DEPARTMENT of MANAGEMENT PERFORMANCE REPORT

**Performance Results
Fiscal Year 2023**

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INTRODUCTION

The Department of Management (DOM) is pleased to present our Performance Report for Fiscal Year 2022 (July 1, 2022 - June 30, 2023). This report contains information about the services DOM (legacy) administered in FY23. DOM-OCIO will issue a separate Performance Report for FY23. 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 2023 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
- 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, and State Appeal Board claimants.

FY23 Operations Budget

- General Fund $2,770,693 appropriation to support department operations
- RUTF $56,000 appropriation to support budget work done on behalf of the DOT
- Technology Reinvestment Fund (TRF) $120,000 for local government's electronic budget system
- TRF $70,000 for the Grants Enterprise Management
- TRF $382,131 (Socrata/Tyler Tech. platform license) and $45,000 (internal support) for Data.Iowa.Gov
- Transfer from DOE of $354,600 to fund the Early Childhood Iowa Office

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 25 continuous improvement courses in FY 23, with 125 individuals attending the courses. The purpose of the training is to provide employees with the knowledge and skills to operate with a mindset of continuous improvement and help to meet customer's needs. The FY23 attendees included individuals identified to lead an agency's Lean efforts, individuals who lead teams in both a supervisory role and non-supervisory role, and front-line staff. During FY23, all introduction courses and subject matter courses were offered in a hybrid format (in person and on-line delivery options). This format allowed staff from across the state to complete courses. It also provided participants the chance to learn at their own pace, with the virtual component allowing learning from others.

Growing a Continuous Improvement culture requires leadership support. In FY23, 11 agencies identified an internal point of contact to assist them in improving efficiency through the utilization of Lean methodology.

Collaboration with private and local government entities is helping to expand Lean efforts and bring efficiencies to the state of Iowa. Collaborations occurred through external stakeholders serving as customers on Lean event teams and seats for training were made available.

Another means for collaboration with partners is through membership to the Iowa Lean Consortium. This membership allows for sharing of improvements projects in State Government, as well as making connections with stakeholders who are also building a culture of continuous improvement. The Lean Enterprise Administrator serves on the planning committees for annual conference and training throughout the year.

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

The Department of Management sponsored an improvement event focused on the State Appeal Board's claim process. The purpose of the State Appeal Board is to approve or reject payment of a claim. Prior to the Appeal Board decision, processing of general claims and tort claims filed against the state or a state employee must occur.

The current State Appeal Board claim process is a paper process that is reliant upon manual entry of claimant information into an Access database system that is outdated. The department had a desire to create an efficient state appeals claim process that would utilize a technology system lessening the need for a paper/manual process.

The Lean event focused on the state appeals claim process starting with the customer's submission of a claim to the Department of Management State Appeal Board and ended with the withdrawal, denial or proof of payment of the claim. This included the process for both the general claims and tort claims.

The team identified the current process utilized a total of 10 unique technology formats, had 21 hand-offs of information across state departments and the customer and posed a risk on how personal identifying information is collected from claimants. In the future state the team created a process that reduced technology formats by 50%, reduced physical paper moving across agencies, eliminated the risk of personal identifying information being shared, and identified changes to the administrative rule that would allow efficiencies for the customer including not requiring triplicate copies being submitted, signing releases once approval of the claim and identifying the requirements for a claimant to submit their claim through a system vs the postal system.

The approval for a new system will be taken to the State Appeal Board in December 2023. In the meantime, the team is working to update templates, update administrative rules, and create standard work.

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:

- Number of Lean Projects achieving improved efficiencies

Performance Target: 20
Results: 31

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

Performance Target: 30
Results: 33

- Number of staff attending Lean training

Performance Target: 100
Results: 125

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 ensure that a sufficient number of facilitators are trained and available to lead events. For a complete listing of Lean results achieved go to: https://dom.iowa.gov/lean-results

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%
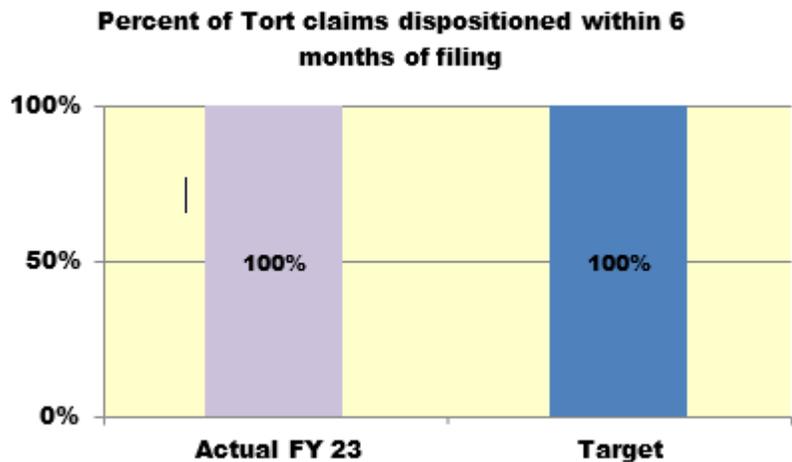
Data Sources:
DOM

Percent of Tort claims dispositioned within 6 months of filing

Data reliability: An independent audit was conducted by FORVIS LLP.

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 June 30

Performance Target:
100%
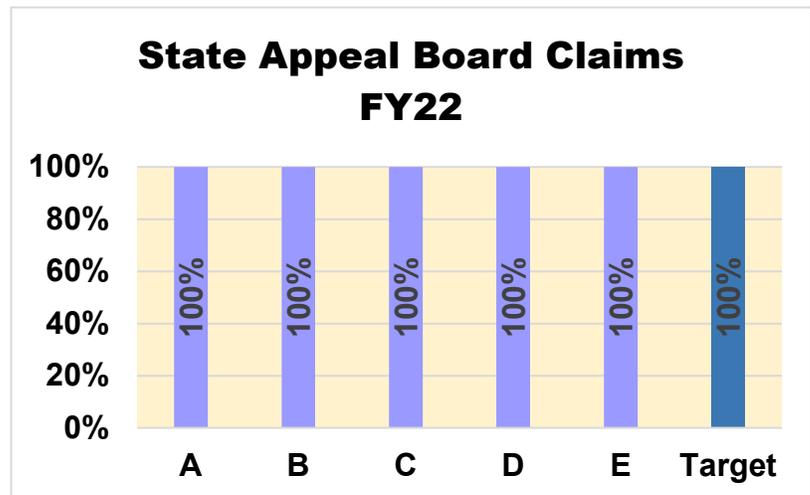
Data Sources:
DOM

State Appeal Board Claims FY22

	A	B	C	D	E	Target
	100%	100%	100%	100%	100%	100%

Data reliability: An independent audit was conducted by FORVIS LLP

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.

KEY RESULT TEMPLATE

SERVICES/ PRODUCTS/ ACTIVITIES

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, 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 provide oversight and statewide consistency for these complex functions, while providing a central repository for budget and valuation information.

What we are doing to achieve results: DOM is 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

Local Government Budgets FY23

	A	B	C	D	E	F	G	H	I	J	K	L	Target
	100%	100%	See Page 15	100%	100%	100%	100%	100%	100%	100%	100%	100%	
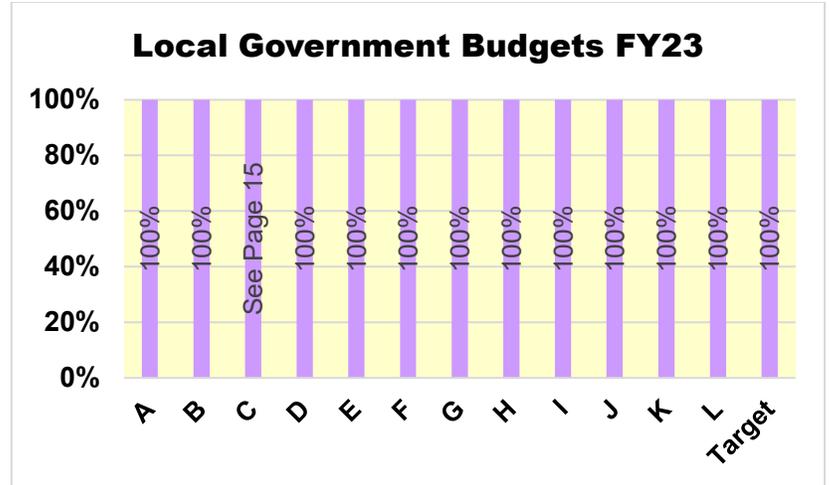
Data reliability: Independent audit by State Auditor's Office.

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.

AGENCY PERFORMANCE PLAN RESULTS
FY 2023

Name of Agency: DEPARTMENT OF MANAGEMENT
Agency Mission: Lead enterprise planning and coordinate enterprise systems so Iowans 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%	Iowa achieved Standard and Poors highest rating of 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 (Performance Plans, Performance Reports)	100%	100%	AGA plans and reports are posted on the Data.Iowa.Gov. DOM did not require agency strategic plans to be submitted in FY23 as Alignment planning and implementation took place. New agency strategic plans will be due in to DOM in July 2024.
Number of Lean projects achieving improved efficiencies	20	31	See Key Results Template
Number of state government staff trained or in training to lead/facilitate Lean events	30	33	See Key Results Template
Number of state government staff completing Lean training classes	100	125	See Key Results Template
Average # of users accessing data.iowa.gov per month	4200	NA	This data is no longer available since the launch of Google Analytics Four.

Service, Product or Activity: Budget and Finance

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 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**
% of departments receiving grant funding that use IowaGrants to track, manage and report activity	**100%**	**78%**	What Occurred: Continued working to promote IowaGrants to agencies not using the system and provided technical assistance for those using IowaGrants

Core Function: Adjudication

Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
% of tort claims dispositioned within 6 months of filing	100%	100%	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 processed 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**
City Budgets A.% of city requests for budget materials that are timely	100%	100%	See Key Results Template
B.% of city requests for budget materials that are accurate	100%	100%	See Key Results Template
C. % of city government rates certified by June 15	100%	See comments next column	Senate File 181 moved the local government budget submission deadline back from March 31 to April 30 and changed the taxable valuation within the budget. This caused cities significant issues and forced many cities to have to redo part or all of their process. These changes delayed completion of certifications to June 23.
Property Valuations D.% of accurate property valuations on file	100%	100%	See Key Results Template
Utility Tax Replacement E.% of utility tax replacement tax data delivered to the counties accurately	100%	100%	See Key Results Template
F. % of utility tax replacement tax data delivered to the counties timely	100%	100%	See Key Results Template

Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
County Budgets			
G.% of county budget annual report materials delivered timely	**100%**	**100%**	**See Key Results Template**
H.% of county budget annual report materials delivered accurately	**100%**	**100%**	**See Key Results Template**
I.% of county government rates certified by June 15	**100%**	**100%**	**See Key Results Template**
School Budgets			
J.% of school aid payments that are accurate	**100%**	**100%**	**See Key Results Template**
K.% of school aid payments done timely	**100%**	**100%**	**See Key Results Template**
L.% of school district rates certified by June 15	**100%**	**100%**	**See Key Results Template**