

**DEPARTMENT
of
MANAGEMENT
PERFORMANCE
REPORT**

**Performance Results
Fiscal Year 2011**

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INTRODUCTION

The Iowa Department of Management (DOM) is pleased to present our Performance Report for fiscal year 2011 (July 1, 2010 - June 30, 2011). 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 key results areas and a spreadsheet that provides all of our FY 2011 performance plan measures and results by core function and service, product or activity (SPA).

AGENCY OVERVIEW

Mission: The Department of Management (DOM) 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 (Results Iowa)
- Lean/process improvement initiatives
- Policy development and analysis
- Revenue estimating and economic forecasting
- Early Childhood Iowa 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 ECI groups, the state empowerment board, state appeal board claimants, media and state employee labor organizations.

Operations Budget

DOM received \$2,407,312 in General Fund appropriations in FY 2011 to support department operations. Additional support for the operations of the Department was received in the form of a \$260,000 Cash Reserve Fund appropriation. Enterprise-wide government efficiency savings were implemented which reduced the original General Fund appropriation by \$243,314. The Department also received a \$56,000 appropriation from the Road Use Tax Fund which supports the work done on behalf of the Iowa Department of Transportation.

The Department of Management's Early Childhood Iowa Office (ECI) is operated on a combination of state support from the Iowa Department of Education and funds from a federal grant. Funding provided for the general operations of the ECI Office and the technical assistance efforts provided by the Office totaled \$354,600 in FY 2011.

KEY RESULT TEMPLATE

CORE FUNCTION

Name: Enterprise Resource Management

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: lowans expect that state government will provide them with the best possible services at the lowest price. Lean can help increase value for lowans by reducing waste and helping to change the culture of state government to one that increasingly focuses on efficiency and improved results.

What we're doing to achieve results:

The selection of processes that we focused on for improvement through Lean began to be more strategic in FY 2011. We transitioned from an approach where Lean events were identified and selected on the basis of identifying “pain” within a department to one seeking to ensure that the processes we identify and select are critical to organizational success, linked to the department’s strategic plan and focused on customer expectations.

FY 2011 marked the first year that Lean process improvement was applied in the Department of Transportation (DOT). DOT held two events in the Motor Vehicle Division in FY 2011.

Moving forward into FY 2012, Lean efforts will focus on assisting agency directors in accomplishing their strategic vision, strengthening the internal capacity to facilitate (10 currently trained) and documenting the results of the collaborative efforts.

Data Source: DOM

Performance Measure:

Number of new and ongoing Lean Projects achieving improved efficiencies

Performance Target: 20

Results: 29

New Lean Improvement Projects:

1. DED-Enterprise Zones - Designed changes to the EZ Program
2. DPD-HSEMD Purchasing - Reduced delays by 70%; Decisions by 15%; Handoffs by 44%.
3. DED-260E Review - All processes touching 260E for a report to go to Legislature.
4. DED-Business Application Review - Steps reduced 30%, Delays reduced 28% and Lead time reduced 20%.
5. DOC-Offender Transitions - Laid the framework for designing a process for motivating offenders' movement through the correctional system based on risk assessment, risk management, and risk reduction that makes the most effective use of available resources and allows offender to return to community from least restrictive custody level.
6. IWD-UI Benefits Redesign - Established a plan to redesign the UI Benefits program in the next three years. Determined there were too many manual processes, silos, internal communication gaps and automated systems that are not connected. Fifteen potential Kaizen events were identified.
7. DED-Sustainable Initiatives - Focused on DED sustainable initiatives (45) and identified ways to prioritize strategically.
8. DED-Small Business Assistance - Identified a lack of visibility (not visible to all entrepreneurs) and gaps in mentorship and barriers in language, location, culture and use of the Internet and where to improve.
9. DED-Contracts - Revisited event done earlier, but with more narrow focus on selected areas that had not improved after the first event.
10. DOT-Motor Vehicle TRL Process - Reduced steps by 46% and delays by 95%.
11. DED-Site Readiness - Designed a process to have sites "ready", using an existing model and adapting it to fit the needs of the state.
12. IFA-Home Application Process - Designed how IFA will accept applications, train people and how the review of applications for the board approval will work.

13. DNR-Conservation Easement - Developed a process to track, monitor, and enforce statewide conservation easements held by the DNR.
14. DNR-On Boarding - Developed a standardized process for welcoming and starting new employees with the agency.
15. DNR-Dock Permitting - Reduced the time to issue a dock permit by 92%, reduced total steps by 68%, and reduced delays by 75%. Estimated savings of 2+FTE's of work by fixing the existing database to fit the future state process.
16. DOC-Disciplinary Process - Laid the framework for designing a process that corrects and teaches while facilitating offenders' long-term behavior change.
17. IWD/DHS-Promise Jobs - Opened Communication between agencies regarding Promise Jobs Child Care responsibilities. Reduced steps by 22%; Loopbacks by 70%; and Handoffs by 60%.
18. DHS-CFEU Applications - The Centralized Facility Eligibility Unit of the Department of Human Services developed a clear method of processing facility applications through a streamlined approach to ensure timely processing of applications.
19. IVRS-Claim Submittal - Reduced steps by 77% and delays by 83% in one process and reduced steps by 24% and delays by 31% in another process. One goal is to receive 200% more dollars from SSA.
20. DED/OEI All Programs - This Value Stream mapping event mapped all the processes OEI does as of March, 2011.
21. DNR-Engineering - Re-work and change orders on construction projects are expected to decrease, thereby saving time and money during construction. Reduced delay time by 35% and loop backs by 50%.
22. DHS-DMSA Family Track Virtual Office - The Event designed a "virtual" office concept to process family track applications. This will lead to a decreased backlog and increased ability to meet the customer demands.
23. DED-Energy Programs - This design event was used to help determine how OEI fits with DED.
24. IFA-HOME Allocations - Designed how the IFA HOME program notifies applicants of the outcome of the Board's decision to when the first draw is submitted to IFA and paid.
25. DNR-IT Procurement - Developed a process for purchasing computers that result in a more consistent agency wide planning for computer replacements, and identified alternative resources to complete the necessary steps in the process.
26. DHS-CFEU Redeterminations - Designed a standardized, efficient, and clear method of processing CFEU redeterminations from the time a Case Activity Report (CAR) or application (i.e., in cases when an application for a Medicaid

program client is forwarded prior to a CAR) is received to the time it is completed and forwarded to the Ongoing Worker for case maintenance.

27. IVH-Unit Management - Designed how the Veteran's Home will function in unit based teams instead of departmentalized teams.
28. DOT-Motor Carrier Services Accounting - Reduced delay time by 48%, Decisions by 40% and Handoffs by 56%.
29. IDR-Compliance - Mapped the Compliance Value Stream to help identify opportunities for decreasing protests.

Data reliability: DOM's Office of Lean documents efficiencies during the initial event and at follow-up at 30, 60 and 90 day post event meetings.

Why we are using this measure: To identify how many of the events are launched and lead to improved efficiencies.

What was achieved: We surpassed our target by 9. For a complete listing of Lean results achieved go to <http://lean.iowa.gov/results/index.html>

KEY RESULT TEMPLATE

Core Function

Name: Adjudication (State Appeal Board)

Description: DOM coordinates and processes the State Appeal Board 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 were doing to achieve results DOM is improving performance by streamlining processes and applying technology as appropriate.

Results

Performance Measure:

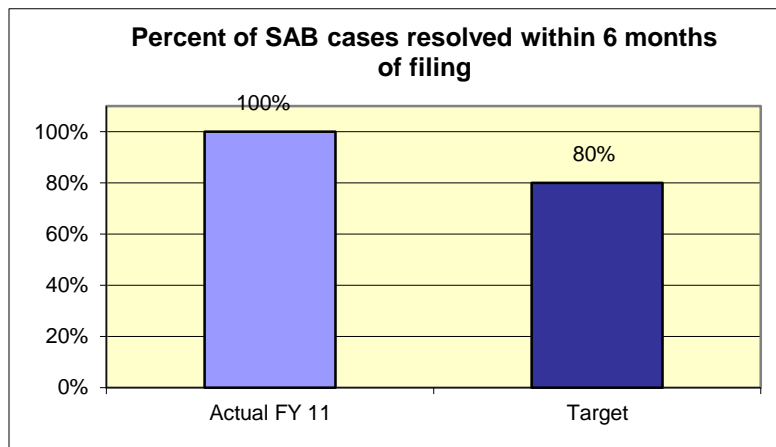
% of cases resolved within 6 months of filing

Performance Target:

80%

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're doing to achieve results: DOM is improving performance by streamlining processes and applying technology as appropriate.

Results

Performance Measure

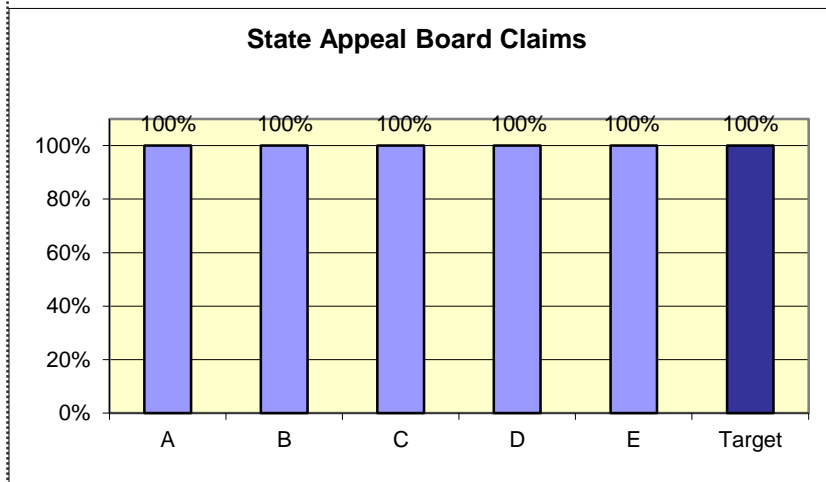
- A. % of requests for SAB information delivered within 7 days
- B. % of requests for SAB information delivered accurately
- C. % of SAB claims processed within 3 weeks of SAB decision
- D. % of SAB claims processed accurately
- E. % of SAB budget appeal hearings held by April 30

Performance Target:

100%

Data Sources:

DOM



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're doing to achieve results: DOM is improving performance by streamlining processes and applying technology as appropriate.

Results

Performance Measure:

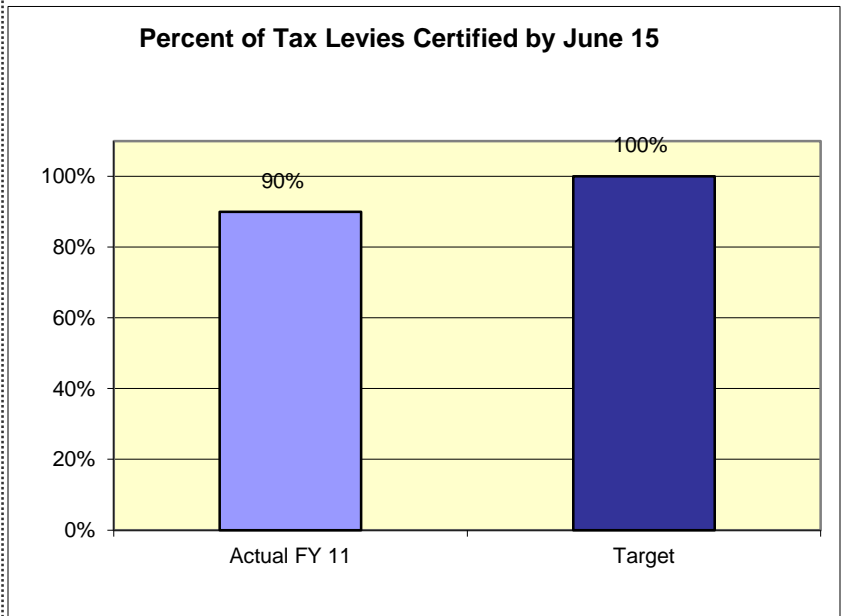
% of tax levies certified by June 15.

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: School district property tax levies were certified on July 14, 2011. The certification was delayed because the legislature did not adjourn until June 30. The delayed certification of school district rates reduced the overall rate of timely certifications to 90%.

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're 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

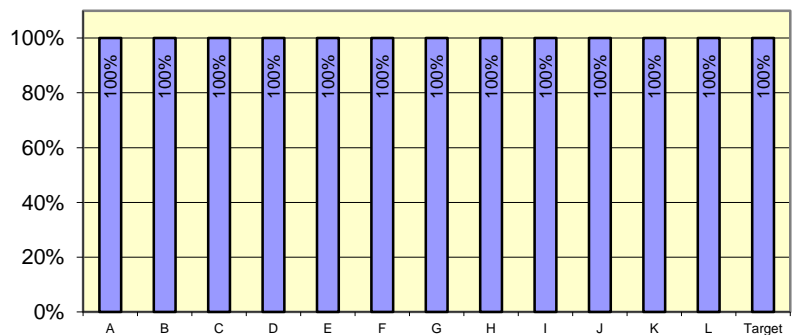
Performance Target:

100% is the target for all 12 measures

Data Sources: DOM

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

Local Government Budgets



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 has consistently the 100% target. Those relying on our products/services/activities are better able to meet their responsibilities.

AGENCY PERFORMANCE PLAN RESULTS FY 2011

Name of Agency: DEPARTMENT OF MANAGEMENT			
Agency Mission: Lead enterprise planning and coordinate enterprise systems so lowans receive the highest possible return on public investment.			
Core Function: 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%	Standard and Poors highest rating is AAA Data Source: Standard and Poors
Service, Product or Activity: 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%	88%	The Guide for State Agency Strategic Planning was updated and included new enterprise goals. Departments will have new or updated plans in FY 12.
Number of new and ongoing Lean Projects achieving improved efficiencies	50	21	See Key Results Template

Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
% 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 time frame. Data Source: DOM
% of bill summaries/legislative action completed by IGOV deadline	100%	100%	What Occurred: All bill summaries/legislative action requests from IGOV were completed timely by DOM. Data Source: DOM

Core Function: Adjudication			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
% of SAB cases resolved within 6 months	80%	80%	See Key Results Template
Service, Product or Activity: State Appeal Board			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
% 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 process accurately	100%	100%	See Key Results Template
% of SAB budget appeal hearings held by April 30	100%	100%	See Key Results Template

Core Function: Local Government Assistance			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
% of tax levies certified by June 15	100%	100%	See Key Results Template
Service, Product or Activity: Local Budgets			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
A. City Budgets			
% 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. Property Valuations			
% of accurate property valuations on file	100%	100%	See Key Results Template
C. Utility Tax Replacement			
% 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
D. School Budgets			
% of school aid payments that are accurate	100%	100%	See Key Results Template
% of school aid payments that are timely	100%	100%	See Key Results Template
% of school district rates certified by June 15	100%	0%	See Key Results Template

Core Function: Education			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
Service, Product or Activity: Early Childhood Iowa (ECI)			
% of parents receiving Early Childhood Iowa family support reporting an increase in confidence and compliance in parenting abilities	80%	80%	This is the third year ECI areas have tracked this measure. Because the number of families receiving the service for more than one year is increasing, the outcome should also steadily increase.
% of preschool-age children receiving Early Childhood Iowa preschool support that demonstrate age appropriate skills	75%	87%	This is the third year ECI areas have reported this measure. Because of the experience, there is confidence in the front-line staff utilizing the assessment tools.
% of Early Childhood Iowa budgets reviewed at the state level within 10 working days	90%	91%	The ECI Office, with the assistance of the technical assistance team, continues to fine tune the efficiency of the budget review process.
% of contracts in place with Early Childhood Iowa areas by August 1	98%	93%	Due to the Legislature's late adjournment , there was a delay in ECI's contracting process with the local area boards. Signatures of the state departments on the agreements with the local boards cannot occur until after the Governor signs the appropriation bills.