

DEPARTMENT  
of  
MANAGEMENT  
PERFORMANCE  
REPORT

**Performance Results  
Fiscal Year 2019**

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# INTRODUCTION

The Department of Management (DOM) is pleased to present our Performance Report for FY 2019 (July 1, 2018 - June 30, 2019). 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 2019 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 lowans 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 \$2,527,389 in General Fund appropriations in FY 2019 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 \$715,000 from the Technology Reinvestment Fund- \$600,000 to redesign DOM's local governments electronic budget system, \$70,000 to support Grants Enterprise Management and \$45,000 to support the state's transparency initiative through Data.Iowa.Gov.

General Fund allocations for DOM's Early Childhood Iowa Office totaled \$354,600 in FY 2019. 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.

DOM offered 10 unique continuous improvement courses in FY 19. The purpose of the trainings is to provide employees with the knowledge and skills to operate in a culture of continuous improvement and help to meet customer's needs. The FY19 attendees included those agencies have identified to lead the agency's Lean efforts, individuals who lead teams in both a supervisory role and non-supervisory role, and a few front-line staff. One hundred and eighty-seven individuals attended at least one of the twenty courses offered.

Growing a Continuous Improvement culture requires leadership support. In FY19, eighteen agencies identified an internal point of contact to assist the agency to become more efficient through the utilization of Lean methodology.

Collaboration with private and local government entities is helping to expand Lean efforts, bringing efficiencies to the state of Iowa. Collaborations occurred between external stakeholders attending DOM Lean courses and serving as customers on Lean event teams.

A Lean Government Exchange Conference was sponsored by Iowa Lean Consortium. The Lean Enterprise Administrator is a board member and active on the planning committee. The conference was attended by 110 individuals from across state and local government entities and from neighboring state governments and private entities.

While building the mindset of the importance for continuous improvement occurring daily, Lean events are still a key strategy to eliminate waste in processes to help ensure ongoing efficient delivery of products and services. Customers, internal and external, continue to be a key players in Lean events.

An example of a strategic cross-agency Lean event was sponsored by Department of Cultural Affairs in FY 14 with full implementation taking place in FY2020. The Lean Event focused on the State's Record Center – Box Storage. In FY15 there was over 72,000 boxes stored in a central

location for state agencies. The event reviewed current process for storing by agencies. The team determined there were often duplications in document storage (across agencies, via paper and electronic), retention records policies needed updated and the process for destruction was reviewed. This project impacted all state agencies and, therefore, had a longer implementation phase. At the end of FY2019, the retention of boxes dropped from 72,000 to 7,837, with an annual savings of \$247,223.

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: 10***

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

***Performance Target: 35***

***Results: 42***

**Data reliability:** DOM's Office of Lean coordinates the scheduling and facilitation of Lean events and monitors event follow-up. DOM also tracks training attendees and survey responses.

**Why we are using these measures:** To identify the number of the events launched that lead to improved efficiencies and to insure that a sufficient number of facilitators are trained and available to lead events.

**What was achieved:** See "What we are doing to achieve results." Also, 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:**

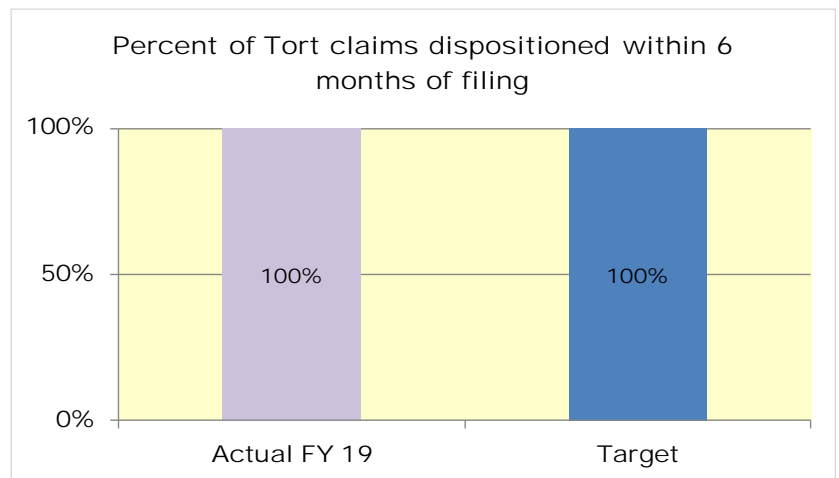
% of tort claims dispositioned within 6 months of filing

**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

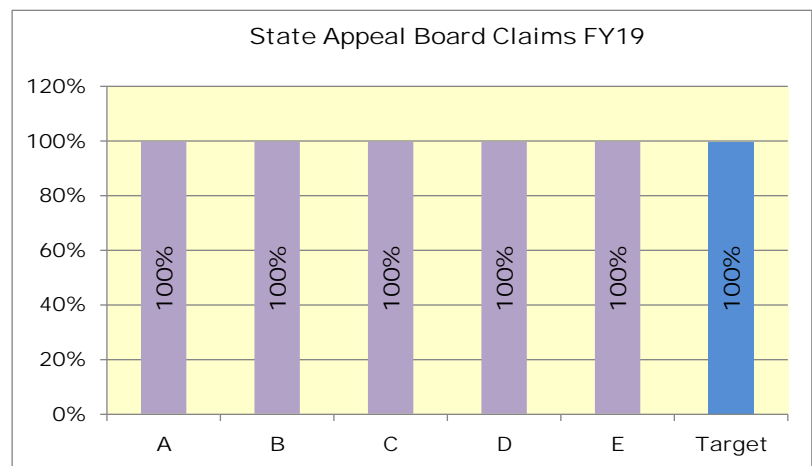
- A. % of requests for SAB information delivered within 7 days
- B. % of requests for SAB information delivered accurately
- C. % of SAB claims processed within 3 weeks of SAB decision
- D. % of SAB claims processed accurately
- E. % of SAB budget appeal hearings held by April 30

### Performance Target:

100%

### Data Sources:

DOM



**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:**

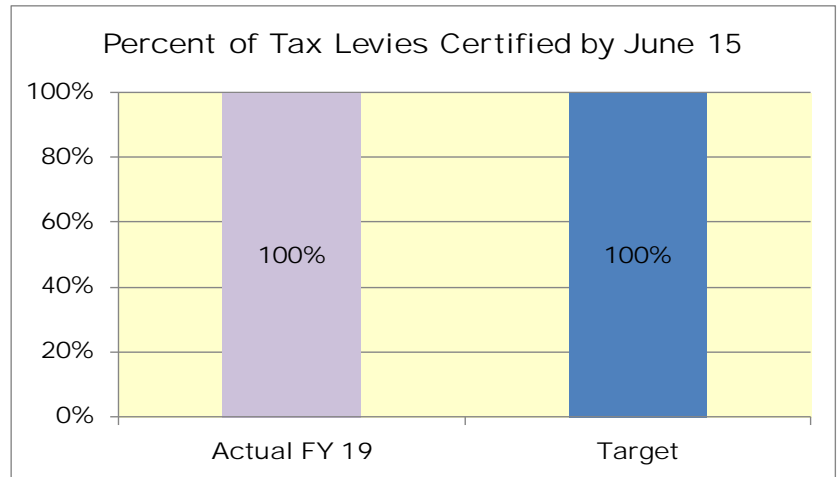
% of tax levies certified by June 15

**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.

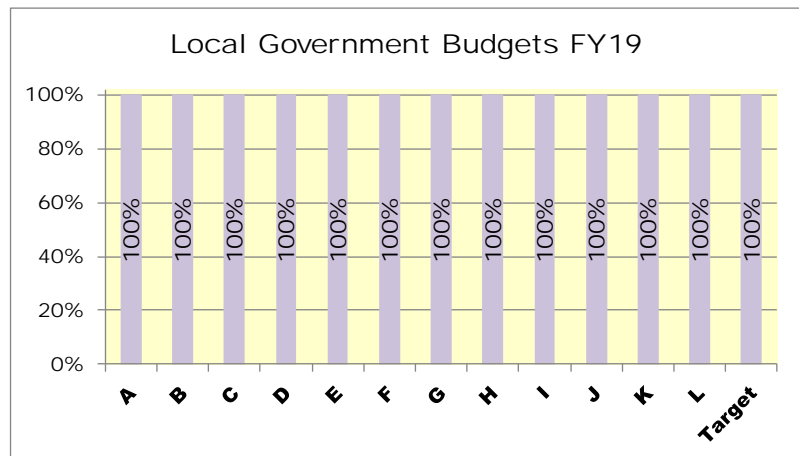
**Why we are doing this:** To meet statutory requirements, to provide oversight and statewide consistency in these complex functions, and to serve as an independent central repository for budget and valuation information.

**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



#### 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 2019

<b>Name of Agency: DEPARTMENT OF MANAGEMENT</b>			
<b>Agency Mission: Lead enterprise planning and coordinate enterprise systems so lowans receive the highest possible return on public investment.</b>			
<b>Core Function: Enterprise Resource Management</b>			
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: Planning &amp; Accountability</b>			
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	10	See Key Results Template
Number of state government staff trained or in training to lead/facilitate Lean events	35	47	See Key Results Template

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

<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	90%	93%	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	88%	100%	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	90%	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.