



**AGENCY
PERFORMANCE
REPORT**

Fiscal Year 2018

INTRODUCTION

I am pleased to present the FY18 (July 1, 2017 – June 30, 2018) performance report for the Iowa Department of Inspections and Appeals (Department). This report is published to provide the Governor, the legislature, department employees, and citizens with information about the challenges and accomplishments of the Department during FY18.

The biggest key strategic challenge facing the agency is continuing to deliver timely and accurate services that are critical to our mission within available human and financial resources.

Another key strategic challenge is to identify ways to improve collaboration and communication with internal and external customers and stakeholders to accomplish our mission and vision.

Major accomplishments during FY18 include:

- The average age of pending Unemployment Insurance appeal cases is 12 days, compared to the federal Department of Labor guidelines of 40 days.
- 23% of children achieved permanency within 12 months after being assigned a CASA Advocate.

- 95.5% of racing and gaming occupational licensees received no serious violations after licensure.
- 100% of all health care facility complaint investigations triaged as immediate jeopardy (harm) were initiated within the federally mandated timeframes.
- The Investigation Division recovered \$3.4M from improper public assistance, resulting from client error, fraud or agency error.

We invite all citizens and our customers and stakeholders to join with us to protect public interests and integrity of executive branch programs.

Respectfully submitted,

Rod Roberts
Director

AGENCY OVERVIEW

The Department of Inspections and Appeals is a diverse regulatory agency established to protect the public through the enforcement of state and federal laws.

The services, products and activities of the Department relate to five core functions: Adjudication/Dispute Resolution; Advocacy; Legal Representation; Regulation and Compliance; and Resource Management.

Our **Vision** is “A safe, just and healthy Iowa”.

Our **Mission** is “To fairly and impartially investigate, regulate, inspect and adjudicate to ensure efficient government, compliance with the law and protection of the health, safety, welfare and economic well-being of Iowans”.

Seven principles guide us in upholding the law through:

- Leadership
- Strategic Planning/Deployment
- Customer Focus
- Performance Measurement & Analysis
- Employee Engagement
- Continuous Improvement/Lean
- Results

The Department consists of four operating divisions and five attached units.

The **Administration Division** provides essential, centralized fiscal and administrative services, such as budget preparation, accounts payable and receivable, personnel, public information, purchasing, lease and vehicle management, legislative affairs, strategic and performance planning, and legal counsel.

The Division regulates social and charitable gambling activities to protect the public from incidence of fraudulent or illegal activities.

The Division conducts (either through state inspectors or contracts with local boards of health) food safety inspections of restaurants, grocery stores, food processing plants, and vending machines to ensure consumers receive safe and wholesome food.

The Director enters into, implements and enforces compacts between the State of Iowa and Indian tribes to operate Indian gaming establishments in accordance with federal law.

The **Administrative Hearings Division** affords citizens due process for adverse actions taken by state agencies. The

Division conducts contested case hearings involving lowans who disagree with decisions issued by state government agencies. The Division issues a proposed decision subject to final review by the Director of the agency involved in the contested case proceeding. During FY18, the Division disposed of 11,306 cases. Approximately half of the hearings involve lowans who have disputes regarding public benefits or other matters regulated by the Department of Human Services.

The **Health Facilities Division** enhances the safety, security and general welfare of the persons served in over 4,000 regulated entities. The Division inspects/ monitors, licenses and/or certifies under the Medicare and Medicaid Programs health care providers and suppliers, which includes long-term care facilities, hospitals, hospices, end-stage renal disease units, rural health clinics, elder group homes, assisted living programs, adult day services programs and child-placing agencies.

The Division also provides staff for the Hospital Licensing Board, which consults with and advises the Division in matters of policy affecting administration of Iowa Code chapter 135B, including reviewing and approving rules and standards prior to adoption.

The **Investigations Division** works to ensure misspent public assistance moneys obtained through fraud, inadvertent error or agency error are identified and collected

so that only eligible applicants receive them in the appropriate amounts. The Division also provides necessary and timely information so the Iowa Department of Public Health can appropriately address professional licensing complaints. In addition, the Division ensures compliance with applicable federal and state financial requirements by DHS offices and health care facilities.

The **Child Advocacy Board** works to ensure effective permanency planning for all children in out of home placement through advocacy. The Board accomplishes this purpose through local citizen foster care review boards, foster care registry and the Court Appointed Special Advocate volunteer program. In addition, the Board makes recommendations to the Governor, Legislature, Supreme Court, Chief Judge of each Judicial District, Iowa Department of Human Services, and child-placing agencies on ways to improve the delivery of foster care services and remove barriers that prevent the delivery of top-quality foster care.

The **Employment Appeal Board** timely adjudicates the rights and duties of workers and employers under unemployment insurance laws, decides final resolution of contested OSHA and contractor registration violations, and handles personnel-related cases. The Board serves as the final administrative law forum for unemployment benefit appeals.

The **Racing and Gaming Commission** works to protect the public from incidence of fraudulent or illegal activities at pari-mutuel racetracks and excursion boat gambling. It also works to protect the health and welfare of the racing animals. The Commission licenses eligible applicants for employment and sets and enforces standards for the licensing of industry occupations and for the operation of all racetracks and excursion gambling boats.

The **State Public Defender** (SPD) provides high-quality, cost-efficient legal representation to indigent clients in state criminal court, juvenile court, and other proceedings as required by law in those areas of the state where local public defenders exist. The provision of legal services to indigent clients is constitutionally mandated. In Iowa, these services are provided through a combined system of local public defenders and private attorneys. The State Public Defender also has jurisdiction over the Indigent Defense Fund, which provides funds to pay for indigent defense and ancillary services provided by private and contract attorneys and miscellaneous vendors, such as expert witnesses and court reporters. Indigent defense services are constitutionally mandated, which requires these services to be paid by the state. The Indigent Defense Fund pays for those indigent services not covered by local public defenders. (SPD will be filing their own agency report).

The Department's **customers and stakeholders** include state agencies; municipal corporations; citizens (adults and children); federal government agencies; consumers of elder group homes, tenants of assisted living programs, consumers of adult day service programs, residents of health care facilities; health care providers; licensees; industry and advocacy associations; unemployed persons; indigent persons; attorneys; law enforcement; the legislature; and the court system.

STRATEGIC PLAN RESULTS

Key Strategic Challenges and Opportunities:

The protection of public interests and executive branch program integrity is the key result of the mission of the Iowa Department of Inspections and Appeals (Department). Accomplishing that result is challenged by the ability to continue to deliver timely and accurate services with reduced human and financial resources and to overcome any negative perception of our regulatory and oversight role.

To address these strategic challenges, the Department established four long-term goals and associated key strategies:

Goal #1: Be an approachable regulatory agency.

Strategies:

- 1.1 Meet with industry/stakeholders
- 1.2 Be willing to engage
- 1.3 Be accessible after work hours
- 1.4 Develop and post videos of most common good risk factors in multiple languages
- 1.5 Do more public outreach
- 1.6 Serve as a connector between the public and other state agencies
- 1.7 Be more proactive with the media versus reactive

Goal # 2: Share data to increase compliance and transparency.

Strategies:

- 2.1 Engage the top 5 food chains in looking at performance data
- 2.2 Use data to influence decision, up the line
- 2.3 Share data across state government, create efficiencies
- 2.4 Share data between divisions
- 2.5 Create a dashboard on the DIA website, include top 5 or 10 deficiencies in HFD
- 2.6 Post data sets on DataShare site
- 2.7 Use website analytics to drive website content

Goal # 3: Educate the public, other agencies and the Legislature about what DIA does.

Strategies:

- 3.1 Create and post webinars/podcasts/videocasts

- 3.2 Put a data dashboard on the DIA website
- 3.3 Attend DHS trainings
- 3.4 Attend industry trainings
- 3.5 Engage with LSA on fiscal topics/publications
- 3.6 Target legislative committees to distribute information
- 3.7 Ask about new legislator orientation and the possibility of DIA doing a brief overview
- 3.8 Be honest about what DIA can do with the resources we have

Goal # 4: Harness Technology

Strategies:

- 4.1 Offer licensing online.
- 4.2 Offer an online appeals process.
- 4.3 Maintain a TRF request and technology request file.
- 4.4 Reduce the use of paper.
- 4.5 Improve inventory tracking.
- 4.6 Look at leasing options for technology equipment.
- 4.7 Ensure training for new technology.
 - 4.7.1 Share trainings already out there
 - 4.7.2 Have some lunch and learns
 - 4.7.3 Create just in time trainings by breaking training into sections
 - 4.7.4 Offer trainings in many forms; in person, webinars, YouTube videos
 - 4.7.5 Use Google Hangouts with field staff
 - 4.7.6 Have flexible training times. Offer some training at 7 Am or 4:30.

KEY RESULT

SERVICE/PRODUCT/ACTIVITY

Name: Administrative Hearings

Description: The conduct of quasi-judicial contested case hearings involving lowans who disagree with an administrative ruling issued by a state government agency.

Why we are doing this: To afford citizens due process for adverse actions taken by state agencies.

What we're doing to achieve results: Conducting hearings in a timely and equitable manner. Issuing a proposed decision subject to final review by the director of the agency involved in the contested case proceeding.

Results

Performance Measure:

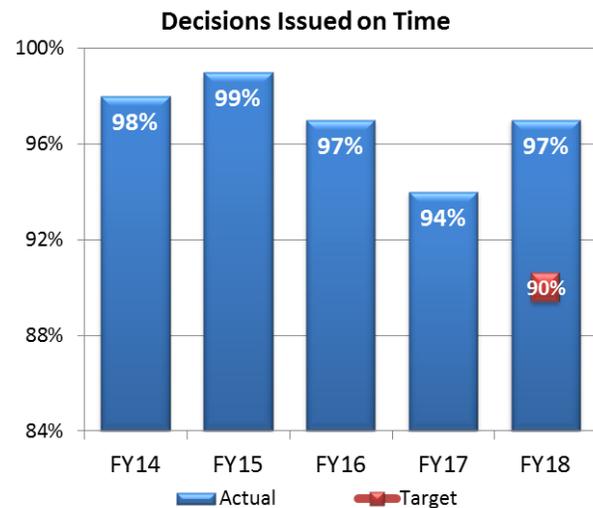
Percentage of Judges' decisions issued within 30 days of the hearing.

Performance Target:

90%

Data Sources:

Administrative Hearings Division



What was achieved: 97% of decisions were issued within 30 days of the hearing.

Resources: Expenditures for the Administrative Hearings Division, as a whole, for FY18 were 20.84 FTE and \$3,125,268.

KEY RESULT

CORE FUNCTION

Name: Adjudication/Dispute Resolution – 01

Description: This core function relates to administrative hearings of adverse actions by state agencies and adjudication of the rights and duties of workers and employers under unemployment insurance (UI) laws.

Why we are doing this: To afford citizens due process.

What we're doing to achieve results: A three-member Employment Appeal Board serves as the final administrative law forum for state and federal unemployment benefit appeals. The Board also hears appeals of rulings of the Occupational Safety and Health Administration (OSHA), rulings of the Iowa Department of Administrative Services (DAS/HRE) on state employee job classifications, and rulings of the Iowa Public Employees Retirement System. The Board hears appeals involving peace officer issues and contractor registration requirements.

Results

Performance Measure:

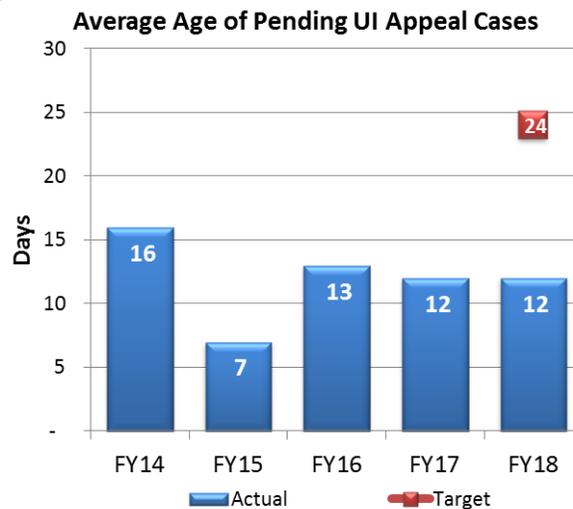
Average age of pending UI appeal cases compared to the federal Department of Labor guidelines of 40 days.

Performance Target:

24 days

Data Sources:

Employment Appeal Board



What was achieved: 12 days was the average age of pending UI appeal cases compared to the federal Department of Labor guideline of 40 days.

Resources: Expenditures for the Employment Appeal Board, as a whole, for FY18 were 11.00 FTE and \$1,179,774.

Results

Performance Measure:

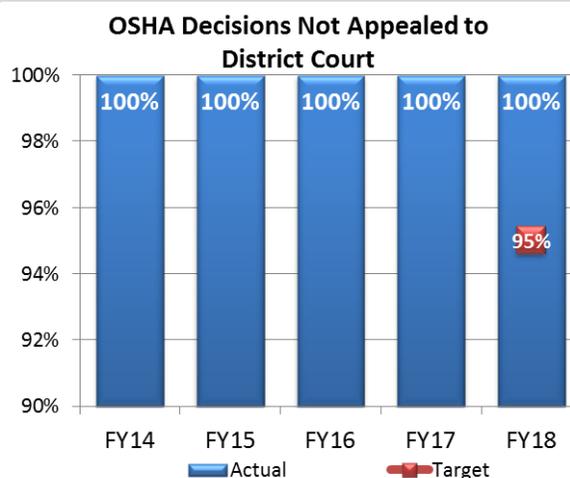
Percentage of OSHA decisions not appealed to district court.

Performance Target:

85%

Data Sources:

Employment Appeal Board



What was achieved: 100% of the decisions were not appealed to District Court.

Resources: Expenditures for the Employment Appeal Board, as a whole, for FY18 were 11.00 FTE and \$1,179,774.

KEY RESULT

CORE FUNCTION

Name: Advocacy - 04

Description: This core function describes the two volunteer child advocacy programs of the Child Advocacy Board (CAB). CAB operates the Court Appointed Special Advocate (CASA) and the Iowa Citizen Foster Care Review Board (ICFCRB) programs.

Why we are doing this: To ensure effective permanency planning exists for all children in out-of-home placement.

What we're doing to achieve results: Under the CASA program, volunteers are appointed by the Court to advocate for a specific abused or neglected child. The CASA volunteer serves many roles in a child's court case, including investigation, assessment, facilitation, advocacy, and monitoring. Under the ICFCRB program, volunteers are appointed by the Court to serve on a community board that conducts a review of the case of each child in out-of-home placement in their community once every six months. The ICFCRB volunteers make specific findings and recommendations as to the individual case as well as systemic findings and recommendations for Iowa's child welfare system.

Results

Performance Measure:

Percent of children who achieve permanency within 12 months after being assigned a CASA Advocate.*

Performance Target:

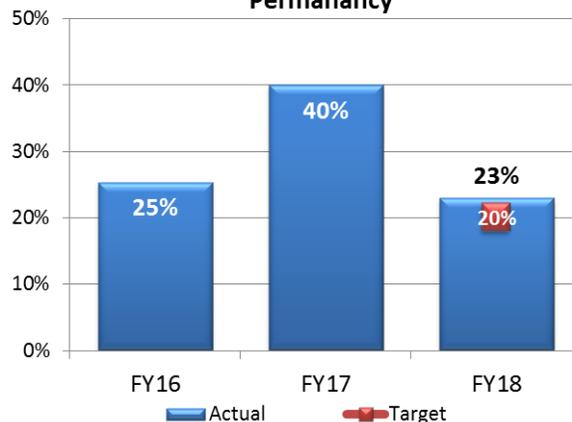
20%

Data Sources:

Child Advocacy Board

* New measure in FY16

Percentage of Children Achieving Permanency



What was achieved: 23% of children achieved permanency within 12 months after being assigned a CASA Advocate.

Resources: Expenditures for the Child Advocacy Board, as a whole, for FY18 were 27.60 FTE and \$3,190,640.

KEY RESULT

CORE FUNCTION

Name: Regulation and Compliance - 61

Description: This core function covers a multitude of regulatory and compliance activities within the Iowa Department of Inspections and Appeals.

Why we are doing this: To protect the public from incidence of fraudulent or illegal activities and to protect the public health, safety and welfare. The individual services/products/activities will provide more detail on the results expected.

What we're doing to achieve results: The Department, through licensing, certification, investigation, and auditing activities, ensures applicants, participants, organizations, providers, and service recipients meet the requirements set out in state and federal laws, rules, and regulations. The individual services/products/activities will provide more detail on how results are being achieved.

Results

Performance Measure:

Percentage of pari-mutuel and excursion boat gambling occupational licensees receiving no serious violations after licensure.

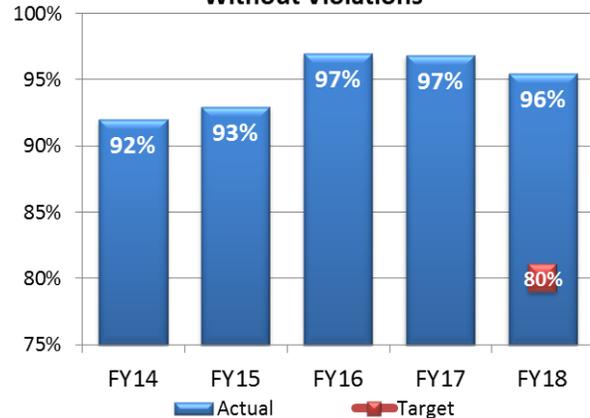
Performance Target:

80%

Data Sources:

Iowa Racing and Gaming Commission

Percentage of Occupational Licenses Without Violations



What was achieved: 95.5% of the occupational licensees received no serious violations after licensure.

Resources: Expenditures for the Racing and Gaming Commission, as a whole, for FY18 were 48.12 FTE and \$5,951,731.

KEY RESULT

SERVICE/PRODUCT/ACTIVITY

Name: Food and Consumer Safety

Description: Statewide regulatory oversight of food establishments, hotels/motels, food processing plants, and egg handlers.

Why we are doing this: To protect the public from incidence of serious disease and injury in the regulated environments.

What we're doing to achieve results: The Department, or through contract, conducts inspections, complaint investigations, and foodborne illness investigations, issues licenses to eligible applicants, and takes appropriate disciplinary action to ensure compliance with state and federal requirements. Contracts are monitored to ensure contract compliance.

Results

Performance Measure:

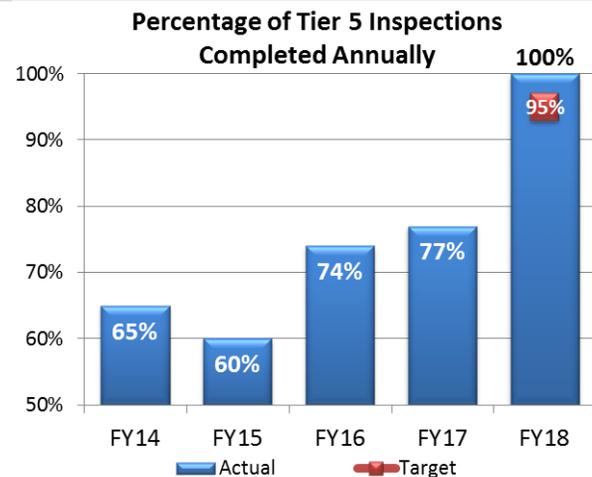
Percentage of Tier 5 (high risk level) establishments inspected annually during the calendar year.

Performance Target:

95%

Data Sources:

Department of Inspections and Appeals – Food and Consumer Safety Bureau



What was achieved: 100% of Tier 5 (high risk level) establishments were inspected once during the calendar year.

Resources used: Expenditures for the Food and Consumer Safety Bureau, as a whole, for FY18 were 27.84 FTE and \$4,161,539.

KEY RESULT

SERVICE/PRODUCT/ACTIVITY

Name: Long-term care and Habilitation facilities and programs licensing/certification

Description: Statewide regulatory oversight over health care facilities, hospitals, Medicare-certified health care providers and programs, and children’s facilities/programs.

Why we are doing this: To enhance the safety, security and general welfare of persons served in licensed/certified health-related facilities and programs.

What we're doing to achieve results: The Department conducts license application processing, regular surveys/inspections and complaint investigations to ensure facilities and programs are in compliance with state and federal regulatory requirements prior to making licensing/certification decisions.

Results

Performance Measure:

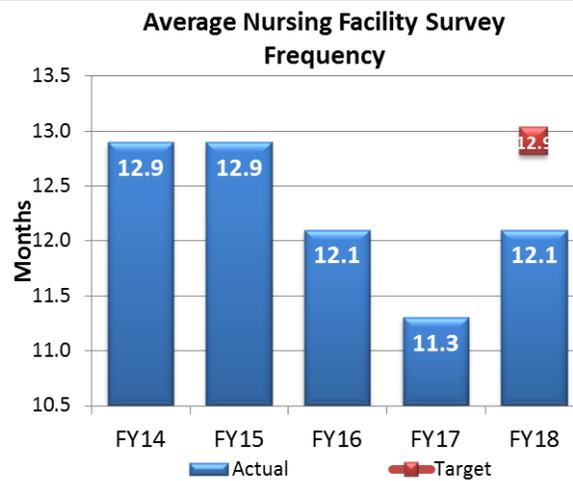
Number of months between nursing facility surveys in comparison with the federal timeframe guidelines.

Performance Target:

12.9

Data Sources:

Department of Inspections and Appeals – Health Facilities Division



What was achieved: 12.1 was the average number of months between nursing facility surveys.

Resources: Expenditures for the Health Facilities Division, as a whole, for FY18 were 98.44 FTE and \$13,905,611.

Results

Performance Measure:

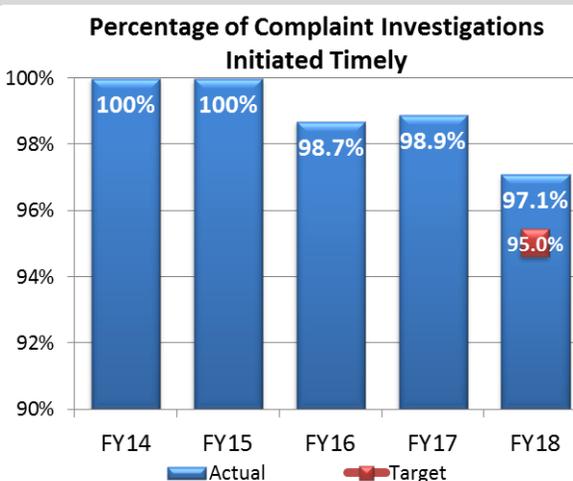
Percentage of nursing home immediate jeopardy complaint investigations initiated within required timeframes.

Performance Target:

95%

Data Sources:

Department of Inspections and Appeals – Health Facilities Division



What was achieved: 97.1% of all immediate jeopardy complaint investigations were initiated within the state guidelines.

Resources: Expenditures for the Health Facilities Division, as a whole, for FY18 were 98.44 FTE and \$13,905,611.

KEY RESULT

SERVICE/PRODUCT/ACTIVITY

Name: Collections Services

Description: Collection of overpayments in various public assistance programs.

Why we are doing this: To assure repayment of overpayments made in the public assistance programs administered by DHS.

What we're doing to achieve results: The Investigations Division uses various collections methods including, but not limited to: voluntary repayment agreements, state tax offset, small claims, and court-ordered repayment.

Results

Performance Measure:

Dollars recovered from improper public assistance, resulting from client error, per year compared to the previous year.

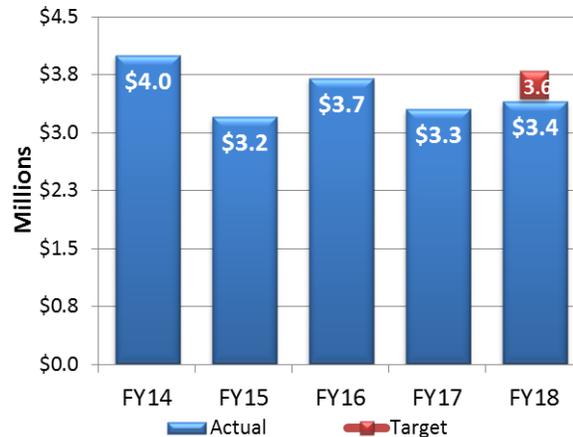
Performance Target:

\$3.6 million

Data Sources:

Department of Inspections and Appeals – Investigations Division

Public Assistance Dollars Collected



What was achieved: \$3.4 million was collected during the fiscal year.

Resources: Expenditures for the Investigations Division, as a whole, for FY18 were 43.63 FTE and \$5,252,441.

KEY RESULT

SERVICE/PRODUCT/ACTIVITY

Name: Audit Services

Description: Local DHS offices and health care facility financial audits.

Why we are doing this: To assure that local DHS offices and health care facilities comply with state and federal law related to financial resources.

What we're doing to achieve results: The Investigations Division conducts financial audits to identify any audit exceptions and follows up to ensure that reimbursement for audit exceptions are timely made to the state or federal government or to residents/families.

Results

Performance Measure:

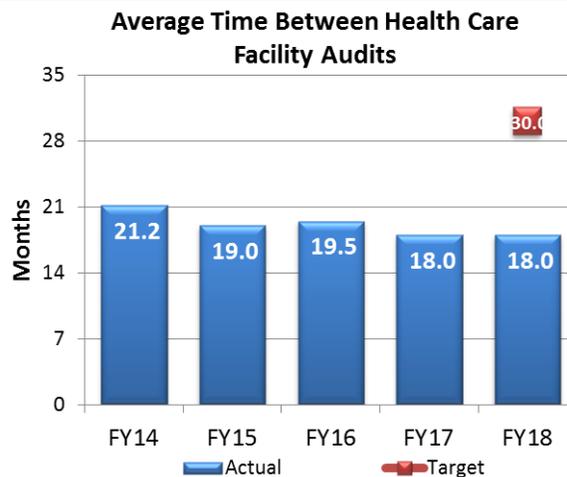
Average time between audits for care facilities.

Performance Target:

30 months

Data Sources:

Department of Inspections and Appeals – Investigations Division



What was achieved: Health care facilities were audited an average of every 18 months.

Resources used: Expenditures for the Investigations Division, as a whole, for FY18 were 43.63 FTE and \$5,252,441.

KEY RESULT

SERVICE/PRODUCT/ACTIVITY

Name: Resource Management - 67

Description: Fiscal and administrative services provided to all agency personnel.

Why we are doing this: To provide consistently accurate and timely administrative and fiscal services to agency personnel so they can better provide their services to Department constituencies.

What we're doing to achieve results: The Department has a central staff to provide coordinated, efficient and cost-effective fiscal and administrative services, such as budgeting, financial management, inventory, claims processing, human resources, public information, information technology, vehicle coordination, purchasing, enterprise management, etc., to all Divisions and Attached Units.

Results

Performance Measure:

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.

Performance Target:

4.25

Data Sources:

Department of Inspections and Appeals – Administration Division



What was achieved: Customers rated the accuracy and timeliness of resource management services at an average of 4.51.

Resources used: Expenditures for the Administration Division, as a whole, for FY18 were 12.26 FTE and \$1,434,265.

AGENCY PERFORMANCE PLAN

FY 2018

Name of Agency: Inspections and Appeals				
Agency Mission: "To fairly and impartially investigate, regulate, inspect and adjudicate to ensure efficient government, compliance with the law and protection of the health, safety, welfare and economic well-being of lowans."				
Core Function	Performance Measure (Outcome)	Performance Target	Prior Year Actual	Link to Strategic Plan Goal(s)
CF: Adjudication/Dispute Resolution				DIA Goal #2 – Increase reliable technology services to meet the ever changing needs of the department. DIA Goal #3– Provide training & mentoring opportunities to maximize staff talents. 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	12 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%	94%	ALJ time standards decisions must be issued no later than 30 days of closing the hearing record. AHD
	Number of substantiated complaints against Judges (Administrative Code of Judicial Conduct).	0	0	AHD
	Percentage of all hearings scheduled for new cases within 7 days of the receipt of the certified case.	90%	91%	Timely docket and schedule contested case hearings. AHD
	Percentage of case closures (hearings, settlements, dismissals, etc) within 30 days following the hearing.	99% - FY18	99%	Timely adjudication of contested case hearings. AHD
	Average number of days between the hearing and decision issuance	30	5	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	12 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

Core Function	Performance Measure (Outcome)	Performance Target	Prior Year Actual	Link to Strategic Plan Goal(s)
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
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	24.9 months	CAB
	Percent of children who achieve permanency within 12 months after being assigned a CASA Advocate	20%	40%	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 required reviews conducted within specified timeframes.	98%	97%	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.	98%	99.5%	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 #2 – Increase reliable technology services to meet the ever changing needs of the department. DIA Goal #4 – Review and assess agency priorities for expenditures of resources.
Desired Outcome(s):				
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.	Percentage of horses inspected for health and fitness prior to a race.	80%	100%	IRGC
	Percentage of occupational licensees receiving <u>no</u> serious violations after licensure.	80%	96.9%	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%	Federal Fiscal Year	HFD
	Percentage of nursing facilities that are deficiency-free.	12%	6.5%	HFD
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 eligibility investigations resulting in a positive finding.	65%	59.8%	INVEST

Core Function	Performance Measure (Outcome)	Performance Target	Prior Year Actual	Link to Strategic Plan Goal(s)
To recover improper public assistance payments received by a household or provider.	Percentage of dollars collected.	10%	7.6%	INVEST
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.	Rate of completion of professional standards investigations (pending and new referrals).	50%	72.2%	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%	98.9%	INVEST
Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
1. Pari-Mutuel and Excursion Gambling Boat Regulation Org# 0Q59 A Occupational license B Track or Boat license C Statute and rule compliance D Drug testing E Racing animal health and fitness inspections F. Revenue collection	Percentage of occupational licensees with initial issues receiving <u>no</u> serious violations after licensure.	75%	89.4%	Streamline the eligibility determination process. IRGC

Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
<p>2. Social & Charitable Gambling Regulation, Target Small Business Certification Org #0Q75</p> <ul style="list-style-type: none"> 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 	<p>Percentage of completed social and charitable gambling applications/registrations acted upon within 30 calendar days including amusement devices.</p>	<p>99%</p>	<p>97%</p>	<p>Develop and implement an electronic web-based registration system with ability to accept credit card payments and with an integrated database.</p> <p>Note: System has been implemented, now seeking to promote usage of system.</p> <p>FOOD</p>
	<p>Percentage of social and charitable gambling organizations required to file an annual report that complete the report for the current fiscal year.</p>	<p>80%</p>	<p>60%</p>	<p>Make requirements easily understood and accessible to registrants to reduce noncompliance issues.</p> <p>DIA makes numerous attempts to notify the organizations that a report must be filed.</p> <p>FOOD</p>
<p>3. Food and Consumer Safety Org # 0Q75</p> <ul style="list-style-type: none"> A. Application processing B. Inspections C. Complaint investigations D. Foodborne illness investigations E. Contract management F. Licensing decisions G. Enforcement actions 	<p>Percentage of Tier 5 (high risk level) establishments inspected annually during the calendar year.</p>	<p>95%</p>	<p>77%</p>	<p>Continue standardization of all staff in FDA Model Food Code every three years.</p> <p>Acquire and train qualified inspectors to gain compliance with the FDA Food Code inspection frequency.</p> <p>FOOD</p>

Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
	Number of performance reviews completed for local health departments contracting under Iowa 137F to enforce the Food Code. There are a total of 20 contracts in state fiscal year.	3 reviews	2 reviews	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. FOOD
	Number of complaints the Department received in the calendar year.	130	751	Educate the public about how to report a possible foodborne illness. FOOD
4. 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	11.3	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

Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
	Percent of ICF/MR surveys successfully completed within federally prescribed timeframe of 12.9 months since the last survey.	95%	100%	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%	98.9%	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
5. Monitor and regulation of state certified community based environments Org #5101 A. Application processing B. Monitoring évaluations C. Complaint investigations D. Certification decisions E. Renforcement actions	Percentage of assisted living program re-certifications completed at least 10 days prior to certification expiration date.	50%	57%	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%	<p>Input resolution of Adult Services Bureau complaints into the Health Facilities Division database.</p> <p>Retention of all ASB staff at 100%.</p> <p>Utilize Program Coordinators to investigate complaints and assist with monitoring when resource issues arise.</p> <p>HFD</p>
<p>6. Investigations Services Org #4101, 4201, 4601, 4901 A. Economic Fraud B. Medicaid Fraud C. Professional Standards</p>	Percentage of investigations completed within 10 working days.	90%	92%	<p>Review and update investigative procedures/protocol.</p> <p>Employ the latest technology and investigative techniques to improve investigative efficiency.</p> <p>INVEST</p>
	Cost savings dollars identified from Pre-eligibility investigations.	\$4 million	\$2,315,789	<p>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.</p> <p>INVEST</p>
	Number of food assistance EBT cases referred by the public and other state and federal agencies for suspected fraud	300	364	<p>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.</p> <p>INVEST</p>

Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
	Percentage of Medicaid provider fraud referrals received that are reviewed and assigned or declined within required timeframes.	99%	99%	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.	70	70	Continue collaboration with 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
	Amount of cost savings resulting from EBT Investigations as a result of claims established and IPV sanctions.	\$150,000	\$30,027	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)	90	27	Continue to monitor rule changes through Food and Nutrition Service (FNS) INVEST
	Amount of cost avoidance dollars and debt established for collection as a result of Divestiture investigations.	\$1.5 million	\$578,396	Educate DHS, law enforcement, and the public on Iowa Code 249F. INVEST
7. 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.	\$3.6 million FY16	\$3,256,453	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	\$683,299	INVEST

Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
8. Audit Services Org# 4501, 4901 A. DHS offices B. Health care facilities	Average number of months between audits for care facilities.	30	18	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%	99.7%	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.	11 hours	10.4 hours	Collaborate with the Iowa Medicaid Enterprise to streamline facility history profile reports used in the conduct of the audit. INVEST
Core Function	Performance Measure (Outcome)	Performance Target	Prior Year Actual	Link to Strategic Plan Goal(s)
To provide consistently accurate and timely administrative and fiscal services to agency personnel so they can better provide their services to department constituencies.	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.	4.25	4.02	Use Survey monkey to survey DIA staff on the performance of the Administrative Division. ADMIN
Services, Products, Activities	Performance Measures	Performance Target	Prior Year Actual	Strategies/Recommended Actions
1. Resource Management Org# 0101, 0199, 2101, 2201, A. Claims Processing B. Budget C. Inventory	Percent of federal and state financial reports completed and submitted by due date.	95%	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

<p>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</p>				<p>Investment Lifecycle program developed, which will assure that the latest technology is made available to staff.</p> <p>ADMIN</p>
	<p>Percent of media and public information inquiries responded to within prescribed timeframes.</p>	<p>FY17 - 80% within 24 hours FY18 – 85% within one (1) business day</p>	<p>85%</p>	<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>ADMIN</p>
	<p>Percent of budget funded by sources other than general fund.</p>	<p>68%</p>	<p>68%</p>	<p>Identify and pursue grant opportunities for the department.</p> <p>ADMIN</p>
	<p>Employee retention rate (non-retiree permanent employees).</p>	<p>97%</p>	<p>89%</p>	<p>Periodic discussions/evaluations during employment to identify and address any workplace performance or satisfaction issues.</p> <p>ADMIN</p>

RESOURCE REALLOCATION

During FY18, the Department continued to address the challenge of limited human and financial resources.

An evaluation of the responsibilities of the department was conducted on an ongoing basis during the fiscal year. In some cases, staff were reassigned or programs restructured to best utilize the skills necessary to accomplish the mission of the Department. The Department continues to maximize state and federal resources to accomplish our mission.

AGENCY CONTACTS

Copies of the Iowa Department of Inspections and Appeals' Agency Performance Report are available on the Results Iowa web site (www.resultsiowa.org) and the DIA web site (<https://dia.iowa.gov/>).

Copies of the report can also be obtained by contacting Sara Throener at 515-281-5457 or via e-mail at sara.throener@dia.iowa.gov.

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