

**DEPARTMENT  
OF  
INSPECTIONS AND APPEALS**

**2016-2020  
STRATEGIC PLAN**

**Submitted December 2015**

## **BACKGROUND**

The Department of Inspections and Appeals (Department) began operations in July, 1986 as a result of state government reorganization. The department was created to conduct inspections, audits, investigations and contested case hearings for most of state government. In addition, the Department provided administrative and fiscal services for three attached units – Appellate Defender, Foster Care Review Board and Employment Appeal Board.

Since 1986, numerous department structural changes have occurred impacting our operations. These have included:

- July 1987 - The Racing Division was transferred from the Department of Commerce to DIA. The social and charitable gaming functions of the Racing Division were transferred to the Inspections Division at that time.
- July 1988 – Targeted Small Business certification was transferred from the Department of Economic Development to the Audits Division of DIA.
- January 1989 - The local public defender offices were transferred from county government to DIA. These offices, combined with the Appellate Defender Office, became a unit called the State Public Defender’s Office. .
- July 1989 - The Racing Division became the Racing and Gaming Commission with the passage of excursion gambling boat regulation legislation.
- July 1989 - The Director of the Department was charged with the power and duty to negotiate agreements or compacts with Indian tribes to implement the policies and objectives of the federal Indian Gaming Regulatory Act.
- July 1989 – Processing claims from the Indigent Defense Fund became the responsibility of the Department.
- October 1990 – The federal Nursing Home Reform Act changed the survey process for health care facilities, which resulted in additional staffing and responsibility for the Health Facilities Division.
- July 2002 – The Court-Appointed Special Advocate program was transferred to the Department as a part of the Child Advocacy Board, which included the Foster Care Review Board program.
- July 2003 – Regulatory enforcement of Elder Group Homes, Assisted Living Programs, and Adult Day Services Programs became the statutory responsibility of the Department and was placed in the Adult Services Bureau of the Health Facilities Division.

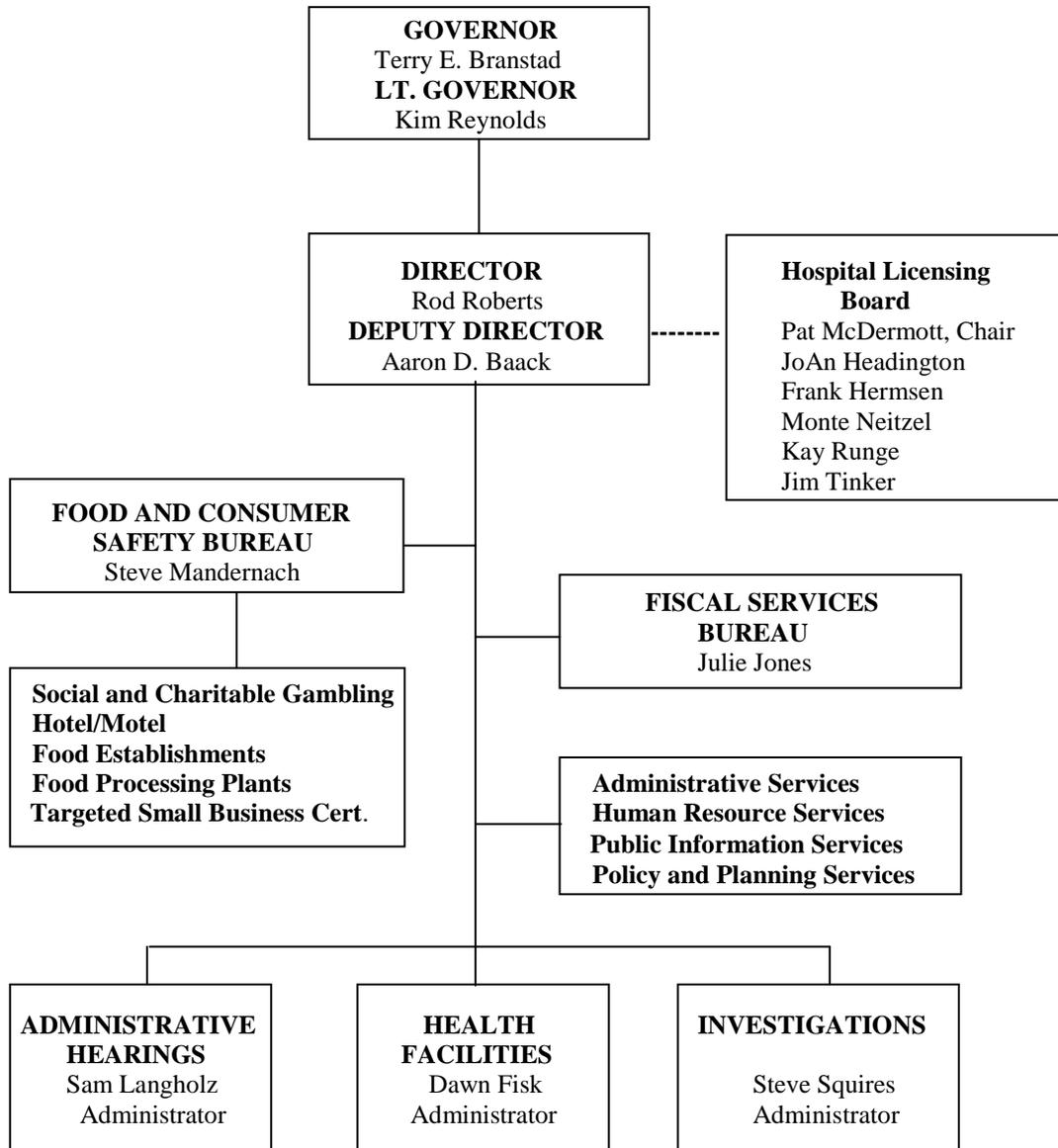
- July 2007 – Policy development for regulation of Elder Group Homes, Assisted Living Programs, and Adult Day Services Programs became the statutory responsibility of the Department.

Currently, the Department of Inspections and Appeals provides services to customers and stakeholders through the following divisions and attached units:

- Administration
- Administrative Hearings
- Child Advocacy Board
- Employment Appeal Board
- Health Facilities
- Hospital Licensing Board
- Investigations
- Iowa Racing and Gaming Commission
- State Public Defender

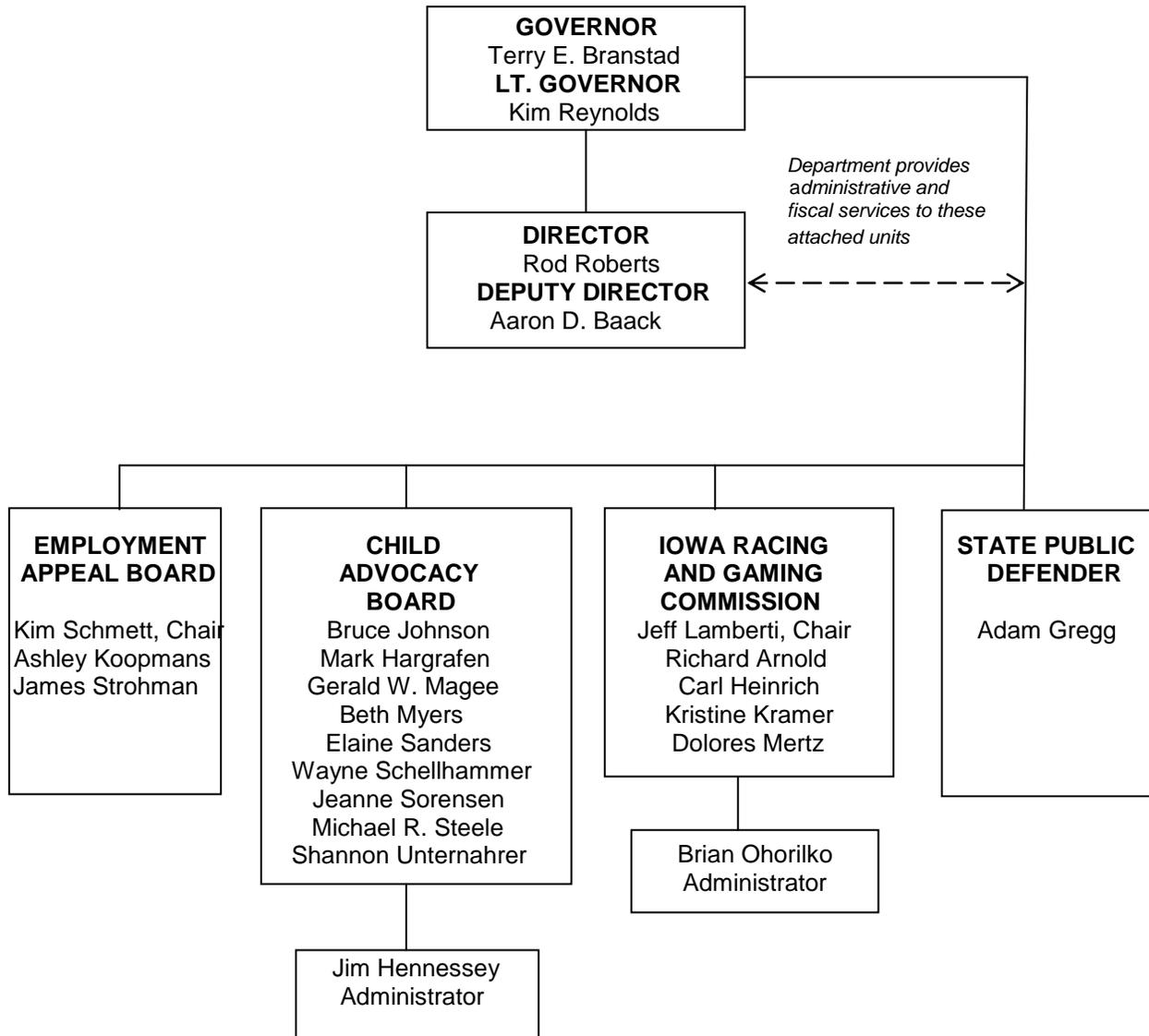
# Iowa Department of Inspections and Appeals

## Table of Organization



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## **OUR FOCUS**

In January 2011, Governor Terry E. Branstad and Lt. Governor Kim Reynolds began their first term in guiding the future progress of the Executive Branch. Rod Roberts was appointed Director of the Department. Director Roberts had previously served as a state representative from Carroll County.

Governor Branstad and Lt. Governor Reynolds set out four enterprise goals upon taking office. With Governor Branstad's re-election in 2014 the same four goals remain priorities in his administration. DIA is working to fulfill these enterprise goals.

- 200,000 new jobs for Iowans
  - Timely licensing of new and existing businesses/entities
  - Charitable organization donations
- 15% reduction in the cost of government
  - LEAN events
  - Technology enhancements
  - Web-based services
  - IT Consolidation
  - Fraud Investigations
  - Cross training
- 25 percent increase in family incomes
  - Additional job opportunities through licensed new and existing businesses
  - Benefit program support availability
  - Services to persons with disabilities or children in need
  - Evolving workforce skills
  - Charitable fundraising activities and events
- Nation's best schools
  - Services to persons with disabilities or children in need
  - Evolving workforce skills
  - Charitable fundraising activities and events

Our Strategic Plan for 2016-2020 reflects how DIA will focus its resources.

Due to the diversity of the responsibilities of the Department, our Strategic Plan is composed of four individual strategic plans representing the operational divisions of the Department and the attached units of the Department. While the Hospital Licensing Board is an attached unit, their plan is rolled in with the Department's strategic plan. The State Public Defender's Office, while an attached unit, will submit their strategic plan separately.

# **OPERATIONAL DIVISIONS**

## **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 Iowans.”

## **VISION**

“A safe, just and healthy Iowa.”

## **ASSESSMENT**

We have identified our internal strengths and limitations as well as our external challenges and opportunities, all of which impact our mission and vision. These factors were taken into consideration as goals and strategies were developed for the Department.

### **Internal Assessment:**

#### **Strengths**

Efficient

Staff is knowledgeable and professional

Effective

Collaborate with local, state and federal partners

Collect input from stakeholders

Communication

Responsive to the needs of others

Respect for people

Recognize we are here to serve others

Touch a lot of people’s lives

Have engaged and supportive leadership

Have a lot of new leadership which provides fresh perspectives

Open to change and new ideas

Chance to refine our financial system

#### **Weaknesses**

Technology

Physical infrastructure limitations

Lack of training opportunities – time and money

Staffing to do only the bare minimum

No contingency plans for staff that are out

Lack of succession planning

Work expectations have stayed the same or increased as resources decreased

No priorities for resources

Communication related to finances

Reactionary

## **External Assessment:**

### Opportunities

Communicate/educate decision makers on return on investment

Collaborate with DHS

LEAN

Provide helpful observations to other agencies

### Threats

Public perception

Change in top level leadership

Funding and statutory requirements do not align (unfunded mandates)

Changes at federal partners – unclear expectations

Increased accountability without increased resources

Newly created bureaucracy

Technology

Unrealistic expectations as to data collection/reporting functions

Uncertainty and change in priorities

Irate customers

More frustration and hostility towards government

Distrust with government

Unrealistic expectations by public

## **GOALS/OUTCOME MEASURES/STRATEGIES**

The Department has set four major Goals for accomplishing our Mission and Vision. Key strategies have been identified for moving toward achieving these Goals. The Goals, Outcome Measures and Strategies are:

### **1. Create and maintain an accurate and understandable working budget.**

#### **Outcome Measures:**

- 95% of financial statements are delivered on time.
- 90% of financial inquiries are responded to within one working day.

#### **Key Strategies:**

- 1.1 Cross train fiscal staff
- 1.2 Reinforcement of expectations
- 1.3 All financial data will be pulled from I3
- 1.4 Customer feedback – routine scheduled meetings

**2. Increase reliable technology services to meet the ever changing needs of the department.**

**Outcome Measures:**

- Decrease number of tickets open with ITE desk top support by 25%.

**Key Strategies:**

- 2.1 Establish a baseline of lost productivity
- 2.2 Quarterly meetings to review ITE service related issues
- 2.3 Establish checklist of programs for computer builds
- 2.4 Establish checklist to test computers after ITE works on them

**3. Provide training and mentoring opportunities to maximize staff talents.**

**Outcome Measures:**

- Number of training opportunities offered in a year.

**Key Strategies:**

- 3.1 Expose staff to conferences/trainings/job shadowing
- 3.2 Managers training on mentoring
- 3.3 Employee satisfaction survey
- 3.4 Identify staff with leadership skills
- 3.5 Review COOP/COG plan with management

**4. Review and assess agency priorities for expenditures of resources.**

**Outcome Measures:**

- 100% of divisions/bureaus have published a program prioritization list.

**Key Strategies:**

- 4.1 Review what is statutorily required
- 4.2 List of priorities for each division's/bureau's given budget
- 4.3 Communicate priorities to division/bureau staff
- 4.4 Use COOP/COG tool to prioritize programs by division/bureau

# **CHILD ADVOCACY BOARD**

**Iowa Child Advocacy Board  
Goals and Strategies  
2014 – 2019 (Updated 1/2/2015)**

**Mission**

ICAB: advocating for the protection of Iowa’s children and improvement of the child welfare system.

**Core Values**

- Respect
- Integrity
- Partnering
- Advocacy

**Vision**

Working together to build a brighter future for Iowa’s abused and neglected children.

**Assessment**

The results of two CASA surveys, conducted for internal and external customers, were analyzed. In addition, feedback from participant comment cards completed following each Foster Care Review Board was assessed. Information from the ICAB Annual Report, recent internal metrics, volunteer recruitment statistics, a Kaizen process and demographic social, political and economic trends were all examined. The strengths and weaknesses of CASA and FCRB were identified and the following issues emerged as of major importance to the future of ICAB.

Five major areas for consideration in the plan were identified.

- 1) **Results:** Set realistic and measurable goals. Collect data and publish successes to increase recognition and support of ICAB’s programs.
- 2) **Resources:** Research and secure financial resources from diverse sources, for example, through grants, donations and appropriations.
- 3) **Internal Communication:** Improve all communication channels to help improve the quality of relationships between all interested parties.
- 4) **Partnerships and External Communication:** Continually seek ways to improve communication with ICAB partners, such as DHS and FSRP. Emphasize the spirit of collaboration for a common purpose to help Iowa’s abused and neglected children.
- 5) **Education:** Continue to offer high quality and frequent training programs to every volunteer to increase the ability and credibility of CASA Advocates and FCRB Members. Organize more prevention training with partners.

## Goal #1: Become a results-focused organization

**Goal Tender: Shannon Unternahrer**

**Lead Staff Person: Shirley Hoefler**

Strategies	Aligned Actions As if 11/2014
<ol style="list-style-type: none"> <li>1. Establish meaningful goals and a means for collecting data</li> <li>2. Develop and implement a public information plan</li> <li>3. Empower ICAB staff to implement plan</li> </ol>	<ul style="list-style-type: none"> <li>• Established and filled Management Analyst position</li> <li>• Recruitment responsibilities delineated between Lead and Local Coordinators</li> </ul>
2015 Action Steps	Person(s) Responsible and Time Frame
<ol style="list-style-type: none"> <li>1. Conduct focus group with each FCRB and conduct SurveyMonkey survey with active CASAs to identify success, needs and gaps in current child welfare and court system needed for safety, permanency and well-being for inclusion in 2014 Annual Report. Prepare Annual report</li> </ol>	<ul style="list-style-type: none"> <li>• Shirley -Prepare CASA survey, collect data and compile results by May 2015</li> <li>• Shirley –Prepare focus group discussion guide, collect data and compile results by May 2015</li> <li>• Facilitators – conduct focus groups, document FCRB responses and submit to Shirley by April 2015</li> <li>• Shirley – Prepare draft annual report by June, 2015</li> <li>• Board – review/edit/approve annual report at June 2015 meeting</li> <li>• Incorporate Board edits and distribute report by July 2015</li> </ul>
<ol style="list-style-type: none"> <li>2. Compile current data collection and reporting requirements from National CASA, state law, IV-E MOU and operational needs.</li> </ol>	<ul style="list-style-type: none"> <li>• Shirley coordinates by early March</li> </ul>
<ol style="list-style-type: none"> <li>3. Meet with DHS and Court representatives to identify informational needs ICAB can help meet.</li> </ol>	<ul style="list-style-type: none"> <li>• Jim schedules meeting with key DHS and Court reps by March 2015</li> <li>• Shirley prepares agenda and facilitates meeting including Dave and Jim by end of March 2015</li> </ul>
<ol style="list-style-type: none"> <li>4. Meet with Department of Management and Legislative Services Agency to identify their information needs that ICAB might be able to address.</li> </ol>	<ul style="list-style-type: none"> <li>• Jim schedules meeting with key DOM and Legislative folks by end of April 2015</li> <li>• Shirley prepares agenda and facilitates meeting including Dave and Jim by end of May 2015</li> </ul>
<ol style="list-style-type: none"> <li>5. Compile and analyze information from stakeholder discussion and prepare data needs draft plan for Leadership Team consideration</li> </ol>	<ul style="list-style-type: none"> <li>• Shirle</li> <li>• y, Dave, Jim and Bill by end of May 2015</li> </ul>
<ol style="list-style-type: none"> <li>6. Review draft data needs plan with Leadership Team, incorporate results of discussion</li> </ol>	<ul style="list-style-type: none"> <li>• Shirley schedules and leads Leadership Team discussion by end of June 2015</li> </ul>
<ol style="list-style-type: none"> <li>7. Develop short and long term data capture plan.</li> </ol>	<ul style="list-style-type: none"> <li>• Shirley leads discussion and compiles plan with Bill, Dave, Jim by July 2015</li> </ul>
<ol style="list-style-type: none"> <li>8. Produce short term data</li> </ol>	<ul style="list-style-type: none"> <li>• Shirley and Bill by December 2015</li> </ul>
<p><b>Next Step for Leadership Team: Consider 2015 Performance Measures, including:</b></p> <ul style="list-style-type: none"> <li>• Identify key points of data and information needed for marketing by July 2015</li> <li>• Establish specific case and system outcome measures for CASA and FCRB work by end of CY 2015</li> <li>• Complete marketing with Board approval by end of CY 2015</li> </ul>	

**Goal #2: Develop a plan to secure resources to sustain and grow ICAB programs**

**Goal Tender: Mark Hargrafen**

**Lead Staff Person: Dave Zimmerman and Jennifer Slife**

<b>Strategies</b>	<b>Aligned Actions as of 11/2014</b>
<ol style="list-style-type: none"> <li>1. Develop business partnerships</li> <li>2. Search for contracts</li> <li>3. Increase area of opportunities for volunteering</li> <li>4. Use stories/data to find “champions” for ICAB</li> <li>5. Increase the number of volunteers</li> <li>6. Enhance marketing for volunteer involvement</li> </ol>	<ul style="list-style-type: none"> <li>• Working with DHS on increased IV-E funding</li> <li>• Contracts drafted for FCRB facilitators and CASA assistants</li> <li>• Established and filled Lead Coordinator positions</li> </ul>
<b>2015 Action Steps</b>	<b>Person(s) Responsible and Time Frame</b>
1. Reconvene Recruitment Committee	<ul style="list-style-type: none"> <li>• Jennifer Slife, by April 1, 2015</li> </ul>
2. Update editorial calendar and link calendar events to recruitment tool kit tools with plan for one or more recruitment pushes in remainder of calendar year 2015 starting in June	<ul style="list-style-type: none"> <li>• Recruitment Committee facilitated by Jennifer by June 1, 2015</li> </ul>
3. Launch first recruitment push.	<ul style="list-style-type: none"> <li>• Recruitment Committee specifies state level tasks and local level recruitment tasks to be completed and due dates by June 1, 2015</li> <li>• Jennifer Slife leads implementation of state level launch tasks and completes no later than end of June 2015</li> <li>• Lead Coordinators lead implementation of local level tasks, Local Coordinators carry out tasks as agreed in the launch plan NLT June 2015</li> </ul>
4. Depending on results of first recruitment push, one or two additional recruitment pushes may be launched during 2015	<ul style="list-style-type: none"> <li>• Same as Action Step 3 with dates in accordance with overall plan.</li> </ul>
5. Recruitment Committee develops recruitment action plan for 2016	<ul style="list-style-type: none"> <li>• Recruitment Committee facilitated by Jennifer by end of November 2015</li> </ul>
6. Research use of university interns to assist with messaging/marketing in 2015/2016. Implementation depends on research.	<ul style="list-style-type: none"> <li>• Jennifer Slife completes initial research no later than April 1, 2015</li> </ul>
7. Placeholder – consult with Mark on business partnerships/contracts	<ul style="list-style-type: none"> <li>• Dave/Jennifer/Mark by end of March 2015</li> </ul>

**Next Step for Leadership Team: Consider 2015 Performance Measures, including:**

- Increase Title IV-E funding by XX percent for FFY 2015 as compared to FFY 2014
- Business and funding partner plan developed by June 2015
- Increase number of CASA applicants to XX for CY 2015.
- Increase number of CASA Coaches to XX by end of CY 2015
- Increase number of assigned CASA Advocates to XX by end of CY 2015
- Increase number of children with assigned CASAs to XX by end of CY 2015
- Increase number of children age 14 and older with assigned CASAs to XX by end of CY 2015

### Goal #3: To promote the effective use of communication throughout ICAB

Goal Tender: Jeanne Sorensen

Lead Staff Persons: Amy Carpenter and Suzan McKiness

Strategies	Aligned Actions as of November
<ol style="list-style-type: none"> <li>1. Establish the use of regional meetings to accommodate educational opportunities</li> <li>2. Use technology to allow all inclusive attendance in state-run meetings and trainings</li> <li>3. Utilize newsletters for organizational information sharing</li> </ol>	<ul style="list-style-type: none"> <li>• AdobeConnect purchased, initial testing/training phase underway</li> <li>• Developing regional/local training deployment plan</li> <li>• Collecting newsletter items for January</li> <li>• Established and filled Lead Coordinator positions</li> </ul>
2015 Action Steps	Person(s) Responsible and Time Frame
<ol style="list-style-type: none"> <li>1. For Newsletter               <ol style="list-style-type: none"> <li>a. Establish editorial Board (Amy, Suzan, Lesa, Sherri, Jim, Dave, Jeanne Sorensen)</li> <li>b. Incorporate Recruitment Committees editorial calendar</li> <li>c. Plan next 4 editions of newsletter – through January 2016</li> <li>d. Establish detailed plan, articles and due dates from each individual edition through January 2016</li> </ol> </li> <li>2. For Technology               <ol style="list-style-type: none"> <li>a. Define specific expectations for end of Strategic Plan period and for each incremental year (for year one, use virtual meeting tools for meetings/trainings with Coaches)</li> <li>b. Model use of virtual mtg technology in RegionalTeam meetings</li> <li>c. Model use of virtual meetings in monthly conference calls</li> <li>d. Provide training to staff on use of virtual meeting tools</li> <li>e. Ask staff to share plans for using virtual meetings by end of yr</li> <li>f. Leads obtain feedback on pros, cons, adjustments needed.</li> </ol> </li> <li>3. For Regional Training               <ol style="list-style-type: none"> <li>a. Discuss with Leadership Team concept of 3 quarterly regional meetings and 1 statewide meeting</li> <li>b. If Lead team agrees, launch meetings starting in April – June</li> <li>c. If agreed, Leads plan shared agenda items in first two months of each quarter.</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>1. For Newsletter               <ol style="list-style-type: none"> <li>a. Jim by February 2015</li> <li>b. Amy coordinate with Jennifer by end of March 2015</li> <li>c. Sherri schedules meeting, Amy/Suzan facilitate by end of March 2015</li> <li>d. Sherri schedules and facilitates planning meeting 2 months prior to each newsletter production date through Jan 2016 edition</li> </ol> </li> <li>2. For Technology               <ol style="list-style-type: none"> <li>a. Amy sets time and leads Leadership Team discussion and planning for this by end of March 2015</li> <li>b. Lead Coordinators, April through August 2015 and beyond</li> <li>c. Dave/Jim – April through August 2015 and beyond</li> <li>d. Lesa/Shirley – July and August 2015</li> <li>e. Lead Coordinators by early September 2015</li> <li>f. Lead Coordinators by end of November 2015, repeat if needed</li> </ol> </li> <li>3. For Regional Training               <ol style="list-style-type: none"> <li>a. Amy leads discussion with Leadership Team by end of March, documents decision and shares with staff and Board</li> <li>b. Lead Coordinators - April through end of 2015</li> <li>c. Lead Coordinators – April through end of 2015</li> </ol> </li> </ol>
<p><b>Next Step for Leadership Team: Consider 2015 Performance Measures, including:</b></p> <ul style="list-style-type: none"> <li>• Initiate quarterly newsletter in January 2015</li> <li>• 80% of active CASA volunteers and 95% of FCRB volunteers will acknowledge responsibility to complete 12 hrs of in-service training per yr.</li> <li>• 100% of Coordinators have used Adobe Connect or an alternate virtual meeting tool for meeting with Coaches least once by the end of 2015.</li> </ul>	

## Goal #4: Expand partnerships within the child welfare system

**Goal Tender: Elaine Sanders**

**Lead Staff Persons: Christine Deam and Marla Treiber**

Strategies	Aligned Actions to Date
<ol style="list-style-type: none"> <li>1. Conduct respectful, open communication with other entities</li> <li>2. Teach staff/volunteers how to partner with emotional intelligence</li> <li>3. Focus on chief judges as partners</li> </ol>	<ul style="list-style-type: none"> <li>• CASA Kaizen follow-up</li> <li>• FCRB Event follow-up</li> <li>• Planning for work with Chief Judges just initiated</li> <li>• Established and filled Lead Coordinator positions</li> </ul>
2015 Action Steps	Person(s) Responsible and Time Frame
1. Arrange to participate in DHS Service Area Contractor meetings on ongoing basis. Focus on sharing message about role and purpose of ICAB programs.	• Lead Coordinators by July 1, 2015
2. Make contact with Chief Judges to determine preferred approaches to collaboration in each Judicial District. Provide report of findings and plans. Share message about role and purpose of ICAB programs.	• Lead Coordinators by October 1, 2015
3. Schedule and conduct annual meeting with DHS Service Business Team on FCRB MOU	• Jim Hennessey will work with Kara Regula to arrange by end of March 2015
4. Ensure full use of interested party exit surveys at case closing as required by CASA P&P.	• Lead Coordinators plan and monitor by July 1, 2015
5. Obtain and implement legislation that clarifies ability to share CASA information with DHS and Courts.	<ul style="list-style-type: none"> <li>• Sara Throener and Jim Hennessey work with Legislature and Governors office on passage and Governor approval by June 1, 2015.</li> <li>• Shirley Hoefler updates P&amp;P if approved by July 1, 2015</li> </ul>
6. Explore possibility of developing MOU with DHS on CASA program. Contact with Sara Baker (Kaizen participant) then Julie Allison and Evan Klenk. If agreed, introduce at CASA Kaizen final follow-up.	<ul style="list-style-type: none"> <li>• Jim Hennessey does front end work by June 15, 2015</li> <li>• Shirley Hoefler works with DHS to develop MOU by October 1, 2015</li> </ul>
7. Work with DHS and Courts to design process to survey workers, judges and others about satisfaction with communication and partnership.	• Marla Treiber, Christine Deam and Shirley Hoefler complete design work by December 31, 2015

### **Next Step for Leadership Team: Consider 2015 Performance Measures, including:**

- A majority of DHS supervisors and staff who respond to an ICAB survey express satisfaction with ICAB's communication and partnership approach.
- A majority of judges who respond to an ICAB survey express satisfaction with ICAB's communication and partnership approach.
- A plan for measuring the outcomes of improved partnerships with DHS and the courts is ready for implementation by December 2015

**Goal #5: To enhance the existing training program for the continued growth of ICAB**

**Goal Tender: Beth Myers  
Lead Staff Person: Lesa Christianson**

<b>Strategies</b>	<b>Aligned Actions to Date</b>
<ol style="list-style-type: none"> <li>1. Develop subject matter consultants in core areas</li> <li>2. Develop training competencies</li> <li>3. Use technology to expand training capacity</li> </ol>	<ul style="list-style-type: none"> <li>• All staff are informed of expectations</li> <li>• Facilitation training provided for all staff</li> <li>• AdobeConnect testing/training in progress</li> <li>• Redevelop pre-service training</li> <li>• Developing time sheet to document training time</li> <li>• Established and filled full time Training Officer position</li> </ul>
<b>2015 Action Steps</b>	<b>Person(s) Responsible and Time Frame</b>
1. All Coordinators receive initial training on how to design and develop a training course	• Lead Coordinators by end of February 2015
2. Individualized timelines for developing first in-service training course established for all local Coordinators	• Lead Coordinators by mid-March 2015
3. Establish expectations about oversight, coaching and approval for local Coordinators throughout the course development process	• Lesa in consultations with Lead Coordinators by mid-February 2015
4. Complete research, training objectives and training outline	• Local Coordinators by end of April 2015
5. First training module development is completed	• Local Coordinators by end of May 2015
6. First training module development is piloted	• Local Coordinators in consultation with Lead Coords by end of June 2015
7. First training module is delivered at least once	• Local Coordinators by end of July 2015
8. Adjust process and steps 1-7 for round 2 – July – December 2015	• Lesa in consultation with Lead Coordinators by end of June 2015
9. Test and implement Adobe Connect	• Lesa in consultation with Lead Coordinators by end of December 2015
10. Adapt in-service training modules to incorporate distance learning.	• Local Coordinators by end of December 2015
11. Engage DHS and Courts in ICAB training design and development.	• Lesa Christianson by end of December 2015
<p><b>Next Step for Leadership Team: Consider 2015 Performance Measures, including:</b></p> <ul style="list-style-type: none"> <li>• At least 50 in-service training courses are developed for delivery by ICAB staff by the end of CY 2015</li> <li>• Every Coordinator has developed at least two in-service training courses by the end of CY 2015</li> <li>• Every Coordinator has delivered pre-service training at least XX times by the end of CY 2015</li> <li>• Every Coordinator has delivered at least XXX in-service training modules to individuals or groups by the end of CY 2015</li> <li>• Average pre-service ratings on training evaluations by participants is X on a scale of X</li> <li>• Average in-service ratings on training evaluations by participants is X on a scale of X</li> </ul>	

# **EMPLOYMENT APPEAL BOARD**

# **EMPLOYMENT APPEAL BOARD**

## **2016 - 2020 STRATEGIC PLAN**

December 2015

## **Employment Appeal Board: Strategic Plan**

### **Our Mission:**

The Employment Appeal Board is a quasi-judicial state agency pursuant to Iowa Code Section 10A-601 that is legislatively mandated to hear and decide contested cases under Chapter 8A, Subchapter IV, and Chapter 80, 88, 91C, 96 and 97B. As a quasi-judicial state agency, the Employment Appeal Board will provide timely adjudication on matters under their review.

### **Core Functions:**

- Adjudication of Unemployment Insurance (UI) Laws
- Adjudication of OSHA Violations
- Adjudication of Department of Administrative Services (Human Resources) decisions
- Adjudication of Iowa Public Employees Retirement System (IPERS) decisions
- Peace Officer and Capitol Security disciplinary actions
- Adjudication of Labor Commissioner's citations or proposed penalties
- Communication

### **Our Vision:**

The Employment Appeal Board is dedicated to being fair and timely in reviewing the decisions from the lower level based on the administrative evidence. This would include adopting rules pursuant to Chapter 17A to establish the manner in which contested cases are presented and hearings are conducted. The Board's ultimate goal is to be responsive to the citizens of Iowa by promoting efficient and prompt notification to the interested parties of its findings and decisions.

### **Guiding Principles:**

The Employment Appeal Board is service focused and renders timely decisions that are based on the evidence and evaluated in accordance with relevant statutes, regulations and case law.

Fairness

Timeliness

Promptness

Efficiency

## **Internal and External Assessment:**

The Employment Appeal Board has identified our strengths, limitations, opportunities and threats through the following factors.

- An overall assessment of the knowledge, skills, and abilities of Board Members, General Counsel and Administrative Staff that will reinforce the mission of the unit.
- An assessment of the inter-office cross-training module with modification to areas that will aide in improving overall promptness and efficiency to stakeholders desiring information.

### ***Strengths:***

- The Employment Appeal Board has combined expertise in the public and private sector as it relates to labor and human resources.
- The Administrative staff coupled with their longevity has constant and stable expertise in the day-to-day operations of the office that promotes efficiency and timeliness as it relates to handling incoming calls from stakeholders and decision processing.

### ***Limitations:***

- Changing Federal guidelines regulating the calculation of UI decisions.
- Uncertain public perception on how decisions which contain personal information are communicated to the public.

### ***Opportunities:***

- Delivery of final decision through Internet posting.
- Collaboration with Iowa Workforce Development on website development for UI decisions.

### ***Challenges:***

- Unpredictability of future federal funding and its impact on our budget.

## **Goals/ Outcome Measures / Strategies:**

**Goal 1: The Employment Appeal Board will continue to increase compliance as it relates to the following:**

- Unemployment Compensation Insurance (UI) (Chapter 96, Iowa Code)
- Occupational Safety and Health Administration (OSHA) violations.

- Department Administrative Services (Human Resources) decisions involving disqualification, restriction or removal from eligible lists (581 IAC 12.2 (4)).
- Iowa Public Employees' Retirement System (IPERS) decisions (Chapter 97B, Iowa Code).
- Peace Officer and Capitol Security disciplinary actions (Iowa Code Section 80.15).
- Labor Commissioner's citations or proposed penalties for violations of construction contractor's registration laws (IAC Section 91C.8).

***Outcome Measures:***

- Increase efficiency and maintain timeliness
- Educating the public to the overall operation of EAB

***Key Strategies:***

- Ensure all decisions are reviewed and adjudicated with adherence impartiality and fairness with the final decisions adhering to the regulatory guidelines communicating the results to the stakeholders in an efficient and prompt manner.
- Daily monitoring of decisions by the Board and Administrative Staff to troubleshoot quagmires.
- Develop a process to improve timely communication to stakeholders.
- Enhance communication to the public through prompt return of phone calls and expediting questions as it relates to the resolution of decisions.
- Continue cross training on all inter-office staff increasing the overall efficiency of decision turn around and response.
- Continue to improve stakeholder satisfaction on decision processing.

**Goal 2: Create a work environment that perpetuates job satisfaction, customer service, process improvement and public accountability.**

***Outcome Measure:***

- Encourage staff to maintain an explicit, continuous focus on results and program improvement.

***Key Strategy:***

- Develop a recognition program within the unit to reward unit performance.

**Goal 3: Continue to improve electronic media capabilities that will ensure that the Employment Appeal Board is upgrading their effort to respond to the Iowa citizenry in a prompt and timely manner.**

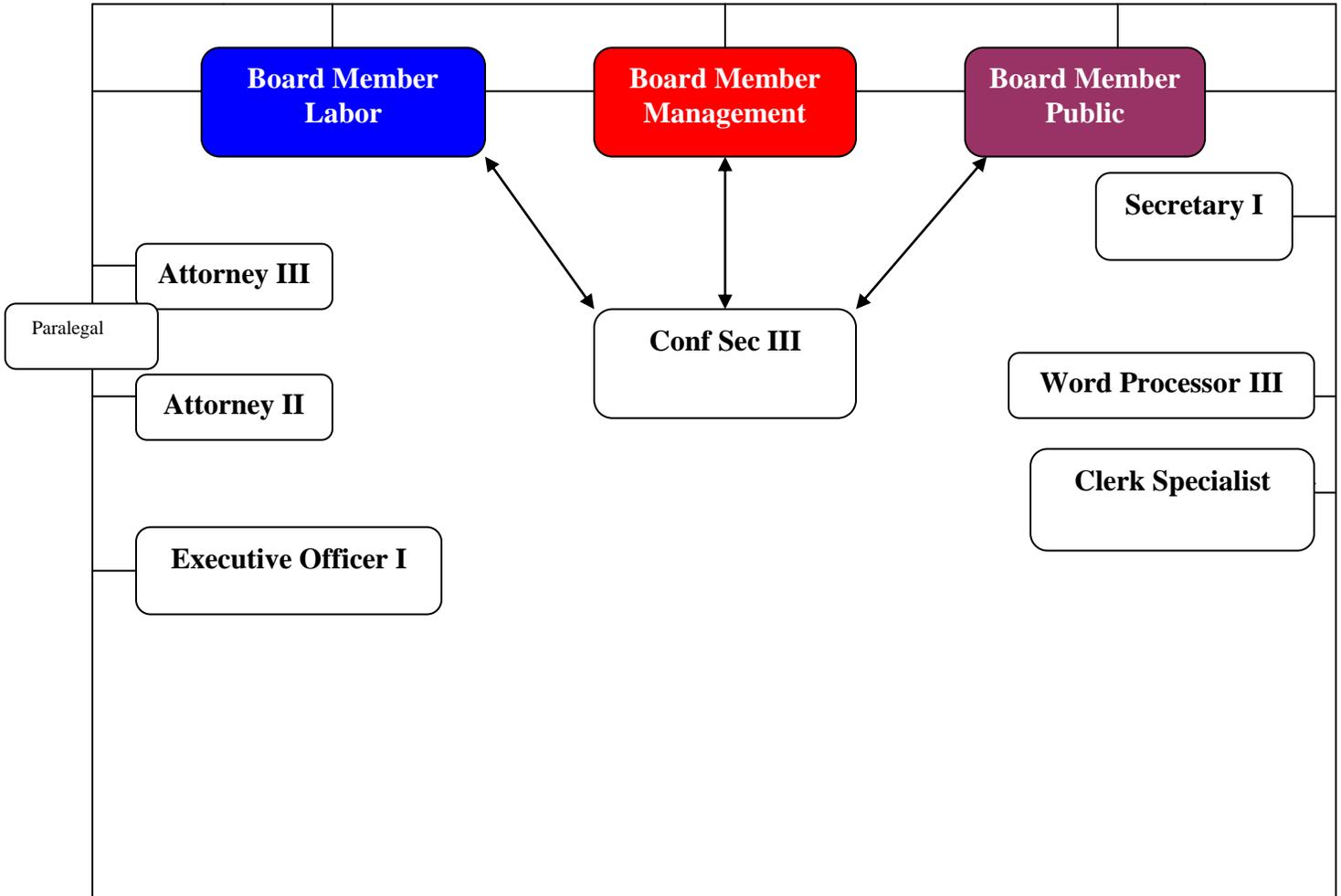
*Outcome Measure:*

- Identification of innovative approaches to service delivery comparing the data with the old to the new service delivery for effectiveness to stakeholders.

*Key Strategy:*

- Collaborate with Iowa Workforce Development to improve the delivery of services to all of Iowa citizens fostering integrity of the process.

**Employment Appeal Board**  
**Organizational Chart**  
**2015**



# IOWA RACING AND GAMING COMMISSION



**STRATEGIC PLAN  
2015 - 2017**

## **BACKGROUND**

In May of 1983, the Iowa Legislature passed the Pari-Mutuel Wagering Act under Iowa Code Chapter 99D allowing pari-mutuel wagering on horse and dog racing. The Governor appointed the first Iowa Racing Commission (Commission) on July 1, 1983. The Commission consists of five members, each serving a staggered three-year term. The Commission appoints an Administrator for a four-year term.

July 1, 1989, Iowa Code Chapter 99F was enacted allowing qualified sponsoring organizations to conduct gambling games on excursion gambling boats in a county where the electorate approves a proposition by referendum. The legislature changed the name of the Commission at that time to the Iowa Racing and Gaming Commission. The original excursion gambling boat legislation provided boarding restrictions, limitations on the amount of space boats could use for gambling, and wagering limits. In March of 1994, those restrictions were lifted. In addition, slot machines were allowed at the currently licensed pari-mutuel facilities. In May of 2004, legislation was enacted to allow for table games at racetrack enclosures, allow an excursion gambling boat to be a moored barge, and allow an excursion gambling boat to be located or operated on a natural or manmade lake or reservoir as long as the size would accommodate recreational activity; and also providing that a boat may be located on a body of water adjacent to a river within 1000 feet from the high water mark of the river. In May of 2007, legislation was enacted allowing for a gambling structure, which is any man-made stationary structure approved by the Commission that does not include a racetrack enclosure which is subject to land-based building codes rather than maritime or Iowa Department of Natural Resources' inspection laws and regulations on which lawful gambling is authorized and licensed.

In May of 2011, legislation was enacted allowing for Advance Deposit Wagering, a method of pari-mutuel wagering in which an individual may establish an account, deposit money into the account, and use the account balance to pay for pari-mutuel wagering.

In 2014, legislation was enacted allowing Iowa West Racing Association and Dubuque Racing Association to maintain a license to conduct gambling games without the requirement of scheduling performances of live dog races; allowed the Iowa Greyhound Association to apply for a pari-mutuel license to race greyhounds at Dubuque and established the Iowa greyhound pari-mutuel racing fund under the control of the Commission.

The Commission is under the umbrella of the Department of Inspections and Appeals that provides administrative services in the areas of personnel, budget, and legislative issues.

### **Mission Statement:**

The Iowa Racing and Gaming Commission will administer the laws and rules on pari-mutuel wagering at racetracks and gambling at excursion gambling boats, gambling structures and racetrack enclosures to protect the public and to assure the integrity of licensed facilities and participants.

### **Vision Statement:**

To be a regulatory commission that creates a honest business climate/environment, that encourages operators and racing participants to come to Iowa, and ensures the people of Iowa and its visitors of the integrity of the racing and gaming industry.

### **Guiding Principles:**

Upholding the law through:

- Protecting those we serve
- Protecting confidential information
- Ensuring program integrity by having policies and procedures follow legislative intent
- Continuous improvement based on integrity, excellence and quality
- Regulation strengthened by collaboration with other agencies and jurisdictions
- Ensuring financially responsible and accountable licensees

**Internal/External Assessment:**

*Our Strengths are:*

- Experienced employees with professional expertise and the sharing of this expertise and experience within the Commission.
- Dedicated long-term employees with strong work ethic.
- Rules and procedures are continuously reviewed to adapt to changing industry standards.
- Technological enhancements are utilized by staff to provide effective communication, the ability to collect accurate data, and the ability to more effectively and efficiently respond to customer needs.
- Leadership supportive of decentralized site-based decision-making.
- Commission office locations convenient to the customer and a pleasant environment for regulatory employees.
- Iowa licensed facilities under 99D and 99F have met stringent background requirements, are respected operators and are excellent corporate citizens.
- The coordinated effort of the Commission and the Division of Criminal Investigation.

*Our limitations are:*

- Training is costly usually incurring travel expenses and a diversity of individual skills, knowledge and abilities hampers group training.
- Inconsistency in staff interpretations of rules and regulations.
- Staffing and funding level limitations.
- Challenge in staying abreast with rapid industry growth and changes.
- Impact of changing laws in contiguous jurisdictions.

*Our Opportunities are:*

- Increased collaboration and improved relationship with other state agencies, licensees and associations.
- Technological advances and enhancements.
- Meetings and conferences where new developments in the industry are introduced and industry leaders and regulators congregate to discuss issues of mutual concern.
- Improved customer satisfaction.

*Our Challenges are:*

- Budget constraints/rising costs.
- Changes in laws in contiguous state.
- Negative public image.
- Reliance on other state agencies in doing our responsibilities.
- Rapid changes in the needs of customers.
- Increased emphasis on serving the public through electronic transactions.

**GOALS/OUTCOME MEASURES/STRATEGIES**

The Commission has identified two major Goals. Key strategies have been identified for moving toward achieving these Goals. The Goals, Outcome Measures and Strategies are:

**1. Achieve the highest possible voluntary compliance of statutes, rules and regulations.**

*Performance Measurers:*

- Percent of occupational licensees with initial issues receiving no serious violations after licensure.

*Key Strategies:*

- Develop a thorough background application screening process
- Provide an open exchange of information between the Commission and licensees.

**2. Ensure the integrity of licensed facilities.**

*Performance Measure:*

- Percent of licensees with significant deficiencies found as a result of an audit.

*Key Strategies:*

- Develop a program to audit gambling revenue records.
- Develop a program to audit slot systems.
- Develop a training program to ensure that staff is knowledgeable in carrying out their auditing duties.

# **STATE PUBLIC DEFENDER**

**Plan was submitted to DOM by SPD on January 12, 2015**