

**AGENCY PERFORMANCE PLAN
FY 2022**

Name of Agency: Inspections and Appeals				
Agency Mission: "To achieve compliance through education, regulation and due process for a safe and healthy Iowa."				
Core Function	Performance Measure (Outcome)	Performance Target	Prior Year Actual	Link to Strategic Plan Goal(s)
CF: Adjudication/Dispute Resolution				DIA Goal #1 – Be an effective agency. DIA Goal #2 – Be an efficient agency. DIA Goal #3 – Be an approachable agency. EAB Goal #1 – Continue to increase compliance with state and federal laws
Desired Outcome(s):				
Citizens are afforded due process in contested case proceedings involving adverse agency action.	Percentage of all cases conducted in accordance with due process requirements.	100%	100%	AHD
Timely adjudication of the rights and duties of workers and employers under unemployment insurance (UI) laws.	Average age of pending Unemployment Insurance appeal cases compared to the federal Department of labor guidelines of 40 days.	24 days	29 days	EAB
Timely adjudication of contested OSHA violations.	Percentage of decisions not appealed to district court.	85%	100%	EAB
	Percentage of decisions issued within 14 days of Board review.	90%	100%	EAB
Timely adjudication of contested construction contractor registration violations	Percentage of decisions issued within 14 days of Board hearing.	90%	100%	EAB
Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
1. Administrative Hearings Org # 3101, 3501, 3701 A. DHS all other hearings B. DOT OWI appeals	Percentage Judges' decisions issued within 30 days of the hearing.	90%	98%	ALJ time standards decisions must be issued no later than 30 days of closing the hearing record. AHD
Services, Products, Activities	Performance Measures	Performance	Prior Year	Strategies/Recommended Actions

		Target	Actual	
	Number of substantiated complaints against Judges (Administrative Code of Judicial Conduct).	0	0	AHD
	Percentage of case closures (hearings, settlements, dismissals, etc) within 30 days following the hearing.	99% - FY19	99%	Timely adjudication of contested case hearings. AHD
	Average number of days between the hearing and decision issuance	30	5.2	Decisions made in a timely manner. AHD
2. Employment-Related Appeals Org. # 7200, 7700	Average age of pending Unemployment Insurance appeal cases compared to the federal Department of labor guidelines of 40 days.	24 days	29 days	Maintain daily agendas. Utilize checkpoint system to download voice files from Iowa Workforce Development to save time and speed up transcription process. EAB
	Percentage of OSHA decisions issued within 14 days of review by Board.	90%	100%	Schedule administrative law judge hearing within 20 days of receipt of answer. EAB
3. Regulatory Appeals Org. #7700	Percentage of Contractor Registration decisions issued within 14 days of hearing by Board.	90%	100%	Communicate importance of timeliness standards with staff. EAB
Core Function	Performance Measure (Outcome)	Performance Target	Prior Year Actual	Link to Strategic Plan Goal(s)
CF: Child and Adult Protection				CAB Goal #1: Become a results-focused organization.
Desired Outcome(s):				
Safety and permanency for children in the child welfare system.	Time children are under court jurisdiction when served by a CASA Advocate.	18 months	18	CAB
	Percent of children who achieve permanency within 12 months after being assigned a CASA Advocate	20%	25.8%	CAB

Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
1. Foster Care Review Boards: Issue review findings & recommendations. Org# 0310, 0320, 0325	Percentage of FCRB reports submitted to the courts and interested parties by the 15 th calendar day post-review date.	90%	100%	Provide for high quality volunteer recruitment, screening, training and support activities. Solicit program quality improvement suggestions from employees, volunteers and interested parties. CAB
2. Court Appointed Special Advocates: Submit court report with recommendations. Org # 0310, 0400, 0420	Percentage of reports submitted to the court within specified timeframes.	90%	79.3%	Provide for high quality volunteer recruitment, screening, training and support activities. Solicit program quality improvement suggestions from employees, volunteers and interested parties. CAB
Core Function	Performance Measure (Outcome)	Performance Target	Prior Year Actual	Link to Strategic Plan Goal(s)
CF: Regulation, Compliance, Enforcement and Investigation				IRGC Goal #1 – Achieve the highest possible voluntary compliance of statutes, rules and regulations. DIA Goal #1 – Be an effective agency. DIA Goal #2 – Be an efficient agency. DIA Goal #3 – Be an approachable agency.
Desired Outcome(s):				
To protect the health and welfare of the racing animals.	Percentage of horses inspected for fitness prior to a race.	97%	100%	IRGC
To protect the public from incidences of fraudulent activities in gambling facilities.	Percentage of un-licensable issues that are discovered and acted upon during initial review.	95%	100%	IRGC
To enhance the safety, security and general welfare of the persons served in licensed/certified facilities and programs.	Percentage of federal workload requirements met for Tier 1 and Tier 2.	95%	83%	HFD
Core Function	Performance Measure (Outcome)	Performance Target	Prior Year Actual	Link to Strategic Plan Goal(s)
	Percentage of nursing facilities that are	12%	1%	HFD

	deficiency-free.			
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.	Percentage of investigations resulting in founded outcomes.	67%	67.7%	INVEST
To recover improper public assistance payments received by a household or provider.	Percentage of dollars collected.	7%	5.8%	INVEST
To examine and verify accounts and records of DHS offices and to ensure compliance with federal regulations.	Percentage of local DHS offices in compliance within 45 days.	100%	100%	INVEST
To examine and verify accounts and records of nursing facilities to ensure compliance with Iowa law and regulations.	Percentage of care facilities in compliance within 60 days.	90%	90%	INVEST

Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
1. Social & Charitable Gambling Regulation, Target Small Business Certification Org #0Q75 A. Process application B. Make licensing decisions C. License quality applications D. Conduct complaint investigations E. Audit records F. Take revocation action G. Make enforcement referrals	Percentage of completed social and charitable gambling applications/registrations acted upon within 30 calendar days including amusement devices.	99%	98%	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. FOOD
	Percentage of social and charitable gambling organizations required to file an annual report that complete the report for the current fiscal year.	80%	83%	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. FOOD
2. Food and Consumer Safety Org # 0Q75 A. Application processing B. Inspections C. Complaint investigations D. Foodborne illness investigations E. Contract management F. Licensing decisions G. Enforcement actions	Food Establishment with an assessed risk level of 5 (very high) are inspected on time, once every 6 months.	88%	100%	Risk Level 5 on time completion % is a performance strategy in performance evaluations and performance plans. Supervisors send push notification to inspectors when inspection due dates are upcoming for risk level 5 food establishments. On time completion % is tracked with the USA Food Safety Dashboard tool. FOOD
	Number of performance reviews completed for local health departments contracting under Iowa 137F to enforce the Food Code. There are a total of 13 contracts in state fiscal year with only 12 local health departments conducting inspections as a part of the contract.	3 reviews	0	Assign the responsibility to coordinate the completion of contract performance reviews to a position. (Contract Administrator) Fill Contract Administrator vacancy Completion of components of contract performance reviews is included as a

				performance strategy on performance evaluations and performance plans for multiple positions. FOOD
	On time completion of illness complaint inspections.	95%	NEW	Complaint on time completion % is a performance strategy in performance evaluations and performance plans. Fill RRT Coordinator position RRT Coordinator works with supervisors to monitor inspection completion and contact inspection staff or send push notification to inspectors when inspection due dates are upcoming. On time completion % can be tracked easily with the USA Food Safety Dashboard tool Complaint inspections are listed on the inspectors High Priority Inspections due list. Work list in USA Food Safety identifies complaints that are past due. FOOD
	On time completion of non-illness complaint inspections.	90%	NEW	Complaint on time completion % is a performance strategy in performance evaluations and performance plans. RRT Coordinator works with supervisors to monitor inspection completion and contact inspection staff or send push notification to inspectors when inspection due dates are upcoming. On time completion % can be tracked easily with the USA Food Safety Dashboard tool Complaint inspections are listed on the inspectors High Priority Inspections due list.

				Work list in USA Food Safety identifies complaints that are past due. FOOD
	On time completion of risk factor violation follow-up inspections.	85%	NEW	Follow-up on time completion % is a performance strategy in performance evaluations and performance plans. Supervisors send push notification to inspectors when inspection due dates are upcoming follow-up inspections. Follow-up inspections are listed on the inspectors High Priority Inspections due list. On time completion % can be tracked easily with the USA Food Safety Dashboard tool. FOOD
	Decrease application processing time from not to exceed 30 days to not to exceed 24 days.	20%	NEW	Increase online renewal usage Roll out online new applications Hire a summer intern increase application processing capacity Temporary clerk position hired as needed FOOD
	Increase routine inspection %	50%	NEW	Fill all vacancies Evaluate Complaint response times Evaluate Temporary Inspection Priorities Supervisors will look for additional efficiencies Assess next Polk County vacancy ES position – Specialize in plan review, pre-opening inspection in Polk County and answer complex licensing questions.. FOOD
	Meet with Iowa Restaurant Association	2	NEW	

	and Iowa Grocery Industry Association			FOOD
	Supply Risk Factor Survey to 1 grocery store brand and one restaurant brand	2	NEW	FOOD
Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
3. Regulatory oversight of state licensed and federally certified long-term care and habilitation entities Org #5301, 5501, 5601, 5701, 5801, 5901 A. Application processing B. Surveys C. Complaint investigations D. Licensing/Certification decisions E. Enforcement actions	Ratio of the average number of months between Nursing Facility surveys in comparison with the federal timeframe guidelines.	11.9:12 .9	14.7	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. HFD
	Percent of ICF/MR surveys successfully completed within federally prescribed timeframe of 12.9 months since the last survey.	95%	59%	Acquire and train qualified surveyors to secure and sustain a 100% survey frequency within 12.5 months. HFD
	Percentage of nursing home immediate jeopardy complaint investigations initiated within required timeframes.	95%	95%	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. HFD
4. Monitor and regulation of state certified community based environments Org #5101 A. Application processing B. Monitoring evaluations C. Complaint investigations D. Certification decisions E. Reinforcement actions	Percentage of assisted living program recertifications completed at least 10 days prior to certification expiration date.	50%	19%	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. HFD

Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
	Percentage of immediate jeopardy complaint investigations initiated within 2 days.	99%	100%	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. HFD
5. Investigations Services Org #4101, 4201, 4601, 4901 A. Economic Fraud B. Medicaid Fraud C. Professional Standards	Percentage of pre-eligibility investigations completed within 10 working days.	90%	93%	Monitor trends in the Electronic Case Management system to improve investigative efficiency. INVEST
	Cost avoidance dollars identified by DHS resulting from Economic Fraud investigations.	\$3 million	\$3,098,752	Cost avoidance methodology changed during FY17. DHS is now auto calculating on behalf of DIA as the result of a 2015 Kaizen event. Continue to monitor cost avoidance calculation and seek standard methodology from FNS. INVEST
	Number of food assistance EBT cases referred by the public and other state and federal agencies for suspected fraud	400	467	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. INVEST
	Percentage of Medicaid provider fraud referrals received that are reviewed and assigned or declined within required timeframes.	100%	100%	Review and update case protocols, as necessary, and include in policies and procedures. INVEST
	Number of dependent adult abuse/neglect and Medicaid provider fraud investigations referred for criminal prosecution.	50	19	Continue collaboration with DHS IME and MCO's as well as the ACU to deliver health care facilities investigation materials directly to county attorney for prosecution decision. Educate & coordinate with local law enforcement, county attorneys, licensing boards, SURS, and other entities on DAA law. INVEST

Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
	Amount of cost savings resulting from EBT Investigations as a result of claims established and IPV sanctions.	\$200,000	\$336,252	Outreach, 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) related to EBT.	100	299	Continue to monitor rule changes through Food and Nutrition Service (FNS) INVEST
6. Collection Services Org # 4701, 4901	Dollars recovered from improper public assistance, resulting from client error, fraud, or agency error, per year compared to the dollars recovered the previous year.	\$2.5 million	\$2,553,089	Improve current collection efforts to include - accept online and credit card payments, employ better technology to increase the amount of moneys collected. INVEST
	Dollars collected under the Divestiture Program.	\$300,000	\$334,205	On January 1, 2019, the enforcement of 249F was terminated. INVEST
7. Audit Services Org# 4501, 4901 A. DHS offices B. Health care facilities	Average number of months between audits for care facilities.	35	34	Continue to coordinate with DHS IME and the MCOs to improve 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%	100%	Maintain current collection rate and seek to raise percentage to 100%. INVEST
	Rate of collection of moneys owed to the state.	100%	100%	Maintain current collection rate. INVEST
	Average number of hours spent on-site auditing per facility.	35 hours	40	Collaborate with the Iowa Medicaid Enterprise to streamline facility history profile reports used in the conduct of the audit. INVEST

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CF: Resource Management Org# 0101, 0199, 2101, 2201, A. Claims Processing B. Budget C. Inventory D. Financial Management E. Public Information F. Personnel G. Government Relations H. Indian Gaming I. Purchasing J. Vehicle Coordination K. Communication Coordination L. Grant Management M. Enterprise Management N. Information Technology O. Space Management	Percent of federal and state financial reports completed and submitted by due date.	95%		Develop a schedule of reports with due dates and provide to pertinent staff. A complete inventory of hardware and software will be completed and an IT Investment Lifecycle program developed, which will assure that the latest technology is made available to staff. ADMIN
	Percent of media and public information inquiries responded to within 2 business days.	80%	88%	Maintain current and accurate information on the website. Identify opportunities for divisions and attached units at public events to share departmental information. ADMIN
	Employee retention rate (non-retiree permanent employees).	97%	89%	Periodic discussions/evaluations during employment to identify and address any workplace performance or satisfaction issues. ADMIN
	Number of audit findings from the State Auditor's audit report.	0		Continue to evaluate financial processes to ensure proper controls are in place. ADMIN