

**DEPARTMENT
OF
INSPECTIONS AND APPEALS**

**2013-2015
STRATEGIC PLAN**

Submitted April 2014

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. Since then, there have been four expansions of the State Public Defender system.
- 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 former 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.

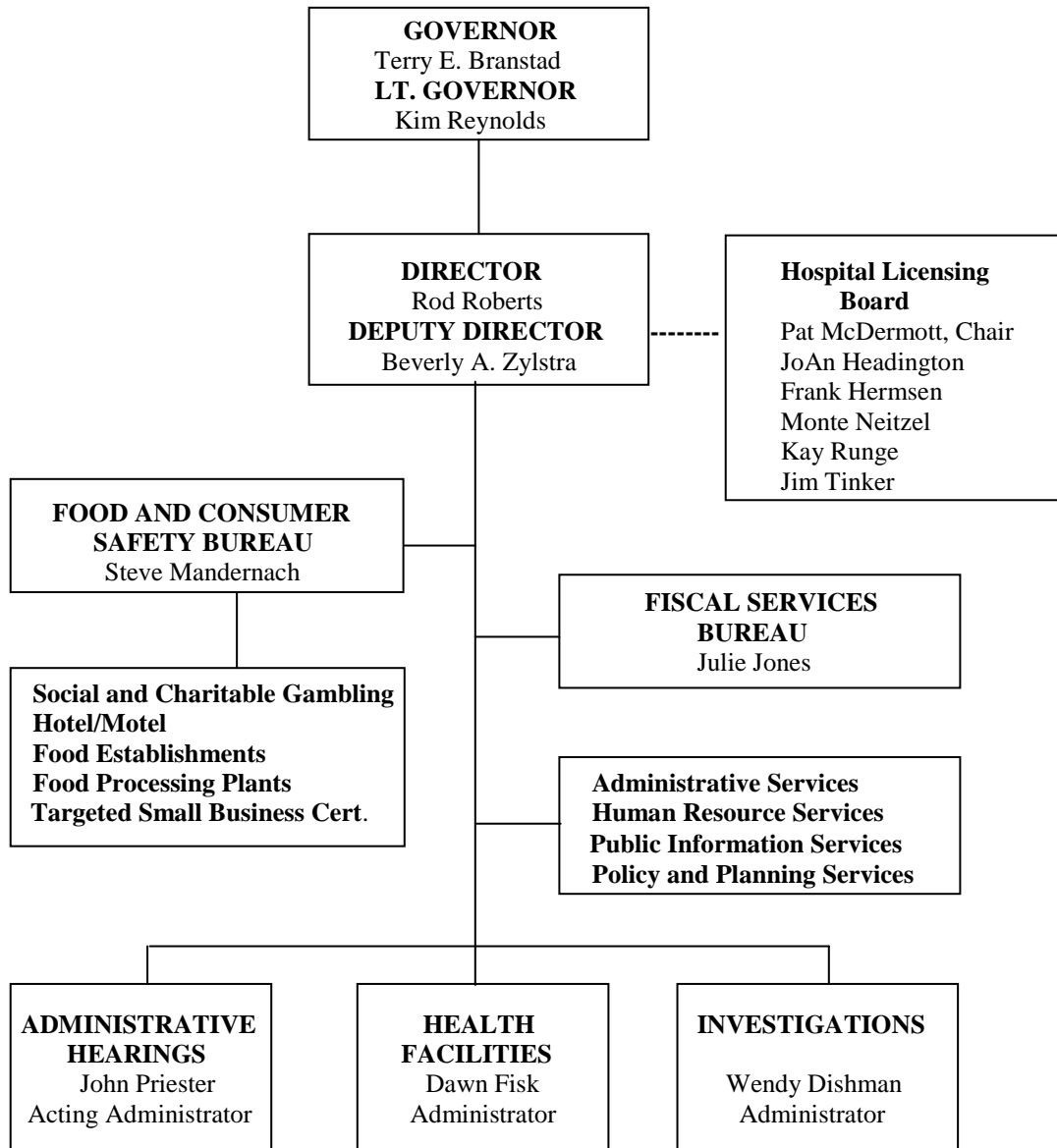
- July 2007 – Policy development for regulation of Elder Group Homes, Assisted Living Programs, and Adult Day Services Programs became the statutory responsibility of the Department.

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

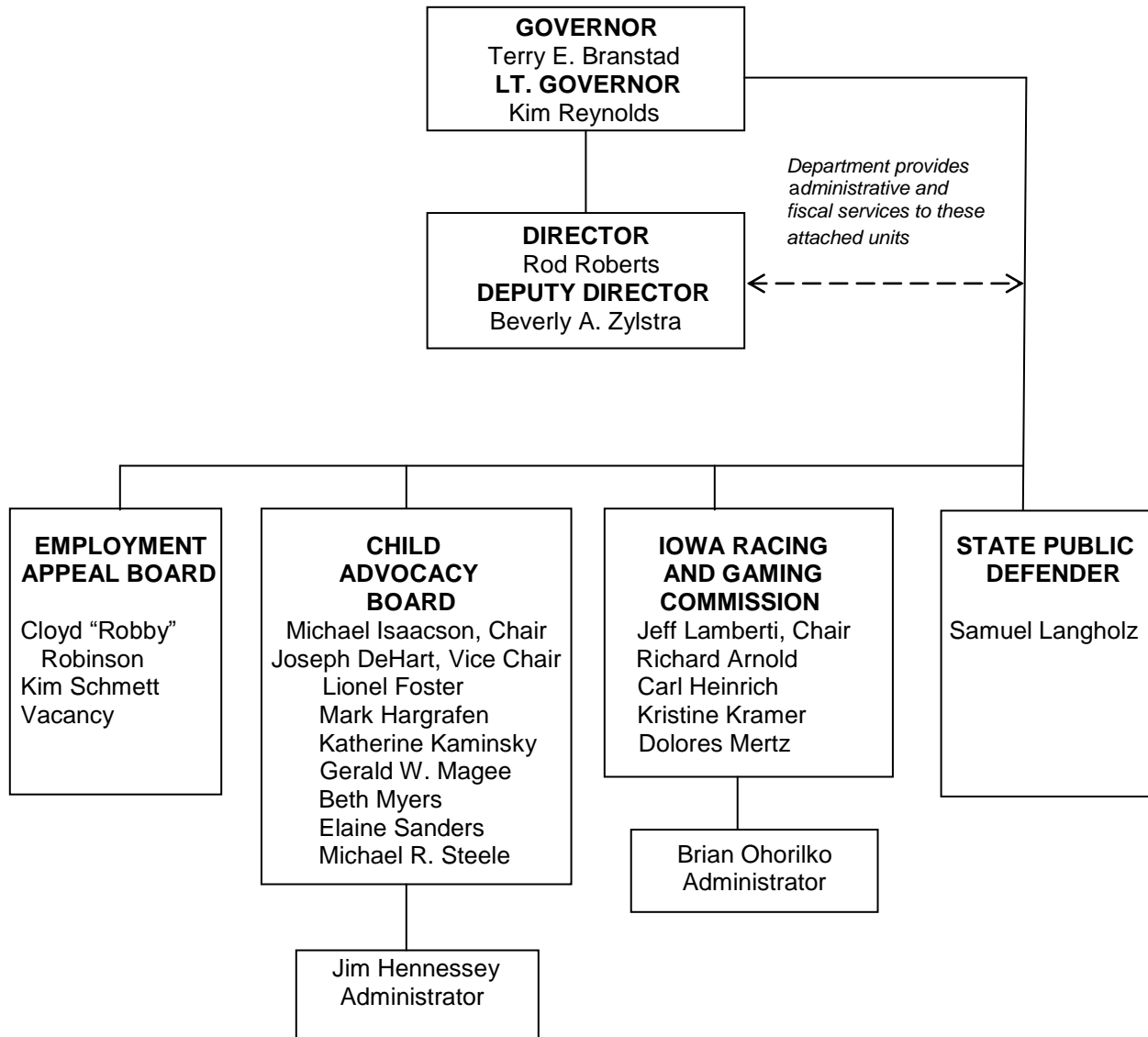
Iowa Department of Inspections and Appeals

Table of Organization



Iowa Department of Inspections and Appeals

Table of Organization



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. 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
 - Nation's best schools
 - 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 2013-2015 reflects how DIA will focus its resources.

Due to the diversity of the responsibilities of the Department, our Strategic Plan is composed of five 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.

OPERATIONAL DIVISIONS

MISSION

“Investigate, regulate and adjudicate to ensure program integrity and to protect the health, safety and welfare of Iowans.”

VISION

“An adaptable organization dedicated to objective, consistent regulation.”

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

Resourceful, knowledgeable, creative, and dedicated staff
Collaboration between some divisions and agencies
Technology to increase efficiency of staff
Using technology to make government processes easier for the public
Respectful relationships with stakeholders
LEAN government events
Supportive leadership
Maximizing limited resources
Retirements allow re-examining positions

Weaknesses

Outdated technology
Aging workforce
Financial and human resource uncertainties
Workload level
Compartmentalization
Inflexibility of policies and procedures
Physical infrastructure limitations
Inconsistent regulations
Conflicting state and federal regulatory requirements
Absence of dedicated staff for grant and rule writing
Diversity of functions
Lack of department identity

External Assessment:

Opportunities

Collaborative partnerships with other agencies
LEAN projects
Grants to supplement funding

Educate the public and stakeholders
Enhance credibility
Enhanced communication with stakeholders

Challenges

Public expectations
Public perception and understanding of DIA's role
Media
Greater transparency
Financial and human resources
Technology is moving faster than state government
Increase in aging population
Economic climate
Changing demographics of population
Political dynamics
Workload level

Narrative of Assessments:

Department-wide

An internal strength is the dedication and knowledge of our employees. Another internal strength is strong leadership for the mission of the Department.

The biggest external challenge and opportunity is our budget. DIA continues to assess and align state and federal funding with priorities and to maximize federal resources. On an ongoing basis, we evaluate what we do and how we do it. LEAN government tools are one of the evaluation methods used.

Losing knowledgeable people to retirement poses a challenge, because it takes time to train new staff. At the same time, retirements offer us the opportunity to reassess and realign resources.

Administration

The Administration Division provides leadership to the operational units. This leadership has included conducting LEAN events, yearly strategic planning retreats and ongoing assessments of the Department.

DIA partnered with FDA, USDA and other federal partners to prevent duplicative efforts and create a more streamlined food safety process. This partnership resulted in DIA receiving more federal money than in the past.

Administrative Hearings

The Administrative Hearings Division's administrative law judges (ALJs) hear over 13,000 cases a year. ALJs have a goal of issuing decisions within 60 days of the hearing. The ALJs meet this goal 100% of the time.

An external challenge is the unknown number of cases each agency utilizing the division's ALJs will receive in a year. This unknown provides an opportunity to look at how things can be done more efficiently. The administrative law judges have been cross-trained in subject areas in an effort to deal with this challenge.

Health Facilities

The Health Facilities Division provides regulatory authority for over 4,000 entities. The employees from this division ensure that the entities (such as nursing homes, assisted living programs, and hospitals) are inspected within the required state and federal timeframes.

The number of complaints filed is an unknown external challenge. This challenge has given us the opportunity to look at how we schedule complaint surveys to maximize the surveyors' time.

The unpredictability of the federal budget is an external challenge. DIA is taking this opportunity to examine the alignment of our resources to make sure we are being as efficient as possible with the resources we have. DIA has used LEAN tools to help evaluate our current use of resources.

Investigations

The dedicated investigators in this division bring in millions of dollars each year of misspent public money. The Investigations Division is a watchdog for taxpayers and ensures that the limited resources go only to those recipients who are eligible.

An external challenge is collaborating with other state agencies. It is sometimes difficult to share necessary information across state agencies. This challenge also provided us the opportunity to conduct a cross agency Kaizen.

GOALS/OUTCOME MEASURES/STRATEGIES

The Department has set three 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. Improve access to information and awareness of DIA responsibilities.

Outcome Measures:

- Percentage of applications/licenses available online.
- Percentage of departmental programs utilizing online transactions.
- Number of views to informational pages on website.
- Number of public speaking opportunities

Key Strategies:

- 1.1 Develop and implement a more interactive website
- 1.2 Maximize technology opportunities
- 1.3 Expand web-based licensing and payment options for applicants and debtors
- 1.4 Educate the public about DIA

2. Create a work environment that allows employees to maximize their talents and opportunities.

Outcome Measures:

- Retention Rate
- Percentage of time management spends with field staff
- Percentage of staff trained in two or more program areas

Key Strategies:

- 2.1 Management interacts frequently with field staff in the field
- 2.2 Provide effective management and supervision of staff
- 2.3 Provide mentoring opportunities for staff
- 2.4 Empower employees to make decisions and change processes
- 2.5 Provide adequate training to maximize potential
- 2.6 Expand use of LEAN government events
- 2.7 Use new technologies and efficiencies that allow for government savings

3. Regulations meet the state's changing demographics.

Outcome Measures:

- Percentage of Administrative Code chapters reviewed and updated
- Percentage of DIA programs evaluated and action taken
- Percentage of employees with multilingual capability

Key Strategies:

- 3.1 Review and update administrative rules
- 3.2 Review programs DIA currently is responsible for and evaluate need/priority
- 3.3 Expand multilingual capabilities
- 3.4 Evaluate changing demographics and impact on programs

CHILD ADVOCACY BOARD



**IOWA
CHILD ADVOCACY
BOARD**

2012-2014 Strategic Plan

Submitted February 3, 2012

Background

The Iowa Child Advocacy Board (ICAB), its duties and its programs are established through the provisions of Iowa Code chapter 237, Division II and appropriation laws as passed by the Iowa General Assembly and Governor of Iowa. The Board is comprised of nine members appointed by the Governor and confirmed by the Iowa Senate. Board members are appointed for four-year terms. The Board employs an administrator and other staff in accordance with available funding. The Board is an attached unit of the Iowa Department Inspections and Appeals, with which it coordinates its administrative functions.

The Board's duties include a variety of activities to monitor, assess and report on procedures and practices that impact children in juvenile court proceedings due to abuse and neglect. Much of its work is accomplished through two programs: the Iowa Citizens' Foster Care Review Board (ICFCRB) program and the Iowa Court Appointed Special Advocate (CASA) program. A common and defining aspect of both programs is their use of trained citizen volunteers to increase the level of attention that can otherwise be given to children and families in Iowa's child welfare system.

The CASA program recruits, trains and supports community volunteers to serve as effective voices in Court for abused and neglected children, strengthening efforts to ensure that each child is living in a safe, permanent and nurturing home. CASA 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, monitoring and advocacy. CASAs are available in all Iowa counties.

The ICFCRB program recruits, trains and supports community volunteers to review cases, collect data and recommend changes to promote the safety, well-being and permanency of children who have been removed from the homes of their families. ICFCRB volunteers are appointed by the Court to serve on local community boards that hold formal reviews of cases of children in out-of-home placement. Parents, providers and legal parties in the case provide information to the board for each review and are invited to attend the review in person. The children also attend when appropriate to their situation. The ICFCRB volunteers make specific findings and recommendations to the Court and other system officials for each case they review. In the beginning of 2012 there were twenty-nine local boards in the state, with at least two boards in each of the eight Department of Human Services' service areas.

Another duty of the Iowa Child Advocacy Board is to inform policy makers and others of issues affecting the best interests of abused and neglected children in the state's Court, Human Service and Foster Care Systems. An annual report is prepared by the Board to present findings and offer recommendations to improve the safety, well-being and permanency of children in Iowa.

Mission and Vision Statements of the Iowa Child Advocacy Board

Mission

To advocate for the best interests of abused and neglected children by supporting community volunteers that serve as effective voices for individual children in Iowa's child welfare system and by promoting system-wide policies and practices that are in all children's best interests.

Vision

All children and families in Iowa's child welfare system receive the services and supports they need in a timely manner.

Assessment

Based on a review of the Iowa Child Advocacy Board's resources, structure, services, activities and mandates; and, the policies and practices of others that impact on the duties of the Board, the factors listed below are considered to be those most likely to influence how the Board's Mission and Vision are actualized. These factors were taken into account as this strategy was developed, and these factors will need to be continually reassessed as the Board's plans are implemented and the results of its activities monitored.

Strengths

- Current network of knowledgeable and committed citizen volunteers
- State Board independent from system officials and operational agencies
- Administrative support from the Department of Inspections and Appeals
- Experienced ICAB staff with professional expertise and dedication to child advocacy
- Judicial, Executive and Legislative Branch support for ICAB's programs
- Common goals and partnerships with the Courts and DHS
- Enhanced technology resources becoming available to staff and volunteers
- Affiliation with the National CASA Association

Limitations and Challenges

- Complexities of child abuse and neglect cases and limited resources for Iowa's Courts and child welfare system
- An insufficient number of ICFCRBs to review all foster care children's cases
- Number of children in need of assistance without a CASA
- Rising operational costs/budget uncertainties & constraints
- Lack of flexibility in state and federal policies
- Supporting/adjusting to large scale child welfare system redesigns
- Supporting/adjusting to local and varied Court improvement initiatives
- Complexities of information management methods and technology
- Training field employees hampered by costs and scheduling demands
- Cultural competency and diversity of staff and program volunteers
- Local office staff covering large geographic areas
- Impact that competing demands for system practitioners' time has on ICFCRB process
- Reliance on numerous part-time staff and home-based offices
- Others' uncertainty or negative perceptions of programs' purposes and benefits
- Changing federal, state and local political climates
- High ratio of employees to supervisors & complex demands on local staff

Opportunities

- Community-minded Iowa citizens willing to volunteer time and effort to help children and families in need
- Potential impact that informed/involved citizens can have on Iowa's child welfare system
- Evolving collaborations with the Court and DHS
- Technological advances and enhancements
- Children's Justice Initiative of the Iowa Judicial Branch
- Enterprise-wide efforts to align Iowa's child welfare policies and practices with the federal Children & Family Service Review definitions, protocols and funding requirements
- Enterprise-wide efforts to focus resources and training on family engagement and achieving permanency for all children

Guiding Principles

The following principles guide the employees, activities and programs of the Iowa Child Advocacy Board:

- Child-Centered/Family-Focused
- Collaborations and Partnerships
- Multicultural Outreach
- Employee and Volunteer Engagement and Empowerment
- Strategic Planning/Implementation
- Performance Measurement & Analysis
- Results-driven
- Continuous Improvement

Goals, Strategies and Measures

The Iowa Child Advocacy Board meets regularly to review the activities of its employees and to monitor the processes and results of the CASA and ICFCRB programs. The Board oversees the planning of special projects and grant applications; approves major operational activities and changes; and, evaluates the performance of the Administrator. All of these activities involve the development of goals, strategies and measurements, and all such activities involve ongoing processes.

Consistent with guidance and instructions in the Iowa Department of Management's "2011 Guide for State Agency Strategic Planning," this Strategic Plan does not attempt to provide detail on all of the Board's statutory responsibilities; nor is it meant to serve as a comprehensively documented compilation of other more detailed plans of the Board and its staff. Instead, this plan comprises the three major goals described below because of their importance to the Mission and Vision of the Board and because of their overarching relationship to the many Board duties and initiatives now being planned and carried out.

Goal 1: All children involved with the CASA and ICFCRB programs will receive high quality advocacy services that contribute to their safety, well-being and permanency.

Measures:

- Percent of adjudicated abused and neglected children safe from re-abuse.
- Percent of children in foster care re-unified timely.
- Percent of children with parental rights terminated adopted timely.

Strategies:

- Provide for high quality volunteer recruitment, screening, training and support activities.
- Submit reports to the Court that are timely and that contain recommendations supported by accurate information.
- Monitor and provide feedback on employee and volunteer compliance with program policies and procedures.
- Solicit program quality improvement suggestions from employees, volunteers and interested parties.
- Partner with other agencies and organizations to identify and carry out activities to increase system-wide coordination of policy, training and practice initiatives

Goal 2: Increase the number of abused and neglected children assigned a CASA.

Measure:

- % annual change in number of children assigned a CASA.

Strategies:

- Carry out local and state efforts to promote CASA benefits to child welfare system officials and others.
- Carry out local and state efforts, including multicultural outreach projects with other advocacy organizations, to increase the number and diversity of CASA volunteers.
- Carry out local and state efforts to maintain high level of CASA volunteer retention rates.
- Monitor and provide feedback on local program offices' compliance with caseload targets.
- Solicit caseload management improvement suggestions from employees, volunteers and interested parties.

Goal 3: Increase the number of cases reviewed by ICFCRBs.

Measure:

- % biennial change in number of cases reviewed by in ICFCRBs.

Strategies:

- Carry out local and state efforts to promote ICFCRB benefits to child welfare system officials and others.
- Carry out local and state efforts, including multicultural outreach projects with other advocacy organizations, to increase the number and diversity of ICFCRB volunteers.
- Carry out local and state efforts to maintain high level of ICFCRB volunteer retention rates.
- Partner with others to pilot and assess new ICFCRB processes.
- Solicit ICFCRB process improvement suggestions from employees, volunteers and interested parties.

EMPLOYMENT APPEAL BOARD

EMPLOYMENT APPEAL BOARD

2012 - 2014 STRATEGIC PLAN

February 3, 2012

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.

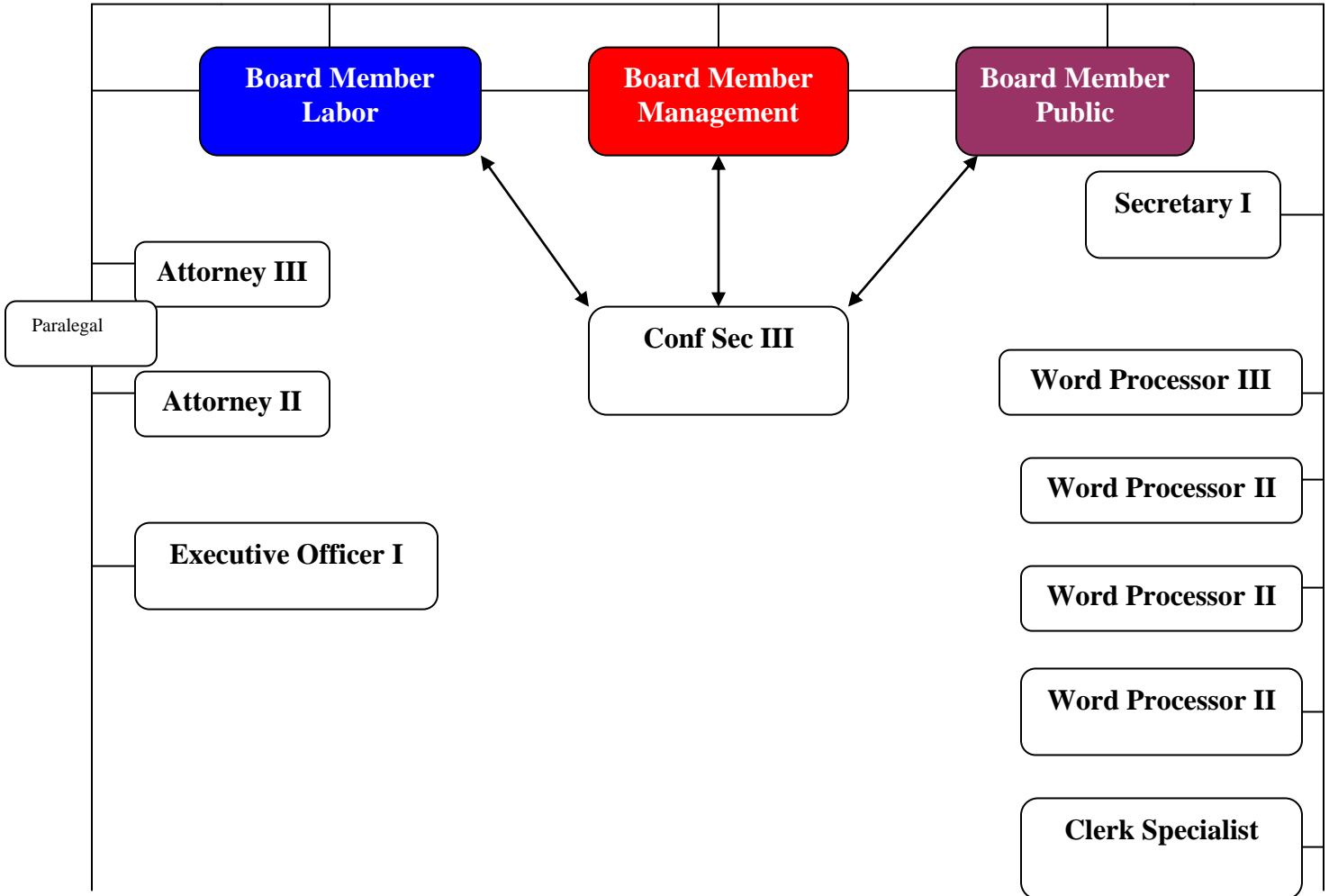
Outcome Measure:

- 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 2012



**IOWA
RACING AND GAMING
COMMISSION**

IOWA RACING AND GAMING COMMISSION



STRATEGIC PLAN 2012 - 2014

FEBRUARY 3, 2012

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.

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. Create a work environment that enhances job satisfaction.

Performance Measure:

- Rate of employee resignations by reason.

Key Strategies:

- Provide training of employees to ensure that they are knowledgeable in carrying out their job duties.

STATE PUBLIC DEFENDER

Plan was submitted on January 9, 2012