

**DEPARTMENT  
of  
MANAGEMENT  
PERFORMANCE  
REPORT**

**Performance Results  
Fiscal Year 2017**

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# INTRODUCTION

The Department of Management (DOM) is pleased to present our Performance Report for FY 2017 (July 1, 2016 - June 30, 2017). This report contains information about the services DOM provided over the past fiscal year. This document is provided pursuant to Iowa Code section 8E.210, which requires agencies to report on performance. The report includes an agency overview, templates providing details about some of DOM's key results areas and a spreadsheet that provides all of our FY 2017 Performance Plan measures and results by core function and service, product or activity (SPA).

# AGENCY OVERVIEW

**Mission:** The Department of Management leads enterprise budgeting and performance and accountability systems so that Iowans receive the highest possible return on public investment.

## Guiding Principles

- Collaborative Leadership
- Long Range Thinking
- Customer Focus
- Data-Based Decisions
- Employee Participation
- Continuous Improvement
- Results Orientation

## Core Functions

- Enterprise Resource Management
- Local Government Assistance
- Adjudication

## Key Services, Products and Activities

DOM's key services, products and activities include:

- State budget development and oversight
- Governance system guidance, technical assistance and oversight – Accountable Government Act (AGA) including strategic and performance planning and results reporting (Data.Iowa.Gov and Results Iowa)
- Lean/process improvement initiatives
- Policy development and analysis
- Revenue estimating and economic forecasting
- Early Childhood Iowa (ECI) program coordination
- Enterprise project management
- State Appeal Board administration
- Local government budget certification and support
- Utility tax replacement administration
- Collective bargaining support

## Customers

DOM's services and products are delivered to diverse customer groups. Some customers are internal to state government and some are external. Internal customers include all state agencies, the Office of the Governor, the legislature and staff, other elected officials and the judicial branch. External customers include Iowa residents and taxpayers, local governments, local Early Childhood Iowa (ECI) groups, the state ECI Board, and State Appeal Board claimants.

## Operations Budget

DOM received \$2,510,018 in General Fund appropriations in FY 2017 to support department operations. The Department also received a \$56,000 appropriation from the Road Use Tax Fund to support budget work done on behalf of the Iowa Department of Transportation and

\$95,000 from the Rebuild Iowa Infrastructure Fund, \$50,000 to support Grants Enterprise Management and \$45,000 to support the state's transparency initiative through Data.Iowa.Gov.

General Fund appropriations for DOM's Early Childhood Iowa Office totaled \$354,600 in FY 2017. These funds are appropriated to the Iowa Department of Education.

# KEY RESULT TEMPLATE

## SERVICES/ PRODUCTS/ ACTIVITIES

**Name:** Lean

**Description:** Lean is a collection of principles, methods and tools that improve the speed and efficiency of any process by eliminating waste.

**Why we are doing this:** Iowans expect that state government will provide them with the best possible services at the lowest cost. Lean can help increase value for Iowans by reducing waste and helping to change the culture of state government to one that increasingly focuses on efficiency and improved results.

**What we are doing to achieve results:** DOM's Office of Lean Enterprise works collaboratively with other state agencies in order to identify and develop Lean facilitators, lead Lean events, and develop a culture of continuous improvement. During FY 2017, eight new staff joined the Lean facilitator training to become Lean facilitators. A total of five trainings focused on Lean methodology were offered during FY 2017. The Lean Concepts Training, which provides basic information on Lean methodology and facilitation, was attended by 14 staff which included those learning how to facilitate Lean events and staff who has been identified as leading teams, but are not on the path to being Lean facilitators. The Strategy Class for Kaizen and Design, which trains on the standard process for facilitation of Kaizen and Design events, was offered twice; however, there were not enough attendees registered to hold the classes. The Strategy Class for Value Stream Mapping, which trains on developing a strategic approach to improving a system, was piloted with 10 Lean facilitators. Lean facilitator training will be ongoing throughout FY 2018, as a total of 48 staff from 15 agencies has been identified to become or are currently Lean facilitators.

Collaboration with private partners continues to assist State of Iowa Lean facilitators in building their skills. Alliant Energy provided Organization Skills and Pivot Table training that was attended by 28 facilitators. The State of Iowa partnered with the Iowa Lean Consortium (ILC) to sponsor a Lean Government Exchange. One hundred forty individuals from public and private entities attended. The conference provided networking and training opportunities.

In FY 2017, events continued to include external and internal customers on the teams. Utilizing customer input has allowed agencies to add value to their processes based on voice of the customer. For example, Iowa Economic Development Authority sponsored a Kaizen event that focused on streamlining the Targeted Small Businesses (TSB) process in May 2016. This event invited a small business owner, and external entities that work closely with small businesses to be a part of the team and provide ways to improve the application process, as well as the ongoing promotion of using the program. The following results the growth of TSB program: 100 new TSBs were certified in FY 2017 as opposed to 58 in FY 2016 and process time for certification is currently around two to five business days in FY 2017 versus 35 days in previous years.

DOM will continue to ensure the processes selected for improvement by agencies are critical to the success of respective agencies, linked to their strategic plan or focused on customer expectations.

**Performance Measures:**

1. Number of Lean Projects achieving improved efficiencies

**Performance Target:** 23

**Results:** 19

2. Number of state government staff trained or in training to lead/facilitate Lean events

**Performance Target:** 35

**Results:** 48

**Data reliability:** DOM's Office of Lean coordinates the scheduling and facilitation of Lean events and monitors event follow-up.

**Why we are using this measure:** To identify the number of the events launched that lead to improved efficiencies.

**What was achieved:** During FY 2017, there was a continued focus on building capacity for Lean facilitators which centered on implementation of the Lean facilitator training process. This focus resulted in a steady number of staff being identified to facilitate Lean events. The number of new and existing Lean facilitators is as follows: 31 in FY 2015, 44 in FY 2016 and 48 in FY 2017. The number of events decreased slightly from FY 2016 to FY 2017. Agencies are reporting it difficult to allow staff resources to be away from work areas for the average 4.5 days of an event. As a way to assist with this, scopes of events have been smaller in size, requiring a shorter time commitment. Also to assist with building continuous improvement, a focus of how to utilize Lean methodology into daily work and when to utilize a Lean event is being developed for FY 2018.

For a complete listing of Lean results achieved go to: <https://dom.iowa.gov/completed-lean-events>

# KEY RESULT TEMPLATE

## Core Function

**Name:** Adjudication (State Appeal Board)

**Description:** DOM coordinates and processes the State Appeal Board (SAB) claims to make sure they are filed properly within the limits and guidelines established by Iowa Law under Chapters 25 and 669. DOM notifies the claimants (the public and state agencies) of the Board's decisions and then the amount of the award is disbursed if entitled.

**Why are we doing this:** To meet statutory requirements and provide oversight and statewide consistency.

**What we are doing to achieve results:** DOM is improving performance by streamlining processes and applying technology as appropriate.

## Results

**Performance Measure:**

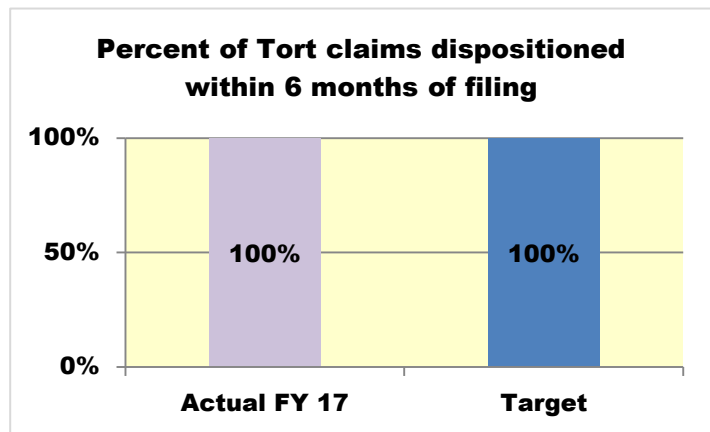
% of tort claims dispositioned within 6 months of filing

**Performance Target:**

100%

**Data Sources:**

DOM



**Data reliability:** An independent audit by KPMG is conducted each fiscal year.

**Why we are using this measure:** To ensure efficient, timely, accurate processing of cases.



# KEY RESULT TEMPLATE

## SERVICES/PRODUCTS/ACTIVITIES

**Name:** State Appeal Board

**Description:** DOM coordinates/processes State Appeal Board claims to ensure proper filing within limits/guidelines of Code Chapters 25 and 669.

**Why we are doing this:** To meet statutory requirements and to serve as the central point of contact when submitting claims against the State of Iowa.

**What we are doing to achieve results:** DOM is improving performance by streamlining processes and applying technology as appropriate.

## Results

### Performance Measure

- A. % of requests for SAB information delivered within 7 days
- B. % of requests for SAB information delivered accurately
- C. % of SAB claims processed within 3 weeks of SAB decision
- D. % of SAB claims processed accurately
- E. % of SAB budget appeal hearings held by April 30

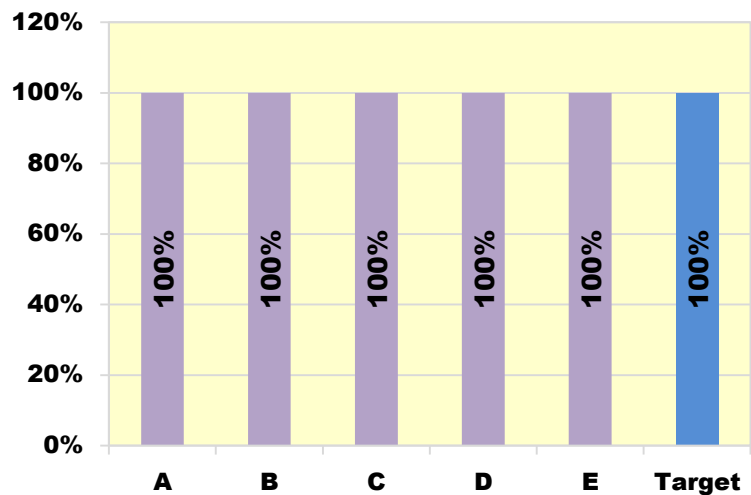
### Performance Target:

100%

### Data Sources:

DOM

**State Appeal Board Claims FY17**



**Data reliability:** An independent audit conducted by KPMG during each fiscal year

**Why we are using this measure:** Agencies, individuals, legislators, general public rely on the timely and accurate work that DOM performs with regard to the State Appeal Board.

**What was achieved:** Claims were filed timely and within the guidelines of Iowa law.

# KEY RESULT TEMPLATE

## CORE FUNCTION

**Name:** Local Government Assistance

**Description:** DOM certifies local government property tax levies. DOM assists local governments in meeting statutory requirements related to budgets, valuations, annual reporting, Tax Increment Financing (TIF) reporting, and utility replacement taxes.

**Why we are doing this:** To meet statutory requirements and to provide a central point of contact providing oversight and statewide consistency.

**What we are doing to achieve results:** DOM is improving performance by streamlining processes and applying technology as appropriate.

## Results

**Performance Measure:**

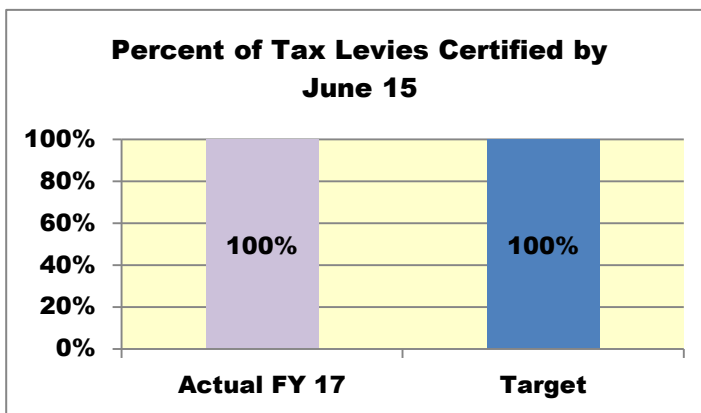
% of tax levies certified by June 15

**Performance Target:**

100%

**Data Sources:**

DOM



**Data reliability:** Independent audit by State Auditor's Office.

**Why we are using this measure:** Taxpayers, county auditors, legislators, local governments, and the business community rely on DOM's timely and accurate work with regard to property tax certifications, local budgets, school aid, annual reports, property valuations, and utility replacement taxes.

**What was achieved:** All property tax levies were certified on time.

# KEY RESULT TEMPLATE

## SERVICE/ PRODUCT/ ACTIVITY

**Name:** Local Government Budgets

**Description:** DOM certifies local government property tax levies, processes local government budgets, collects and aggregates statewide property valuations, computes and distributes utility replacement tax billing data, processes annual county reports, processes TIF reports, and determines the amount and distribution of school foundation aid. This includes preparing forms, preparing state and local government software, preparing instructions, and providing extensive local government training and assistance geared to help in the understanding of the processes and reporting requirements.

**Why we are doing this:** To meet statutory requirements, to provide oversight and statewide consistency in these complex functions, and to serve as an independent central repository for budget and valuation information.

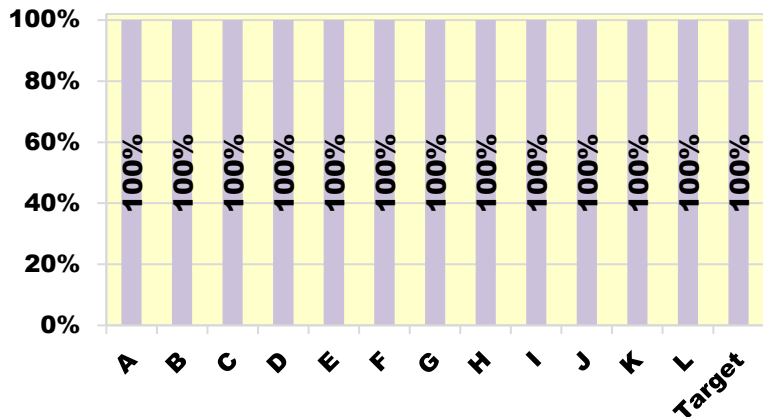
**What we are doing to achieve results:** DOM is improving performance by streamlining processes and applying technology as appropriate.

### Results

**Performance Measure:**

- A. % of city requests for budget materials that are timely
- B. % of city requests for budget materials that are accurate
- C. % of city government rates certified by June 15
- D. % of accurate property valuations on file
- E. % of utility tax replacement tax data delivered to the counties accurately
- F. % of utility tax replacement tax data delivered to the counties timely
- G. % of county budget annual report materials delivered timely
- H. % of county budget annual report materials delivered accurately
- I. % of county government rates certified by June 15
- J. % of school aid payments that are accurate
- K. % of school aid payments that are timely
- L. % of school district rates certified by June 15

**Local Government Budgets FY17**



**Performance Target:**

100% is the target for all 12 measures

**Data Sources:** DOM

**Data reliability:** Independent audit by State Auditor's Office.

**Why we are using this measure:** Local government customers rely on the timely and accurate work that DOM performs with regard to local budgets, property tax rates, school aid, annual reports, property valuations, and utility replacement taxes.

**What was achieved:** DOM met the 100% target goal for each of the 12 measures included in this key results template.

## AGENCY PERFORMANCE PLAN RESULTS FY 2017

<b>Name of Agency:</b> DEPARTMENT OF MANAGEMENT			
<b>Agency Mission:</b> Lead enterprise planning and coordinate enterprise systems so lowans receive the highest possible return on public investment.			
<b>Core Function:</b> Enterprise Resource Management			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
% of time the State of Iowa maintains the AA+ credit rating	100%	100%	Iowa achieved Standard and Poors highest rating of AAA  Data Source: Standard and Poors
<b>Service, Product or Activity:</b> Planning & Accountability			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
% of agencies that meet established AGA requirements (Strategic Plans, Performance Plans, Link to Enterprise Plan and Performance Measures, Performance Reports)	100%	98%	All AGA related plans and reports are posted on the Data.Iowa.Gov and on the Results Iowa website
Number of new and ongoing Lean projects achieving improved efficiencies	23	19	See Key Results Template
Number of state government staff trained or in training to lead/facilitate Lean events	35	48	See Key Results Template

<b>Performance Measure</b>	<b>Performance Target</b>	<b>Performance Actual</b>	<b>Performance Comments &amp; Analysis</b>
% of time budget system operational and accessible to departments for budget submission	100%	100%	What Occurred: Budget system was accessible for 100% of time during budget submission timeframe June 1-October 1  Data Source: DOM
% of agencies that submit budget on time (Oct. 1)	100%	100%	What Occurred: All agencies submitted budgets by the statutory deadline  Data Source: DOM
% Governor's recommendations delivered to the legislature on time (Feb 1)	100%	100%	What Occurred: Governor's recommendations were delivered in mid-January and within the statutory timeframe  Data Source: DOM
% of bill summaries/legislative action completed by Governor's Office deadline	100%	100%	What Occurred: All bill summaries/legislative action requests from IGOV were completed timely by DOM  Data Source: DOM

<b>Core Function: Adjudication</b>			
<b>Performance Measure</b>	<b>Performance Target</b>	<b>Performance Actual</b>	<b>Performance Comments &amp; Analysis</b>
% of tort claims dispositioned within 6 months of filing	100%	100%	See Key Results Template
<b>Service, Product or Activity: State Appeal Board</b>			
<b>Performance Measure</b>	<b>Performance Target</b>	<b>Performance Actual</b>	<b>Performance Comments &amp; Analysis</b>
% of requests for SAB information delivered within 7 days	100%	100%	See Key Results Template
% of requests for SAB information delivered accurately	100%	100%	See Key Results Template
% of SAB claims processed within 3 weeks	100%	100%	See Key Results Template
% of SAB claims processed accurately	100%	100%	See Key Results Template
% of SAB budget appeal hearings held by April 30	100%	100%	See Key Results Template

<b>Core Function: Local Government Assistance</b>			
<b>Performance Measure</b>	<b>Performance Target</b>	<b>Performance Actual</b>	<b>Performance Comments &amp; Analysis</b>
% of tax levies certified by June 15	100%	100%	See Key Results Template
<b>Service, Product or Activity: Local Budgets</b>			
<b>Performance Measure</b>	<b>Performance Target</b>	<b>Performance Actual</b>	<b>Performance Comments &amp; Analysis</b>
<b>A. City Budgets</b>			
% of city requests for budget materials that are timely	100%	100%	See Key Results Template
% of city requests for budget materials that are accurate	100%	100%	See Key Results Template
% of city government rates certified by June 15	100%	100%	See Key Results Template
<b>B. Property Valuations</b>			
% of accurate property valuations on file	100%	100%	See Key Results Template
<b>C. Utility Tax Replacement</b>			
% of utility tax replacement tax data delivered to the counties accurately	100%	100%	See Key Results Template
% of utility tax replacement tax data delivered to the counties timely	100%	100%	See Key Results Template
<b>D. School Budgets</b>			
% of school aid payments that are accurate	100%	100%	See Key Results Template
% of school aid payments done timely	100%	100%	See Key Results Template
% of school district rates certified by June 15	100%	100%	See Key Results Template



<b>Core Function: Education</b>			
<b>Performance Measure</b>	<b>Performance Target</b>	<b>Performance Actual</b>	<b>Performance Comments &amp; Analysis</b>
<b>Service, Product or Activity: Early Childhood Iowa (ECI)</b>			
% of preschool-age children receiving Early Childhood Iowa preschool support that demonstrate age appropriate skills	84%	82%	Assist local empowerment boards to understand and support high-quality preschool environments.
% of Early Childhood Iowa budgets reviewed at the state level within 10 working days	96%	100%	Utilize a tracking system and ensure all reviewers are aware of assignments to review budgets.
% of contracts in place with Early Childhood Iowa areas by August 1	87%	84%	Utilize a strong, consistent process for ensuring local empowerment contracts are in place. Give reminders when necessary to keep the agreements moving in the process.
% of participating families that improve or maintain healthy functioning, problem-solving skills and communication	84%	94%	Assist local early childhood boards to understand and support evidence-based family support programming. Continue to provide the incentive of an Iowa Family Support Credential to programs that demonstrate through an external evaluation that they are meeting the quality family support standards.