

**AGENCY PERFORMANCE PLAN  
FY 2015**

<b>Name of Agency: Department of Inspections and Appeals</b>				
<b>Agency Mission: "Investigate, regulate and adjudicate to ensure program integrity and to protect the health, safety and welfare of lowans."</b>				
<b>Core Function</b>	<b>Outcome Measure(s)</b>	<b>Outcome Target</b>	<b>Link to Strategic Plan Goal(s)</b>	<b>Division</b>
<b>CF: Adjudication/Dispute Resolution</b>			DIA Goal #1 – Enhance customer-centered services and satisfaction. DIA Goal #3 – Meet all state and federal performance standards. EAB Goal #1– Continue to increase compliance with state and federal laws.	
<b>Desired Outcome(s):</b>				
<b>Citizens are afforded due process in contested case proceedings involving adverse agency action.</b>	Percentage of all cases conducted in accordance with due process requirements.	<b>100%</b>		<b>AHD</b>
<b>Timely adjudication of the rights and duties of workers and employers under unemployment insurance (UI) laws.</b>	Average age of pending Unemployment Insurance appeal cases compared to the federal Department of labor guidelines of 40 days.	<b>24 days</b>		<b>EAB</b>
<b>Timely adjudication of contested OSHA violations.</b>	Percentage of decisions not appealed to district court.	<b>85%</b>		<b>EAB</b>
	Percentage of decisions issued within 14 days of Board review.	<b>90%</b>		<b>EAB</b>
<b>Timely adjudication of contested construction contractor registration violations</b>	Percentage of decisions issued within 14 days of Board hearing.	<b>90%</b>		<b>EAB</b>
<b>Activities, Services, Products</b>	<b>Performance Measures</b>	<b>Performance Target(s)</b>	<b>Strategies/Recommended Actions</b>	
<b>1. Administrative Hearings Org # 3101, 3501, 3701 A. DHS all other hearings B. DOT OWI appeals</b>	Percentage Judges' decisions issued within 60 days of the hearing.	<b>90%</b>	ALJ time standards decisions must be issued no later than 60 days of closing the hearing record.	<b>AHD</b>
	Number of substantiated complaints against Judges (Administrative Code of Judicial Conduct).	<b>0</b>		<b>AHD</b>

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
	Percentage of all hearings scheduled for new cases within 30 days of the receipt of the certified case.	<b>90%</b>	Timely docket and schedule contested case hearings.	<b>AHD</b>
	Percentage of case closures (hearings, settlements, dismissals, etc) within 60 days following the hearing.	<b>85%</b>	Timely adjudication of contested case hearings.	<b>AHD</b>
	Percentage of decisions reversed on appeal due to legal error or defect.	<b>0%</b>	Decisions made in conformance with governing standards.	<b>AHD</b>
<b>2. Employment-Related Appeals Org. # 7200, 7700</b>	Average age of pending Unemployment Insurance appeal cases compared to the federal Department of labor guidelines of 40 days.	<b>24 days</b>	Maintain daily agendas.  Utilize new checkpoint system to download voice files from Iowa Workforce Development to save time and speed up transcription process.  Board use of voice file recordings to alleviate transcript workload.	<b>EAB</b>
	Percentage of OSHA decisions issued within 14 days of review by Board.	<b>90%</b>	Schedule administrative law judge hearing within 20 days of receipt of answer.	<b>EAB</b>
<b>3. Regulatory Appeals Org. #7700</b>	Percentage of Contractor Registration decisions issued within 14 days of hearing by Board.	<b>90%</b>	Utilize temp staffing if needed to timely process case flow and decisions.  Communicate importance of timeliness standards with staff.	<b>EAB</b>
Core Function	Outcome Measure(s)	Outcome Target	Link to Strategic Plan Goal(s)	
<b>CF: Child and Adult Protection</b>			CAB Goal #1: All children involved with the CASA and ICFCRB programs will receive high quality services that contribute to their safety, well-being and permanency.	
<b>Desired Outcome(s):</b>				
<b>Safety and permanency for children in the child welfare system.</b>	Percent of children safe from re-abuse.	<b>99.4%</b>		<b>CAB</b>
	Percent of children re-unified timely.	<b>83%</b>		<b>CAB</b>
	Percent of children adopted timely.	<b>57.5%</b>		<b>CAB</b>

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
<b>1. Foster Care Review Boards:</b>  <b>Issue review findings &amp; recommendations.</b>  <b>Org# 0310, 0320, 0325</b>	Percentage of required reviews conducted within specified timeframes.	<b>98%</b>	Provide for high quality volunteer recruitment, screening, training and support activities. Solicit program quality improvement suggestions from employees, volunteers and interested parties.	<b>CAB</b>
Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
<b>2. Court Appointed Special Advocates:</b>  <b>Submit court report with recommendations.</b>  <b>Org # 0310, 0400, 0420</b>	Percentage of reports submitted to the court within specified timeframes.	<b>98%</b>	Provide for high quality volunteer recruitment, screening, training and support activities. Solicit program quality improvement suggestions from employees, volunteers and interested parties.	<b>CAB</b>
Core Function	Outcome Measure(s)	Outcome Target	Link to Strategic Plan Goal(s)	
<b>CF: Regulation, Compliance, Enforcement and Investigation</b>			IRGC Goal #1 – Achieve the highest possible voluntary compliance of statutes, rules and regulations. DIA Goal #1 – Enhance customer-centered services and satisfaction. DIA Goal #3 – Meet all state and federal performance standards.	
<b>Desired Outcome(s):</b>				
<b>To protect the public from incidence of fraudulent or illegal activities in pari-mutuel and excursion boat gambling and protect the health and welfare of the racing animals.</b>	Percentage of horses inspected for health and fitness prior to a race.	<b>80%</b>		<b>IRGC</b>
	Percentage of occupational licensees receiving <u>no</u> serious violations after licensure.	<b>80%</b>		<b>IRGC</b>
<b>To protect the public by ensuring only eligible applicants receive licenses/registrations/certifications in the areas of food establishments and processors, social and charitable gambling, amusement devices and targeted small bus.</b>	Percentage of licenses/registrations/certifications requested that are issued by state fiscal year.	<b>100%</b>		<b>TSB/ FOOD/ S&amp;C/ AD</b>

<b>Core Function</b>	<b>Outcome Measure(s)</b>	<b>Outcome Target</b>	<b>Link to Strategic Plan Goal(s)</b>	
<b>To enhance the safety, security and general welfare of the persons served in licensed/certified facilities and programs.</b>	Percentage of federal workload requirements met for Tier 1 and Tier 2.	<b>95%</b>		<b>HFD</b>
	Percentage of nursing facilities that are deficiency-free.	<b>12%</b>		<b>HFD</b>
<b>To identify fraud, waste and abuse and restore accountability and integrity to the state public assistance programs to ensure that tax dollars are being used only as they are intended.</b>	Percentage of completed investigations resulting in civil, administrative or criminal action.	<b>85%</b>		<b>INVEST</b>
<b>To recover improper public assistance payments and save taxpayers millions of dollars each year.</b>	Percentage of dollars collected.	<b>13%</b>		<b>INVEST</b>
<b>To objectively investigate alleged violations received by professional licensing boards to assist the boards in determining whether a violation of board statute or rules has occurred.</b>	Rate of completion of professional standards investigations (pending and new referrals).	<b>50%</b>		<b>INVEST</b>
<b>To examine and verify accounts and records of DHS offices and to ensure compliance with federal regulations.</b>	Percentage of local DHS offices in compliance within 45 days.	<b>100%</b>		<b>INVEST</b>
<b>To examine and verify accounts and records of nursing facilities to ensure compliance with Iowa law and regulations.</b>	Percentage of care facilities in compliance within 60 days.	<b>90%</b>		<b>INVEST</b>

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
<b>1. Pari-Mutuel and Excursion Gambling Boat Regulation</b> <b>Org# 8120, 8140</b> <b>A Occupational license</b> <b>B Track or Boat license</b> <b>C Statute and rule compliance</b> <b>D Drug testing</b> <b>E Racing animal health and fitness inspections</b> <b>F. Revenue collection</b>	Percentage of occupational licensees with initial issues receiving <u>no</u> serious violations after licensure.	<b>75%</b>	Streamline the eligibility determination process.	<b>IRGC</b>
<b>2. Social &amp; Charitable Gambling Regulation</b> <b>Org #2801</b> <b>A. Process application</b> <b>B. Make licensing decisions</b> <b>C. License quality applications</b> <b>D. Conduct complaint investigations</b> <b>E. Audit records</b> <b>F. Take revocation action</b> <b>G. Make enforcement referrals</b>	Percentage of completed social and charitable gambling applications/registrations acted upon within 30 calendar days including amusement devices.	<b>99%</b>	Develop and implement an electronic web-based registration system with ability to accept credit card payments and with an integrated database.  Note: System has been implemented, now seeking to promote usage of system.	<b>S &amp; C/ AD</b>
	Percentage of social and charitable gambling organizations including amusement devices required to file an annual report that complete the report for the current fiscal year.	<b>80%</b>	Make requirements easily understood and accessible to registrants to reduce noncompliance issues.  DIA makes numerous attempts to notify the organizations that a report must be filed.	<b>S &amp; C/ AD</b>
<b>3. Targeted Small Business certification</b> <b>Org# 2801</b> <b>A. Process complete applications</b> <b>B. Review files</b> <b>C. Certification decisions</b>	Percentage of applications processed within 30 calendar days of receipt of all required documentation.	<b>95%</b>	Continue to work with the Department of Economic Development and the Department of Administrative Services in providing education and information sessions.	<b>TSB</b>

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
	The number of targeted small business (TSB) initial certifications issued this fiscal year.	<b>160</b>		<b>TSB</b>
<b>4. Food and Consumer Safety Org # 2801</b> <b>A. Application processing</b> <b>B. Inspections</b> <b>C. Complaint investigations</b> <b>D. Foodborne illness investigations</b> <b>E. Contract management</b> <b>F. Licensing decisions</b> <b>G. Enforcement actions</b>	Percentage of Tier 3 (high risk level) establishments inspected two times during the calendar year.	<b>95%</b>	Continue standardization of all staff in FDA Model Food Code every three years.  Acquire and train qualified inspectors to gain compliance with the FDA Food Code inspection frequency.	<b>FOOD</b>
	Number of performance reviews completed for local health departments contracting under Iowa 137F to enforce the Food Code. There are a total of 26 contracts in state fiscal year.	<b>3 reviews</b>	Continue standardization of all staff in FDA Model Food Code every three years.  Acquire and train qualified inspectors to gain compliance with the FDA Food Code inspection frequency.	<b>FOOD</b>
	Number of complaint calls the Department received in the calendar year.	<b>130</b>	<b>Educate the public about how to report a possible foodborne illness.</b>	<b>FOOD</b>
Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
<b>5. Regulatory oversight of state licensed and federally certified long-term care and habilitation entities</b> <b>Org #5301, 5501, 5601, 5701, 5801, 5901</b> <b>A. Application processing</b> <b>B. Surveys</b> <b>C. Complaint investigations</b> <b>D. Licensing/Certification decisions</b> <b>E. Enforcement actions</b>	Ratio of the average number of months between Nursing Facility surveys in comparison with the federal timeframe guidelines.	<b>11.9:12 .9</b>	Utilize updated database to track and monitor survey frequency.  Utilize Aspen Enforcement Management (AEM) to insure enforcement guidelines are met.  Secure additional training from the Abuse Coordinating Unit to improve efficiency of investigations and the quality of final memos.  Utilize Program Coordinators to investigate complaints and assist with surveys when resource issues arise.	<b>HFD</b>
	Percent of ICF/MR surveys successfully completed within federally prescribed timeframe of 12.9 months since the last survey.	<b>95%</b>	Acquire and train qualified surveyors to secure and sustain a 100% survey frequency within 12.5 months.	<b>HFD</b>

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
	Percentage of nursing home immediate jeopardy complaint investigations initiated within required timeframes.	<b>95%</b>	Secure additional training from the Abuse Coordinating Unit to improve efficiency of investigations and the quality of final memos.  Utilize Program Coordinators to investigate complaints and assist with surveys when resource issues arise.	<b>HFD</b>
<b>6. Monitor and regulation of state certified community based environments</b> <b>Org #5101</b> <b>A. Application processing</b> <b>B. Monitoring evaluations</b> <b>C. Complaint investigations</b> <b>D. Certification decisions</b> <b>E. Enforcement actions</b>	Percentage of assisted living program re-certifications completed at least 10 days prior to certification expiration date.	<b>50%</b>	Ensure consistency and efficiency in dealing with corporately owned programs that cross Department prescribed geographical regions.  Continue to triage DAA/complaints first, recertification visits second and certification visits last with limited resources.	<b>HFD</b>
	Percentage of immediate jeopardy complaint investigations initiated within 2 days.	<b>99%</b>	Input resolution of Adult Services Bureau complaints into the Health Facilities Division database. Retention of all ASB staff at 100%.  Utilize Program Coordinators to investigate complaints and assist with monitoring when resource issues arise.	<b>HFD</b>
<b>7. Investigations Services</b> <b>Org #4101, 4201, 4601, 4801, 4901</b> <b>A. Economic Fraud</b> <b>B. Medicaid Fraud</b> <b>C. Professional Standards</b>	Percentage of economic fraud investigation cases completed within statutory timeframes.	<b>85%</b>	Review and update investigative procedures/protocol.  Prioritize cases.  Employ the latest technology and investigative techniques to improve investigative efficiency.	<b>INVEST</b>
	Amount of cost savings resulting from front-end investigations.	<b>\$4 million</b>		<b>INVEST</b>
	Number of food assistance EBT cases referred by the public and other state and federal agencies for suspected fraud	<b>300</b>	Educate the public and other state and federal agencies about intentional misrepresentation, concealment or withholding of information in order to get any, or increased, food stamp benefits.	<b>INVEST</b>

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
	Percentage of Medicaid fraud provider referrals reviewed and assigned or declined and referred back within statutory timeframes.	95%	Review and update case protocols, as necessary, and include in policies and procedures.	INVEST
	Number of dependent adult abuse and Medicaid provider fraud investigations referred for criminal prosecution.	70	Continue collaboration with the Abuse Coordinating Unit to deliver selected health care facilities investigation materials directly to county attorney for prosecution decision. Educate and coordinate with local law enforcement, county attorneys, licensing boards, SURS, and other entities on DAA law.	INVEST
	Ratio of professional licensing investigations completed to total cases (pending and new referrals).	1:3	Maintain current efforts and continually seek ways and means to expedite professional licensing investigations and reduce the backlog	INVEST
	Amount of cost savings resulting from EBT Investigations	\$2 million	Educate and coordinate efforts with other state and federal agencies to identify misuse of food assistance benefits.	INVEST
	Number of completed Intentional Program Violations (IPVs)	60	Continue to monitor rule changes through Food and Nutrition Service (FNS)	INVEST
	Amount of cost avoidance dollars and/or dollars pursued for collection as a result of Divestiture investigations.	\$5 million	Educate DHS, law enforcement, and the public on Iowa Code 249F.	INVEST
<b>8. Collection Services Org # 4701, 4901</b>	Dollars recovered from improper public assistance, resulting from client error, fraud, or agency error, per year compared to the dollars recovered the previous year.	\$3 million FY15	Maintain current collection efforts, accept online and credit card payments, employ better technology to increase the amount of moneys collected.	INVEST
	Dollars collected under the Divestiture Program.	\$500,000		INVEST
<b>9. Audit Services Org# 4501, 4901 A. DHS offices B. Health care facilities</b>	Average number of months between audits for care facilities.	36	Maintain current efforts and continually seek ways and means of increasing the number of audits conducted and decreasing the amount of money collected.	INVEST
	Rate of collection for moneys owed to care facility residents.	99.5%	Maintain current collection rate and seek to raise percentage to 100%.	INVEST



Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
	Rate of collection of moneys owed to the state.	<b>100%</b>	Maintain current collection rate.	<b>INVEST</b>
	Average number of hours spent on-site auditing per facility.	<b>11</b>	Collaborate with the Iowa Medicaid Enterprise to streamline facility history profile reports used in the conduct of the audit.	<b>INVEST</b>
Core Function	Outcome Measure(s)	Outcome Target	Link to Strategic Plan Goal(s)	
<b>CF: Resource Management</b>			DIA Goal #1 – Enhance customer-centered services and satisfaction. DIA Goal #2 – Create a work environment that allows employees to maximize their talents and opportunities. DIA Goal #3 – Meet all state and federal performance standards.	
<b>Desired Outcome(s):</b>				
<b>To provide consistently accurate and timely administrative and fiscal services to agency personnel so they can better provide their services to department constituencies.</b>	Average rating of the resource management questionnaire regarding the accuracy and timeliness of services on a 5-point Likert Scale with 1 being poor and 5 being excellent.	<b>4.25</b>		<b>ADMIN</b>
Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
<b>1. Resource Management</b> <b>Org# 0101, 0199, 2101, 2201, 2301, 2401</b> <b>A. Claims Processing</b> <b>B. Budget</b> <b>C. Inventory</b> <b>D. Financial Management</b> <b>E. Public Information</b> <b>F. Personnel</b> <b>G. Government Relations</b> <b>H. Indian Gaming</b> <b>I. Purchasing</b> <b>J. Vehicle Coordination</b> <b>K. Communication</b> <b>Coordination</b> <b>L. Grant Management</b> <b>M. Enterprise Management</b> <b>N. Information Technology</b>	Percent of federal and state financial reports completed and submitted by due date.	<b>95%</b>	Develop a schedule of reports with due dates and provide to pertinent staff.  Identify technology enhancements to improve process for completing reports timely and accurately.	<b>ADMIN</b>

<b>O. Space Management</b>				
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Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions	
	Percent of media and public information inquiries responded to within prescribed timeframes.	<b>80%</b> within 24 hours	<p>Maintain current and accurate information on the website.</p> <p>Identify opportunities for divisions and attached units at public events to share departmental information.</p> <p>Redesign the website to provide additional public information and more user-friendly access.</p>	<b>ADMIN</b>
	Percent of budget funded by sources other than general fund.	<b>68%</b>	Identify and pursue grant opportunities for the department.	<b>ADMIN</b>
	Employee retention rate (non-retiree permanent employees).	<b>97%</b>	Performance evaluations will be conducted at three months for new employees to identify any workplace or satisfaction issues.	<b>ADMIN</b>