



Iowa Department of

INSPECTIONS

APPEALS &

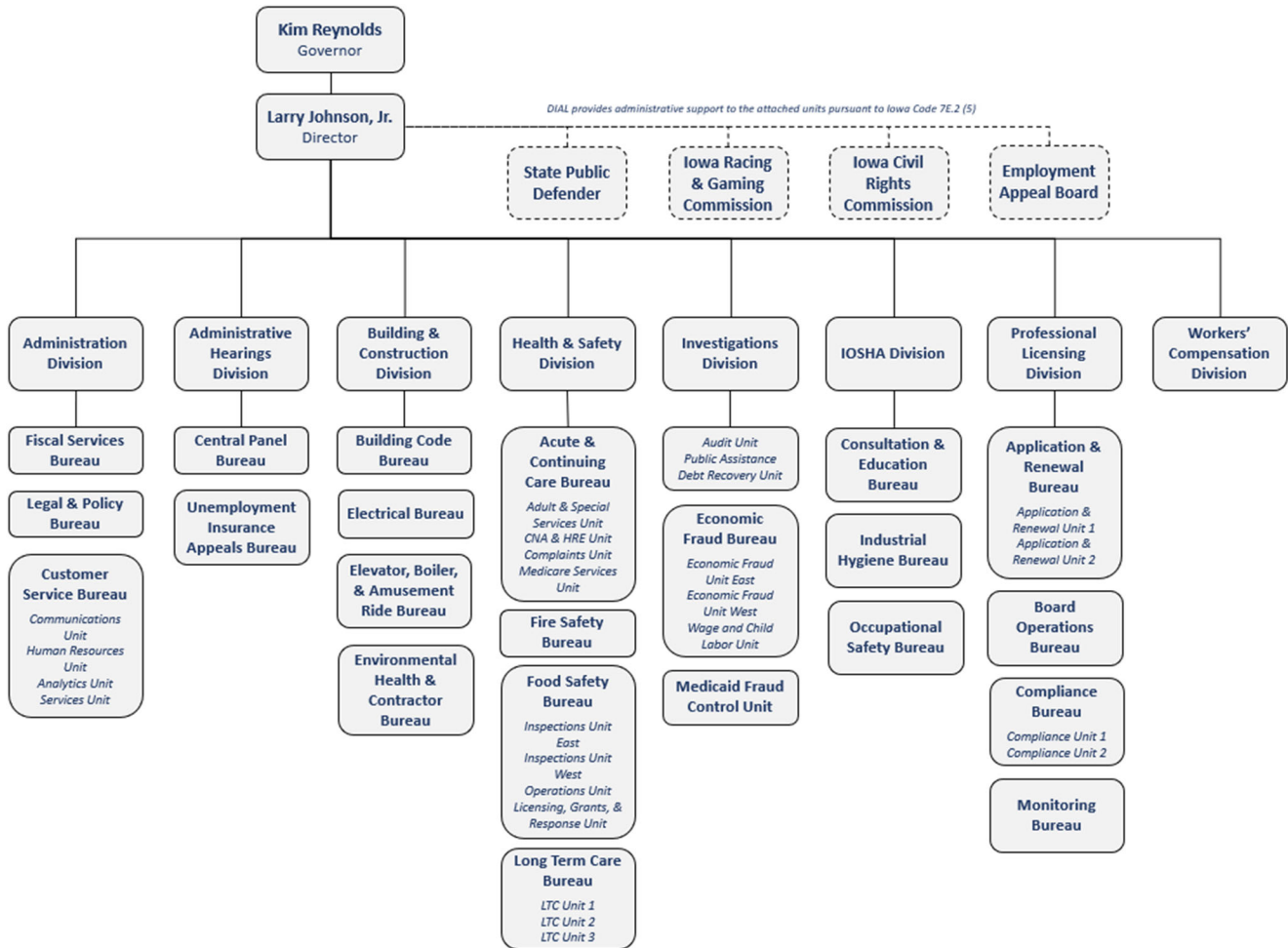
LICENSING

STATE FISCAL YEAR 2025 - 2027

STRATEGIC PLAN



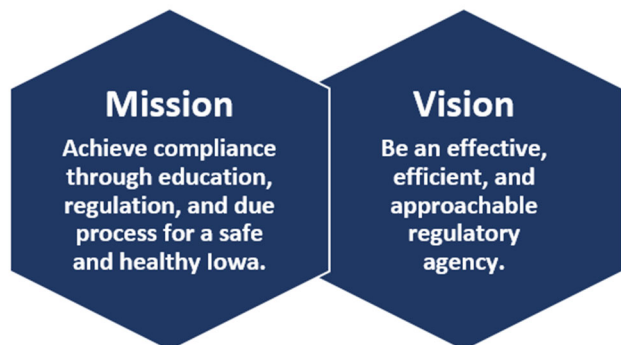
TABLE OF ORGANIZATION



OUR MISSION & VISION

The mission and vision of the Iowa Department of Inspections, Appeals, and Licensing (DIAL) provide the lens through which we focus on the Governor’s priorities:

- Elevating Education for Every Student
- Preparing the Next-Gen Workforce
- Cutting Taxes
- Supporting Health and Well-Being
- Holding Government Accountable
- Protecting Iowa's Farmland



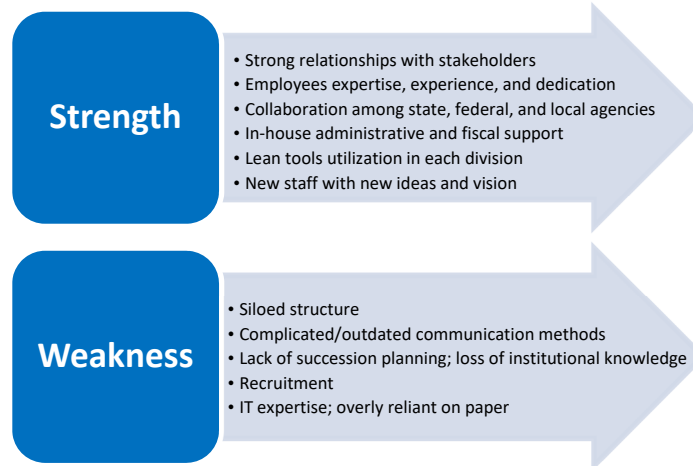
DIAL’s Strategic Plan for State Fiscal Year (SFY) 2025 - 2027 reflects how DIAL will focus its resources.



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



External Assessment





STRATEGIC INITIATIVES & OPERATIONAL GOALS

The department's vision is to be an effective, efficient and approachable agency. The department is aligning its goals and resources to achieve its vision as set out below. Key strategies have been identified for moving toward achieving these goals. The goals, outcome measures and strategies are as follows:

STRATEGIC INITIATIVE 1: INCREASE THE NUMBER OF RECERTIFICATION SURVEYS OF FEDERALLY ACTIVE NURSING HOMES.

- Supports governor's priority 4 (Supporting Health and Well-Being)

GOAL: Every active federally certified nursing home will have a recertification survey in the 15.9 months prior to the end of FY 2025.

Measure - complete 32 recertifications per month by 07/01/25. (key performance indicator)

STRATEGIC INITIATIVE 2: DEPLOY A UNIFORM LICENSING TECHNOLOGY SOLUTION.

- Supports governor's priority 5 (Holding Government Accountable)

GOAL: The department will decrease the processing time to issue a license, permit or approval by deploying a uniform technology solution.

Measure 1 – deploy DIAL's new licensing system in stages by SFY 2026.

Measure 2 – hold LEAN events to streamline processes across divisions.

Measure 3 – reduce the total number of days to issue a license/permit/approval to no more than five days by 07/01/26. (key performance indicator)

STRATEGIC INITIATIVE 3: INCREASE OSHA EDUCATIONAL CONSULTATIONS.

- Supports governor's priority 4 (Supporting Health and Well-Being)

GOAL: The department will increase the number of OSHA educational consultations by 10 percent.

Measure 1 – complete 30 consultations per month by 07/01/25. (key performance indicator)

EMPLOYMENT APPEAL BOARD

STRATEGIC PLAN 2025

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 Chapters 20, 80, 88, 91C, 96, and 97B. The Employment Appeal Board is also now responsible for running elections for public employee collective bargaining under Chapter 20. As a quasi-judicial state agency, the Employment Appeal Board will provide timely election results and adjudication of matters under their review.

Core Functions

- Adjudication of Unemployment Insurance (UI) Laws
- Adjudication of State of Iowa Employees' Grievances
- Adjudication of OSHA Violations
- Adjudication of Contested Issues Arising Under Chapter 20
- Adjudication of Department of Administrative Services (Human Resources) decisions
- Adjudication of Iowa Public Employees Retirement System (IPERS) decisions
- Adjudication of Peace Officer and Capitol Security Disciplinary Actions
- Adjudication of Labor Commissioner's Citations or Proposed Penalties
- Administration of All Public Employee Union Elections

Our Vision

The Employment Appeal Board is dedicated to being fair and timely in reviewing the decision from the lower level based on the administrative evidence and in running the elections for public employee collective bargaining. This includes adopting rules pursuant to Chapter 17A to establish the manner in which contested cases are presented and hearings are conducted. And adopting rules pursuant to Chapter 20 to run fair and efficient elections. 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, decisions, and election results.

Guiding Principles

The Employment Appeal Board is service focused and renders timely decisions and election results that are based on the evidence, the vote, 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 inter-office cross-training modules with modification to areas that will aid 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, decision processing, and determining issues to go before the Employment Appeal Board.

Limitations:

- The limited knowledge and experience related to duties previously performed by the Public Employee Relations Board ("PERB"), particularly as it relates to elections.
- The addition of multiple new case management systems regarding elections, electronic filing, and the implementation of the new unemployment system (GUS) from Iowa Workforce Development.

Opportunities:

- Delivery of decisions and orders through the new case management systems which will eliminate the need and cost of making multiple copies and mailing decisions to all parties.
- Streamline the elections process(es) for public employee collective bargaining to make it more efficient for the parties and the Employment Appeal Board.
- Dispense information regarding the Employment Appeal Board and former Public Employment Relations Board ("PERB") on the new statewide streamlined website platform.

Challenges:

- Taking on all the duties of a different agency with only one full-time employee transferring from the other agency to the Employment Appeal Board.
- Unpredictability of future federal and state funding and those impacts 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).
- State Employee Grievances filed against their employing agency (Iowa Code Section 8A.415).
- Elections pertaining to public employee collective bargaining (Iowa Code Section 20).

Outcome Measures

- Maintain timeliness related to unemployment insurance appeals and continue to exceed the US Department of Labor (USDOL) goals of reviewing cases and issuing the majority of decisions within 40 days of the appeal being filed.
- Provide accurate and timely information to the public regarding how the Employment Appeal Board will handle the functions of the agency formerly known as PERB.

Key Strategies:

- Cross-train all administrative staff, so that everyone can perform the current duties of the Employment Appeal Board and the inherited duties of the agency formerly known as PERB.
- Enhance communication to the public through the Employment Appeal Board website.
- Develop internal deadlines for decisions and election results for the inherited duties of the agency formerly known as PERB.
- Hire additional staff to make sure the timeliness continues to exceed USDOL requirements and meet or exceed the timeliness requirements for the elections and non-unemployment insurance decisions.

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

Outcome Measures:

- Provide consistent and ongoing training to staff on the new case management systems, laws, and agency functions.
- Hold quarterly one-on-one and group meetings with staff members to ensure they are satisfied and collaborate on ways to improve what is not working.
- Provide the tools and support needed for the employees to be successful in their positions.

Key Strategies:

- Ensure all employees have time to attend the training for the new systems.
- Write processes and procedures for all job functions as a resource and to ensure consistent work product.

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 Measures:

- Reduce the number of systems for filing appeals and/or election results.
- Identify inefficiencies as to how cases are being transmitted to DIAL Administrative Hearings Division and how the files are being transferred back to the Employment Appeal Board when a decision is appealed.
- Fully incorporate the new unemployment insurance system and ensure staff proficiency.
- Streamline the public employee election process to be more efficient for the stakeholders and provide efficient, cost-effective services by the Employment Appeal Board.

Key Strategies:

- Review the current systems and work with vendors and partners to determine what efficiencies exist and can be incorporated into the current systems.
- Review and amend the regulations related to Iowa Code Chapter 20 to streamline the election process.



**IOWA OFFICE
OF CIVIL
RIGHTS**

DRAFT

**STATE FISCAL YEAR 2025
STRATEGIC PLAN**



IOWA OFFICE
OF CIVIL RIGHTS
State of Iowa

OUR MISSION

TO PROVIDE IMPARTIAL, EFFICIENT, AND FACT-DRIVEN INVESTIGATIVE ANALYSIS OF DISCRIMINATION COMPLAINTS FILED IN IOWA AND PROMOTE CIVIL RIGHTS OUTREACH AND EDUCATION OPPORTUNITIES THROUGHOUT THE STATE.

OUR VISION

THE IOWA OFFICE OF CIVIL RIGHTS SEEKS TO ELIMINATE ILLEGAL DISCRIMINATION WITHIN THE STATE OF IOWA.

CORE VALUES AND FOCUS

IMPARTIAL

WE WILL PROVIDE NEUTRAL, FACT-DRIVEN INVESTIGATIONS TO ENSURE IOWANS ARE TREATED JUSTLY UNDER THE LAW

EFFICIENT

WE WILL WORK TO ENSURE TAXPAYER DOLLARS ARE UTILIZED TO THEIR FULLEST EXTENT

PURPOSEFUL WORK ETHIC

WE NURTURE A CULTURE OF OUTSTANDING WORK ETHIC, TEAMWORK, AND DILIGENCE

CUSTOMER SERVICE FOCUS

WE ARE COURTEOUS, RESPONSIVE, AND RESPECTFUL

TRUSTED RESOURCE

WE ARE A RELIABLE CIVIL RIGHTS RESOURCE FOR IOWANS

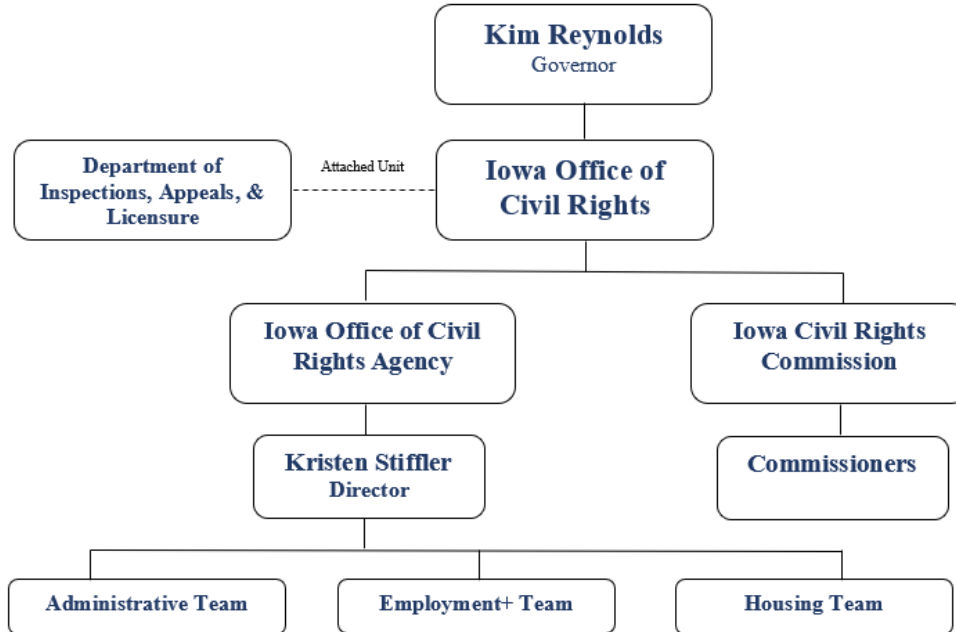
MISSION ORIENTED

WE WILL KEEP A CONSTANT FOCUS ON ENSURING JUST OUTCOMES FOR IOWANS



IOWA OFFICE OF CIVIL RIGHTS

TABLE OF ORGANIZATION*



* In effect July 1, 2024 pursuant to SF 2385

AGENCY ASSESSMENT

The Iowa Office of Civil Rights completed an internal and external agency assessment, all of which impact the mission and vision of the agency. These factors were taken into consideration as goals and strategies were developed for the agency.

S Strengths	W Weaknesses	O Opportunities	T Threats
<ul style="list-style-type: none"> • Staff dedication (I) • Legal expertise of Iowa civil rights law (I) • Agency culture of quality investigations (I) • Access to Assistant Attorney General (E) • Viewed highly by federal partners (E) 	<ul style="list-style-type: none"> • Small state agency with tight statutory deadlines (E) • Historically high turnover rates (I) • Outdated case management system (I) • Data integrity (I) • Lack of succession planning (E) 	<ul style="list-style-type: none"> • Utilize process improvements to promote efficiencies (I) • Utilize state supportive services to illustrate organizational needs (E) 	<ul style="list-style-type: none"> • Federal & State Appropriation (E) • Federal government’s decision to contract for services (E) • Historically high turnover rates (I)

(I) – Internal Assessment **(E)** External Assessment



STRATEGIC INITIATIVES & OPERATIONAL GOALS

The Iowa Office of Civil Rights' initiatives and operational goals reflect the Governor's priorities, specifically priority #5 "Holding Government Accountable". The Iowa Office of Civil Rights' Strategic Plan for State Fiscal Year 2025 (SFY 25) reflects how IOCR will focus its resources in the coming year.

GOAL 1

The agency will improve efficiencies within the administrative process.

KPI – Management Team to complete Lean Six Sigma Course and review agency processes through a Lean Six Sigma lens by 7/1/26

KPI – The agency will complete a review of agency rules for Executive Order 10 by 12/1/2025

KPI – Management Team will review the Iowa Civil Rights Act and provide legislative proposals to ensure accessibility and readability for Iowans by 9/1/2025

GOAL 2

The agency will utilize technology to promote process efficiencies and improved data integrity.

KPI – The agency will move to a paperless system for investigations by 1/1/2025

KPI – The agency will roll out its new case management system by 10/1/2024

KPI – The agency will assess data inputs and outputs to promote data integrity - ongoing

GOAL 3

The agency will increase discourse with diverse stakeholders surrounding civil rights topics.

KPI – The agency will promote the Iowa Civil Rights Act compliance initiative to educate small businesses - ongoing

KPI – The agency will initiate a Director's Forum in FY25 for stakeholder engagement on administrative processes - ongoing

KPI – The agency will create a listserv to keep stakeholders updated on agency and commission activities – Fall 2024



IOWA RACING AND GAMING COMMISSION



**STRATEGIC PLAN
2025 - 2030**

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 to allow 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 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 man-made 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 watermark of the river. In May of 2007, legislation was enacted to allow for gambling structures (not including racetrack enclosures) that are subject to land-based building codes rather than maritime or Iowa Department of Natural Resources' inspection laws and regulation in which lawful gambling is authorized and licensed. This legislation effectively ended the requirement that gambling games be conducted over water.

In May of 2011, legislation was enacted to allow 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 to allow 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 legislation also allowed for simulcast venues at 99F facilities under certain circumstances.

In 2016 legislation was enacted to exclude certain promotional play receipts from the definition of adjusted gross receipts for purposes of the wagering tax on gambling games. In 2017 legislation was enacted to allow statewide self-excluded persons to lift their lifetime ban if it had been more than five years since their self-exclusion and allowed for new patrons wishing to self-exclude to opt for a five year or lifetime ban going forward. It also required the Commission to be the custodian of the self-exclusion database previously maintained by the industry

In 2019 legislation was enacted to authorize sports betting and fantasy sports contests in the state under the regulation of the Commission. On August 15, 2019 certain sportsbooks and online

wagering platforms began operating in Iowa. On October 25, 2019 fantasy sports contests began operating in Iowa.

In 2022 legislation was enacted that allowed for the licensing of an alternative simulcasting entity to conduct telecasting of horse or dog races. The Iowa Greyhound Park held the last dog race in Iowa on May 15, 2022, and ceased operations on December 31, 2022. An alternative simulcasting license was granted, effective January 1, 2023, to the Horsemen of Iowa Simulcast Association to offer off-track betting at casinos licensed under Iowa Code 99F.

The Commission is attached to the Department of Inspections and Appeals and Licensing for administrative support purposes.

Mission Statement:

The mission of the Iowa Racing and Gaming Commission is to administer the laws and rules for gambling and wagering in Iowa in order to ensure the integrity of licensees and their operations, maintain public confidence in regulated gambling and wagering activities in Iowa, and promote economic development for the citizens of Iowa.

Vision Statement:

To be a regulatory commission that creates an 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, gaming, sports wagering and fantasy sports contest industries.

Guiding Principles:

Upholding the law through:

- Protecting the integrity of the industry we regulate
- 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.
- 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 public and industry.
- Iowa licensed facilities under 99D, 99E, 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.
- Staffing and funding level limitations.
- Challenge in staying abreast with rapid industry growth and changes.
- Impact of changing laws in contiguous jurisdictions.
- Candidate pool to replace employees who leave their position is shrinking and less competitive with private market.

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 industry compliance and public confidence.

Our Challenges are:

- Budget constraints/rising costs.
- Changes in laws in contiguous states.
- Negative public image.
- Coordinating with other state agencies in performing inter-related responsibilities.
- Rapid changes in the needs of industry.
- Increased emphasis on serving the public and industry through electronic means.

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 un-licensable issues that are discovered and acted upon during initial review of occupational licenses.

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 and entities

Performance Measure:

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

Key Strategies:

- Audit gambling revenue records.
- Audit slot systems.
- Ongoing training for staff to provide the knowledge necessary for them to perform auditing duties.