on the DBM website at: http://dbm.maryland.gov/agencies/Documents/MFR_documents/MFR_StateComprehensivePlan.pdf. Data sources for the measures are listed under “Sources” on pages 13 – 24 of the Plan. |
| Comprehensive Agency Strategic Plan | Optional | Optional | An agency may undergo a strategic planning process that results in production of a comprehensive strategic plan. The agency should provide an electronic copy of the strategic plan or provide the URL where the plan may be found on the agency’s web site. A hardcopy may be provided if neither of these options are available. |
| Supplemental MFR Document | Optional | Optional | Agencies may submit in a separate document additional goals, objectives, performance measures, and explanatory notes that will <u>not</u> be printed in the budget books. It is not necessary to repeat in this document all MFR goals, objectives, performance measures and data that will be printed in the budget books. Budget book format is preferred. Use the file name convention on page 142. |

FORMATTING GUIDELINES FOR MANAGING FOR RESULTS BUDGET BOOK PAGES

| | | | | | |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| MARGINS | Top and bottom should be 1 inch. | Right and left should be 0.5 inch | Gutter 0 | Header/Footer 0.5 inch | |
| FONT | All text <u>including text in graphs and charts</u> : Times New Roman | Header: 14 Point | Program name and R*STARS Code: 12 Point | The words “Program Description, Mission, and Key Goals”: 12 point on agency-level page 10 Point on program-level pages | All other text including text in graphs and charts: 10 Point |
| JUSTIFICATION & PAGE BREAKS | Multiple line text in program description, mission, vision, goals, objectives, and notes should be fully justified . | Performance measures are not justified . | | | |
| HEADERS | Headers include the department/agency name and appear at the top of every page. | There should be a line across the page under the agency name in each header. (See the budget books) | To create the header, select view/headers . Select format/ borders/shading . Select 2¼ pt in Width . Select solid line in Style . Select bottom line in Preview | Correct headers if there have been changes in agency names. | |
| PROGRAM CODE AND NAME | Use the eight-digit R*STARS code. Do not use a dash between the code and name. | Program names should be the same as in the HOBO files. Inform the agency’s DBM Budget analyst if a program name has officially changed, and correct the program name in the budget book pages. | Following the program name, include the division/ administration that the program is part of. (See budget books.) Indent additional lines under the first letter of text on the first line. | Only repeat program code and name when sections carry over to the next page. | Do not repeat the section title, “Goals, Objectives, and Performance Measures,” if these components carry over to the next page. |
| ACRONYMS | The <u>first time</u> an acronym is used, it should be noted in parentheses after the words the acronym stands for. Thereafter, use only the acronym. | | | | |
| SPELL OUT | fiscal year - do not use FY | percent - do not use % in performance measure | General Funds - do not use GF | Federal Funds - do not use FF | |

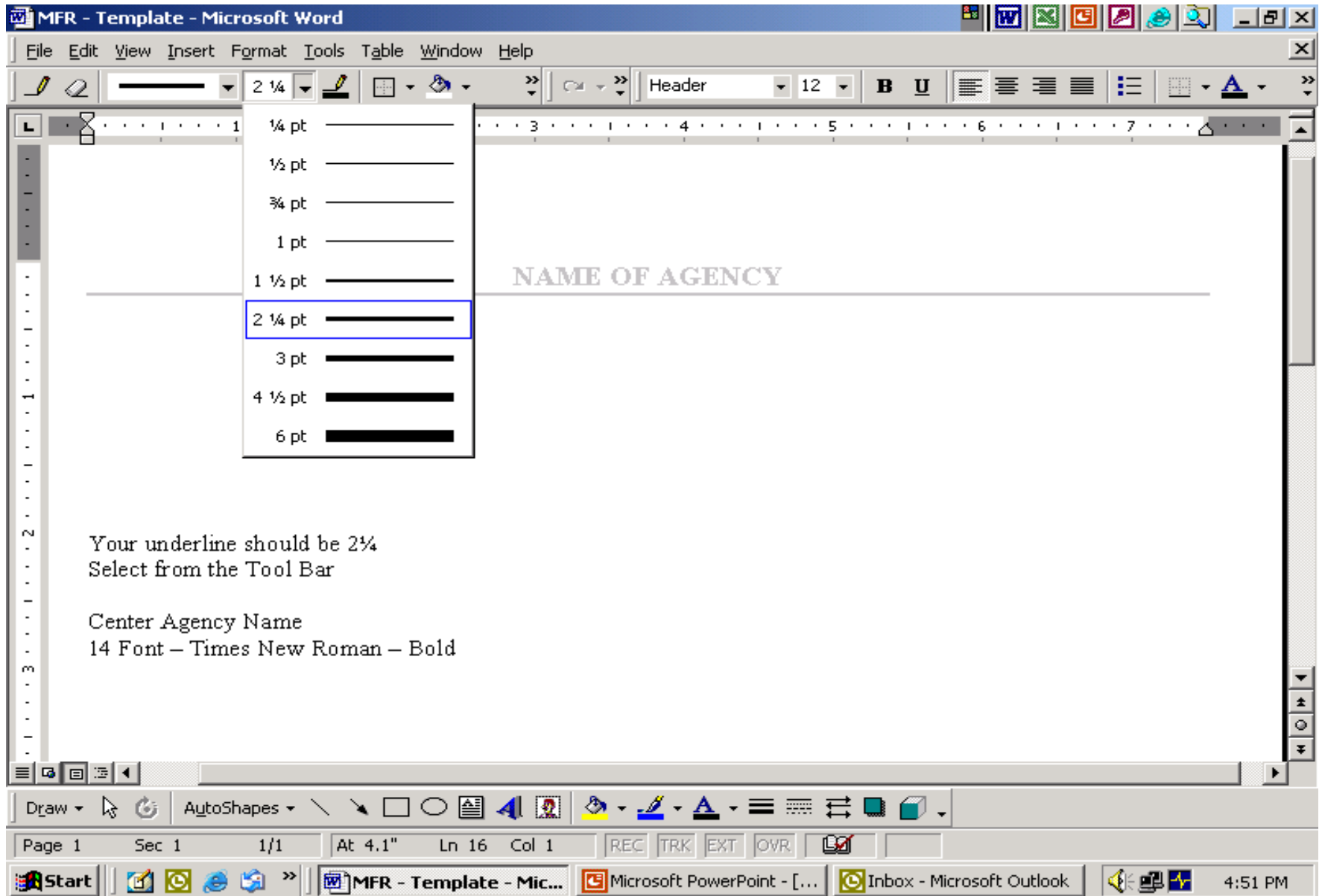
FORMATTING GUIDELINES FOR MANAGING FOR RESULTS BUDGET BOOK PAGES

| | | | | | |
|------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|----------------------|------------------------------------------------------------|---------------------------------------------------------------|
| | | descriptions; can use % symbol in data tables | | | |
| CAPITALIZE | State when it refers to the State of Maryland | Federal | General Funds | Department when it refers to a specific department. | First letter of first word of each performance measure |
| MEASURES WITHOUT DATA | Enter an * in the Actual column. Include a note in bold, 10 font, and 2 lines below the last measure, i.e. Note: * New measure for which data is not available | | | | |



Margins: Top and Bottom should be 1"
Right and Left should be .5"
Gutter should be 0"
Header and Footer should be .5"
Apply to: Whole document

HEADER - 1



HEADER - 2

MFR - Template - Microsoft Word

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Header 12 B I U

NAME OF AGENCY

Your underline should be 2¼
Select from the Tool Bar

Center Agency Name
14 Font – Times New Roman – Bold

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Page 1 Sec 1 1/1 At 2.9" Ln 10 Col 38

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HEADERS - 3

DEPARTMENT OF HEALTH AND MENTAL HYGIENE
(1' MARGIN - NAME OF AGENCY - BOLD, 14 FONT, TIMES NEW ROMAN - UNDERLINED USING 1/4 LINE)

M00Q01.04 MEDICAL CARE POLICY ADMINISTRATION
(PROGRAM CODE AND NAME - 12 Font, Times New Roman, Bold)

**K00A05.07 ENGINEERING AND CONSTRUCTION PROGRAM - LAND AND WATER
CONSERVATION SERVICE**
(LINE YOUR TITLE UP WHEN APPROPRIATE)

CONTINUATION ONTO THE 1st OR 3rd PAGE ADD THE WORD (Continued)

**K00A05.07 ENGINEERING AND CONSTRUCTION PROGRAM - LAND AND WATER
CONSERVATION SERVICE (Continued)**

BODY OF PRESENTATION

PROGRAM-DESCRIPTION

The Medical Care Policy Administration interprets existing policy and develops, implements, and maintains regulations, policies and procedures. The Administration also develops new methods for delivering health services; regulates provider fees; and negotiates, enforces, and reviews all contracts with providers.

MISSION

The mission of the Medical Care Policy Administration is to provide easy access to medically necessary and appropriate health care services for uninsured Marylanders. It strives to meet its obligations to both its customers and the taxpayers by assuring that quality services are provided in a cost-effective and timely manner.

VISION

The Medical Care Policy Administration's vision is to provide quality health care services to Maryland's indigent population through a delivery system, which will serve as a model in the health care industry.

Justification:

- Multiple line text in program description, mission, vision, goals, and objectives should be fully justified
- Performance measures are not fully justified
- Begin a new page for the start of each program
- Headers for the program description, mission, vision, and key goals, objectives and performance measures should be 10 font, times roman and bold - text following under the header should be 10 font with an indent of 5, and full justification.

Page 1 Sec 1 1/1 At 0.5" Ln 1 Col 1 REC TRK EXT OVR

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PERFORMANCE MEASURES

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KEY GOALS, OBJECTIVES, AND PERFORMANCE MEASURES

Goal 1. Improve the health of Maryland's children.

Objective 1.1 For Calendar Year 2005, increase by 1 percentage point annually the proportion of HealthChoice child respondents¹ who report² that the medical care they have received in the last six months has improved their health.

| | CY 2003 Actual | CY 2004 Estimated | CY 2005 Estimated | CY 2006 Estimated |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|----------------------|----------------------|----------------------|
| Performance Measures³ | | | | |
| Input: Number of HealthChoice child respondents | 3,263 | 3,300 | 3,300 | 3,300 |
| Output: Number of HealthChoice child respondents who reported that the medical care they received in the last six months has improved their health | 2,720 | 2,772 | 2,805 | 2,838 |
| Outcome: Percent of HealthChoice children surveyed reporting the medical care received in the last six months has improved their health | 83% | 84% | 85% | 86% |

Page 1 Sec 1 1/2 At 2.5" Ln 11 Col 60 REC TRK EXT OVR

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DEPARTMENT OF HEALTH AND MENTAL HYGIENE

M00F03.06 CIGARETTE RESTITUTION FUND – PREVENTION AND DISEASE CONTROL – FAMILY HEALTH ADMINISTRATION

PROGRAM DESCRIPTION

The Prevention and Disease Control Program was created under the Cigarette Restitution Fund (CRF), and seeks to reduce death and disability due to cancer in Maryland through implementation of local public health and statewide academic health center initiatives.

MISSION

The mission of the Prevention and Disease Control Program is to reduce the burden of cancer among Maryland residents through enhancement of cancer surveillance, implementation of community-based programs to prevent and/or detect and treat cancer early, enhancement of cancer research, and translation of cancer research into community-based clinical care.

VISION

The Prevention and Disease Control Program envisions a future in which all residents of Maryland can lead healthy, productive lives free from cancer or disability due to cancer.

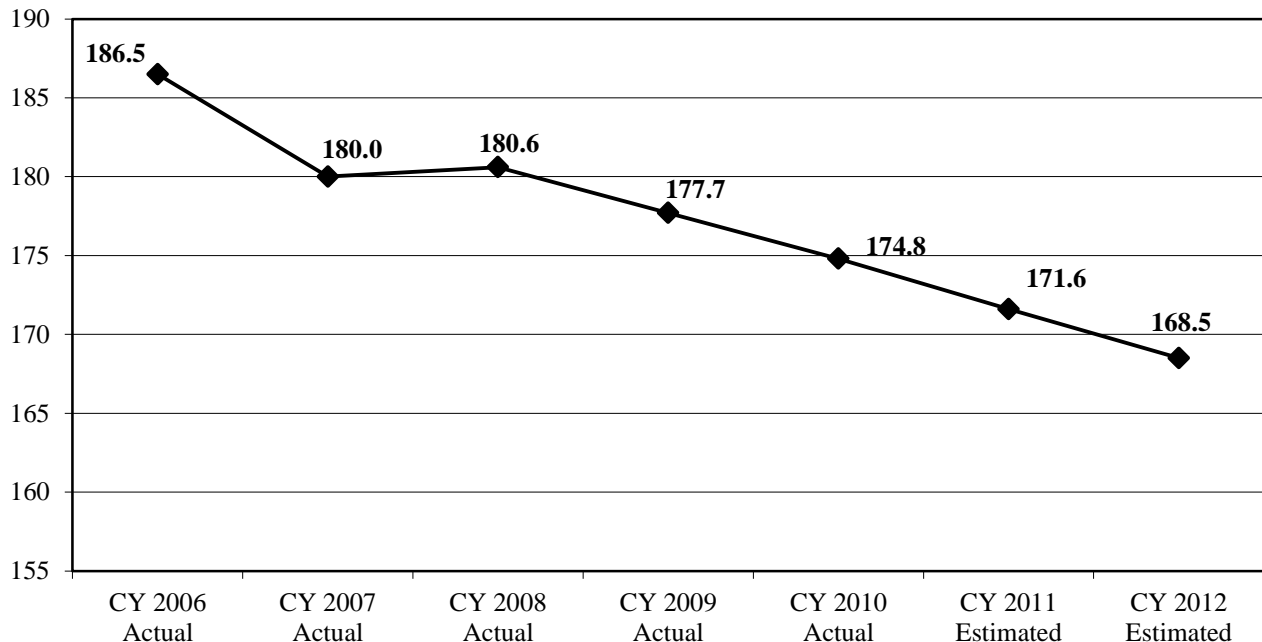
KEY GOALS, OBJECTIVES, AND PERFORMANCE MEASURES

Goal 1. To reduce overall cancer mortality in Maryland.

Objective 1.1 By calendar year 2012, reduce overall cancer mortality to a rate of no more than 168.5 per 100,000 persons. (age-adjusted to the 2000 U.S. standard population.)

| Performance Measures | CY2009 Actual | CY2010 Actual | CY2011 Estimated | CY2012 Estimated |
|-----------------------------------------------|------------------|------------------|---------------------|---------------------|
| Outcome: Overall cancer mortality rate | 177.7 | 174.8 | 171.6 | 168.5 |

**Overall Cancer Mortality Rate Per 100,000 Persons
Age Adjusted to 2000 U.S. Standard Population**



DEPARTMENT OF HEALTH AND MENTAL HYGIENE

**M00F03.06 CIGARETTE RESTITUTION FUND – PREVENTION AND DISEASE CONTROL –
FAMILY HEALTH ADMINISTRATION (Continued)**

Goal 2. To reduce disparities in cancer mortality between ethnic minorities and whites.

Objective 2.1 By calendar year 2012, reduce disparities in overall cancer mortality between blacks and whites to a rate of no more than 1.05. (Age-adjusted to the 2000 U.S. standard population.)

| | CY2009 | CY2010 | CY2011 | CY2012 |
|---------------------------------------------------------------|---------------|---------------|------------------|------------------|
| Performance Measures | Actual | Actual | Estimated | Estimated |
| Outcome: Cancer death rate ratio between blacks/whites | 1.09 | 1.08 | 1.07 | 1.05 |

Goal 3. To reduce mortality due to each of the targeted cancers under the local public health component of the CRF program.

Objective 3.1 By calendar year 2012, reduce colorectal cancer mortality to a rate of no more than 14.8 per 100,000 persons in Maryland. (Age-adjusted to the 2000 U.S. standard population.)

| | 2009 | 2010 | 2011 | 2012 |
|---------------------------------------------------------------------|---------------|---------------|------------------|------------------|
| Performance Measures * | Actual | Actual | Estimated | Estimated |
| Output: Number screened for colorectal cancer with CRF funds | 1,825 | 1,384 | 1,605 | 1,605 |
| Number minorities screened for colon cancer with CRF funds | 825 | 808 | 817 | 817 |

| | CY2009 | CY2010 | CY2011 | CY2012 |
|--------------------------------------------------|---------------|------------------|------------------|------------------|
| Performance Measures | Actual | Estimated | Estimated | Estimated |
| Outcome: Colorectal cancer mortality rate | 16.6 | 16.0 | 15.4 | 14.8 |

Objective 3.2 By calendar year 2012, reduce prostate cancer mortality to a rate of no more than 23.4 per 100,000 persons in Maryland. (Age-adjusted to the 2000 U.S. standard population.)

| | 2009 | 2010 | 2011 | 2012 |
|--------------------------------------------------------------------------|---------------|---------------|------------------|------------------|
| Performance Measures ** | Actual | Actual | Estimated | Estimated |
| Output: Number of men screened for prostate cancer with CRF funds | 654 | 253 | 145 | 145 |
| Number of minority men screened for prostate cancer with CRF funds | 552 | 225 | 124 | 124 |

| | CY2009 | CY2010 | CY2011 | CY2012 |
|------------------------------------------------|---------------|------------------|------------------|------------------|
| Performance Measures | Actual | Estimated | Estimated | Estimated |
| Outcome: Prostate cancer mortality rate | 25.5 | 24.8 | 24.1 | 23.4 |

Goal 4. To increase access to cancer care for uninsured persons in Maryland.

Objective 4.1 To provide treatment or linkages to treatment for uninsured persons screened for cancer under the Prevention and Disease Control Program.

| | 2009 | 2010 | 2011 | 2012 |
|--------------------------------------------------------------------------|---------------|---------------|------------------|------------------|
| Performance Measures * | Actual | Actual | Estimated | Estimated |
| Output: Number persons diagnosed and linked or provided treatment | 59 | 45 | 52 | 52 |

Note: * The estimated numbers for fiscal years 2011 and 2012 are the average of the two years of Actual data.

** Estimated numbers of men screened for prostate cancer in 2011 and 2012 are based on estimated performance measures for 2011.

MANAGING FOR RESULTS AND STATESTAT

The State Finance and Procurement Article (Section 3-1001 through 3-1003) defines **Managing for Results and StateStat** processes, and establishes requirements for agencies and DBM.

Managing for Results (MFR) is a planning, performance measurement, and budgeting process that emphasizes use of resources to achieve measurable results, accountability, efficiency, and continuous improvement in State government programs. MFR focuses on desired outcomes.

StateStat is an executive level accountability process that involves (1) adoption of a strategic plan (same as MFR strategic plan) and establishment of goals; (2) adoption of a comprehensive set of performance and citizen satisfaction measurements; (3) frequent submission of timely and accurate data, review and analysis of data, and meetings to assess performance reflected by the data; (4) continuous review of strategies and tactics used to meet the goals of the agency; and (5) continuous assessment of the progress towards meeting the goals of the agency.

StateStat and MFR are complementary processes. A MFR strategic plan establishes outcomes that an agency strives to achieve. Those outcomes are expressed in goals, and outcome measures are expressed in objectives. StateStat helps agencies achieve their MFR goals and objectives by examining business processes and strategic issues. StateStat performance measurement data are primarily related to agency program operations that support achievement of desired outcomes established in the MFR strategic plan. MFR and StateStat infrequently share performance measures primarily due to the outcome focus of MFR and the operational focus of StateStat. The StateStat process involves frequent submission, review, and discussion of data and strategies to achieve improved performance. MFR requires annual submission and review of agency missions, goals, objectives, performance measures, data definitions and control procedures, data certifications, and discussion of agency performance. **Agencies participating in StateStat are not exempt from MFR submission requirements.**

DBM REVIEW AND ASSESSMENT OF MFR SUBMISSIONS

DBM will use agency Managing for Results submissions to:

1. Analyze performance data to determine the effectiveness of strategies, program performance, and justification for continued, increased, or decreased funding;
2. Set priorities to identify necessary budget reductions, efficiencies, and/or budgetary increases; and
3. Discuss goals, strategies, and results in analyses of agency budgets and in budget hearings.

The DBM budget analysts will assess components of the agency Managing for Results submissions, and take the following actions as appropriate:

1. Contact the agency to discuss agency and program performance as indicated by reported performance data.
2. Consult with the agency regarding editorial revisions to the MFR submission.
3. Return the submission to the agency for revision and re-submission as needed.
4. Approve the MFR submission for print in the Budget Book.

The DBM budget analysts will assess agency MFR submissions using the questions listed below. Agencies should also use these questions when developing an agency MFR strategic plan.

Mission

Who are the customers/stakeholders that the agency is serving?

What are the intended results that meet stakeholder/customer needs?

What services/activities are used to achieve the mission?

Vision

What would Maryland be like if the agency's vision (or outcome goals) were achieved?

Goals

What outcomes are sought by the goal?

What strategic issue is being addressed by the goal?

How do the goals support the agency's mission and vision?

What concept in the goal is measurable?

Do the current or proposed program activities relate to the goals?

Objectives

How do the objectives support the agency's mission and vision?

Are the objectives "SMART"?

- **Specific:** What specific aspects of the outcomes are sought in the objective?
- **Measurable:** What is being measured? What targeted level of performance is specified by the objective for the desired outcomes?
- **Attainable:** Do the agency's performance targets seem too low, aggressive enough, or too aggressive considering baseline performance and other factors?
- **Results-Based:** What outcome is sought in the objective?
- **Time Bound:** When can you expect to see results?

Performance Measures

Is the performance concept in the goal measured?

Is the reported measure consistent with the associated objective, i.e. are the objective and measure formulated in the same way?

Are the performance measures valid (measure what they purport to measure)? If not, what aspects are not valid?

Are the performance measures clear? If not, what is unclear?

What has been the agency's baseline performance, and when was it established?

What benchmarks (internal or external) exist that relate to the performance?

What outcomes/results have been produced by the program?

Strategies

How do the strategies influence attainment of goals and objectives?

Performance Discussion

What is the rationale for using the measure – what does the performance data tell you? For example, the measure of "Six-year graduation rate of first-time, full-time students at Maryland public four-year colleges and universities - all groups" is an indicator of future success, i.e. completion of post-secondary education is linked to increased employment opportunities, earning power, and opportunities for advancement.

What does current and historical data tell you about attainment of desired outcomes?

What are the reasons for performance that surpasses, meets, or fails to achieve performance targets for outcomes and service delivery - what factors are driving performance or may influence performance?

How does Maryland's performance compare nationally or to similar programs in other jurisdictions (where national and/or jurisdictional data are available)?

Is performance anticipated to improve, decline or remain the same for the next 2 to 3 years? Why?

GUIDELINES AND SAMPLE TEMPLATES FOR DATA DEFINITIONS AND CONTROL PROCEDURES

The legal requirement for agencies to maintain documentation of internal controls is included in Section 3-1002 (d) of the Maryland State Finance and Procurement Article. When establishing performance measurement systems, agencies should ensure that documentation of data definitions and control procedures is complete, accurate, and consistent. The data collection, maintenance, and processing systems must be designed to avoid significant error and bias. Agencies should provide sufficient information on verification and validation procedures to allow a third party to assess whether those procedures and the reported data are credible. Control procedures should include periodic review of data collection, maintenance, and processing procedures; periodic sampling and review of data; independent audits or other established procedures for verifying and validating data. Agencies that report data for measures included in the State Comprehensive Plan are strongly encouraged to conduct internal audits every two years of the reported data for those measures. DBM may request copies of internal audit results in future years. Data from an external source should be indicated and verified where possible. Verification of third party data may include obtaining from each data source the specific procedures used to ensure data integrity. Agencies should periodically update definitions and control procedures as necessary.

Data Definitions:

Terms used in data definitions must be precisely defined so that the measures are correctly understood and calculated. A data definition should include both conceptual and operational components. It should contain the necessary information to clearly understand the measure and include a detailed description of its calculation to allow for replication. Formulas for calculation of the measures should be specified in data definitions. Additionally, a complete data definition should fulfill the following criteria:

- Describes the primary source(s) of information, its method of collection and storage;
- Identifies any data limitations, including factors beyond the agency's control; and
- Identifies whether the data is cumulative or non-cumulative.

The reported measure must be consistent with what is being measured in the objective. For example, if the objective measures the percent of Maryland children fully immunized, it would be incorrect to state the measure as the number of children fully immunized.

Control Procedures:

Control procedures create a system to ensure that the collection and reporting of performance measures are reliable and accurate. A statement of control procedures should include detailed information regarding data collection and review, and list responsible parties. Input, process, and review control procedures are described on the next page, followed by sample templates for data definitions and control procedures.

Input controls are processes developed by an agency to provide reasonable assurance that data collection is accurate. Examples include:

- Data-entry training, including how information will be used and the importance of accuracy;
- Written and established guidelines and procedures for data entry that are used consistently;
- Information received via mail or telephone that is date stamped or logged when received;
- Supervisory review for accuracy of information entered into the computer system;
- Written documentation of the control structure from providers of third-party data; and
- Documentation of the third-party provider's operations to ensure that the information received is accurate.

Process controls are mechanisms to provide reasonable assurance that performance measurement systems use the appropriate information and follow procedures established for data gathering and calculation of each measure. Examples include:

- Review of computer programs used to calculate or store performance data to ensure the correct information is being captured and the desired functions are being performed;
- Databases have all of the basic computer controls such as edit checks, logic checks, edit totals, and access controls;
- Personnel understand the origin of the information and stay current with any changes in its form; and
- Written procedures exist for collecting and calculating measures, and personnel are trained in this area.

Review controls are procedures to verify that an activity occurred and was correctly calculated to provide reasonable assurance that accurate data is reported.

- Communication with executive management to ensure that the desired information is being measured or is capable of being measured;
- Review of calculation of the performance data to ensure that the calculation is consistent with the measure definition and to check for mathematical errors;
- Internal audits of performance measures are conducted; and
- MFR submissions are reviewed for accuracy and typographical errors.

Sources of above information: Texas State Auditor's Office. "Guide to Performance Measurement Management, 2000 Edition"

<http://www.sao.state.tx.us/Resources/Manuals/prfmguide/default.html>,

and Maryland Department of Budget & Management, Office of Budget Analysis

AGENCY NAME: _____
BUDGET CODE AND PROGRAM NAME: _____
DATE: : _____

DATA DEFINITIONS AND CONTROL PROCEDURES TEMPLATE

SECTION I – DATA DEFINITION

GOAL #

| |
|--|
| |
|--|

OBJECTIVE #

| |
|--|
| |
|--|

PERFORMANCE MEASURE

Short name:

| |
|--|
| |
|--|

Type (input, output, outcome, quality, efficiency):

| |
|--|
| |
|--|

DEFINITION OF THE PERFORMANCE MEASURE

Complete written description of the measure and definitions of terms:

| |
|--|
| |
|--|

SECTION II – DATA CONTROL PROCEDURES

SOURCES OF DATA

Data Source/Provider of data (Name of program/unit if internal source; name of external source/third party provider of data):

| |
|--|
| |
|--|

Document or database name, file location, and name of organization that collects and maintains the data (Indicate if paper record, in-house electronic file, third part database; provide Web address if applicable):

| |
|--|
| |
|--|

Name of data element(s) and location (Provide Web address if applicable):

| |
|--|
| |
|--|

Contact(s) name(s) and phone number(s):

| |
|--|
| |
|--|

DATA COLLECTION

Method of data collection and storage:

| |
|--|
| |
|--|

Frequency of data collection:

| |
|--|
| |
|--|

Timeframe data represents (e.g. state fiscal year, federal fiscal year, calendar year, academic year):

| |
|--|
| |
|--|

Is data is cumulative or by reporting period only?

| |
|--|
| |
|--|

AGENCY NAME: _____
BUDGET CODE AND PROGRAM NAME: _____
DATE: : _____

COMPUTATION OF MEASURE(S)

Calculation method(s) or formula(s):

DATA INTEGRITY

How is accuracy and reliability of the data insured?

Steps taken to ensure data is not duplicated:

What periodic sampling of data occurs?

What audits are performed (internal and external)?

What verification of data is done by external sources/third party providers of data (provide data control procedures of third parties if available):

DATA LIMITATIONS AND ISSUES

Qualifications for use of data:

Improvements needed in data collection and reporting:

Other limitations:

REPORTING

Frequency (How often?):

Method (How?):

Distribution (To whom?):

Purpose (Why?):

BENCHMARKS (if applicable)

INSTRUCTIONS FOR COMPLETING DATA DEFINITIONS AND CONTROL PROCEDURES

Section I – Data Definition

1. **Program Name:** Indicate the name of the budgeted program as it appears in the Maryland Budget Book, and include the R-STARs code for the program, e.g. M00F03.02 Family Health Services and Primary Care - Family Health Administration.

2. **Goal:** Provide the MFR numbered goal for this performance measure.

3. **Objective:** Provide the numbered objective for this performance measure.

4. **Performance Measure:**

Short name: (Optional) Provide a short name, one or two words. For example, a short name would be “Recidivism,” and, in the definition, the full name would be “Percent of offenders returned to Department supervision for a new offense within one year of their release from the Division of Correction.”

Performance measure type: Select input, output, outcome, quality or efficiency.

5. **Definition of the concept that is being measured:** Provide a complete written description of exactly what is being measured – what is included in and excluded from the measure. Write out a description of the performance measure in plain language suitable for reporting to stakeholders and the public. *Define all terms from the written description that may need further explanation to ensure consistent interpretation and calculation.*

Section II – Data Control Procedures

6. **Sources of Data:**

Data Source/Provider of data: Provide the name of the program/unit if internal source, or the name of the external source/third party provider of data.

Document or database name, file location, and name of organization that collects and maintains the data: Provide the name of the document. If the document is on a personal computer, specify which drive and file folder(s). Indicate if data comes from a paper record, in-house electronic file, or third party database. Provide the Web address if applicable.

Name of data element(s) and location: Write in plain language the name of the data element. Specify where in the document or database the data may be found, such as page number, chart name, column and line location in a chart, worksheet name, etc.

Contact name(s) and phone number(s): What entity or person owns and maintains the database. Specify whom to contact to learn more about the sources of data.

7. **Data Collection:** Describe the process of how the data is collected – method, frequency, timeframe data represents, and whether or not data is cumulative.

8. **Computation of Measure(s):** Provide the calculation method or formula to arrive at this performance measure. The formula will include the specific data elements referenced under #6 above.

9. **Data Integrity:** Describe how the program insures accuracy and reliability of the data and the resulting performance measure. Is data periodically sampled? What audits are performed? How do third parties ensure accuracy of data?

10. **Data limitations and issues:** Describe any qualifications for use of the data. Indicate any outstanding issues or action items that need to be addressed. What improvements in terms of data collection, reporting, etc. are needed to make this performance measure more useful?

11. Reporting:

Frequency: How often will the performance measure be reported?

Method: By what means is the performance measure reported (annual report, on-line, etc.)?

Distribution: Who receives or has access to these reports?

Purpose: For what purpose(s) is the performance measure reported? How is this information used by the recipient(s)?

12. **Benchmarks:** For comparison purposes, cite performance information for similar internal programs or programs in other jurisdictions or other states, national standards, or other sources such as published articles, research, audits, or management evaluations.

EXAMPLE OF A COMPLETED DATA DEFINITION AND CONTROL PROCEDURES DOCUMENT

AGENCY NAME: DEPARTMENT OF LABOR, LICENSING AND REGULATION
BUDGET CODE AND PROGRAM NAME: P00G01.01 WORKFORCE DEVELOPMENT – DIVISION OF WORKFORCE DEVELOPMENT
DATE: Sept. 2, 2008 - Fiscal Year 2010 Budget Submission

DATA DEFINITIONS AND CONTROL PROCEDURES

Goal 1 Objective 1.1 - 1.3

Objective 1.1 During fiscal year 2010, maintain the percent of the Workforce Investment Act (WIA) Adult program participants who enter employment at a rate that meets or exceeds the federal standard.

Objective 1.2 During fiscal year 2010, maintain the percent of the Workforce Investment Act (WIA) Youth program participants who enter employment at a rate that meets or exceeds the federal standard.

Objective 1.3 During fiscal year 2010, maintain the percent of the Workforce Investment Act (WIA) Dislocated Worker program participants who enter employment at a rate that meets or exceeds the federal standards.

Performance Measures – Outcomes:

- Entered Employment Rate - Adults
- Placement in Employment or Education Rate - Youth
- Entered Employment Rate - Dislocated Workers

Goal 3 Objective 3.1 - 3.2

Objective 3.1 During fiscal year 2010, maintain the number of the Workforce Investment Act (WIA) Adult program participants who will remain employed six months after the end of their program services, at a rate that meets or exceeds the federal standard.

Objective 3.2 During fiscal year 2010, maintain the number of the Workforce Investment Act (WIA) Dislocated Worker program participants who will remain employed six months after the end of their program services, at a rate that meets or exceeds the federal standard.

Performance Measures – Outcomes:

- Employment Retention Rate – Adults
- Employment Retention Rate – Dislocated Workers

Key Definitions for WIA Performance Measures:

- **Adult** - For the purpose of the WIA programs, an adult is an individual who is age 18 or older.

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- **Advanced Training/Occupational Skills Training** - An organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels. Such training should: (1) be outcome-oriented and focused on a long-term goal, as specified in the Individual Service Strategy (ISS), (2) coincide with exit, rather than short-term training that is part of services received while enrolled in ETA-funded youth programs, and (3) result in attainment of a certificate.
 - **Eligible WIA Youth** – An individual who:
 - (A) Is not less than age 14 and not more than age 21;
 - (B) Is a low-income individual; and
 - (C) Falls within one or more of the following categories:
 1. Deficient in basic literacy skills;
 2. School dropout;
 3. Homeless, runaway, or foster child;
 4. Pregnant or parenting;
 5. Offender; or
 6. An individual (including a youth with a disability) who requires additional assistance to complete an educational program or to secure and hold employment.
- Note: CFR 664.210** states that criterion for this definition and the documentation to prove need shall be established at the local level by the Youth Council. It will be approved by the WIA Board, based on local area need, and must be included in local policy.
- **Employed at Participation** – An individual employed at participation is one who, during the 7 consecutive days prior to participation, did any work at all as a paid employee, in his or her own business, profession, or farm, worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family, or is one who was not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job.
 - **Employed in First, Second, and Third Quarters After Exit Quarter** - The individual is considered employed if wage records for these quarters show earnings greater than zero.
 - **Employed in Quarter After Exit Quarter** – The individual is considered employed if Unemployment Insurance (U.I.) wage records, Federal Employment Data Exchange System (FEDES) or supplemental data for the quarter after exit show earnings greater than zero.
 - **Exit** - Exit occurs when a participant does not receive a service funded by the program or funded by a partner program for 90 consecutive calendar days. The term “service” does not include activities that are open to non-participants, services and activities specifically provided as follow-up services, or regular contact with the participant or employer to only obtain information regarding his/her employment status or educational progress or need for additional services.
 - **Exit Date** - The date of exit is the date on which the last service funded by the program or a partner program is received by the participant.

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- **Participant** – An individual who has registered under 20 CFR 663.105 or 20 CFR 664.215 and has been determined to be eligible to participate in and who is receiving services (except for follow-up services) under a program authorized by WIA Title I. Participation commences on the first day, following determination of eligibility, on which the individual begins receiving core, intensive, training, or other services provided under WIA Title I. [**20 CFR 660.300**].
- **Post-secondary Education** – A program at an accredited degree-granting institution that leads to an academic degree (e.g., AA, AS, BA, BS); does not include programs offered by degree-granting institutions that do not lead to an academic degree.
- **Workforce Investment Act Adult** – An adult over the age of 18 who meets the income guideline adopted by the local workforce investment area.
- **Workforce Investment Act Dislocated Worker** – An individual who:
 - (A) (i) has been terminated or laid off, or who has received a notice of termination or layoff from employment;
 - (ii) (I) is eligible for or has exhausted entitlement to unemployment compensation;
or
(II) has been employed for a duration sufficient to demonstrate to the appropriate entity at a one-stop center, referred to in Section 134(c), attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that was not covered under a State unemployment compensation law; and
 - (iii) is unlikely to return to a previous industry or occupation.
 - (B) (i) has been terminated or laid off, or has received a notice of termination or layoff from employment as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise;
 - (ii) is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or
 - (iii) for purposes of eligibility to receive services other than training services described in Section 134(d)(4), intensive services described in Section 134(d)(3), or supportive services, is employed at a facility at which the employer has made a general announcement that such facility will close.
 - (C) was self-employed (including employment as a farmer, a rancher, or a fisherman), but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters; or
 - (D) is a displaced homemaker: an individual who has been providing unpaid services to family members in the home and who has been dependent on the income of another family member but is no longer supported by that income; and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.
[Act 101(10)]
- **Workforce Investment Act Youth** – An individual who is age 14-21 at the date of participation and meets all other WIA Youth Program eligibility requirements.

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Workforce Investment Act - Federal Performance Standards:

Performance standards are established through a negotiation process between the U.S. Dept. of Labor and the State of Maryland. The standards are negotiated annually by federal program year. The most recent standards are shown in the table below.

| | FY 2005 | FY 2006 | FY 2007 | FY 2008 | FY 2009 |
|--------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| ADULT | PY 2004 Standards | PY 2005 Standards | PY 2006 Standards | PY 2007 Standards | PY 2008 Standards |
| Entered Employment Rate | 72.0% | 88.0% | 91.0% | 89.0% | 90.0% |
| Retention Rate | 82.0% | 86.8% | 87.0% | 87.0% | 88.0% |
| | | | | | |
| DISLOCATED WORKER | | | | | |
| Entered Employment Rate | 75.0% | 92.0% | 94.0% | 94.0% | 95.0% |
| Retention Rate | 88.0% | 90.0% | 91.0% | 91.0% | 92.0% |
| | | | | | |
| YOUTH | | | | | |
| Placement in Employment or Education | | | 64.0% | 64.0% | 67.0% |

Source of Wage Information:

Unemployment Insurance (U.I.) wage records will be the primary data source for tracking employment in the quarter after exit. When supplemental data sources are used, individuals will be counted as employed if, in the calendar quarter after exit, they did any work at all as paid employees (i.e., received at least some earnings, worked in their own business, profession, or worked on their own farm).

Supplemental data sources will be used to collect data on post-secondary education and advanced training. Allowable sources of supplemental data for tracking employment-related outcomes include case management notes, automated labor exchange system administrative records, surveys of participants, and contacts with employers.

How Data is Collected:

Methods for data collection and storage

The Division of Workforce Development (DWD) and its recipients comply with the requirements of **29 CFR Part 37.37 through 37.41** related to the data and information collection and maintenance. Local Workforce Investment Boards (WIB) are required to enter program data into the Maryland Workforce Exchange (MWE) tracking system. The system is designed to

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collect and maintain records on each registrant, applicant, eligible applicant, participant, terminnee, employee, employer and applicant for employment.

Demographic information collected includes race/ethnicity, sex, age, and disability status, where known, as required by **29 CFR Part 37**, as well as, selective service registration, veteran information, employment status, low-income information, custodial and non-custodial parental information, educational level, dislocated worker information and identified barriers

Safeguards are in place to ensure privacy and confidentiality of individual records. The Division employs firewalls, user ids and passwords to control the level of user access and to maintain data security on our mainframe and internet based systems.

What program eligibility documentation is maintained and by whom?

WIA and **20 C.F.R. Part 652** establish basic and specific program eligibility criteria. Basic program eligibility requirements, i.e., U.S. citizenship (or authorization to work in the U.S.), age, and Military Selective Service registration; and specific services eligibility, additional eligibility requirements, i.e., meeting income level, dislocated worker, or youth barrier criteria.

Local Workforce Investment Boards (WIB) are required to document the eligibility of adult, dislocated worker, and youth populations served with WIA funds. The records of applicants, registrants, eligible applicants/registrants, participants, terminnees, employees, and applicants for employment are kept for a minimum of three years from the close of the applicable program year or, if any litigation, claim, negotiation, audit or other action involving the records has been initiated before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues, which arise from it. Files are kept longer if requested by the Director of the Civil Rights Center, United States Department of Labor (DOL).

All records regarding complaints alleging discrimination and actions taken relative to those complaints must be maintained for a period of not less than three years from the date of resolution of the complaint. A Discrimination Complaint Log is maintained by the State WIA EO Officer with information provided quarterly by Local EO Officers.

Who at the central office obtains the data from the local offices? Is it obtained from the database or some other source?

Program data is accessed through the Maryland Workforce Exchange (MWE) internet based database for local, State and federal reporting. The Office of Information Technology (OIT) pulls an extract from the MWE each quarter and for the annual reporting. The extract is then given to the DWD Performance Unit to check for data accuracy and ensure the data is correct. The extract is imported into the DOL Data Reporting Validation System (DRVS). The import errors are examined and a facsimile is run and exported. The performance export groups are exported software and the data is analyzed. Once Performance staff approves the data extract and the facsimile, the report is then submitted to DOL.

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By whom and how is wage information reported and collected by DLLR, as well as employment verified?

To ensure comparability of the common measures on a national level, wage records are the data source for the employment-related measures. Unemployment Insurance (UI) wage records are the primary data source for tracking the adult entered employment, retention, and average earnings measures and the employment portion of the youth placement in employment or education measure.

While most forms of employment in the State’s workforce are “covered” and will be in the UI wage records, certain types of employers and employees are excluded by federal unemployment law standards or are not covered under states’ UI laws. States may use record sharing and/or automated record matching with other employment and administrative data sources to determine and document employment and earnings for “uncovered” workers. These data sources can include:

- Wage Record Interchange System (WRIS)
- U.S. Office of Personnel Management
- U.S. Postal Service
- U.S. Department of Defense
- Railroad Retirement System
- State government employment records
- Local government employment records
- Judicial employment records
- State New Hires Registry
- State Department of Revenue or Tax (for individuals who are self-employed; information must be obtained through record sharing or automated matching of state tax records)

DLLR has an interagency agreement with the University of Baltimore, Jacob France Institute (JFI) which includes quarterly queries of federal government civilian employee records (Office of Personnel Management), U.S. Postal Service employee records and restricted-use matching against active duty military personnel (Department of Defense) using the Federal Employment Data Exchange System (FEDES) portal managed by JFI under a sub-contract from DLLR and DOL.

In addition, JFI secures the quarterly bundling of social security numbers for delivery by DLLR to other states participating in the regional TRADE exchange of state UI wage record extract information. JFI then continues responsibility for unbundling, and secure delivery of matched records to authorized end-users.

Each quarterly update involves three actions by DLLR and JFI.

1. DLLR delivery to JFI of a preliminary Maryland UI wage records update in the second month following the end of a reference quarter;

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2. DLLR delivery to JFI of a replacement Maryland UI wage records update during the fourth or fifth month after the end of the same reference quarter; and
3. DLLR delivery to JFI the Quarterly Census of Employment and Wages (QCEW) extract for the most recent available reference quarter not previously delivered. DLLR retains exclusive authority to decide what data elements will be included in this extract file, subject to federal and State laws and administrative regulations and mutually agreed upon data needs for JFI studies approved by DLLR.

Timeframe data represents:

The federal program year runs from 7/1 to 6/30 and the program year standard is applied to the State fiscal year. The federal program year lags one year behind the applicable State fiscal year, for example, the federal program year 2007 applies to State fiscal year 2008. Data is reported on a State fiscal year basis.

Data Controls:

How is accuracy ensured? What steps are taken to ensure that data is not duplicated?

Data in the MWE is carefully analyzed and compared to the data extracts and reports from the Data Reporting Validation Software (DRVS). Participant data is examined to ensure data in the extract matches data in MWE. There are many checks and balances in the process to ensure data accuracy and integrity. Data in the extract is checked based on data specification in the DRVS manual. Every quarter, data is thoroughly examined using various software. After the annual extract is examined and approved, a Data Element Validation sample is drawn for DLLR's Operations unit to complete. Regional Representatives for Operation's travel to WIB local offices across the State to check jobseekers folders kept onsite for data accuracy and integrity.

Administrative records are the data source for the education and training portion of the Youth placement in employment or education measure. All data and methods used to determine placement in education and training or achievement of a degree or certificate must be documented and are subject to audit. The following data sources can be used to determine whether participants in youth programs are placed in post-secondary education and/or advanced training/occupational skills training:

1. Case management, follow-up services, and surveys of participants to determine if the individual has been placed in post-secondary education and/or advanced training/occupational skills training; or
2. Record-sharing agreements and other data sources to determine and document that the participant has been placed in post-secondary education and/or advanced training or occupational skills training. These data sources may include:
 - State Board governing community colleges,
 - State Board governing universities,
 - State Education Associations, and
 - Integrated post-secondary or higher education reporting unit.

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Is there any independent validation to ensure that data entered to the database by local offices is accurate?

The accuracy and reliability of program reports submitted by states and grantees using federal funds are fundamental elements of good public administration and necessary tools for maintaining and demonstrating system integrity. To that end, ETA introduced Data Validation in Fiscal Year 2004 to help states and grantees ensure that their reported performance accurately reflects their experiences. The Data Validation policy for PY 2007 issued by DOL is Training and Employment Notice (TEN) 09-08 located @ <http://wdr.doleta.gov/directives/corr.doc.cfm?docn=2664>.

The DLLR Office of Information and Technology (OIT) pulls a data extract for the annual reporting process. The extract is loaded into the Data Reporting Validation Software (DRVS). The data is checked and the programming is examined to ensure data accuracy and integrity. The performance export groups are exported and the participant listings, exiters, and common measures are carefully analyzed. Once Performance staff approves the extract, the annual report is run and submitted to DOL. After submission, Performance staff uses DRVS to draw a sample. After the sample is pulled, Performance staff then creates sub-samples by LWIA and funding stream. The sub samples are then given to the DWD Operation's field representatives to complete. When all sub samples are complete they are re-imported and the funding streams are checked for data validation completion, the summary analytical report is created and the Data Element Validation (DEV) sample is then submitted to DOL using the guidelines in the manual.

What Types of Calculations are Performed?

Adult Entered Employment Rate:

Of those who are employed at participation:

Number of adults who have entered employment by the end of the first quarter after exit divided by the number of adults who exit during the quarter.

Operational Parameters:

- Individuals who are employed at the date of participation are excluded from this measure
- Employment at the date of participation is based on information collected from the individual, not from wage records.

Dislocated Worker Entered Employment Rate

Of those who are employed at participation:

Number of Dislocated Workers who have entered employment by the end of the first quarter after exit divided by the number of Dislocated Workers who exit during the quarter.

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Operational Parameters

- Individuals who are employed at the date of participation are excluded from this measure
- Employment at the date of participation is based on information collected from the individual, not from wage records.

Youth Placement in Employment or Education Rate Placement in Employment or Education

Of those who are not in post-secondary Education or employment at the date of participation:
Number of youth participants who are in employment (including the military) or enrolled in post-secondary education and/or advanced training/occupational skills training in the first quarter after the exit quarter divided by the number of youth participants who exit during the quarter.

Operational Parameters:

- Individuals who are in post-secondary education, employment, or the military at the date of participation are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).
- Employment, military, and education status at the date of participation are based on information collected from the individual.
- Individuals in secondary school at the date of participation, regardless of employment status, will be included in this measure.
- Individuals in secondary school at exit are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).

Adult Employment Retention Rate

Of those who are employed in the first quarter after exit:

The number of Adult participants who are employed in *both* the second and third quarters after exit divided by the number of participants who exit during the quarter.

Operational Parameters

- Individuals who are not employed in the first quarter after exit are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).
- Employment in the first, second, and third quarters following exit does not have to be with the same employer.

Dislocated Worker Employment Retention Rate

Of those who are employed in the first quarter after the exit quarter:

Number of dislocated worker participants who are employed in both the second and third quarters after the exit quarter divided by the number of dislocated worker participants who exit during the quarter

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Operational Parameters

- Individuals who are not employed in the first quarter after exit are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).
- Employment in the first, second, and third quarters following exit does not have to be with the same employer.

After the rates are calculated on the above measures, the results are compared to the federal performance standards to determine if the standard has been met.

Data Limitations:

There is lag-time for the availability of the wage record data. For PY 2007, actual numbers for goal 1, objectives 1.1 thru 1.3 for the calculations the timeframe of exiters included in the measure are from 10/1/2006 to 9/30/2007.