

**DEPARTMENT  
OF  
INSPECTIONS AND APPEALS**

**2008-2012  
STRATEGIC PLAN**

**Submitted December 31, 2007**

## **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.

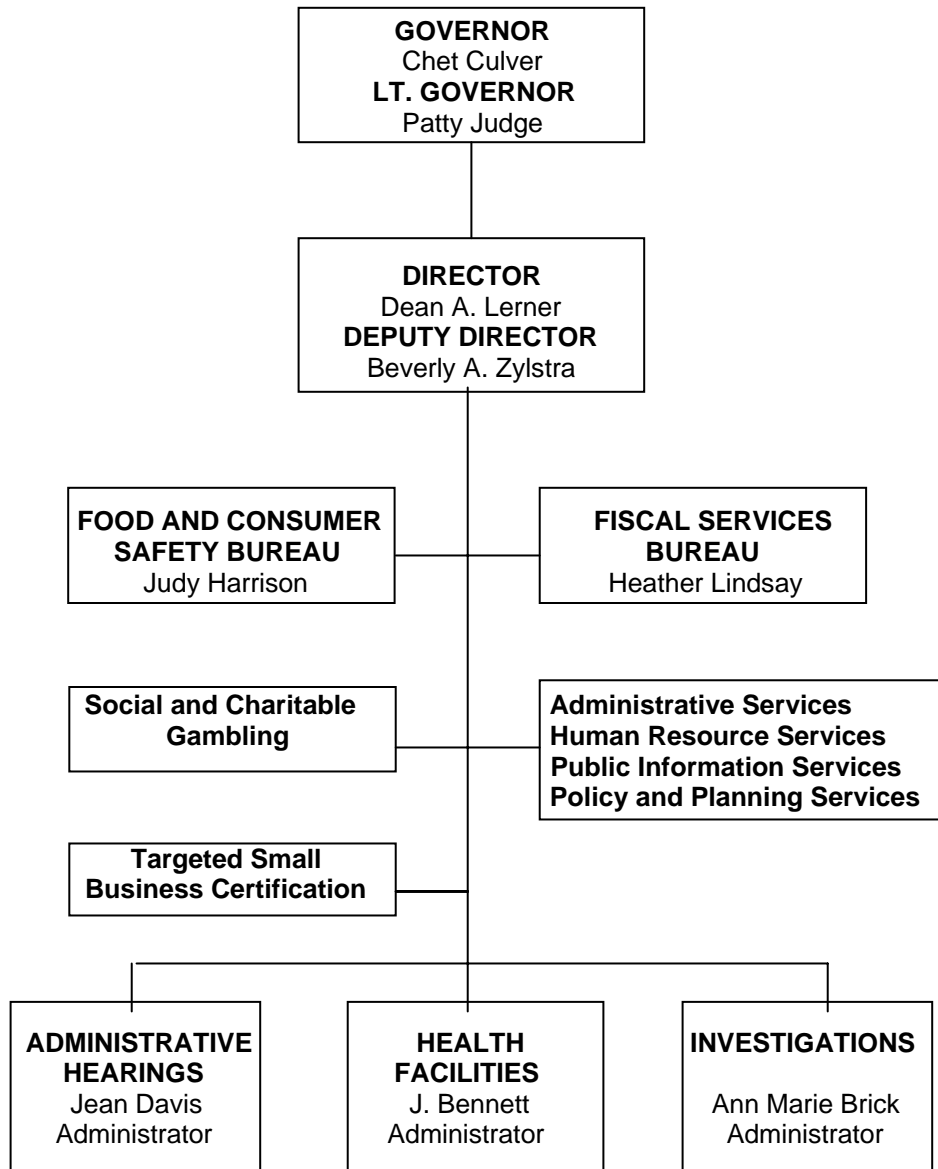
- July 2007 – Policy development for regulation of Elder Group Homes, Assisted Living Programs, and Adult Day Services Programs became the statutory responsibility of the Department.

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

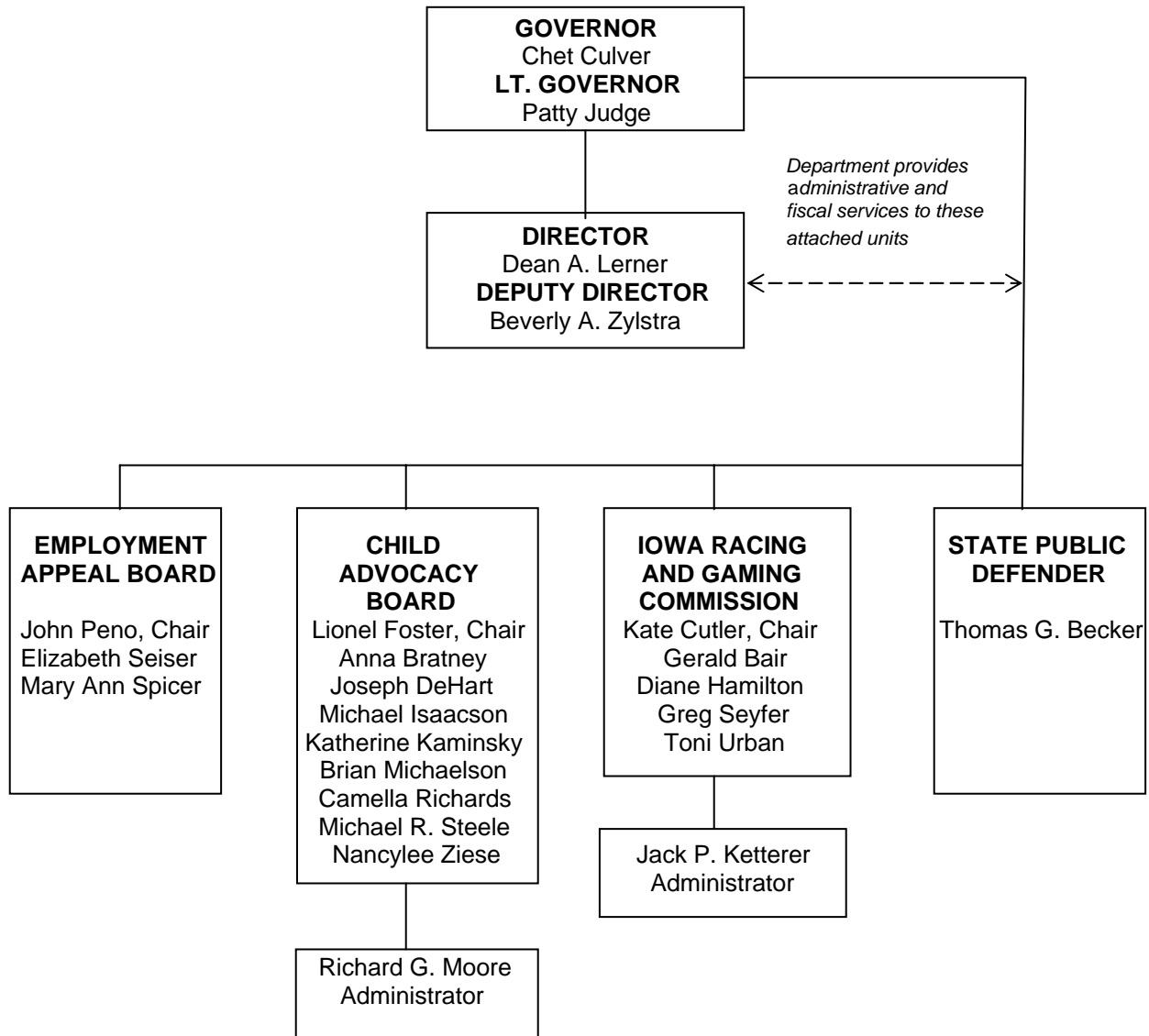
Iowa Department of Inspections and Appeals

*Table of Organization*



# Iowa Department of Inspections and Appeals

## Table of Organization



## **OUR CHALLENGE**

In January 2007, Governor Chet Culver and Lt. Governor Patty Judge began their first term in guiding the future progress of the Executive Branch. Dean Lerner was appointed Director of the Department. Director Lerner had previously served as Deputy Director of the Department since March, 2002.

Governor Culver and Lt. Governor Judge have challenged each department in the Executive Branch with focusing efforts on “One Iowa, One Unlimited Future” over the next four years in order to enhance the quality of life for all Iowans. Five policy areas have been identified to accomplish this Leadership Agenda theme:

- Workforce Development and Economic Growth
- Energy and Environment
- Health care
- Education
- Safe, Just and Inclusive Communities

Director Lerner has, in turn, challenged the employees within DIA to define specific goals and strategies to accomplish the Leadership Agenda and the Department’s Mission and Vision.

Our Strategic Plan for 2008-2012 reflects how we will meet this challenge.

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 four attached units of the Department.

# **OPERATIONAL DIVISIONS**

## **MISSION**

“To assure state and federal program integrity by adjudicating, examining, and enforcing compliance to protect the health, safety and welfare of Iowans.”

- Administrative Hearings Division – Provide fair and timely adjudication of adverse agency action, providing due process with due consideration of all parties’ rights in accordance with governing laws and the Judicial Code of Conduct.
- Health Facilities Division – Through education, regulation and enforcement, protect and enhance the health, safety, welfare, and quality of life of people receiving care and services from licensed and/or certified entities.
- Investigations Division – Monitor federal and state regulatory compliance through oversight, investigation and recovery of misspent public assistance funds in order to maximize program integrity.

## **VISION**

“An efficient, innovative, responsive organization that values diversity, respects and protects customers, promotes quality, and supports its employees.”

- Administrative Hearings Division – Committed to providing all Iowans a fair and timely opportunity to be heard with maximum use of technological resources.
- Health Facilities Division – Consistent staffing and adequate funding to maximize education and minimize enforcement in an environment of self-determination.
- Investigations Division – Collaborative partnerships to protect the public interests.

## **GUIDING PRINCIPLES**

The Department has adopted the State of Iowa Guiding Principles:

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



## **INTERNAL/EXTERNAL ASSESSMENT**

We have identified our strengths, limitations, opportunities and threats, all of which impact our mission and vision. These factors were taken into consideration as goals and strategies were developed for the Department. The following factors are those common to most of the divisions.

### **Our Strengths are:**

- Experienced, knowledgeable, versatile staff
- Dedicated long-term employees with strong work ethic
- Mix of old and new staff
- Innovative thinkers
- Open to diversity
- Collaborative and open communications
- Cooperation
- Technological advances supported by leadership
- Strong leadership
- Supportive management/environment
- Good working relationships with our customers
- Effective partnership between programs and external agencies and organizations

### **Our Limitations are:**

- Lack of succession planning
- Knowledgeable and long term staff close to retirement
- Office and meeting space limitations
- Technology challenges
- Financial and human resource limitations
- Too much emphasis on crisis management
- Public perception of the Department
- Traditional approach/reluctance to change
- Inconsistent interpretation of law and rules
- Inconsistent data monitoring and retrieval
- Staff turnover
- Enterprise personnel practices
- Fees or other revenue collected not retained for use by the department
- Lack of flexibility in managing staff and funding

### **Our Opportunities are:**

- Additional resources for special projects through federal or private grants
- Collaborative partnerships with other state and federal agencies, judicial bodies, and private organizations
- Opportunity to provide training and education to our customers
- Outside training resources and opportunities
- Technological advances and enhancements

- Support from the Governor’s Office
- Opportunity to submit legislation/rules
- Media
- Public Involvement

**Our Threats are:**

- Regulated community and organizations
- Increased involvement of private attorneys
- Regulatory perception/public image
- Potential natural disasters
- Aging population/declining population
- Lack of diversity awareness
- Fear of change
- Technology demands and environment
- Economic impact on collections
- Media
- Public involvement
- Political climate
- Differing priorities of other state agencies
- Reliance on other state agencies in fulfilling our responsibilities
- Budget constraints – state and federal
- Public/legislature/other agencies’ uncertainty of our responsibilities and activities

**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. Create a flexible, responsive, and diverse work environment that promotes job satisfaction, team building, skill development and work force tenure>**

**Outcome Measures:**

- Retention Rate
- EEO Rates
- Employee Satisfaction Rate

**Key Strategies:**

- 1.1 Provide adequate, secure, dedicated space conducive to processing and conducting confidential appeal hearings, investigations, inspections, and audits
- 1.2 Increase employee awareness of cultural differences
- 1.3 Develop a succession plan
- 1.4 Provide tools, training, and educational opportunities for employees

- 1.5 Identify and implement feasible recruitment and retention methodologies
- 1.6 Conduct periodic staff satisfaction surveys

## **2. Enhance customer-centered services and satisfaction.**

### **Outcome Measures:**

- Customer Satisfaction Rate
- Percent of licenses/certifications renewed on-line

### **Key Strategies:**

- 2.1 Provide a web-based case management docketing system that is easy to use for all parties to appeals
- 2.2 Increase satisfaction of appellants and their representatives and the state agencies/boards in the hearing process
- 2.3 Provide outreach education of law/rules and programs
- 2.4 Adapt services to meet customer needs
- 2.5 Publicly acknowledge the contribution of others
- 2.6 Increase public awareness of Targeted Small Business Certification program eligibility standards
- 2.7 Enhance public awareness relative to the accomplishments of the Department
- 2.8 Increase transparency of Department activities and information

## **3. Meet all state and federal performance standards, efficiently and effectively.**

### **Outcome Measures:**

- Cost/benefit Ratio
- Internal Report Card

### **Key Strategies:**

- 3.1 Increase recovery of misspent public funds
- 3.2 Strengthen the Food and Consumer Safety compliance and enforcement program
- 3.3 Investigate all health care facility and health provider complaints/incidents within prescribed timeframes
- 3.4 Establish a continuous quality improvement environment

# **CHILD ADVOCACY BOARD**



**IOWA  
CHILD ADVOCACY  
BOARD**

**2008-2012 Strategic Plan**

**Submitted December 31, 2007**

## **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 were available in 68 Iowa counties in the beginning of 2007. Funding was appropriated to expand this program into the State's other 31 counties during the state fiscal year 2008.

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 conduct 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 to the Court and other system officials for each case they review. ICFCRBs were holding regular reviews in 62 Iowa counties in 2007.

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.

This plan was prepared to assist the Iowa Child Advocacy Board to carry out its duties and comply with Iowa's Accountable Government Act in accordance with the Iowa Department of Management's "2007 Guide for State Agency Strategic Planning."

## **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 childrens' 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
- Strong Judicial, Executive and Legislative Branch support for the CASA program
- Common goals and partnerships with the Courts and DHS
- Enhanced technology resources becoming available to staff and volunteers
- Comprehensive program policies and procedures manuals regularly updated by local ICAB staff
- 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
- Lack of ICFCRBs in some counties in the State
- 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

### **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 budget requests and major operational activities and changes; and, annually 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 previously referenced "2007 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 children in program safe from re-abuse.
- Percent of children in program re-unified timely.
- Percent of children in program 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.

**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 counties in which ICFCRBs are operating.**

***Measure:***

- % biennial change in number of counties in which ICFCRBs are operating.

***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**

**EAB**

**EMPLOYMENT  
APPEAL BOARD**

**STRATEGIC**

**PLAN**

December 31, 2007

## **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 knowledges, 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.

### ***Threats:***

- Unpredictability of future technology 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.**

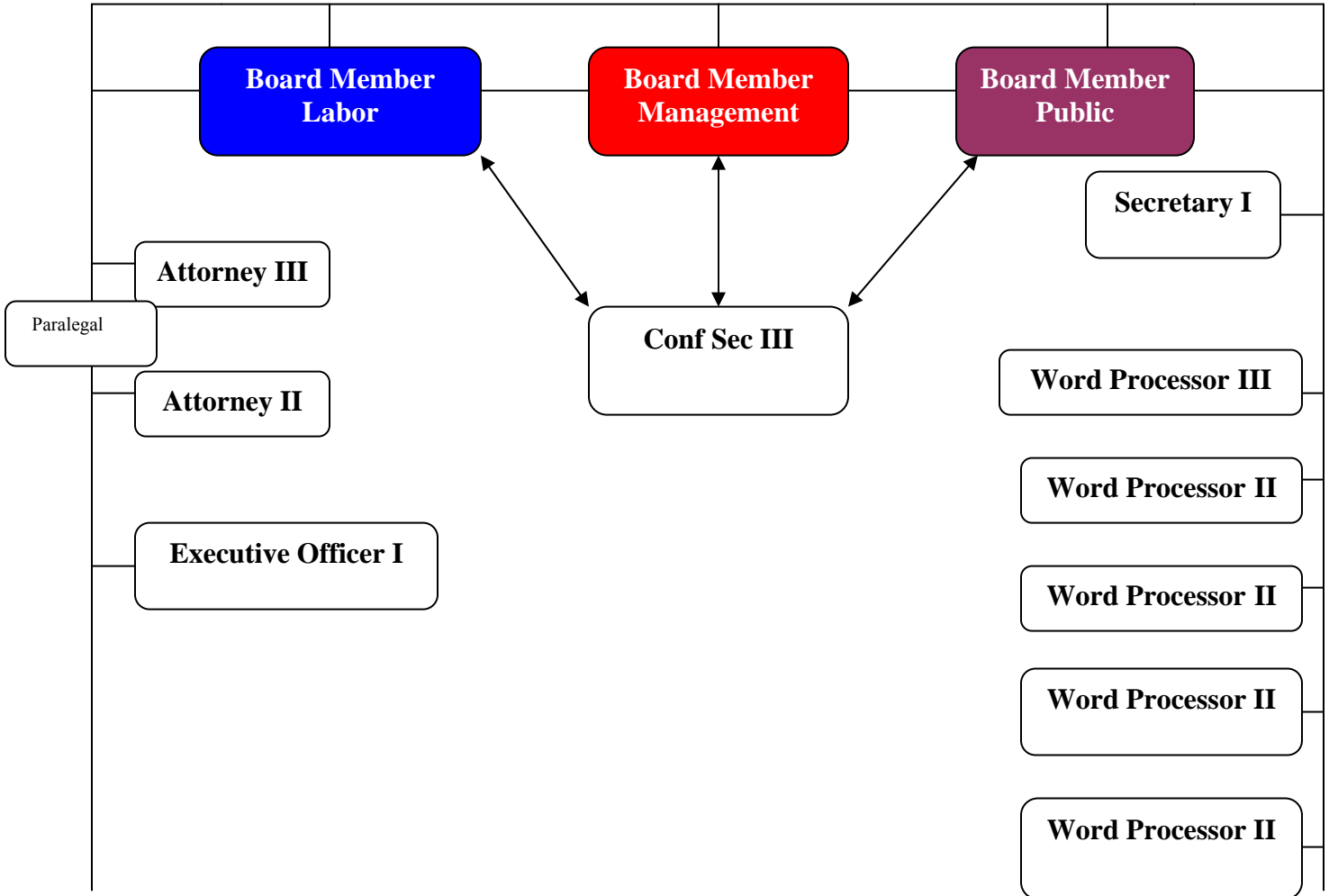
***Outcome Measure:***

- 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 2008



**IOWA  
RACING AND GAMING  
COMMISSION**

# **IOWA RACING AND GAMING COMMISSION**



## **STRATEGIC PLAN 2008-2012**

**DECEMBER 31, 2007**

## **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.

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 racing and gaming entertainment of the integrity of the 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, excellent and quality
- Regulation is strengthened through collaboration with other agencies and jurisdictions
- Financially responsible and accountable

## **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, 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 are 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 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 Threats are:**

- Budget constraints/rising costs.
- Changes in laws in contiguous state.
- Negative public image.
- Reliance on other state agencies in fulfilling our responsibilities.
- Rapid changes in the needs of customers.
- Political climate.
- 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:

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

***Performance Measures:***

- 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.

**Goal 2: Create a work environment that enhances job satisfaction.**

***Performance Measure:***

- Rate of employee resignations by reason.

***Key Strategies:***

- Increase the line speed between the field locations and the Des Moines location.
- Provide training of employees to ensure that they are knowledgeable in carrying out their job duties.



# **STATE PUBLIC DEFENDER**

**STATE PUBLIC DEFENDER**

**2008-2012  
STRATEGIC PLAN**

**Submitted December 31, 2007**

## STATE PUBLIC DEFENDER

**Vision:** Working for justice . . . all day, every day.

### **Mission Statement:**

The Mission of the State Public Defender is to coordinate provision of indigent defense services throughout Iowa; provide high-quality legal representation for indigent defendants in criminal court, indigent clients in juvenile court, and indigent clients in other proceedings as may be required by law; and administer payment of costs for indigent defense providers, all in a fiscally responsible way.

### **Core Functions:**

Provide high-quality and cost-efficient representation by public defenders to indigent clients in State criminal court, juvenile court, and other proceedings as required by law.

Review and adjudicate claims for payment of indigent defense fees and costs from indigent defense providers, promptly and fairly.

### **Internal/External Assessment:**

We've identified our strengths, limitations, opportunities and threats, all of which impact our Mission and Vision. These factors were taken into consideration as we developed Goals and Strategies for the State Public Defender System and individual programs.

### **Our Strengths Are:**

- Experienced public defender field office and SPD Administrative Office staff with professional expertise
- Experienced attorneys willing to contract for indigent defense services in most locations
- Effective partnership between public defenders and the private bar
- Demonstrated efficiency and expertise of public defender offices
- Enhanced technology available to public defender field offices and SPD Administrative Office staff assist in managing cases, conducting legal research, maintaining communications, managing indigent defense claims, and collecting accurate data to respond effectively to client and customer needs
- New leadership perspectives and direction
- Improved physical working environments
- Credibility with Governor and General Assembly

**Our Limitations Are:**

- Staff and funding level limitations
- Situational shortage, for some cases in some locations, of experienced private attorneys willing to accept court appointments
- Public defender offices aren't located in all major population centers
- Public perception that public defenders aren't "real lawyers"
- Perception of some private attorneys that SPD is a threat to their livelihood by cutting their claims for improper reasons and increasing public defender cases
- Inconsistent experience and quality of private attorneys taking court appointments

**Our Opportunities Are:**

- Obtaining additional resources for public defender operations by continuing to demonstrate the economic efficiency of public defenders, and educating the public and policymakers as to the necessity of full funding for indigent defense
- Making the most of SPD's organic resources for training and project development
- Partnerships with other organizations for no-cost or low-cost training
- Continued leadership in forging indigent defense policy at the national level

**Our Threats Are:**

- Budget constraints that prevent us from expanding where appropriate
- Refusal to take court appointments by some private attorneys because of fee levels
- Lack of funding for training and making necessary improvements in technological support for public defender field offices
- Negative public perception of public defenders
- Adversarial relationship with some sectors of the private bar
- Political climate that makes indigent defense a low priority among some policymakers

**Goals, Measures and Strategies:**

**Goal 1: Achieve quality representation of clients by public defender offices.**

***Measure:***

- Percentage of public defender cases where there have been final findings of ineffective assistance of counsel, either on direct appeal of convictions, after post-conviction relief actions, or (in the case of civil commitments) habeas corpus actions

***Strategies:***

- Seek funding to keep public defender offices fully and professionally staffed

- Recruit and hire the best attorneys, investigators, and administrators available
- Enhance the abilities of public defender personnel by providing or coordinating resources, information, training, and professional development

**Goal 2: Maintain economic efficiency of indigent defense programs by maximizing use of public defender resources while maintaining quality representation.**

*Measures:*

- Percentage of caseload performance expectations achieved by SPD System
- 95% of caseload performance expectation (71,000 cases)

*Strategies:*

- Establish and maintain caseload performance expectations for the SPD System and public defender field offices
- Engage with judges and public defender field offices to ensure that public defender field offices are receiving appointments in all cases for which they are designated
- Review public defender caseloads to maintain quality service

**Goal 3: Maintain a process for the review and adjudication of indigent defense claims that produces correct results within a reasonable time.**

*Measures:*

- Percentage of Notices of Action on indigent defense claims that are unchallenged or upheld upon final judicial review
- Percentage of indigent defense claims reviewed and acted upon within an established time period
- Average processing time for an indigent defense claim within an established standard

*Strategies:*

- Publish and properly apply administrative rules and internal procedures that govern the indigent defense claims process

- Acquire and administer appropriate data automation systems to manage the indigent defense claim process
- Produce and review data concerning the propriety and timeliness of actions on indigent defense claims