



Legislative Oversight Committee
South Carolina House of Representatives
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Guidelines, Examples, and Tips for the Program Evaluation Report

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If portions of the report are assigned to various agency personnel for completion, below is a reference to the pages applicable to the different sections.

Page	Question/Topic
7	Glossary of Terms
8	History
9	Directors and time of service
10	Governing body
11-13	Qualifications and duties of agency director and governing body
14	Employee engagement, climate, or similar surveys
15	Counterparts, federal and local
16	Organizational chart
17-19	Successes and challenges
20	Records management
20	Policies, schedule for reviewing
21	Regulations, schedule for reviewing

Page	Question/Topic
22	Funding, collaboration with other agencies
22	Entry of data from other agencies
23-24	Internal audit or risk mitigation practices
25	External reviews or audits of agency

Excel Charts

37-42	Organizational Units Chart (Excel)
43-44	Finance Overview Chart (Excel)
45-64	Deliverables Chart (Excel)
65-68	Performance Measures Chart (Excel)

Program Evaluation Report at a Glance

Note: An asterisk (*) indicates the information auto-calculates from other information the agency provides in the PER.

WORD DOCUMENT

- Glossary and history of agency (significant events)
- Past agency directors and time of service
- Explanation of agency's governing body
- Employee survey information
- Federal and local counterparts
- Most recent organizational chart
- 3-4 agency successes, challenges, and emerging issues
- Agency's records management policy
- Review/update of agency policies and regulations
- Collaboration with other agencies to seek funding
- Entry of data from other agencies
- Internal audit process
- Outstanding issues from audits or other reviews
- Agency's recommendations for changes in law
- Feedback (optional)

ORGANIZATIONAL UNITS CHART

For each organizational unit:

- Name of unit, purpose of the unit, and the following for each of the last three fiscal years:
 - Does the organizational unit (1) perform exit interviews/surveys, (2) track employee satisfaction, and (3) allow anonymous employee feedback?
 - Number of employees (FTE, Grant, Time-Limited, and Temporary) in org unit at start of FY, end of FY, and that leave the org unit during the FY
 - Turnover rate*
- Agency comments (optional)

FINANCE OVERVIEW CHART

For each of the last three fiscal years, by type of funds:

- Amounts appropriated and authorized
- Carry forward
- Cash not authorized to spend at the end of the year
- Explanation of additional funds authorization
- Comments about cash balances

DELIVERABLES CHART

For each deliverable (i.e., service or product):

- Description and responsible organizational unit
- Associated laws and if they specifically require agency to provide the deliverable

Results Sought

- Is legislative intent in the enabling act of the law?
- Specific outcome sought from providing deliverable (in law or agency's interpretation)
- List of associated performance measures

Customers

- Description
- Does agency evaluate satisfaction?
- List of counties served last fiscal year
- Number of customers served in last 3 fiscal years

Units Provided

- Description of a single unit and number provided
- Customer charges for last three fiscal years

Costs

For each of the last three fiscal years:

- Total employee equivalents required to provide it
- Total cost (operational and employee salary/fringe)
- Total cost as percentage of total agency spending*
- Cost per unit*

Revenues Collected

For each of the last three fiscal years:

- Total customer charges
- Total from other non-state sources (federal and other grants awarded to provide deliverable)
- Agency comments (optional)

PERFORMANCE MEASURES CHART

For each measure for each of the last five time periods

- Description of measure
- Time applicable (calendar, state FY, or federal FY)
- Is agency seeking to obtain higher than, lower than, or exact target value?
- Summary of results
- Target and actual results for last five years
- Agency comments (optional)

Explanation of Report

A. *What type of information is requested?*

S.C. Code §2-2-20(C) requires legislative oversight studies and investigations to consider:

- | | |
|--|--|
| (1) Application of laws and programs; | (5) Organization of state agency; |
| (2) Administration of laws and programs; | (6) Operation of state agency; and |
| (3) Execution of laws and programs; | (7) Necessity or desirability of enacting new or |
| (4) Effectiveness of laws and programs; | additional legislation. |

S.C. Code §§2-2-50 and 2-2-60 authorize the Committee to request the agency complete a Program Evaluation Report (PER). Also, S.C. Code §2-2-60 explains what the PER must and may contain. The following information is provided to comply with the requirements in §2-2-60:

- The Committee intends to investigate all agency programs and operations.
- See the Word document and Excel charts for information that must be included in the report. The prior page has a summary of the topics and questions in the Word portion of the report and the Excel charts portion of the report
- Submit the PER to the Committee by **Monday, March 9, 2020 (45 calendar days from January 24, 2020)**.

B. *Who receives the information?*

House Legislative Oversight Committee

Mailing: P.O. Box 11867. Columbia, South Carolina 29211

Telephone: 803-212-6810

Physical: Room 228, Blatt Building

Email: HCommLegOv@schouse.gov

C. *Is there any training?*

Training is available on Friday, January 31, 2020, or Monday, February 3, 2020. The **same** training is being offered on two different dates. Both training sessions will be held in Blatt Room 112 from 10:00 a.m. to noon. There is no limit on how many agency personnel may attend.

Additionally, **Committee staff are available by phone, email, or in person to answer questions at any time.**

D. *How is the information shared?*

The information is posted on the General Assembly's website and is available to Committee members, other elected officials, and the public.

E. When and how does the agency submit its response?

All forms should be submitted electronically by **Monday, March 9, 2020 (45 calendar days from January 24, 2020)**, to the House Legislative Oversight Committee (HCommLegOv@schouse.gov) in:

- Original electronic format (Word and Excel documents), and
- Combine the Word and Excel documents together into one Adobe (.pdf) document for online reporting.
 - Save as a readable and searchable pdf, instead of a scanned in version, for accessibility by the hearing impaired.
 - Please ensure the document is bookmarked and all landscape orientated pages are rotated.
- Other attachments are allowed.

F. What else?

The responses provided in the PER are considered **sworn testimony** from the agency.

Do not provide any confidential information. If confidential information or documents are responsive to questions in the report, state what it is, that it is confidential, and why it is confidential (e.g., contract, military clearance level, etc.).

It may be helpful for agency representatives to **retain any notes taken when responding to the questions** should any questions arise during the legislative oversight process.

Examples provided in this report are for illustrative purposes only and may not be accurate.

I. Agency Snapshot

A. Glossary of Terms

1. Glossary of agency terms.

Staff Responsible Instructions

Include a glossary of terms and acronyms used by the agency. Use the format provided in the Word template, and add as many rows as necessary to the chart.

Example

Term, Phrase or Acronym	Meaning of the Term, Phrase or Acronym
Jail	Facility maintained by county or local government for confinement of individuals (1) under arrest, or (2) sentenced.
Prison	Facility maintained by S.C. Department of Corrections for confinement of individuals (1) with an incarcerative sentence of more than 90 days or, (2) in safekeeping status.
SCCB	South Carolina Commission for the Blind
VR	Vocational Rehabilitation

B. History

2. History of significant events related to the agency, from agency's origin to the present.

Staff Responsible Instructions

List significant events related to the agency from its origin to the present, including legislative actions. This may include, but is not limited to: court decision(s) or settlement(s) impacting the agency; programs added or cut; and department(s) or division(s) changed. Use the format provided in the Word template.

Example - Significant events information format

- **1935**
 - During the Depression, many social oriented programs were implemented to assist the nation in its recovery; among these was the Emergency Relief Administration. As an outgrowth of this agency, [a] temporary Department of Welfare was established in 1935.
- **1937**
 - The legislature permanently created the Department of Public Welfare in Act Number 3 of 1937.
- **1972**
 - The Department of Welfare was renamed the Department of Social Services.
- **1984**
 - DSS contracts with Omni Systems, Inc., a consulting firm, for \$160,000 to determine appropriate staffing levels for each DSS county office.
- **2001**
 - March 2001 - DSS implemented a hiring freeze, with front-line human services positions, such as CPS caseworkers, exempted.
 - August 2001 - DSS implemented a retirement incentive and began voluntary separations. The hiring freeze remained in place, with human services positions exempted.
- **2007**
 - Main divisions at the agency expanded. Complete listing of divisions include: Family Assistance (Linda Martin); Human Services (Mary Williams); Child Support Enforcement (Larry McKeown); and Administration & Program Support (Wendell Price).

When reference is made to a significant legislative action, please cite to the applicable act, if known.

How to format law citations

- *Act:* Year Enacted Act No. # (Example - 1974 Act No. 3)
- *State Constitution:* S.C. Constitution Article #. Title of Article. Section #. Title of Section (Example - S.C. Constitution Article IV. Executive Department. Section 12. Disability of Governor)
- *State Statute:* S.C. Code Ann. ## - ## - ##. Name of Provision. (Example - S.C. Code Ann. 1-1-110. What officers constitute executive department.)
- *Federal Statute:* Title #. U.S.C. Section # (Any common name for the statute)
- *State Regulation:* S.C. Code of Regulations Chapter # - Section # (Any common name for the regulation)
- *Federal Regulation:* Title # C.F.R. Section # (Any common name for the regulation)
- *State Proviso:* Proviso ##.# (Proviso Description), 2015-16 (or whichever year is applicable) Appropriations Act Part 1B (Example - 117.9 (GP: Transfers of Appropriations), 2014-15 S.C. Appropriations Act, Part 1B.)

3. Agency directors and time of service.

Staff Responsible

Instructions

Provide a list of agency directors and their time of service. Use the format provided in the Word template.

Example

Name of Director	Time of Service
Jane Doe	1937 - 1972
John Doe	1972 - 1984
Elizabeth Doe	1984 - 2007

C. Governing Body, Organizational Chart, and Related Entities

4. Agency's governing body, as outlined in the enabling statute.

Staff Responsible

Instructions

Explain what the agency's enabling statute states about its governing body (e.g., governor for cabinet agencies; citizens for statewide elected officials; board, commission, etc.). For boards and commissions, please include the following:

- total number of individuals in the body;
- whether individuals are elected or appointed;
- who elects or appoints the individuals;
- length of term for each individual;
- any limitations on the total number of terms (or number of consecutive terms) an individual can serve; and
- names of those currently on the governing body, date; elected / appointed, and term number.

If the governing body operates differently than outlined in statute, please describe what is outlined in statute and how operation differs.

Example - Governing body information format


Pursuant to state statute, the Academy is governed by the Council. The council is comprised of the following four members, who serve without compensation:

- (1) the Attorney General of South Carolina;
- (2) the Chief of the South Carolina Law Enforcement Division;
- (3) the Director of the South Carolina Department of Probation, Parole and Pardon;
- (4) the Director of the South Carolina Department of Corrections;

There are currently no term limits for members of the Council as long as the member meets the qualifications. If a vacancy arises, it must be filled by appointment, or election and confirmation of the original authority granting membership. If a Council member is terminated from his/her qualifying office or employment, the individual immediately ceases to be a member of the Council.

The Council meets at least once per quarter unless there is a need to meet more often. The Council is governed by the Council chair or co-chair who is elected annually by the members of the Council.

Date person currently in role began on Council	Statutory Role	Individual's Name
January 2011	Attorney General of South Carolina	Alan Wilson
June 2011	Chief of the South Carolina Law Enforcement Division	Mark Keel
January 2015	Director of the South Carolina Department of Probation, Parole and Pardon	Jerry Adger
October 2013	Director of the South Carolina Department of Corrections	Bryan Stirling

POSSIBLE
MEMBER
QUESTION 

- If there are vacancies on the agency's governing board, what efforts have been made, if any, to alert the appropriate appointing or electing authority?
- What type of training, if any, is provided to the board?

5. **Qualifications and duties of the agency director and governing body, as specified in law.**


Staff Responsible

Instructions

(1) Provide a list, as specified in law (e.g., constitution, statute, proviso, regulation), of (a) qualifications required to serve as director, (b) duties of the director, and (c) applicable laws.

(2) Provide a list, as specified in law (e.g., constitution, statute, proviso, regulation), of (a) qualifications required to serve as a member of the board or commission, (b) duties of the board or commission, and (c) applicable laws.

The agency may provide the information in whatever format it desires. Potential formats and example excerpts of governing body and agency director qualifications and duties are on the next pages.

POSSIBLE
MEMBER 
QUESTION

- The Committee may ask about prior work experience.

Example #1 - Format and excerpt of qualifications and duties

Governing Body Qualifications

At least one appointee

- At least five years of work or volunteer experience in one or more of the following fields: parole, probation, corrections, criminal justice, law, law enforcement, psychology, psychiatry, sociology, or social work.

All members

- Complete a comprehensive training course developed by the department, within 90 days of appointment
- Complete a minimum of 8 hours of training developed by the department, annually

Applicable laws:

- Section 24-21-10(B)
- Section 24-21-10(D) and (E)

Governing Body Duties

- Consider cases for parole, pardon, and any other form of clemency provided for under law.

Applicable laws:

- Section 24-21-13(B)

Agency Director Qualifications

- Baccalaureate or more advanced degree from an institution of higher learning that has been accredited by a regional or national accrediting body, which is recognized by the Council for Higher Education Accreditation; and
- At least ten years of training and experience in one or more of the following fields: parole, probation, corrections, criminal justice, law, law enforcement, psychology, psychiatry, sociology, or social work.

Applicable laws:

- Section 24-21-10(A)

Agency Director Duties:

- Oversee, manage, and control the department
- Develop written policies and procedures for the following:
 - the supervising of offenders on probation, parole, community supervision, and other offenders released from incarceration prior to the expiration of their sentence, which supervising shall be based on a structured decision-making guide designed to enhance public safety, which uses evidence-based practices and focuses on considerations of offenders' criminal risk factors;
 - the consideration of paroles and pardons and the supervision of offenders in the community supervision program and other offenders released from incarceration prior to the expiration of their sentence. The requirements for an offender's participation in the community supervision program and an offender's progress toward completing the program are to be decided administratively by the Department of Probation, Parole and Pardon Services. No inmate or future inmate shall have a "liberty interest" or an "expectancy of release" while in a community supervision program administered by the department;
 - the operation of community-based correctional services and treatment programs; and
 - the operation of public work sentence programs for offenders as provided in item (1) of this subsection. This program also may be utilized as an alternative to technical revocations. The director shall establish priority programs for litter control along state and county highways. This must be included in the "public service work" program
- Proper care, assessment, treatment, supervision, and management of offenders under its control
- Scheduling board meetings
- Assuring proper cases and investigations are prepared for the board
- Maintain the board's official records
- Perform other administrative duties relating to the board's activities
- Employ such personnel as may be necessary to carry out his duties and responsibilities including the functions of probation, parole, and community supervision, community-based programs, financial management, research and planning, staff development and training, and internal audit

Applicable laws:

- Section 24-21-13(A)
- Section 24-21-220

Example #2 - Format and excerpt of qualifications and duties

Governing Body Duties	Agency Director Duties
<p><u>Qualifications:</u></p> <p>At least one appointee</p> <ul style="list-style-type: none"> At least five years of work or volunteer experience in one or more of the following fields: parole, probation, corrections, criminal justice, law, law enforcement, psychology, psychiatry, sociology, or social work. <p>All members</p> <ul style="list-style-type: none"> Complete a comprehensive training course developed by the department, within 90 days of appointment Complete a minimum of 8 hours of training developed by the department, annually <p><u>Applicable laws:</u></p> <ul style="list-style-type: none"> Section 24-21-10(B) Section 24-21-10(D) and (E) 	<p><u>Qualifications:</u></p> <ul style="list-style-type: none"> Baccalaureate or more advanced degree from an institution of higher learning that has been accredited by a regional or national accrediting body, which is recognized by the Council for Higher Education Accreditation; and At least ten years of training and experience in one or more of the following fields: parole, probation, corrections, criminal justice, law, law enforcement, psychology, psychiatry, sociology, or social work. <p><u>Applicable laws:</u></p> <ul style="list-style-type: none"> Section 24-21-10(A)
<p><u>Duties:</u></p> <ul style="list-style-type: none"> Consider cases for parole, pardon, and any other form of clemency provided for under law. <p><u>Applicable laws:</u></p> <ul style="list-style-type: none"> Section 24-21-13(B) 	<p><u>Duties:</u></p> <ul style="list-style-type: none"> Oversee, manage, and control the department Develop written policies and procedures for the following: <ul style="list-style-type: none"> the supervising of offenders on probation, parole, community supervision, and other offenders released from incarceration prior to the expiration of their sentence, which supervising shall be based on a structured decision-making guide designed to enhance public safety, which uses evidence-based practices and focuses on considerations of offenders' criminal risk factors; ... the operation of public work sentence programs for offenders as provided in item (1) of this subsection. This program also may be utilized as an alternative to technical revocations. The director shall establish priority programs for litter control along state and county highways. This must be included in the "public service work" program. Proper care, assessment, treatment, supervision, and management of offenders under its control ... <p><u>Applicable laws:</u></p> <ul style="list-style-type: none"> Section 24-21-13(A) Section 24-21-220

6. (A) Organizational Units Details Chart.

See instructions in the Excel Chart portion of these Guidelines.

(B) Has the agency ever conducted an employee engagement, climate, or similar survey? If yes, when was the last one and who conducted it?

Staff Responsible Instructions

Examples:

Yes, an employee survey was conducted in 2016 by Climate Survey Consulting, Inc.

Yes, an employee survey was conducted in 2018 by the agency.

(C) Does the agency conduct employee engagement, climate, or similar surveys on a regular basis? If yes, what is the frequency?

Staff Responsible Instructions

Provide the approximate frequency (e.g., annually, every three years, etc.).

7. Role and responsibilities of the agency compared to its counterpart entities, if any, at the federal and local levels.¹

Staff Responsible Instructions

Briefly describe the role and responsibilities of the agency compared to any counterpart entities at the federal and local levels. Use the format provided in the Word template.

Example 1 – Federal counterpart, but no local counterpart

Federal counterparts

Equal Employment Opportunity Commission (EEOC)


EEOC addresses employment discrimination at the national level, like the S.C. Human Affairs Commission (SCHAC) does at the state level. This includes enforcement of the following: (1) Title VII of the 1964 Civil Rights Act (race, color, religion, sex, or national origin); (2) Age Discrimination in Employment Act (anyone 40 years of age or older); (3) Pregnancy Discrimination Act (pregnancy, childbirth, and related medical condition); and (4) Americans with Disabilities Act (disabilities). State human affairs departments were created to help investigate complaints of discrimination the federal government was unable to staff. EEOC contracts with SCHAC to investigate and prosecute complaints. SCHAC is paid a certain amount by EEOC for each complaint investigated. A citizen may bring a complaint of discrimination to SCHAC or the EEOC. The time frame in which the individual may bring a lawsuit based on that discrimination differs depending on whether the individual takes the initial complaint to SCHAC or the EEOC.

U.S. Department of Housing and Urban Development (HUD)

HUD addresses housing discrimination at the national level, like the S.C. Human Affairs Commission does at the state level. This includes enforcement of the following: (1) Title VIII of the Civil Rights Act (sale, rental, and financing of dwellings based on race, color, national origin, religion, sex, familial status, and disability); (2) Americans with Disabilities Act (disabilities); and (3) Section 504 of the Rehabilitation Act of 1973 (disability in programs receiving federal financial assistance). Similar to SCHAC’s relationship with the EEOC, HUD contracts with SCHAC to investigate complaints of housing discrimination and pays SCHAC for each complaint investigated.

Local counterparts

While the agency works with many partners in the state, there are no specific direct counterparts to the agency at the local level.

POSSIBLE
MEMBER
QUESTION 

- Are there any challenges regarding the agency’s relationship with federal or local level counterparts?

¹ Question added based on responses agencies previously under study provided in the feedback portion of the Program Evaluation Report.

Example 2 – Local counterparts, but no federal counterpart

Federal counterparts

While the agency works with many partners around the state and country, there are no specific direct counterparts to the agency at the federal level.

Local counterparts

First Steps Local Boards

The role of the First Steps State Board in relation to the Local Boards is as follows:

- establish bylaws for Local Boards;
- establish specific benchmarks and objectives for use by Local Boards;
- establish results-oriented measures and objectives and assess whether services provided by Local Boards to children and families are meeting the goals and achieving the results established for the Initiative;
- establish internal evaluation policies for Local Boards for annual review of functioning of Local Board and progress toward interim goals and benchmarks; and
- distribute money to Local Boards via grants for which Local Boards apply.

The role of the First Steps State Office in relation to the Local Boards is as follows:

- provide assistance and support to Local Boards to facilitate their success;
- review Local Boards' plans and budgets in order to provide technical assistance and recommendations regarding grant proposals and improvement in meeting statewide and local goals;
- develop and require Local Boards to adopt and implement a standard fiscal accountability system; and
- establish reporting formats for Local Boards to document expenses to ensure they meet matching fund requirements.

The role of the First Steps Local Boards is as follows:

- adopt bylaws, as established by State Board;
- develop strategic long-term plan for meeting the area needs related to goals of the initiative;
- develop specific initiatives to implement the elements of the strategic long-term plan;
- coordinate and oversee the implementation of the comprehensive strategic plan;
- coordinate a collaborative effort at the county or multicounty level which will bring the community together to identify the area needs related to the goals of the Initiative; and
- update a needs assessment every three years.
- implement fiscal policies as required by State Office;
- provide annual match of at least 15%, if not decreased by State Board based on individual Local Board's capacity;
- spend at least 75% of state funds appropriated for evidence-based programs and no more than 25% for evidence informed programs;
- keep accurate records of Local Board's meetings, board member's attendance, programs, and activities for annual submission to the State Board; and
- collect information and submit an annual report by October first to the State Board, and otherwise participate in the annual review and three-year evaluation of operations and programs.

8. Organizational chart.

Staff Responsible

Instructions

Paste the agency's organizational chart with at least department/division levels into the Word document.

D. Successes and Issues

9. 3-4 agency successes.

Staff Responsible

Instructions

Briefly describe 3-4 agency successes. Use the format provided in the Word template.

Example – Successes

GIS: Geographic Information Systems

This program was developed to support the Airport Development Department, and is a map service that contains data for the following: Current Airport Data, NAVAIDS, SC Electrical Study, Safety Inspections, Runway Pavement Condition and Strength, Pavement Friction Testing, FCC Tower Data, AWOS Status, and SCDOR UAV No Fly Zones. This program has been recognized nationally by ESRI, and the agency was awarded the “Special Achievement in GIS” in 2016.


Modernized Tax Processing

In August 2018, the SCDOR will complete the four-year implementation of a new state-of-the-art integrated tax processing system, DORWAY. This new system replaced numerous outdated tax systems and applications that previously administered South Carolina’s taxes. Before DORWAY, attempting to see the full view of all taxes was a cumbersome and often disjointed effort, with data stored in many separate systems. It created unnecessary frustration for the SCDOR, our stakeholders, and particularly South Carolina taxpayers. After years of unsuccessful attempts to create a comparable product in-house, SCDOR leadership found a product that was successfully in use in 20 other states.

DORWAY is designed with the taxpayer at its center, rather than siloed by tax types or functions as our previous systems had been. The results have already been impressive, with streamlined processing, reduced turnaround times, and increased efficiencies. By August 2018, 72 taxes and fees will be administered from DORWAY - transforming the way the SCDOR fulfills its mission. DORWAY has allowed the SCDOR to bring our administration and enforcement efforts into the twenty-first century, while upholding our commitment to taxpayer service and security as our highest priorities.

The public facing side of DORWAY, known as MyDORWAY, makes managing South Carolina tax accounts easier than ever for taxpayers. On MyDORWAY, taxpayers and businesses see the full picture of their South Carolina tax accounts, with the freedom to schedule payments, view online copies of all correspondence, review account history, and securely manage their tax accounts anytime, anywhere. Tax professionals can even manage multiple client accounts using one login. MyDORWAY is free and accepts online checks and credit card payments, making online compliance the easiest and most convenient option for taxpayers.

The modernization of our tax processing system represents a shift in the way the SCDOR manages technology. In the current digital age, our technologies have to remain current to keep up with ever changing security threats while meeting taxpayer needs and expectations. DORWAY and MyDORWAY will continue improving and evolving, staying fresh, current, and useful.

**POSSIBLE
MEMBER
QUESTION** 

- Does this success achieve the broader goals the agency has identified in its strategic plan?

10. 3-4 agency challenges.

Staff Responsible _____

Instructions

Briefly describe 3-4 agency challenges and preparations, if any, to address these issues. Use the format provided in the Word template.

Example – Challenges

Mitigating Security Risks

While we consider our physical and cybersecurity efforts to be successes for the agency, the job of maintaining security is never finished and always a challenge.

Physical security:


- The risk of violence directed towards government organizations continues to be a threat and is inherently elevated for the SCDOR due to the nature of the agency’s role.
- Protecting stakeholders who work within and visit SCDOR facilities is a priority and offers unique challenges, some of which include: facility size and population, interaction with the public (e.g., multi-tenant facilities), multiple areas of ingress and egress, existing security practices, and workplace violence incidents.
- We continually assess preparedness by planning for emergencies of all kinds, ranging from active threats, hostage situations, bomb threats, and other similar security challenges, as well as natural threats to include fires, tornadoes, floods, hurricanes, and earthquakes.

Cybersecurity:

- Hacking methods are constantly changing, which requires continuous investments in staff training time, technology improvements, and security-oriented vendor management.
- Maintaining a skilled cybersecurity workforce is a continuing challenge, due to a small talent pool and private industry competition.
- Negotiating and enforcing formal vendor agreements with strong contractual security terms is an ongoing challenge.

Succession Planning

When the TERI program sunsets at the end of FY 18, SCPRT will lose 28 staff members, of which 25 are members of the State Parks Service, many in critical management positions. The impact of this is further complicated since it will occur during July 4th week, one of the busiest times for the State Parks System. In addition, SCPRT has another 32 staff members who will become eligible for retirement based on years of service or age. SCPRT has begun pro-actively conducting succession planning in advance of the conclusion of the TERI program, utilizing this as a window of opportunity to ensure that the agency is prepared for the broad succession that will occur at the close of the fiscal year. While nearly all areas of the agency will experience some level of staff change during this period, the number of leadership positions affected, as well as the timing of these changes, necessitates a carefully-managed process to ensure a smooth transition in both the State Park Service central office and field areas. In order to better prepare the next generation of State Parks leadership, SCPRT is utilizing a transitional overlap period for certain critical positions in State Parks, which will allow outgoing staff the opportunity to directly share their expertise and knowledge with the incoming hires to prevent the loss of valuable organizational information. Similarly, SCPRT has begun a series of monthly training sessions and professional development opportunities for field staff in the Welcome Center program. Training participants are also required to complete 20 hours of job shadowing, both at their current Welcome Center and at other Welcome Centers across the state.

POSSIBLE
MEMBER
QUESTION 

- How is the agency preparing to address these challenges?

11. **3-4 emerging issues.**

Staff Responsible _____

Instructions

Briefly describe 3-4 emerging issues anticipated to have an impact on agency operations in the upcoming five years and preparations, if any, to address these issues. Use the format provided in the Word template.


Example – Emerging Issues

Compliance with Conflict Free Service Delivery (Conflict Free Case Management)

Centers for Medicare/Medicaid Services (CMS) is requiring all states to come into compliance with the concept of conflict free service delivery. CMS has indicated that Medicaid providers of home and community-based services (HCBS), which include waiver services, or those who have an interest in, or are employed by a provider of HCBS must not provide case management or develop the person centered service plan. A potential conflict of interest exists in assuring and honoring free choice, overseeing quality and outcomes, and the fiduciary relationship when the same entity helps individuals access services and provides those services. DDSN's existing local DSN Board structure in which the Board provides both direct services and case management to the same individual, is not compliant with this expectation. SCDHHS is the lead agency responsible for the statewide plan to transition providers of waiver services to a conflict free system. While the details of this plan are still under development, this will involve a significant change in service delivery structure for the local DSN Boards. DDSN ensured private providers within the statewide network became compliant with this expectation when the agency initially issued its RFP to recruit new qualified service providers.

Maintaining Film Recruitment Competiveness

While South Carolina has experienced continued success in film and television project recruitment over the past few years, its ability to effectively compete against Georgia may be impeded by several recent and emerging factors. In addition to the 30% incentives offered by the state of Georgia, the city of Savannah has begun offering a separate 10% incentive in order to entice more film business. Due to the high volume of film business in Georgia, South Carolina has experienced greater numbers of film crew moving to Georgia, thus eroding South Carolina's film crew base. Similarly, the North Carolina film crew base, a major workforce resource for South Carolina-based film projects, has also begun to erode as more members move to Georgia or other high film volume states. Available local film crew is essential for the recruitment of film and television projects. Moreover, since Charleston is generally the most sought after location for many film and television projects, the state's ability to effectively compete may be further hindered by increasing hotel room rates, which drive up production costs, and difficulties experienced by film production companies interacting with local government offices.

POSSIBLE
MEMBER
QUESTION 

- How is the agency preparing to address these emerging issues?

II. Agency Records, Policies, and Risk Mitigation Practices

A. Records and Policies Management

12. (A) Agency's records management policy and the position or division responsible for managing this policy.

Staff Responsible Instructions

Save the agency's records management policy as an Adobe (.pdf) document. Email it with the agency's PER response.

- (B) Agency's status in regards to compliance with the records management policy and explanation for non-compliance, if the agency is non-compliant.²

Staff Responsible Instructions

If the agency is current in meeting the requirements of the policy, respond, "The agency is current in meeting policy requirements."

If the agency does not have a policy or is not current with meeting the requirements of its policy, explain why.

13. Agency's schedule for regularly reviewing and updating, as necessary, all agency policies and explanation for lack of a schedule, if the agency does not have a schedule.³

Staff Responsible Instructions

If the agency has a schedule to regularly review and update, as necessary, its policies, explain the schedule and what is reviewed, if all policies are not reviewed each time.

If the agency does not have a schedule, explain why not.

² Based on recommendation adopted by the Committee during its Department of Archives and History study.

³ Based on recommendation adopted by the Committee during its Department of Natural Resources study.

14. (A) Agency’s status in regards to compliance with S.C. Code Ann. §1-23-120(J) that requires agencies to conduct a formal review of its regulations every five years.

Staff Responsible Instructions

_____ If the agency is compliant with S.C. Code Ann. §1-23-120(J), applicable provisions of which are below, please respond, “The agency is compliant with S.C. Code Ann. §1-23-120(J).”

If the agency is not compliant, explain why.

SECTION 1-23-120. Approval of regulations; submission to Legislative Council for submission to General Assembly; contents, requirements and procedures; compliance with federal law.

(J) Each state agency, which promulgates regulations or to which the responsibility for administering regulations has been transferred, shall by July 1, 1997, and every five years thereafter, conduct a formal review of all regulations which it has promulgated or for which it has been transferred the responsibility of administering, except that those regulations described in subsection (H) are not subject to this review. Upon completion of the review, the agency shall submit to the Code Commissioner a report which identifies those regulations:

(1) for which the agency intends to begin the process of repeal in accordance with this article;

(2) for which the agency intends to begin the process of amendment in accordance with this article; and

(3) which do not require repeal or amendment.

Nothing in this subsection may be construed to prevent an agency from repealing or amending a regulation in accordance with this article before or after it is identified in the report to the Code Commissioner.

(B) Last time the agency conducted a formal review of its regulations.

Staff Responsible Instructions

_____ Indicate the year the agency last conducted a formal review of its regulations.

(C) Last time the agency submitted new or revised regulations to the General Assembly.

Staff Responsible Instructions

_____ Indicate the year in which the agency last submitted new or revised regulations to the General Assembly.

15. How the agency collaborates with other agencies to seek funding (e.g., grant and federal funding).⁴

Staff Responsible

Instructions

Explain how, if at all, the agency collaborates with other agencies to seek funding. This question refers to funding the agency seeks to obtain from private grants and/or the federal government.

16. Does the agency receive data from other state agencies, which require manual entry? If so, identify the state agencies and the associated data received.

Staff Responsible

Instructions

Explain how, if at all, the agency receives data from other state agencies, which require manual entry. Please identify the state agencies and the associated data received.

⁴ Based on a recommendation adopted by the Committee during its Education Television Commission study.

B. Internal Audit and/or Other Risk Mitigation Practices

17. (A) Agency's internal audit process and/or other risk mitigation practices.

<u>Staff Responsible</u>	<u>Instructions</u>
--------------------------	---------------------

_____	Provide information about the agency's internal audit process and/or other risk mitigation practices.
-------	---

This includes all types of risk mitigation, not just financial. Include the following information:

- applicable staff positions and to whom they report;
- copy of the policy or charter;
- date the agency first started performing audits or other risk mitigation practices;
- general subject matters audited or for which there are risk mitigation practices;
- position of the person who makes the decision of when an internal audit or risk mitigation review is conducted;
- whether internal auditors or other agency personnel conduct an agency-wide risk assessment routinely;
- whether internal auditors or other agency personnel routinely evaluate the agency's performance measurement and improvement systems;
- total number of audits or reviews performed in the last five fiscal years; and
- date of the most recent Peer Review or Self-Assessment by the S.C. State Internal Auditors Association or other entity (if other entity, name of that entity), if any.

Two examples of how it may appear are on the next page.

Example 1 – Agency with internal auditors (Example includes only an excerpt of a full response)

The agency has internal auditors. The auditors are hired by, and report to, the Commission for the Blind's Commissioners. Jane Doe (janedoe@agency.sc.gov) and John Doe (johndoe@agency.sc.gov) are the lead internal auditors.

The Commissioners decide when internal audits are conducted. Generally, internal audits are performed on financial and consumer services data. Internal auditors do not routinely conduct agency wide risk assessments, but they do routinely evaluate the agency's performance measurement and improvement systems.

Example 2 – Agency does not have internal auditors, but has risk mitigation practices

LLR is a medium-size agency that does not currently employ a full-time auditor; however, the agency regularly conducts finance, human resource, and procurement audits. Beginning in FY15, the agency drafted standard operating procedures in its Administration Division to improve the effectiveness of risk management, control and governance.

In **Procurement**, the agency conducts both monthly and annual audits for various functions that fall under the area's purview. For example, there are monthly purchase order audits to ensure that goods and services have been received and invoices paid in a timely manner and within state guidelines. Procurement completes an annual asset inventory and fleet audit along with an internal review of the agency's annual insurance coverage renewal. In **Finance**, there is a defined workflow to ensure not only a separation of duties, but also a multi-layered review process, to ensure minor variances and timely payment of invoices are priorities. In **Human Resources**, the agency has created checklists for various internal HR processes and also established separation of duties so that the individual performing the task is not the same individual auditing that the task was completed correctly. Furthermore, the HR Director completes a random monthly audit of the transactions completed to ensure that errors are identified prior to any effect on LLR's internal customer base. Audited HR transactions include recruitment and on-boarding new hires, pay and transfers modifications, and terminations.

As a result of establishing internal auditing procedures, we have shown marked improvement with fewer and fewer audit exceptions noted in all functional areas relative to the standard audits conducted by the Office of the State Auditor (annually), Materials Management (every 3 years), and Department of Administration - HR Division (annually).

(B) List of areas reviewed in internal audits during the last five years.

Staff Responsible Instructions

The agency may provide this information in paragraph format, utilize bullets, or utilize a chart.

Example – Areas reviewed

Internal Audits within Administration						
HR Auditing						
Type of Audit	Subject Matter of Audit	Date Audit Process was Initiated	Frequency of Audit	Position of Person Conducting the Audit	Position of Person Overseeing the Audit	Approx Number of Audits of this Kind in last 5 Fiscal Years
Internal	New Hire Training	Jan-17	Monthly	HR Specialist	HR Director	15
Internal	EE Insurance Selection (New Hires and Eligibility Changes)	Unknown	Monthly	HR Manager II (Benefits Mgr)	HR Specialists	120
Internal	Holiday Comp Leave Accrual (Use and Compensation)	Jan-17	Monthly	HR Manager II (Benefits Mgr)	HR Director	15

18. Issues or recommendations from external reviews or audits conducted of the agency during the last five years, which the agency has not yet fully addressed or implemented.

Staff Responsible Instructions

In the chart provided in the Word template, please include information about issues or recommendations from external reviews or audits conducted of the agency during the last five years that the agency has not yet fully addressed or implemented. External reviews or audits may include, but are not limited to, those conducted by the Legislative Audit Council, State Auditor’s Office, and outside private entities.

Example – Issues and recommendations pending

Issue or Recommendation	Agency’s Status in Addressing or Implementing	Date External Review or Audit completed	Entity conducting the audit or review
Institute annual mandatory staff training related to domestic violence	In process. Tier 1 (Child Support and Economic Services training will be completed by Jan 2019. Tier 2 more in depth training for CWS and APS is projected to start Jan 2019.	April 2016	Legislative Audit Council

III. Agency Spending

19. **Finance Overview Chart.**

Instructions

See instructions in the Excel Chart portion of these Guidelines.

IV. Agency Deliverables

20. **Deliverables Chart.**

See instructions in the Excel Chart portion of these Guidelines.

V. Performance

21. **Performance Measures Chart.**

See instructions in the Excel Chart portion of these Guidelines.

VI. Agency Ideas/Recommendations for Law Changes

22. **Recommendations for changes in law.**

Staff Responsible Instructions

_____ Please provide any recommendations for revisions to laws in the format provided in the Word document.

In previous studies, the number of recommendations has varied from a few to in excess of one hundred.

Every recommendation does not have to include draft underline and strikethrough language. A recommendation may be a concept or identify a potential issue (e.g., ambiguity or conflict in the law).

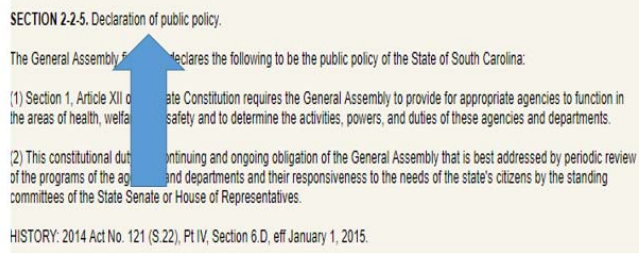
If the response to any of the questions below is yes, a recommendation may be warranted.

- Would changes to any laws potentially lower costs to the agency or improve outcomes?
- Are any of the laws archaic or no longer reflect agency practices?
- Are any laws contradictory to each other or the basis for many common questions from the public, agencies, outside entities, or the legislature?

Law Change Charts Explained

Law

- Provide the citation and its brief summary (i.e., one or two sentence description listed in the code beside the citation).



- If the agency is recommending the addition of a new law
→ Enter “Recommending new law.”
- If there is no current applicable law
→ Enter “No current law is applicable.”

Summary of Current Law(s) and Recommended Change(s)

Current Law:

- Provide a brief summary of current requirement/provisions.
- If the agency is recommending the addition of a new law
→ Enter “Recommending new law.”
- If there is no current applicable law
→ Enter “No current law is applicable.”

Recommendation:

- Type whichever applies: (1) Repeal, (2) Modify, (3) Add new law, (4) Concept recommendation, or (5) Issue on which agency takes no position.
- If the recommendation is anything other than “Repeal,” explain the recommendation.

Basis for Recommendation

- Explain the rationale for the agency’s recommendation.
- If a conflict or issue with current law is identified, but there is not a specific recommendation for how to address the issue, then explain the issue and the potential problems it poses.

Approval and Others Impacted

- Presented and approved by agency’s governing body: State whether the law recommendation has been presented to and approved by the agency’s governing body.

- Other entities potentially impacted: List any other entities that may be impacted by the law recommendation. The Committee may reach out to these entities to obtain their input as part of the study process.

If the law is a regulation, where agency is in this process:

- If the law is a regulation
 - Describe where the agency is in the regulation process. The agency may utilize terminology from the regulatory process flow chart on the General Assembly website, which is available here: <https://www.scstatehouse.gov/register/2014FlowChartCombined.pdf>.
- If the law is not a regulation
 - Enter “Not applicable.”

Current Law Wording

- Copy and paste the current wording of the law(s) at issue.
- If there is no current applicable law
 - Enter “No current law is applicable.”

Proposed Revisions to Law Wording

- If the agency does not have a recommendation for specific wording
 - Enter “The agency does not have a recommendation for specific wording.”
- If the agency is identifying issues with current laws, on which it takes no position
 - Enter “The agency does not have a recommendation for specific wording.”
- If the recommendation is to add, repeal, or revise specific wording
 - Repeal current law
 - Enter “Repeal entire statute,” OR
 - If the recommendation is to repeal a law because the requirements or authority are already included in another law
 - Enter “Repeal because requirements/authority already included in laws below: *Insert wording of other laws.*”
 - Modify current law
 - Strike through words the agency wants deleted, and underline words the agency wants to add.
 - Add new law
 - Enter the wording of the new law and underline all of it.

Example #2 – Revise Subpart of Current Law

LAW CHANGE #2			
Law	Summary of Current Law(s) and Recommended Change(s)	Basis for Recommendation	Approval and Others Impacted
<p>Section 50-19-1710. Creation of Catawba-Wateree Fish and Game Commission; membership.</p>	<p><u>Current Law:</u> Created Catawba Wateree Fish and Game Commission</p> <p><u>Recommendation</u> Modify to update the number of members and allow the Governor to appoint one of the members.</p>	<p>The Commission has expressed a desire to have an additional member to break tie votes and provide outside input.</p>	<p><u>Presented and approved by agency’s governing body:</u> Presented and awaiting approval</p> <p><u>Other entities potentially impacted</u> (1) Department of Natural Resources (2) Chester, Fairfield, Kershaw, and Lancaster County Delegations</p> <p><u>If the law is a regulation, where agency is in the process of finalizing it and providing it to the General Assembly:</u> Not applicable</p>
Current Law Wording		Proposed Revisions to Law Wording	
<p>SECTION 50-19-1710. Creation of Catawba-Wateree Fish and Game Commission; membership.</p> <p>There is hereby created the Catawba-Wateree Fish and Game Commission which shall be composed of four members, one of whom shall be appointed by each of the respective county legislative delegations of Chester, Fairfield, Kershaw and Lancaster Counties. The members shall serve at the will of the respective county legislative delegations.</p> <p>HISTORY: 1962 Code Section 28-1011; 1952 Code Section 28-1011; 1949 (46) 335; 1993 Act No. 181, Section 1267.</p>		<p>SECTION 50-19-1710. Creation of Catawba-Wateree Fish and Game Commission; membership.</p> <p>There is hereby created the Catawba-Wateree Fish and Game Commission which shall be composed of four <u>five</u> members, one of whom shall be appointed by each of the respective county legislative delegations of Chester, Fairfield, Kershaw and Lancaster Counties. The members shall serve at the will of the respective county legislative delegations. <u>One member shall be appointed by the Governor and serve at the will of the Governor.</u></p> <p>HISTORY: 1962 Code Section 28-1011; 1952 Code Section 28-1011; 1949 (46) 335; 1993 Act No. 181, Section 1267.</p>	

Example #3 – Pointing out Issue, the solution for which the agency takes no position on

LAW CHANGE #3			
Law	Summary of Current Law(s) and Recommended Change(s)	Basis for Recommendation	Approval and Others Impacted
Act No. 930 (1970). An Act to provide for the School Trustees for Kershaw County; to provide for their powers and duties; to provide for advisory trustees and to repeal section 21-3151 through 21-3157, Code of Laws of South Carolina, 1962, relating to the school system of Kershaw County.	<p><u>Current Law</u> The Kershaw County public education system shall be a board of trustees composed of nine members, elected for terms of four years. All candidates for the office of the board of trustees shall run in a non-partisan primary to be conducted at the same time of the other county primary elections are held.</p> <p><u>Recommendation</u> Issue on which agency takes no position. The agency offers two potential solution: (1) The election of trustees not require a primary which is the majority method of the election of trustees for a Board of Education in South Carolina. Most elections of School District Trustees include a non-partisan filing period with candidate placement on the general election ballot. (2) If a primary is still to be conducted, the agency recommends the non-partisan primary be held during odd calendar years.</p>	To provide uniformity in the election of the school board trustees and to avoid voter confusion on primary day for the general election as all other ballots issued to voters are based upon party preference expressed by the voter at the polls.	<p><u>Presented and approved by agency's governing body:</u> Approved</p> <p><u>Other entities potentially impacted</u> Kershaw County Delegation</p> <p><u>If the law is a regulation, where agency is in the process of finalizing it and providing it to the General Assembly:</u> Not applicable</p>
Current Law Wording		Proposed Revisions to Law Wording	
Act No. 930 Section 1. School trustees for Kershaw County. -The central authority of Kershaw County's public educational system shall be a board of trustees composed of nine members, to be elected for terms of four years from the county at large, but who shall be residents of the respective townships and have their offices numbered as follow: one member from Flat Rock, Seat No. 1; two members from Buffalo, Seats Nos. 2 and 3; two members from West Wateree, Seats Nos. 4 and 5; and four members from DeKalb, Seats Nos. 6, 7, 8 and 9. Full terms shall commence on the first Tuesday in January following the election. Each candidate shall run for a specified numbered office and shall be a resident of the township to which such number is assigned. All candidates for the office of the board of trustees shall run in a non-partisan primary to be conducted by the county election commission at the same time as other county primary elections are held. The expenses of such election shall be borne by the county. Each candidate in the primary shall be required to pay a filing fee to the election commission in such sum as it may determine, but not to exceed one hundred dollars. All of such fees shall be deposited to the general fund of the county. The two candidates receiving the most votes for each seat who did not withdraw shall have their names placed on the		The agency does not have a recommendation for specific wording since there are two potential revisions that would address the issue. If the Committee votes to make one of the proposed solutions a recommendation in its study report, the agency can provide draft statutory language.	

general election ballot and the person receiving the highest number of votes for each seat in that election shall be declared elected. *Provided*, that in the event a candidate receives a majority of the votes cast in the primary, only his name shall be placed on the general election ballot. There shall be no petition candidate for any of these offices in the general election, and no person shall be a candidate for more than one such office at any one election; but nothing herein shall be construed to prohibit a qualified individual from running as a “write-in” candidate in the general election.

In the event the person receiving the most votes in the primary ceases to be a candidate for any reason, another primary shall be ordered if as much as forty-five days remain between such cessation and the general election. In the event such time does not exist, no election for such office shall be held at the time of the general election. Another election for such office shall be held on the first Tuesday of the month following the general election. Any person wishing to be a candidate for such office may qualify with the county election commission not later than April fifteenth. In the event no candidate in this election receives a majority of the votes cast, and additional election shall be conducted two weeks thereafter between the two candidates receiving the most votes who do not withdraw.

All members of the board of trustees shall be commissioned by the Governor.

All vacancies on the board of trustees shall be filled by a majority vote of the county council for the unexpired portion of their terms. If a seat is unfilled as a result of no one offering for such seat it shall be filled by a majority vote of the county council.

...

Example #4 – Concept Recommendation

LAW CHANGE #4			
Law	Summary of Current Law(s) and Recommended Change(s)	Basis for Recommendation	Approval and Others Impacted
No current law is applicable	<p><u>Current Law</u> No current law is applicable</p> <p><u>Recommendation</u> Concept recommendation. Establish knowledge and expertise criteria for membership on the Commission on Disabilities and Special Needs.</p>	From structure to payment systems, the Department of Disabilities and Special Needs is very complex and the current Commission chair believes there needs to be knowledge criteria for Commissioners.	<p><u>Presented and approved by agency's governing body:</u> Approved</p> <p><u>Other entities potentially impacted</u> Governor's Office, since the Governor appoints Commissioners</p> <p><u>If the law is a regulation, where agency is in the process of finalizing it and providing it to the General Assembly:</u> Not applicable</p>
<u>Current Law Wording</u>		<u>Proposed Revisions to Law Wording</u>	
No current law is applicable		The agency does not have a recommendation for specific wording.	

VII. Feedback (optional)

Staff Responsible

23. (A) What other questions may help the Committee and public understand how the agency operates, budgets, and performs?

Staff Responsible

- (B) What are the best ways for the Committee to compare the specific results the agency obtained with the resources the agency invested?

Staff Responsible

- (C) What changes to the report questions, format, etc., would agency representatives recommend?

Staff Responsible

- (D) What benefits do agency representatives see in the public having access to the information in the report?

Staff Responsible

- (E) What advice would you have for agencies completing the Program Evaluation Report?

Staff Responsible

- (F) Please provide any other comments or suggestions the agency would like to provide.

Excel Charts

Organizational Unit Details Chart

Staff Responsible Instructions

_____ An example the agency may utilize as a reference is included in the “Example: Org. Unit Details” tab of the attached Excel document.

View in Excel for Organizational Unit Details Chart

Certain columns and certain rows are always visible to help the agency when it completes the chart. The first seven rows, which stop with “Purpose of organizational unit,” are always visible. The first two columns are always visible.

To change this view:

- look to the top of the page and click on “View;”
- then click on “Freeze Panes,” which should show a drop down of choices; and
- in the drop down of choices, click on “Unfreeze Panes.”

To recover this view:

- scroll all the way to the left of the chart and all the way to the top of the chart;
- click on the cell under column C, in row 8;
- look to the top of the page and click on “View;”
- then click on “Freeze Panes,” which should show a drop down of choices; and
- in the drop down of choices, click on “Freeze Panes.”

Columns - Explained

Column A – Column A includes (1) questions, or information sought for each agency organizational unit.



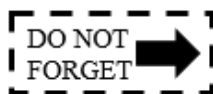
Some of the cells have a red arrow in the top right corner. If you hover over the cell, a comment box will appear with additional explanation on what information is sought. See example below.

Employees (all types) in the unit	
Start of fiscal year	Enter the number of employees (all types) in the unit as of July 1 of the applicable year.
2017-18	
2016-17	Include...
2015-16	
End of fiscal year	• All full time employees on the payroll • All grant, time-limited, and temporary employees on the payroll • All employees on temporary layoff, leave of absence or furlough.
2017-18	
2016-17	Do not include...
2015-16	
Leave the unit during fiscal year	• Independent contractors or temporary workers obtained and paid for through a contract with a staffing agency.
2017-18	
2016-17	

Column B – Column B provides a buffer between the questions and the responses.

Column C – Column C is where the agency inputs information about its first organizational unit. An explanation of the information sought in each row is provided on the next page.

Column C and beyond – The columns, after Column C, are where the agency inputs information about its remaining organizational units. Each organizational unit should be in a separate column.



To add additional organizational units → Copy and paste one of the blank columns with grid lines as many times as needed. It is important to copy a blank column with grid lines because these are the columns that have the proper formatting and applicable drop down options.

Agency Information Needed

[Agency name and date - Rows 1 through 4, Column A](#)

Agency - Row 2, Column A

Please enter the name of the agency. The name, without usage of any acronyms, should be the same in each Excel chart.

Accurate as of - Row 4, Column A

Please enter the date the agency submits the PER. All information in the report should be accurate as of this date. Please ensure the date, and format of the date, are the same in each Excel chart.

[Organizational Units - Rows 5 through 62](#)

In Row 5 to 62, enter information for the organizational unit. Enter each organizational unit in a separate column and provide information about the organizational unit in the rows within the applicable column.

Name of Organizational Unit- Row 5

Enter the name of each organizational unit currently utilized by the agency. Please include the organizational units the agency director utilizes when managing the agency.



The agency can list the organizational units at the highest or lowest levels it desires. However, please ensure the agency can provide responses applicable to the unit requested in the remaining rows. Also, please understand the organizational units the agency uses in this chart are the ones to which it will associate each of its deliverables in the Deliverables Chart. While there may be several units whose activities contribute to providing a deliverable, the Deliverables chart only requests the unit that has primary responsibility for each particular deliverable.

Purpose of Organizational Unit – Row 7

Enter the purpose of each unit.

Exit interviews or surveys performed? - Rows 9 through 12

Select the appropriate option, yes or no, from the drop down menu for each applicable year.

POSSIBLE
MEMBER
QUESTION →

If “No”

- Why are these not performed?

If “Yes”

- How is the information collected?
- What type of information is obtained?
- Provide a summary of responses received.
- What actions have been taken in the past as a result of the information obtained?

Employee satisfaction tracked? – Rows 14 through 17

Select the appropriate option, yes or no, from the drop down menu for each applicable year.

POSSIBLE
MEMBER
QUESTION →

If “No”

- Why is this information not tracked?

If “Yes”

- How is the information collected?
- What type of information is obtained?
- What actions have been taken in the past as a result of the information obtained?

Anonymous employee feedback allowed? – Rows 19 through 22

Select the appropriate option, yes or no, from the drop down menu for each applicable year.

POSSIBLE
MEMBER
QUESTION →

- How can employees submit anonymous feedback?
- What changes at the agency, if any, have resulted from feedback received in the past?

Number of Employees (all types) in the unit - Rows 24 through 41

These rows ask for information on the number of all employees (e.g., FTE, grant, time-limited, and temporary). The information in rows 25 through 36 is used to calculate the turnover rate.

Start of fiscal year – Rows 25 through 28

Enter the number of employees (all types) in the unit as of July 1 of the applicable year.

Include...

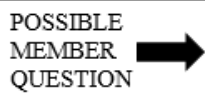
- All full time employees on the payroll;
- All grant, time-limited, and temporary employees on the payroll; and
- All employees on temporary layoff, leave of absence or furlough.

Do not include...

- Independent contractors or temporary workers obtained and paid for through a contract with a staffing agency.

End of fiscal year – Rows 29 through 32

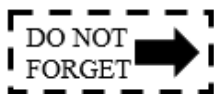
Enter the number of employees (all types) in the unit as of June 30 of the applicable year. See above for what to include and not to include.



- Is each organizational unit appropriately staffed?
- How do you determine staffing needs?

Leave the unit during the fiscal year – Rows 33 through 36

Enter the number of employees (all types) that leave the unit during the fiscal year.



Includes a person who leaves voluntarily or involuntarily, for...

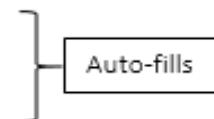
- another organizational unit at the same agency,
- another SCEIS entity,
- non-SCEIS entity, or
- somewhere else unknown to the agency.

Does not include a person who is... (**This is different than the list of employees not to include at start and end of fiscal year*)

- temporarily laid off,
- on a leave of absence,
- Temporary workers obtained and paid for through a contract with a staffing agency.
- on furlough, or
- independent contractors, or

Turnover rate – Rows 38 through 41

The turnover rate should automatically appear using the below formulas from the Society of Human Resource Management.



- Average number of employees = (Number of employees at start of fiscal year + Number of employees at end of fiscal year) / 2
- Turnover rate = (Number of employees that leave the unit during the fiscal year) / (Average number of employees)

If the organizational unit had no employees at both the start and end of a fiscal year, the turnover rate cell will display a note with this explanation. This note will display in all turnover rate cells until the number of employees are provided by the agency.

[Agency Comments - Row 43](#)

Agency Comments – Row 43

In row 43, enter comments, if any are desired or necessary, to explain the information provided.

Agency’s Final Review of its Responses in the Organizational Unit Details Chart

Please conduct a final review of this chart to help ensure the agency has provided all information requested and the chart is formatted properly. Double check...

1. No cells include abbreviations.
2. No cells include “n/a.”
 - a. If the organizational unit did not exist in a particular year, or the agency does not know certain information in a particular year, leave the applicable cells of the chart blank.
3. Consider adjusting the size of the columns or rows in an effort to make the information fit on fewer pages when printed or be easier to view.

NOTE: After the agency completes the Deliverables chart, check that each organizational unit is listed by one or more deliverables in Row 11 of the Deliverables chart, “Responsible organizational unit (primary).” If there is an organizational unit that does not have primary responsibility for any of the agency’s deliverables, explain why it does not in the Agency comments row of that organizational unit column.

Finance Overview Chart

Staff Responsible Instructions

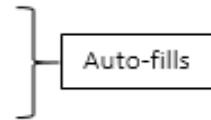
_____ An example the agency may utilize as a reference is included in the “Example: Finance Overview” tab of the attached Excel document.

Agency Information Needed

Agency name and date - Rows 1 through 4, Column A

Agency - Row 2, Column A

This will autofill based on the entry in the Org Unit Details spreadsheet.



Accurate as of - Row 4, Column A

This will autofill based on the entry in the Org Unit Details spreadsheet.



Finances - Rows 8 through 18, Columns B-O

How much was the agency appropriated and authorized to spend during the fiscal year? - Row 8

Enter the amount the agency was appropriated and authorized to spend (i.e. general, other, and federal funds) by the end of the applicable fiscal year.

- The Committee asks for this amount at the end of the year, since the appropriations and authorizations to the agency may change during the year.

Enter any additional other or federal funds authorization received during the fiscal year.– Row 9

Enter the amount the agency received as an authorizations adjustment.

Enter the total actual expenditures during the fiscal year. – Row 10

Enter actual expenditures for each category of funds.

How much did the agency carry forward? (Total amount)? – Row 11

Enter the total amount the agency was authorized to carry forward. Reference the South Carolina Comptroller General year-end press release for the applicable year. (<https://cg.sc.gov/financial-reports/year-end-press-releases>).

10% Carry forward (General Carry forwards) and special carry forwards - Rows 12 and 13

Enter the 10% carry forward (General Carry Forwards) and special carry forward amounts into rows 12 and 13 respectively. Reference the South Carolina Comptroller General year-end press release for the applicable year. (<https://cg.sc.gov/financial-reports/year-end-press-releases>).

How much cash did agency have at the end of the FY that it was not authorized to spend? - Row 14

Enter the amount of cash the agency had on June 30 of the applicable fiscal year, which the agency had not received authorization to spend during the year.

If the agency received additional federal funds authorization, please note why and when the request was made. - Row 16

Provide information regarding the agency's decision to request the additional authorization by identifying the internal or external drivers of the decision. Also, make note as to whether the agency requested the authorization in the budget.

If the agency received additional other funds authorization, please note why and when the request was made. - Row 17

Provide information regarding the agency's decision to request the additional authorization by identifying the internal or external drivers of the decision. Also, make note as to whether the agency requested the authorization in the budget.

Please provide detail regarding why the agency has cash balances. Does the agency expect to spend down these balances? - Row 18

Provide information regarding the agency's available cash balances and whether earned revenue, carry forward authorization, or other such drivers drive those balances. Also, provide details regarding how the agency plans to spend down those balances.

Deliverables Chart

Staff Responsible

Instructions

An example the agency may utilize as a reference is included in the “Example: Deliverables” tab of the attached Excel document.

Creating a List of Deliverables

A deliverable is a service or product the agency provides to an external entity (e.g., another agency, the legislature, committee, individual, or private entity). You may wish to follow these steps to complete this chart:

1. Create a preliminary list of agency deliverables.
 - a. This should include every service or product provided to an external entity.
 - b. Consider having each division director create a deliverables list for his or her division.
 - c. Summarize each item in no more than a few sentences, if possible.
 - d. Remember that internal tasks (e.g., IT support for agency staff) are not deliverables.
 - e. Organize the deliverables in the order you plan to present them to the Subcommittee. This will depend on what makes the most sense for your agency. Consider ordering agency deliverables by organizational unit, steps in a process, customer, etc.

2. Review the list of laws in the Legal Standards template of the agency’s most recent Accountability Report submission. Attach law(s), with the following responses in column J, to an agency deliverable(s): “Yes”; “No – But relates to sources of funding of one or more agency deliverables”; “No – But relates to manner in which one or more agency deliverables is provided”. Some laws may attach to multiple deliverables.
 - a. Create additional agency deliverables, if necessary, to account for each law.
 - b. If a law specifies a deliverable, but the agency is not providing that product or service, include it in the Deliverables chart, (Note that service or product is not currently provided).
 - c. You may need to expand your descriptions of some of the original deliverables based on specifics within the referenced law(s).

3. Start filling out the information requested in the chart for each deliverable.
 - a. Expand your list of deliverables, if necessary, to better account for services to distinct customers. For example, if one of the deliverables on your original list can be associated with multiple distinct customer groups, the recommendation is to break it down into several separate deliverables.
 - b. The cost calculation section is an estimation. Consider the following items:
 - i. Identify employees working on the deliverable and approximate amount of time spent on identified task (e.g., 10% of their time during the year, 25%, etc.). Multiply by the employee’s total salary/fringe.
 - If an agency has cost centers for each office/division, estimate the percentage of an office/division’s time/expenditures that is spent on each deliverable and multiply by the total annual expense.
 - ii. Ideally, **all** agency expenditures will align with your deliverables. However, if this is not possible, group unallocated administrative costs into one or more entries for internal administrative tasks.
 - iii. Try not to separate related revenues and expenditures. For example, issuing licenses and collecting the fees for those licenses is a single deliverable.

Helpful Hints for the Deliverables Chart

If the agency is...

- *Recommending deletion of the statute which requires the deliverable* - Include the deliverable since the law is still on the books. The agency may consider including an explanation in the “Agency Comments” row (e.g., Agency recommends elimination of law).
- *Directed to provide money to another entity* - Enter each as a separate deliverable. The agency may word the deliverable however desired. Example wording for consideration may be, “\$20,000 per month to *insert name of entity* for *insert purpose*, if *purpose is in statute or proviso*, provide as directed in *statute or proviso*.”
- *Directed to provide the deliverable one-time or only for a limited period of time* - Include the deliverable since the law is still on the books. The agency may consider including an explanation in the “Agency Comments” row (e.g., One-time; Limited to FY__ - __).
- *Providing a deliverable one year, but not every year* – Include the deliverable and complete the rows for the applicable years, then include a comment noting in which years the deliverable was provided.

[View in Excel for Deliverables Chart](#)

Certain columns and certain rows are always visible to help the agency when it completes the chart. The first ten rows, which stop with “Deliverable description” are always visible. The first three columns are always visible.

To change this view:

- look to the top of the page and click on “View;”
- then click on “Freeze Panes,” which should show a drop down of choices; and
- in the drop down of choices, click on “Unfreeze Panes.”

To recover this view:

- scroll all the way to the left of the chart and all the way to the top of the chart;
- click on the cell under column E, in row 11;
- look to the top of the page and click on “View;”
- then click on “Freeze Panes,” which should show a drop down of choices; and
- in the drop down of choices, click on “Freeze Panes.”

Columns - Explained

Column A

In **rows 46 through 53** is information on the total amount the agency has spent on all deliverables and the total agency spending for fiscal years in 2018-19 back to 2016-17. Details about each row are provided on the next page.

Column B

Column B includes the questions, or information sought for each agency deliverable.



Some of the cells have a red arrow in the top right corner. If you click on the red arrow, a comment box will appear with additional explanation on what information is sought. See example below.

Item number	
Associated laws	Please review the PER guidelines for laws that must be included as a minimum and how to create a complete list of deliverables. If the agency lists multiple laws, include a semi-colon (;) between each.
How specifically require the agency do this?	
Deliverable description	
Responsible organizational unit (primary)	

Column C

Column C indicates the year for which the information in Column B is requested. If there is no year in this column, the question seeks information for the last completed fiscal year.

Column D

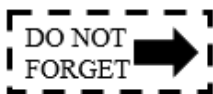
Column D provides a buffer between the questions and the responses.

Column E

Column E is where the agency inputs information about its first deliverable. An explanation of the information sought in each row is provided on the next page.

Column F and beyond

The remaining columns are where the agency inputs information about its remaining deliverables. Each deliverable should be in a separate column.



To add additional deliverables → Copy and paste one of the blank columns with grid lines as many times as needed. It is important to copy a blank column with grid lines because these are the columns that have the proper formatting and applicable drop down options.

Rows - Explained

Spent on all deliverables - Rows 46 through 48, Column A

Rows 45 through 48 in column A include information on the total amount the agency has spent on all deliverables. Row 45 contains the title, "Spent on all deliverables." Row 46 contains the total amount spent on all deliverables in 2018-19. Row 47 contains the total amount spent on all deliverables in 2016-17, and row 48 contains the same information for 2016-17.

In column A row 46 through 48, there is a formula in each cell. The formula adds up the total expense the agency enters for each deliverable. Therefore, the value in each of these cells should automatically update as the agency enters information on each of its deliverable.

Auto-fills

Total agency spending - Rows 50 through 52, Column A

Rows 49 through 52 in column A include information on the total agency spending. Row 50 contains the title, "Total agency spending." Row 50 contains the total agency spending in 2018-2019. Row 51 contains the total agency spending in 2017-18, and row 52 contains the same information for 2016-17.

If the agency has completed the "Finance Overview" tab of the Excel document, the amounts in each of these cells should autofill from the actual expenditures entered.

Auto-fills



All agency expenditures during a particular year should be allocated to deliverables. To confirm if this is done, the agency can check whether the amount "Spent on all deliverables" equals "Total agency spending." When the agency has entered all deliverables, the dollar amounts in the following cells should be the same:

- Column A, row 46 should equal Column A, row 50
- Column A, row 47 should equal Column A, row 51
- Column A, row 48 should equal Column A, row 52.

If the agency sends this chart to the personnel in each division to complete, they can still use the information above to assist. If the division leader enters the total amount their division spent in each applicable year in Column A, rows 51 through 53, they can use those values as a comparison to help ensure all of the deliverables they enter add up to the total amount the division spent in each applicable year.

Below are tips for how to assign all of the agency's expenses to one or more of its deliverables:

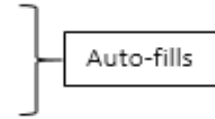
- Employee salaries and benefits should be included with each applicable deliverable.
- As most agencies do not track their expenditures in exactly this way, the Committee expects reasonable estimates. Please be prepared to explain the agency's methodology for arriving at the estimates, if asked.
- If the agency is unable to allocate all of its administrative/overhead expenditures to individual deliverables, the agency may consider the following:
 - Adding an "Administrative services, provide" deliverable, for which it can include all administrative costs.
 - If the agency chooses to do this, all employee salaries and benefits should NOT be included with this deliverable. Only include the salaries and benefits of employees who perform administrative functions.
 - The Committee may utilize this information to compare the amount the agency spends on administrative costs versus their mission.
 - Separating different internal costs (e.g. "Internal - Training," which would include all administrative costs associated with multiple types of internal agency training.)

Agency Information Needed

Agency name and date - Rows 1 through 4, Column B

Agency - Row 2, Column B

This will autofill based on the entry in the Org Unit Details spreadsheet.



Accurate as of - Row 4, Column B

This will autofill based on the entry in the Org Unit Details spreadsheet.



Deliverable - Rows 7 through 11, Column E, F, and beyond

Enter each deliverable in a separate column and provide information about the deliverable in Row 7 to the end of the applicable column.

Item number - Row 7

Initially, skip this row and come back to it after entering information for all agency deliverables.

After entering information for all deliverables, please enter “1” in Column E, row 7, enter “2” in Column F, row 7, enter “3” in Column G, row 7, etc. until there is an item number on this row in each column with a deliverable.

Associated laws – Row 8

List each law associated with the deliverable.



- A single law may include multiple deliverables.
 - If this occurs, it is okay to list the same law in the “Associated Laws” cell of each of those different deliverables. If a deliverable is mentioned in one subsection of the law in particular, the agency should list that subsection. See the Example on the previous page.
- A single deliverable may have multiple associated laws.
 - Before listing multiple laws for a single deliverable, please refer to “Which deliverables to combine and which to list separately?” on the previous page.
- **If the agency lists multiple laws, include a semi-colon (;) between each.**
- Format the laws as follows:
 - State
 - *Constitution*: State Constitution Article #, Section #
 - Example - State Constitution Article 4, Section 12
 - *Statute*: Section ## - ## - ##
 - Example - Section 1-1-110
 - *Proviso*: Proviso ##.# (Budget year applicable)
 - Example - 117.9 (2018-19)
 - *Regulation*: Reg. Chapter # - Section #
 - Example - Reg. 3-33
 - *Executive Order*: State Executive Order #
 - Example – State Executive Order 2018-40
 - Federal
 - *Statute*: Title #. U.S.C. Section #
 - *Regulation*: Title # C.F.R. Section #

Does state or federal law specifically require this deliverable? – Row 9

Select the appropriate option from the drop down menu.

- If the law(s) require the agency to provide the deliverable (e.g., “must,” “will,” or “shall” are indicators it is required) → Select “Yes.”
- If the law(s) allow the agency to provide the deliverable (e.g., “may,” or “authorize” are indicators it is allowed but not required) → Select “No.”
- If there are no associated laws → Select “No.”

Deliverable description – Row 10

Please describe the deliverable in this row.

- The description should include a verb.
- The agency can have an overarching topic/program listed multiple times with the description after the hyphen different for each, for example:
 - ABC grants program, administer - Provide applications for entities to apply for grants, review submission
 - ABC grants program, administer - Issue funds
 - ABC grants program, administer - Continue communication with recipients to ensure they are meeting the grant requirements.
- *Details in the law*
 - Please include all (e.g., send notice via certified mail).
- *Details not in the law*
 - Include as many or as few as desired. However, including information about efforts made in providing the deliverable may facilitate understanding of the work involved in providing the deliverable, for example:
 - If the deliverable is “ABC grants program, Administer,”
 - The agency may wish to expand on what is involved in “administering” the grant and edit the wording of the deliverable to read, “ABC grants program, administer - provide applications for entities to apply for grants, review submission, issue finances, and continue communication with recipients to ensure they are meeting the grant requirements.”
 - The more detail included, the more likely the Committee members will understand all of the work that goes into providing the deliverable.

Responsible organizational unit (primary) – Row 11

Please list the agency organizational unit, from the Organizational Unit Details tab of the Excel document, that is primarily responsible for providing the deliverable. While there may be several units whose activities contribute to providing the deliverable, please only list the unit that has primary responsibility. If the agency desires, it may list the other units involved in the “Agency comments” row.

[Results Sought - Rows 13 through 16, Column E](#)

Does the legislature state intent, findings, and/or purpose? – Row 14

Select the appropriate option from the drop down menu.

If there is an intent, finding, and/or purpose for the deliverable from the Legislature in the...

- wording of one of the associated laws → Select “Yes”
- wording of a law in the same chapter as one of the associated laws (e.g., a statute may state “It is the intent of the General Assembly, in this chapter, to...”) → Select “Yes”
- enabling Act of one of the associated laws → Select “Yes”

Purpose of the service/why it is provided (as written in statute/enabling act OR, if not in law, as understood by agency, subject to clarification from the legislature)? - Row 15

If the agency selected “Yes” in the row above, enter ...

- Outcome stated by the legislature,
- Citation for the applicable law, and
- Specific year and act number.

Example

- Provide law enforcement a means of reducing recidivism (Section 4-7-100, 2010 Act No. 273, Section 1).

If “No” is selected in the row above...

- Enter the outcome the agency seeks to achieve from providing the deliverable (this may be a direct benefit to the customer and/or a benefit to society in general).

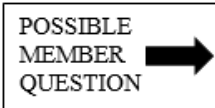
Associated performance measure item numbers from Performance Measures Chart, if any – Row 16

Enter the item number(s), from the Performance Measures chart, for each measure the agency asserts is associated with the deliverable.

If the agency utilizes third parties to provide services, the associated performance measures may include measures agency representatives track when monitoring the performance of the third parties.



- Please remember to include a semi-colon (;) between each performance measure number.
- If a measure is associated with multiple deliverables, list it beside each of those deliverables.
- If there are no performance measures associated with a deliverable, type "none"



- Why or how does the performance measure help gauge efficiency or effectiveness in obtaining the specific outcome the agency seeks from providing the deliverable?

Customer Description – Row 19

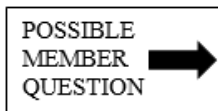
Describe the customers receiving the deliverable.



- In a later row, the agency is asked to identify the number of customers served so the agency may not want to be broad in describing the customer.
- If there are similar customers for different deliverables, please use the same description of those customers with each deliverable.

Does the agency evaluate customer satisfaction? - Row 20

Select the appropriate option, yes or no, from the drop down menu.



If "No"

- Why does the agency not evaluate this information?

If "Yes"

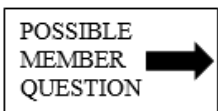
- What methods does the agency use to evaluate customer satisfaction?
- How does the agency use, if at all, information on customer satisfaction?

Counties served in last completed fiscal year – Row 21

This row seeks information on the counties in which it provided the deliverable to customers during the last completed fiscal year.

Please provide one of the following responses:

- If known → Enter each county, **using a semi-colon (;) between each**; If all counties, enter "All," or
- If unknown → Enter "Unknown."



If "Unknown"

- Why does the agency not track this information?

If counties listed

- What methods does the agency use to track the counties in which it serves customers?
- How does the agency use, if at all, information on the counties in which it serves customers?
- How many customers did the agency serve in each of the counties the agency listed?
- Why didn't the agency provide the deliverable in County X?

Number of customers served in last three FY – Rows 22-24

This row seeks the total number of customers, as those customers were described above in the “Customer description” row, to whom the agency provided the deliverable in the last three fiscal years.

Please provide one of the following responses:

- If known → Enter the number; or
- If unknown → Enter, “Unknown.”

POSSIBLE
MEMBER
QUESTION →

If “Unknown”

- Why does the agency not track this information?

If number of customers entered

- If several different types/groups of customers were described in the Customer description row – How many customers in each type/group were served?
- What methods does the agency use to track the number of customers it serves?

Description of a single deliverable unit – Row 27

Describe what the agency considers a single unit of the deliverable.



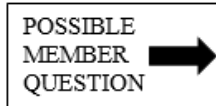
The next row asks the agency to identify the number of units provided and a later row asks the agency the amount charged per deliverable. The response in both of those rows will be based on how the agency describes a single unit.

Number of units provided – Row 28 through 30

Rows 28 through 30 seek the number of units of the deliverable, as a unit of the deliverable was described above in the “Description of a single deliverable unit” row, the agency provided in each of the last three fiscal years.

Provide one of the following responses:

- If known → Enter the number; or
- If unknown → Leave blank.



If unknown

- Why does the agency not track this information?
- How does the agency evaluate which processes for providing the units are more or less efficient than others?

If number of units provided entered

- What methods does the agency use to track the number of units it provides?
- How does the agency use, if at all, information on the number of units it provides each year?

Does law prohibit charging the customer for the deliverable? – Row 31 through 36

Rows 31 through 36 seek to know if there was a law that prohibited the agency from charging the customer for the deliverable in each fiscal year 2018-19, 2017-18, and 2016-17. These rows do not seek to know whether or not the agency charged the customer, just whether there was a law prohibiting the agency from charging the customer.

Provide one of the following responses:

- If there was a law prohibiting the agency from charging a customer in the applicable year
 - → Select “Yes” and, in the row below it, enter the law number.

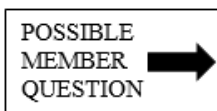
- If there was no law prohibiting the agency from charging a customer (or the customer’s insurance, Medicare, Medicaid) in the applicable year
 - → Select “No” and, in the row below it, enter “No applicable law.”

Amount charged to customer per deliverable unit – Row 37 through 39

Rows 37 through 39 seek the amount charged per deliverable, as a unit of the deliverable was described above in the “Description of a single deliverable unit” row, the agency provided in each fiscal year 2018-19, 2017-18, and 2016-17. .

Please provide one of the following responses:

- If the agency charged the customer (or the customer’s insurance, Medicare, Medicaid) in the applicable year → Enter the amount charged. Note, if the agency charges different amounts, include the different amounts, or enter the information in a range (e.g., \$10.00 to \$25.00); or
- If the agency did not charge the customer (or the customer’s insurance, Medicare, Medicaid) in the applicable year → Enter “\$0.00”



- What methods does the agency use to determine the amount to charge the customer?
- When was the amount the agency charged the customer last revised?

Total employee equivalents required (37.5 hour per week units) – Rows 42 through 45

Rows 43 through 45 seek the total number of employee equivalents required to provide the deliverable in each fiscal year 2018-19, 2017-18, and 2016-17.

This is not asking for the number of employees required to provide a single unit of the deliverables, but the number of employees working to provide the deliverable throughout the year (i.e., the number of 37.5 hour/week/year units needed to provide the deliverable). While most agencies utilize 37.5 hours per week, please utilize the hours per week applicable to the agency and note this at the top of the chart.

An example of how to calculate this figure is below.

Example - How to calculate number of employee equivalents utilized

The Committee is seeking the amount of energy needed to provide the deliverable. The number of 37.5 hour/week/year units. Calculate the number of 37.5 hour units based on whatever combination of employee types (FTE, temporary, etc.) the agency actually utilizes to provide the deliverable.

Employees working to provide deliverable	Percent of 37.5 hours worked by employee each week	Percent of 52 work weeks scheduled to work by employee each year*	Percent of employee's time spent on deliverable	Resulting employee equivalent for this deliverable
Employee A (Full-time – 37.5 hours per week; all year)	37.5 hours = 100%	52 weeks = 100%	25%	$1 \times 1 \times 0.25 = 0.25$
Employee C (Part-time – 15 hours per week; all year)	15 hours = 40% (15/37.5)	52 weeks = 100%	75%	$0.4 \times 1 \times 0.75 = 0.3$
Employee B (Full-time temporary – 37.5 hours per week; 12 weeks)	37.5 hours = 100%	12 weeks = 23% (12/52)	50%	$1 \times 0.23 \times 0.5 = 0.12$
Total employee equivalents for this deliverable				0.67

*Note that this column is intended to capture seasonal workers/temps. Time missed for leave or short-term position vacancies should not be reflected here.

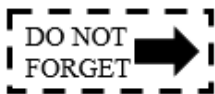
While the number of employee equivalents for each deliverable may not equal the exact total number of employees at the agency, there should not be a large difference.

**Total deliverable expenditures each year (operational and employee salary/fringe) –
Rows 46 through 49**

Rows 47 through 49 seek the total expenditures to provide the deliverable in each fiscal year.

Include all expenditures including operational costs and employee salary/fringe costs. Calculate this amount using whatever method agency representatives prefer. An example methodology is included on the next page.

If the deliverable is to provide grants, include the operational and employee salary/fringe costs of administering the grants PLUS the amount of money actually distributed by the agency for the grants.



All agency expenditures during a particular year should be allocated to deliverables. To confirm if this is done, the agency can check whether the amount “Spent on all deliverables” equals “Total agency spending.” When the agency has entered all deliverables, the dollar amounts in the following cells should be the same:


- Column A, row 46 should equal Column A, row 50
- Column A, row 47 should equal Column A, row 51
- Column A, row 48 should equal Column A, row 52

Below are tips for how to assign all of the agency’s expenditures to one or more of its deliverables:

- Employee salaries and benefits should be included with each applicable deliverable.
- As most agencies do not track their expenditures in exactly this way, the Committee expects reasonable estimates. Please be prepared to explain the agency’s methodology for arriving at the estimates, if asked.
- If the agency is unable to allocate all of its administrative/overhead expenditures to individual deliverables, the agency may consider the following:
 - Adding an “Administrative services, provide” deliverable, for which it can include all administrative expenditures.
 - If the agency chooses to do this, all employee salaries and benefits should NOT be included with this deliverable. Only include the salaries and benefits of employees who perform administrative functions.
 - The Committee may utilize this information to compare the amount used on administrative expenditures versus their mission.
 - Separating out different internal expenditures (e.g. “Internal - Training,” which would include all administrative expenditures associated with multiple types of internal training provided by the agency)

If the agency sends this chart to the personnel in each division to complete, they can still use the information above to assist.

- If the division leader enters the total amount their division spent in each applicable year in Column A, rows 50 through 52, they can use those values as a comparison to help ensure all of the deliverables they enter add up to the total amount the division spent in each applicable year.
- If desired, the agency may send the different charts completed by each division to Committee staff for Committee staff to compile together in a single chart and send back to the agency.

POSSIBLE
MEMBER
QUESTION 

- What methodology did the agency use to determine its total expenses for each deliverable?
- How does the agency utilize this information?

Example methodology to determine Total Cost of each deliverable

By adding the operational cost and employee salary and fringe costs, as shown below, agency representatives determine the total amount spent on each deliverable.

Operational Costs

- Analyze the expenditures (less employee costs) of each organizational unit to determine if any cost is associated totally with one deliverable. If so, assign that cost entirely to that deliverable.
- The remaining hard costs for that organizational unit are charged percentage-wise to the deliverables related to that organizational unit.

Employee Salary and Fringe Costs

- Initially analyze employee cost and fringes to ascertain if any one employee or group of employees are associated with a single deliverable and if so, allocate their salary and fringes to that deliverable.
 - For example, an investigator may spend his entire time working toward Deliverable #10 (Certification records, audit field records to ensure match with) even though his position is associated with the Director's office.
- The remaining employees' salaries and fringes are then allocated percentage-wise to the appropriate deliverable costs. To calculate the employee costs related to each deliverable percentage-wise, ask supervisors or employees which deliverables their daily activities go toward accomplishing and what percentage of their time goes to each (The agency may wish to utilize simple percentages such as 10%, 25%, 50%, and 75%). Then multiply those percentages by the employee's total annual cost to the agency (i.e., salary, fringe benefits) to determine how much the agency spent, in the form of employee costs, toward accomplishing the deliverable.
 - For example, if an employee's total cost to the agency was \$100,000 and 50% of the employee's time went toward Deliverable 10 (Certification records, audit field records to ensure match with), the agency adds \$50,000 to the total cost of Deliverable 10.

Total deliverable expenditures as a percentage of total agency expenditures– Rows 50 through 52

One of the following should automatically appear in these cells:

- Percentage, or
- Insufficient data provided
 - This will appear when (1) spreadsheet is incomplete; (2) agency does not enter an amount for the total deliverable expenditures; or (3) there is no amount for total agency spending.



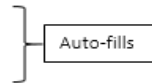
The value in these cells are calculated from a formula that utilizes the values in the “Total deliverable expenditure each year” (rows 46 through 48) and “Total agency spending” (rows 50 through 52, Column A) cells. Note: In the template provided to the agency, the amounts in the “Total agency spending” cells should automatically appear and be the same as the total actual expenditures in the Finance Overview Chart.

If there is not a number value in both of those cells for a particular year, the corresponding “Total deliverable expenditures as a percentage of total agency expenditures” cell will read “Insufficient data provided.”

Expenditures per unit of the deliverable – Rows 54 through 56

One of the following should automatically appear in these cells:

- Dollar amount, or
- Insufficient data provided.



The value in these cells are calculated from a formula that utilizes the values in the “Total deliverable expenditures each year” (rows 46 through 48) and “Number of units provided” (rows 28 through 30) cells.

If the agency does not enter a number value in both of those cells for a particular year, the corresponding “Agency expenditures per unit of the deliverable” cell will read “Insufficient data provided.”

Total collected from charging customers – Rows 59 through 61

These rows seek the total dollar amount generated by charging customers (including their health insurance, Medicare, Medicaid) for the deliverable in each fiscal year 2018-19, 2017-18, and 2016-17.



- When considering whether the agency charges the customer for the deliverable, think → Does the customer get something in return for the money the customer is providing the agency?
 - Example 1 – Fees the Department of Labor, Licensing, and Regulation (LLR) charges individuals in a particular occupation.
 - LLR is charging the individual with the license a fee to maintain the license, so the fees collected are from charging customers.
 - Example 2 – The Department of Revenue (DOR) collecting taxes
 - DOR is not generating revenue from charging customers because the customer is the state, on whose behalf DOR is collecting the taxes.
 - DOR is generating money because they are collecting it. The money is from citizens, so it is not a state source. Therefore, the taxes they collect is money generated from a non-state source (see next rows)
 - Example 3 – Revenue and Fiscal Affairs Office charges other state agencies for research services.
 - The state agencies are the customers, so this revenue would be recorded in rows 59-61.
- It does not matter if the agency was able to retain this amount or whether this amount went back to the general fund. The Committee is solely asking for the total amount generated so it can be compared with the total costs.

Provide one of the following responses:

- If the agency charges customers → Enter the total generated from charging customers; or
- If the agency does not charge customers → Enter “0.00”

Total collected from non-state sources directly linked to deliverable (including federal and other grants awarded to agency to provide deliverable) – Rows 62 through 64

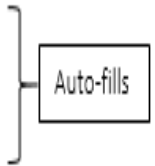
These rows seek the total dollar amount generated from non-state sources as a result of providing the deliverable in each fiscal year 2018-19, 2017-18, and 2016-17. These may include, but are not limited to, (1) federal and/or private grants the agency received specifically received to provide the deliverable, and (2) grant received to achieve something broad, which the agency uses to fund several deliverables.

Provide one of the following responses:

- If the agency generated any funds from non-state sources as a result of providing the deliverable
→ Enter the total amount generated; or
 - If the agency receives a grant to achieve something broad which it uses to fund several different deliverables, determine the amount used for each deliverable and include those amounts in this row of each applicable deliverable.
- If the agency did not → Enter “0.00”

Total collected from charging customers and non-state sources – Rows 65 through 67

The amount should automatically appear as each cell has a formula which adds together the amounts the agency entered in the rows above for (1) total amount generated from charging customers, and (2) total amount generated from non-state sources (e.g., federal and other grants awarded to agency to provide the deliverable).



[Agency Comments - Rows 70 through 71, Column E](#)

Agency Comments – Rows 69 through 70

In row 71, enter comments to explain information provided, if necessary or desired.

Agency's Final Review of its Responses in the Deliverables Chart

Please follow the steps below to conduct a final review of this chart to help ensure the agency has provided all information requested and the chart is formatted properly. Double check...

1. All laws from the Accountability report that are related to deliverables are included in the "Associated laws" row of one or more of the deliverables.
2. No cells include abbreviations.
3. No cells include "n/a."
4. Each unit in the agency's Organizational Unit Details Chart is listed by one or more deliverables in Row 11, "Responsible organizational unit (primary)." If there is an organizational unit that does not have primary responsibility for any of the agency's deliverables, explain why it does not, in the Organizational Unit Details Chart, in the "Agency comments" row of that organizational unit column.
5. Dollar amounts in the cells below are equal.

If any of the amounts in row 46 through 48 (Spent on all deliverables) do not equal the corresponding amounts in row 50 through 52 (Total agency spending), the agency should go back and double check the total agency spending for each of the years to ensure it is accurate. If the total agency spending is accurate, the agency should go back through the total expenditures for each deliverable to ensure they are accurate and make any revisions necessary so the totals in the cells below are equal.

<u>Deliverables Chart</u> (spent on all delivrs)		<u>Deliverables Chart</u> (Total agency spending)		<u>Finance Overview Chart</u> (actual expenditures)
Column A, row 46	=	Column A, row 50	=	Column E, row 10
Column A, row 47	=	Column A, row 51	=	Column J, row 10
Column A, row 48	=	Column A, row 52	=	Column O, row 10

6. Please number the deliverables consecutively in row 7 (enter "1" in Column E, row 7, enter "2" in Column F, row 7, enter "3" in Column G, row 7, etc. until there is an item number on this row in each column with a deliverable).

Performance Measures Chart

Staff Responsible Instructions

An example the agency may utilize as a reference is included in the “Example: Performance Measures” tab of the attached Excel document

View in Excel for Performance Measures Chart

Certain columns and certain rows are always visible to help the agency when it completes the chart. The first eight rows, which stop with “Description,” are always visible. The first two columns are always visible.

To change this view:

- look to the top of the page and click on “View;”
- then click on “Freeze Panes,” which should show a drop down of choices; and
- in the drop down of choices, click on “Unfreeze Panes.”

To recover this view:

- scroll all the way to the left of the chart and all the way to the top of the chart;
- click on the cell under column C, in row 9;
- look to the top of the page and click on “View;”
- then click on “Freeze Panes,” which should show a drop down of choices; and
- in the drop down of choices, click on “Freeze Panes.”

Columns – Explained

Column A – Column A includes the questions, or information sought for each agency performance measure.



Some of the cells have a red arrow in the top right corner. If you click on the red arrow, a comment box will appear with additional explanation on what information is sought. See example below.

Item #	
Description	Including details in the description may help readers fully understand what the agency is measuring.
Time applicable	
[Redacted]	
l, or obtain a n the target?	For example, instead of just entering “ABC scores,” the agency may wish to provide additional details so it reads, “ABC scores – Number of participants in remedial ABC class whose scores on the ABC exam increase by 20% after successful completion of the remedial ABC class.”
or at target?	

Column B – Column B is used as a buffer between the questions and the responses.

Column C – Column C is where the agency inputs information about its first performance measure. An explanation of the information sought in each row is provided on the next page.

Column D and beyond – Column D and beyond is where the agency inputs information about its remaining performance measures. Each performance measure should be in a separate column.



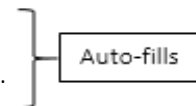
To add additional performance measures → Copy and paste one of the blank columns with grid lines as many times as needed. It is important to copy a blank column with grid lines because these are the columns that have the proper formatting and applicable drop down options.

Agency Information Needed

Agency name and date - Rows 1 through 4, Column A

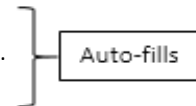
Agency - Row 2, Column A

This will autofill based on the entry in the Org Unit Details spreadsheet.



Accurate as of - Row 4, Column A

This will autofill based on the entry in the Org Unit Details spreadsheet.



Performance Measure - Rows 6 through 9, Column C

In Row 6 to the end, enter information for the performance measure.

Enter each performance measure in a separate column and provide information about the performance measure in the rows within the applicable column.

Item number - Row 7

Initially, skip this row and come back to it after entering information for all agency deliverables.

After entering information for all deliverables, please enter “1” in Column E, row 7, enter “2” in Column F, row 7, enter “3” in Column G, row 7, etc. until there is an item number on this row in each column with a deliverable.

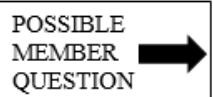
Description – Row 8

Enter the description of each of the agency’s performance measures.

Including details in the description may help readers fully understand what the agency is measuring. For example, instead of just entering “ABC scores,” the agency may wish to provide additional details so it reads, “ABC scores – Number of participants in remedial ABC class whose scores on the ABC exam increase by 20% after successful completion of the remedial ABC class.”



- If a measure does not have a target (i.e., the target is “n/a”), or it is measuring whether a one-time task was completed (e.g., explore and implement a mandatory training program), this is an indication the measure is not a performance measure. Instead, it is data the agency tracks. If the agency would also like to provide information on the data it tracks, please do so in a separate document.
- If the agency uses third parties to provide services, the performance measures may include measures agency representative track when monitoring the performance of the third parties.



Which performance measures does the agency director check progress on regularly? How often and in what format does the director receive the information?

Time Applicable – Row 9

Select the appropriate option, calendar year, state fiscal year, federal fiscal year, or other, from the drop down menu.

[Results Summary - Rows 11 through 26, Column C](#)

Is the goal to meet, exceed, or obtain a lower value than the target? - Row 12

Select the appropriate choice, meet, meet or exceed, exceed, meet or obtain lower value, or obtain lower value, from the drop down options.

Did the agency achieve its goal? – Rows 14 through 19

Skip these rows. The information will auto-fill after the agency enters responses in the rows below 28. Until the applicable rows are complete, the default formula value of “There was no target” will be displayed.



Year to year change in target – Rows 21 through 26

Skip these rows. The information will auto-fill after the agency enters responses in the rows below 28. Until the applicable rows are complete, the default formula value of “No prior year target” will be displayed.



[Result details for year ending...- Rows 28 through 50, Column C](#)

Target Results – Rows 30, 33, 37, 41, 45, and 49 & Actual Results – Rows 34, 38, 42, 46, and 50

Enter the target and actual results for the last five years, and target for the current year.



There should be a number or percentage in each Target and Actual column. If data is not available, leave the column blank.

- *Target* is the value the agency wants to reach for that year. If the agency did not have a target value for a particular time period, leave the cell blank. *Actual* is the value actually reached for that year. If the agency did not track the actual value for a particular year, leave the cell blank.

[Agency Comments - Rows 52 through 53, Column C](#)

Agency Comments – Rows 52 through 53

In row 53, enter comments to explain information provided, if the agency believes any are necessary or the agency desires to provide any additional comments. Potential comments which may be helpful include those which may help further explain the performance measure or the target or actual results for one or more years.

Agency's Final Review of its Responses in the Performance Measures Chart

Please follow the steps below to conduct a final review of this chart to help ensure the agency has provided all information requested and the chart is formatted properly. Double check...

1. No cells include abbreviations and no symbols in the description, target, or actual amounts
2. No cells include "n/a."
 - a. If the performance measure did not exist in a particular year, or the agency does not know the target or actual results of a performance measure in a particular year, leave the cell blank.
3. The description of the performance measure makes it clear what is being measured (e.g., Instead of entering "Continuing education hours provided," consider entering "Number of continuing education hours provided;" Instead of entering "Average number of days to dispose of General Sessions cases from arrest," consider entering, "Average number of days, from arrest to disposition (see note at bottom for explanation of this term), of a General Sessions case")
4. Please number the performance measures consecutively in row 7 (enter "1" in Column C, row 7, enter "2" in Column D, row 7, enter "3" in Column E, row 7, etc. until there is an item number on this row in each column with a performance measure).
5. Ensure each performance measure item number is listed by one or more deliverables in Row 16 of the Deliverables chart, "Associated performance measure item numbers from the Performance Measures Chart, if any." If any are not listed, consider providing an explanation in the comments row for that measure.