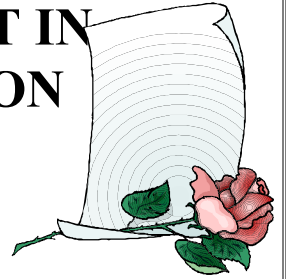


CONTINUOUS QUALITY IMPROVEMENT IN THE SNAKE RIVER BASIN ADJUDICATION



I. INTRODUCTION

We want quality to be the culture of the adjudication bureau. That means:

- ☞ We focus on achieving customer satisfaction.
- ☐ We make continuous improvements.
- ☐ We give everyone responsibility for improving quality.

We hope to capture the essence of this culture in this Continuous Quality Improvement guide. It is written to show what the Adjudication Bureau can achieve as a problem solving team maximizing the potential of each of its members. The culture we describe will allow us to provide the products needed by the Court, the public, and other Bureaus of IDWR, under the legal, time and monetary constraints placed upon us by the Legislature. The Snake River Basin Adjudication will happen only once requiring us to always seek the best possible way to complete it for ourselves and future generations.

II. ORGANIZATION

A. Mission Statement

ACCURATELY DETERMINE THE WATER RIGHTS IN THE SNAKE
RIVER BASIN ADJUDICATION

B. Vision



As a leader in the country, we will provide the citizens of Idaho, legislature and the Department of Water Resources with reliable, usable water right information in an efficient and timely manner through the application of professional expertise and innovative methods, for the present and in the future.



C. Core Values

- ✍ We are committed to customer satisfaction
- ✍ We are committed to integrity
- ✍ We are committed to accurately describing water rights
- ✍ We are committed to mutual respect
- ✍ We are committed to honoring the work we do
- ✍ We are committed to team work
- ✍ We are committed to accountability (being accountable to customers)
- ✍ We are committed to improving efficiency and timeliness
- ✍ We are committed to providing training and professional growth
- ✍ We are committed to humor
- ✍ We are committed to an encouraging environment
- ✍ We are committed to innovation
- ✍ We are committed to supporting the individual to ensure their success and the success of the team



D. Quality Policy



Everyone in the Adjudication Bureau plays a part in the development and implementation of Continuous Quality Improvement.

- 🏆 Teamwork is our goal.
- 🏆 All employees are empowered to contribute to change in our processes to improve our products.
- 🏆 Leaders have the responsibility to encourage employee training and to integrate new ideas. They are responsible for following up on implementation plans and to reward and recognize employees.

Our processes and products can always be improved.

**Improvement
Ideas**

- 1.
- 2.
- 3.



- Continuous improvement requires teamwork, better measurement of our results, and more involvement of employees and customers in the activities of the Bureau.
- We will do our work to the best method known at the time, the first time, for each of our customers.

The people of the State of Idaho are our most important customer. They speak through the Idaho Legislature. The Idaho Legislature created our statutory responsibilities and pays for our work.



- The Adjudication Bureau will continuously monitor its fidelity to the statutory framework established by the Idaho Legislature and suggest improvements to that framework.
- The Adjudication Bureau will continuously improve the efficiency and cost-effectiveness of its work in order to exceed the expectations of the Idaho Legislature.
- The Adjudication Bureau will honor its commitments to the Idaho Legislature regarding the timeliness with which it will complete its statutory responsibilities.

The Court presides over the Snake River Basin Adjudication ensuring that the laws of the State of Idaho are being followed, that due process is provided to all parties, and that there is a fair and impartial forum for resolving factual disputes.



- The Bureau will continue to improve with the Court a mutually acceptable plan for the administration of statutory adjudications within the statutory framework.
- The Adjudication Bureau will continuously improve the two main components of due process, notice and fair hearing, in the Adjudication.
- The Adjudication Bureau will continuously improve its investigation process to ensure that only irresolvable factual and legal disputes are presented to the Court.

The public, including both claimants and non-claimants, pays the Adjudication Bureau to investigate and report claimed water rights fairly, efficiently, accurately and openly.



- The Adjudication Bureau will continuously improve each aspect of the investigation and reporting process, within fiscal, statutory and temporal restraints.

The other Bureaus within IDWR utilize adjudication products in their duties.

- ✎ The Adjudication Bureau will continuously improve its products both in formatting and accuracy to provide the most useable information to other Bureaus within IDWR.

E. Job Descriptions

The job descriptions within the Adjudication Bureau are many and diverse. The job descriptions established by the Division of Human Resources are attached as appendix A. Within each of these jobs there are many responsibilities that are not explicitly described. Every person within the Bureau is responsible for continuously improving the quality of our work. The following is a list of some of the ways each position could improve quality:

- Engineer, Manager 3 (Bureau Chief)
 - Place all updated adjudication memos on the Intranet with a “hit counter” to document whether they are used.
- Grants/Contract Program Specialist
 - Establish a method to track progress of contracts on MS Project.
- Administrative Asst. 1:
 - Establish a chat room for better communications with Administration within the Bureau.
- Office Specialist 2:
 - Locate class and send in request for Access training.
- Office Specialist 1
 - Keep time sheets of work for one week, and then analyze key time constraints to determine how to handle them more efficiently.
 - Approach IT for hands-on training of new computer system and its features.
 - Develop a method of tracking incoming o-changes, etc, from agents and the reason for the requested change.
 - Send request to Bureau Chief for ergonomically correct equipment.
- Deputy Attorney General
 - Legal:
 - Establish an e-mail group to send all recent IDWR and court decisions to staff to which I am assigned.
 - Establish weekly check-in phone call schedule to communicate with client.

•Water Rights Adjudication Section Mgr.

-Implement method to measure progress of claim review

•Technical Records Specialist 1:

-Document the time it takes to implement a decision from “above” and its effect on other priorities and provide the data to supervisor.
-Send request to GIS Senior Analyst for cross-training on Arc IMS.
-Locate class and send in request for training on use of Excel.
-Put together a formal request, with documentation, with the help of my supervisor to convert this position to Technical Records Specialist 2.

•Water Rights Supervisor

•Engineer, Technical 1

•IT Database Analyst

•IT Programmer Analyst

•Engineer-In-Training

•Water Resource Agent, Sr.:

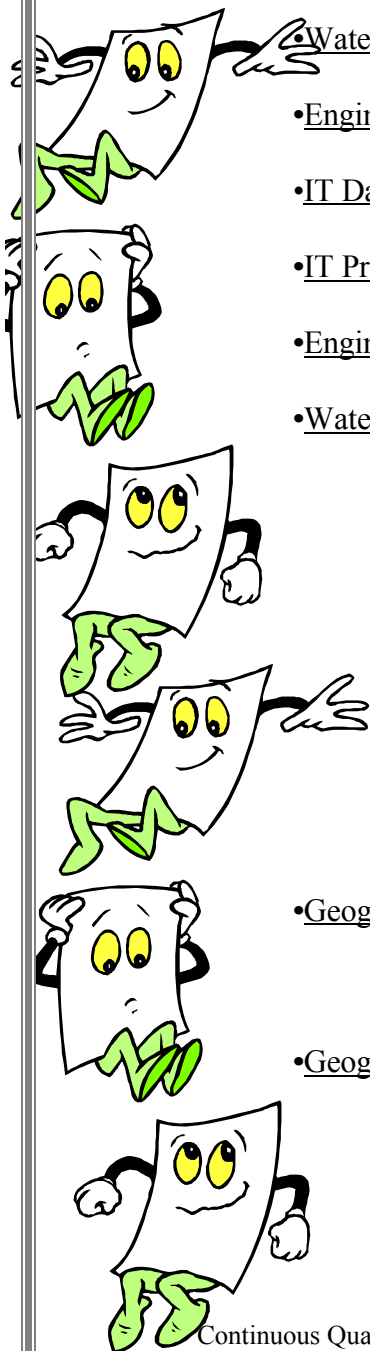
-Make personal visits with claimants to resolve issues.
-Increase the number of field inspections.
-Make specific recommendations to IT for changes to CVR.
-Make specific recommendations to IT for changes to Work Flow.
-Shifting agents goals of claim recommendations to contractor input/batching claims from start to finish – multi-tiered level tasks and resources.
-Work with hydrology lab to establish a class on water measurement techniques.
-Maintain a daily check sheet of negative reactions to frustrating situations and work to have a “zero” day.

•Geographic Information Systems Analyst, Sr.

-Establish inventory of data locations and brain-storm possible new sources of better data.

•Geographic Information Systems Analyst:

-Establish a weekly e-mail notice of newsletter posted to the intranet to all Bureau personnel regarding developments in the GIS group



F. Quality Implementation

1. Policy and Information Dissemination

Information on the Adjudication Bureau's quality standards and processes is available from a variety of sources:

✍ **Intranet Claim Investigation Manual:** This manual provides information about the statutory adjudication process, the water laws of the State of Idaho, and IDWR's investigation standards.[Insert Link]

✍ **Intranet Administrative Memorandums:** IDWR's adjudication policy memorandums, statutory interpretations, and FAQs are available to all employees on the intranet.[Insert Link]

✍ **Internet governing statutes:** The statutes governing the Adjudication Bureau are available on the internet at See Rules

✍ **Internet recent court decisions:** Decisions by the SRBA District Court are available at the following address [Insert Link]. Decisions by the SRBA Special Masters are available at the following address [Insert Link]. Decisions by the Idaho Supreme Court are available at the following address. [Insert Link]

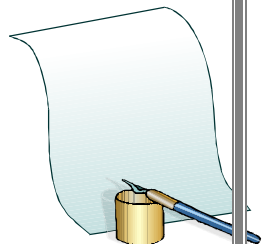
✍ **The PowerPoint presentations to the SRBA District Court are available at the following address.** [Insert Link] These presentations will be followed up with a Bureau-wide staff meeting to discuss feedback from the Court. Project assignments from the SRBA District Court shall be assigned to staff by the Bureau Chief and/or the Regional Supervisor and reflected on the MS Project 98 work schedule.

✍ **The results of feedback from the Legislature will be disseminated to Bureau staff in meetings at each of the Regional Offices with the Bureau Chief.** These meetings will result in establishment of annual goals that are available at the following address [Insert Link].

✍ **Annual training meetings will be held to certify Bureau personnel in the most recent improvements in our investigation and reporting processes and continuous quality improvement.**

2. Quality Documentation

The two primary methods of documentation for the right investigation and recommendation has been in accordance with IDWR's quality standards are the electronic CVR and



☞ **Electronic CVR:** By using the electronic CVR the investigating agent ensures that all elements of a water right are considered appropriately, with links to the Claims Investigation Handbook and Adjudication Memorandums at appropriate places. When the agent can verify that the CVR has been utilized he/she can feel comfortable that a water right has been investigated appropriately. Every water right reported must have a completed CVR associated with it.

☞ **MS Project 98:** MS Project 98 tracks the other primary element of quality—the timing of our workflow. By utilizing this tool we can document that the Bureau is meeting its commitments to the Legislature and SRBA District Court. If we are not fulfilling our timing commitments, the MS Project reports will allow us to identify where the problem is and move assets to achieve those goals.



3. Quality Evaluation

The Adjudication Bureau will continuously monitor the quality of its products, both formally and informally.



The Bureau meets with the SRBA District Court and interested parties on a monthly basis.



The Adjudication Bureau, through the Director, meets with the Legislature to review the use of the current appropriation and to establish its yearly budget.



Claimant satisfaction is assessed through monitoring of notices of error, objection rates and settlement rates. Customer surveys are handed out at public meetings to assess the customers self-perception of our work product.



Contractor work product is assessed via periodic review to ensure compliance with IDWR standards, augmented by quarterly face-to-face meetings between the contractors and Adjudication Bureau supervisors.



Agents must continually monitor the CVR program to ensure that appropriate results are achieved with its use. Suggested improvements should be e-mailed to the Technical Services Supervisor.



Bureau personnel meet with claimants and their representatives and must assess improvements suggested by that feedback. Debriefing sessions after public meetings help to capture this data.



The SRBA District Court, legislators and the Bureau Chief have informal conversations that may also lead to improvements in our processes.



III. LEADERSHIP



Every person within the Adjudication Bureau must be committed to continuous quality improvements. There is nothing that the Bureau does now that cannot be made better. That means the leaders in the Bureau: the Bureau Chief and the Regional and Section Supervisors must continually work to make their leadership of the Bureau better.

Bureau participation in the Idaho Quality Award program is one step in the Bureau's commitment to continuous quality improvement. Bureau leadership has been instrumental in bringing the Bureau into this program, but it must not let that work or this manual go stale. The self-assessment involved in the award program must continue, and leadership must plan and implement changes to remedy shortcomings revealed in those assessments. Bureau leaders shall also implement the following practices:

- An anonymous suggestion program that will allow employees to make quality improvement suggestions that may be sensitive. Leadership will make the improvement or provide a basis for not doing so within a two-week period.
- An "open door" policy, as well as an employee-scheduled meeting policy, to encourage employees to meet regularly with leadership.
- Bureau leaders will participate with Bureau personnel in the annual training to be conversant in all processes of the Bureau and how they are being improved. They will actively search for training materials for their co-workers.
- Leadership will conduct periodic staff meetings-both at the Bureau and Section level- to provide and receive feedback on the quality of the Bureau's work.
- All supervisors will meet quarterly with the Bureau Chief, as the Committee on Quality Measures, to plan and implement quality improvements and assess compliance with Adjudication Bureau processes and standards.
- Leaders within the Adjudication Bureau shall assess and use the feedback they receive from our customers at the SRBA District Court/public information meetings, Legislative presentations, claimant contacts and other quality surveys, formal and informal as a measure to reward the work of Bureau employees.



Leaders should consider the work of each employee and consider whether they should be rewarded with:

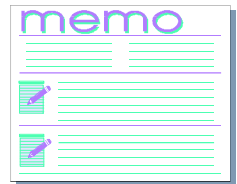


- Attendance at multi-state meetings.
- Recognition at a Bureau awards banquet.
- Individual recognition at a performance evaluation



Leaders are encouraged to consider other, non-traditional rewards for quality work. The Committee on Quality Measures will document quality changes, evaluate their success and confer the **workplace tools/technology award**.

IV. INFORMATION AND ANALYSIS

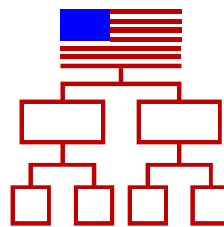


A. Quality Assurance Indices

The Adjudication Bureau collects data from both its customers and in-house with which to assess the quality of its work.

Adjudication Bureau Data:

- ☞ Idaho Quality Award Self Assessment
- ☞ Electronic CVRs for irrigation and other uses water right claims
- ☞ Shape files for irrigation water right claims
- ☞ MS Project 98 tracking
- ☞ Training Certification for Senior Agents
- ☞ Employee longevity
- ☞ Employee suggestions
- ☞ Contractor tracking data



Idaho Legislature:

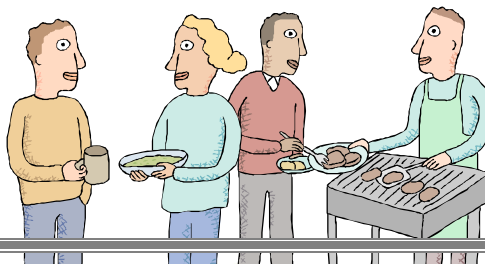
- ☞ Level of Funding
- ☞ Constituent letters
- ☞ Legislator at district-level involvement supporting our effort

District Court:

- ☞ Decisions
- ☞ Feedback at public information meetings
- ☞ Interoffice meetings

Parties:

- ☞ Notices of Error



- ☞ Letters
- ☞ Informal feedback
- ☞ Survey responses
- ☞ Objections
- ☞ Settlements
- ☞ Number of trials

B. Comparative Data with Other States/Competitors.

1. Competitors:

The Adjudication Bureau's competitors are those who provide an alternative mechanism to gather water right data, evaluate evidence of water rights, and provide a fair and efficient process of water right evaluation.

- Private consultants and claimants themselves can gather water right data.
- Consultants, private attorneys and the adjudication court can evaluate evidence of water rights.
- Using attorneys, consultants and witnesses, and a special master or the district court judge at a trial, is an alternative process for water right evaluation.



The Adjudication Bureau competes with each of these sources of information, processes and evaluators. The Bureau's goal is to reach a status where it is acknowledged as the best at each of these functions. If it is not, the reliance on IDWR by claimants, attorneys, consultants, the courts, and the legislature will decline. Data that will be gathered about these competitors are:

- ☞ Consultant reports evaluating IDWR results and the outcome of the use of those reports at settlement or trial.
- ☞ Involvement of attorneys and the outcome at settlement or trial.
- ☞ Numbers of objections, settlements after objection, trials and outcomes.
- ☞ Surveys of consultants, attorneys and claimants.

2. Other States:

There is also useful information available with which to compare the Bureau's processes with others performing similar work. Employees are encouraged to bring forward information regarding improvements in work flow, technical processes or data, legal information or employee training that the Bureau should consider. Specifically, Bureau personnel should consider information obtained during the following events:

- ☞ Annual western state adjudicator meetings.
- ☞ Association of Western State Engineers annual meetings.
- ☞ Technical processes or data obtained at meetings with parties.

The Bureau must also consider attrition of employees to other Bureaus within IDWR, other public agencies or to private companies. An exit interview will be conducted for every employee leaving the Bureau to assess improvements needed to retain employees in the face of other employment opportunities.

C. Financial Data



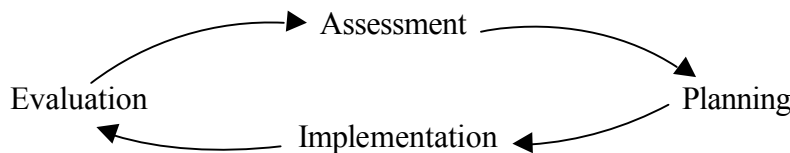
The Adjudication Bureau is not able to analyze profit/loss or income flow data in the same fashion as a private company. That does not mean that financial data cannot be used to assess the quality of our work. The annual expenditures of the Adjudication Bureau must be within budget. The output per appropriated dollar can be measured. Yearly progress must be commensurate with the expected duration of adjudication funding. Comparative data from other states will allow us to assess the size of our budget in relation to the work we do. Exit interviews, along with other standard tools, will allow us to assess our employee compensation.



D. Use of Quality Data

Assessment of quality data cannot be the province of a single individual, leadership level or committee within the Bureau. Every person within the Bureau must assess the data to consider how they can improve Bureau quality. But as a formal matter, the Bureau Chief, Regional and Section Supervisors, as the leadership of the Bureau, will comprise the **Committee on Quality Measures**.

The Committee on Quality Measures will assess the data to determine quality issues in either the Bureau's processes or output. Members of the Committee on Quality Measures will then be assigned as leaders of a process action team consisting of members selected from every section of the Bureau to plan changes necessary to remedy the identified quality issues. Upon implementation of the plan the Committee on Quality Measures will evaluate the success of that implementation and then use the quality data to once again assess the quality of the Bureau's work product and processes. This cycle will be a constant process within the Bureau.



V. CUSTOMER DRIVEN QUALITY



Historically, the Adjudication Bureau defined the quality of its work by adherence to a rigid notion of what a water right “is”, how it is investigated, and how water right



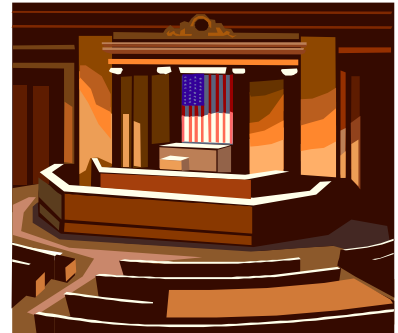
disputes could be resolved. The Bureau now recognizes that the quality of its work is defined by how well it achieves the aspects of its work that its customers value. If it does not deliver what its customers value, they will leave the Bureau in favor of its competitors—private consultants, lawyers and litigation in court.

A. Identification of Customers

The following lists indicate some of the aspects of the Bureau's work that each of our customer's value. This list will be changed and refined through the gathering of customer data.

Legislature. It values:

- ☞ Timeliness
- ☞ Cost efficiency
- ☞ Fairness
- ☞ Impartiality
- ☞ Respect for historic practices
- ☞ Respect toward citizens



Court. It values:

- ☞ Legal and technical accuracy
- ☞ Thoroughness
- ☞ Impartiality
- ☞ Fairness
- ☞ Timeliness
- ☞ Statutory compliance



Claimants. They value:

- ☞ Timely responses
- ☞ Fairness
- ☞ Politeness
- ☞ Understandability
- ☞ Consistency
- ☞ Open-mindedness
- ☞ Legal and technical accuracy
- ☞ Respect for historic practices



Other IDWR Bureaus. They value:

- ☞ Legal and Technical Accuracy
- ☞ Thoroughness
- ☞ Usefulness of data.
- ☞ Compatibility
- ☞ Cooperation



B. Customer Service Standards

The Bureau must constantly work to meet and exceed its customers' expectations regarding each of the items they value. The following standards are a first step toward that goal. They will be adjusted in response to feedback from our customers.



For the Legislature:

Timeliness: The Bureau shall achieve completion of its work under the timelines to which it commits with the Legislature. The Bureau shall request all necessary resources and make its plans consistent with that commitment.

Cost efficiency: The Bureau will maximize the effectiveness of every dollar in its budget. Every year the Bureau will scrutinize and optimize its output per dollar spent.

Fairness: The Bureau shall treat all claimants fairly. Claimants will be given adequate notice, they will be listened to openly and their evidence will be considered carefully.

Impartiality: When dealing with claimants the Bureau shall apply the same standards and expend the same effort for every claimant no matter his or her race, creed, sex, socioeconomic status, religion, past dealings with the Department of Water Resources or political persuasion.

Respect for historic practices: The Bureau shall respect the historic economic and social fabric of every region of the State. The customs of a region shall be carefully considered when investigating water rights.

Respect toward citizens: The Bureau shall show respect to the citizens of the State by listening to them carefully, responding to them politely, and assisting them in every way possible within our statutory responsibilities.

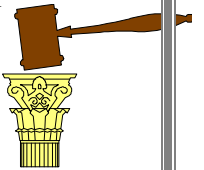


For the Court:

Legal and technical accuracy: The electronic CVR shall be followed for every irrigation and other water right recommendation. The Bureau shall carefully consider all

legal and factual information subsequently brought to its attention during the error correction or settlement process. When unusual technical or legal questions exist regarding a claim, extra resources shall be assigned from the central office to consider such claim accurately and thoroughly.

Thoroughness: The Bureau shall gather all evidence it reasonably can gather in the initial investigation process of water rights. An electronic CVR shall be followed for every irrigation and other water right recommendation. A G.I.S. shape file shall be prepared for every irrigation water right recommendation. Every claimant of an irrigation or other water right shall be contacted by the Bureau. The error correction process shall be followed for every irrigation and other water right recommendation. The Bureau shall carefully consider all legal and factual information subsequently brought to its attention during the error correction or settlement process. The Bureau shall constantly work to expand the factual and technical information at its disposal.



Impartiality: When dealing with claimants the Bureau shall apply the same standards and expend the same effort for every claimant no matter his or her race, creed, sex, socioeconomic status, religion, past dealings with the Department of Water Resources or political persuasion.



Fairness: The Bureau shall treat all claimants fairly. Claimants will be given adequate notice, they will be listened to openly and their evidence will be considered carefully.

Timeliness: The Bureau shall openly discuss its timelines with the Court to allow it and the Bureau to plan for a mutually acceptable schedule. The Bureau shall diligently work to accomplish those time frames and request budgetary support and assistance to meet those time frames.

Statutory compliance: The Bureau shall strictly comply with the statutes governing adjudications as interpreted by the courts of the State of Idaho.



For Claimants:

Timely Responses: Written and oral contacts from claimants will have a response within one business day, even if the response is to acknowledge receipt of the contact and to provide a reasonable estimate of time within which a complete response will be provided.



Fairness: The Bureau shall treat all claimants fairly. Claimants will be given adequate notice, they will be listened to openly and their evidence will be considered carefully.



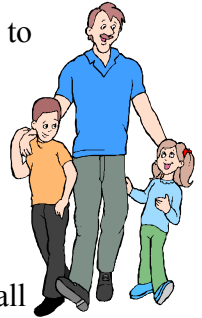
Politeness: The Bureau shall be unfailingly polite in its dealings, no matter the provocation. Being polite may mean discontinuing contact in the face of rude, hostile or profane behavior.

Understandability: The Bureau shall attempt to educate the public and professionals regarding the adjudication and the Bureau's work in the most simple and clear terms possible.

Consistency: The Bureau shall consistently apply legal and technical standards to its work.

Open-mindedness: The Bureau shall consider and implement deviations from standards or consistent practices when distinctive or unusual facts exist.

Legal and technical accuracy: The electronic CVR shall be followed for every irrigation and other water right recommendation. The Bureau shall carefully consider all legal and factual information subsequently brought to its attention during the error correction or settlement process. When unusual technical or legal questions exist regarding a claim, extra resources shall be assigned from the central office to consider such claim accurately and thoroughly.



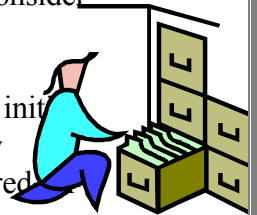
Respect for Historic Practices: The Bureau shall respect the historic economic and social fabric of every region of the State. The customs of a region shall be carefully considered when investigating water rights.



For Other IDWR Bureaus:

Legal and technical accuracy: The electronic CVR shall be followed for every irrigation and other water right recommendation. The Bureau shall carefully consider all legal and factual information subsequently brought to its attention during the error correction or settlement process. When unusual technical or legal questions exist regarding a claim, extra resources shall be assigned from the central office to consider such claim accurately and thoroughly.

Thoroughness: The Bureau shall gather all evidence it reasonably can in the initial investigation process of water rights. An electronic CVR shall be followed for every irrigation and other water right recommendation. A G.I.S. shape file shall be prepared for every irrigation water right recommendation. Every claimant of an irrigation or other water right shall be contacted by the Bureau. The error correction process shall be followed for every irrigation and other water right recommendation. The Bureau shall carefully consider all legal and factual information subsequently brought to its attention during the error correction or settlement process. The Bureau shall constantly work to expand the factual and technical information at its disposal.



Usability: The Adjudication Bureau will provide the Water Allocation Bureau an electronic file and paper file for every water right claimed in an adjudication upon issuance of a decree for that water right. Other bureaus such as Planning, Hydrology and Water Distribution will also utilize the information from the adjudication process.

Compatibility: The Bureau's electronic CVR and recommendations shall be consistent with the electronic files of the Water Allocation Bureau.

Cooperation: Assisting and aiding other agency staff to access, assemble and analyze water right information.



C. Customer Satisfaction Data

The Bureau will gather customer satisfaction data to determine that the customer service standards are being met, and to determine whether other standards are necessary. This data shall be submitted to the Committee on Quality Measures for analysis. The data shall consist, at least, of the following:



- ☞ Anecdotal data regarding public contacts between Bureau personnel and the public. Data regarding questions from the public that could not be answered/resolved by the first contact.
- ☞ MS Project 98 tracking of timelines and projects.
- ☞ Surveys of claimants, Legislators and the Court.
- ☞ Statistical analysis of notice of error and objections to determine source, cause and types of errors/changes in recommendations.
- ☞ Rate and volume of issuance of partial decrees.
- ☞ Feedback at meetings with the District Court.
- ☞ Feedback from Legislators, including constituent letters.



D. Comparison with Other States

Because adjudications around the Western United States face similar challenges the Bureau will continually monitor the response of other States' adjudication programs to concerns of their customers. On a formalized basis this monitoring takes place at the yearly Western States Adjudication Conference. At this conference IDWR will evaluate technical, legal and process solutions to issues that arise in adjudications. The Bureau will strive to be the finest State adjudication agency in the Western United States.

E. Resolution of Complaints

Disagreements regarding the recommendations of the Adjudication Bureau shall be handled in the first instance by the individual delegated primary authority over the recommendation in question. If that individual cannot resolve the dispute, or if resolution requires changes beyond the authority of that individual, the complaint will be referred to the next higher level of authority. Complaints regarding the conduct of an Adjudication Bureau employee will be resolved at the next higher level of authority. No complaint will go unanswered, even if the Bureau's answer is that there is nothing that it can do to resolve the complaint.

Primary authority is delegated as follows:

- ✍ Pre-investigate public meeting for basin: Team
- ✍ Recommendations: Senior Agent
- ✍ Notice of Error follow-up: Senior Agent
- ✍ Settlement activity: Senior Agent for that claim and Deputy Attorney General
- ✍ Trials: Deputy Attorney General and Senior Agent
- ✍ Response to complaint letters: As delegated
- ✍ Information meeting exchanges with court: Bureau Chief and Lead Deputy Attorney General
- ✍ Public meeting for preliminary report: Team
- ✍ Legislative Complaints: Bureau Chief
- ✍ Complaints re Business Processes: As delegated



VI. STRATEGIC PLANNING

A. Functions of Planning and Goal Setting Process.

The Snake River Basin Adjudication is a project of finite scope, with statutorily defined stages. How long the adjudication lasts and the resources needed to complete



each stage are a function of planning between the Bureau, the Legislature and the Courts. When the coordinate branches of government agree on the outline of an adjudication, the Bureau can work within the outline to develop its processes and goals. As the adjudication proceeds the Bureau can then modify its processes and goals to ensure that the adjudication proceeds in accordance with the overarching goals. The planning process must consider each of the following factors, in order:

- ☞ Statutory requirements for commencement, notice, investigation and trial.
- ☞ Customer concerns and level of commitment.
- ☞ Location of adjudication/sub-basin.
- ☞ Number of water right claims.
- ☞ Level of conflict in area/sub-basin being adjudicated.
- ☞ Technical tools.
- ☞ Legal issues needing resolution.
- ☞ Anticipated level of legislative funding and fees.
- ☞ Overall length of the adjudication.
- ☞ Timing and type of work for support, technical and supervisory processes for each statutorily required job.
- ☞ Work scheduling.
- ☞ Contractor resources and availability.
- ☞ Exit strategy.
- ☞ Subcase completion.



The Snake River Basin Adjudication has already passed the initial evaluation of many of these factors. But the massive scope of the adjudication makes ongoing evaluation of, and planning for, each of these factors a necessity. This plan will be formalized in an “Action Plan for the Snake River Basin Adjudication” and consist of “Action Plans.”

B. Customer Satisfaction/Requirement Data

Customer satisfaction data shall be gathered through the methods described in section IV to monitor ongoing satisfaction with the Snake River Basin Adjudication and evaluated by the Committee on Quality Measures. The action plan for the adjudication will then be modified in response to the evaluation of the data.



C. Supplier Performance

Contracts with suppliers outside the adjudication bureau shall contain performance standards consistent with the goals established in the action plan. The Bureau shall negotiate goals with the Attorney General’s Office for employees of that Office assigned to the Bureau that are consistent with the action plan. Where possible the Bureau shall hire multiple contractors to perform the same tasks to aid in comparative evaluation. Evaluation of contractor achievement of those goals shall be criterion for continuing, modifying, or increasing contractor involvement. The action plan shall assess contractor

contributions in establishing an exit strategy that maintains bureau employee positions within IDWR after completion of an adjudication.

D. Appropriate Measurement Indices for Quality and Progress to Goals

Both the short-term and long-term portions of the action plan shall set goals based upon the indices described in Section IV. A. Data regarding these indices shall be gathered and used to determine accomplishment goals and to assess improvements in Bureau processes to achieve those goals.

E. Competitive Comparisons or Benchmarking Data for Planning and Goals

The Bureau will informally compare its processes with those of other States. When established its action plan the Bureau shall establish goals that exceed those of every other western state.



The annual goals established in the action plan will be based upon the prior year's experience, with consideration for improved handling and technological processes. Each year's results will be considered a benchmark which the Bureau will attempt to exceed in the subsequent year.

F. Action Plans for Short-Term Goals

The Bureau will use a two-year planning guide for short-term goals. The primary planning tool will be MS Project 98. Planning will originate at the regional offices with preliminary sub-basin planning meetings involving at least the Bureau Chief, Regional Supervisor, regional personnel and legal counsel. The two-year plans will address each of the factors described in Section VI.A, will establish numerical targets for the quality indices, and will be consistent with the Bureau's long term goals.



G. Action Plans for Long-Term Goals

A multi-year planning guide will be developed that establishes goals and methods for completion of the Bureau's work in the adjudication. The long-term action plan for the Snake River Basin Adjudication establishes the goals for attaining superior levels of customer satisfaction and organizational performance. All members of the Bureau are encouraged to contribute ideas to the plan and must be aware of its implications for their own areas of responsibility. A statutory adjudication is a cooperative project of the legislature, the court and IDWR, so all three entities are involved in developing the long-term action plan of the Bureau. The long-term plan will address each of the factors described in Section VI.A



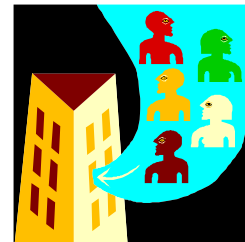


VII. HUMAN RESOUCSE DEVELOPMENT AND MANAGEMENT

Leaders in the Bureau must maintain an atmosphere where employees are unafraid to take chances and are unworried about risking self-esteem. That means:

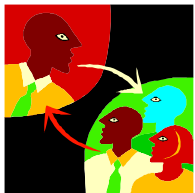
- ☐ If people broach ideas, they should be praised.
- ☐ If people identify problems in the Bureau's processes or technology, they should be thanked.
- ☐ When people contribute, they should be recognized.
- ☐ When people fail, they should be supported.
- ☐ And when people succeed, they should be rewarded.¹

Quality in the Bureau rests on the strength of its employees.



A. Human Resource Plans

The Bureau's most valuable assets are its employees. The Bureau human resource plan is to:



- ☐ Encourage employee development
- ☐ Encourage employee training and identify training opportunities
- ☐ Design work processes that maximize individual responsibility and reward individual and team initiative
- ☐ Develop transition plans for employees for completion of project
- ☐ Identify minimum qualification requirements for potential promotion avenues
- ☐ Encourage and identify employee promotional opportunities for every position within the Bureau
- ☐ Encourage ongoing retraining and education of employees for new promotional tracks

The human resource plan's aim is that Adjudication Bureau employees are the highest paid and most promotable employees within IDWR.



B. Employee Surveys Regarding the Effectiveness of Programs

Before developing the Bureau's Human Resource Plan all employees will be anonymously surveyed regarding their job satisfaction and the quality of the work they do.

¹V. Daniel Hunt, Qulaity Management for Government, p. 249 (ASQC Quality Press 1993)

The results of the survey shall be used to develop the Human Resource Plan. After implementation of the plan an electronic suggestion box shall be established to register remarks regarding the plan. Two years after implementation of the Human Resource Plan, and every two years after that, an assessment survey shall be conducted to evaluate the Human Resource Plan.

The results of all surveys and the comments in the electronic suggestion box will be shared with Bureau personnel either electronically or in staff meetings.






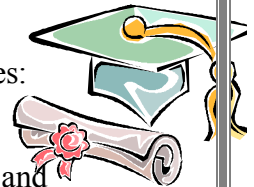
C. Surveys Regarding Individual Employee Satisfaction

In addition to the Bureau's Human Resource Plan, the Bureau conducts annual review/evaluations of employees. These evaluations will be used to form an individual plan for each employee regarding education and training, work goals, quality goals, promotions, and transitions plans. During the annual reviews employees will be surveyed regarding the Human Resource Plan and their job satisfaction.

D. Continuous Learning Program/Incentives for Self-Training

The centerpiece of the Bureau's Human Resource Plan is a program for continuous learning and self-training. Programs available to Bureau employees includes:








-  Certification training through the bi-annual in-house program;
-  Opportunities of training/education through Internet and college classes; and
-  College course reimbursement for relevant classes identified by the employee.

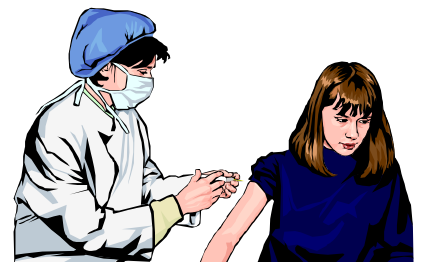


Employees are encouraged to bring potential training opportunities to the attention of the Bureau Chief directly or place them in the electronic suggestion box.

E. Health & Safety Program

The human resource plan regarding health and safety is to encourage:

-  The Employee Assistance Program
-  First Aid and CPR training
-  Defensive driving class and winter driving safety
-  Violence in the work place classes
-  Ergonomic computer and work station issues
-  Industrial Commission work place inspection availability
-  Conflict resolution training



Employees are encouraged to bring potential health and safety issues to the attention of their supervisor or place them in the electronic suggestion box.



F. Cross-Functional Employees

When identifying training opportunities the Human Resource Plan will recognize the multi-task functions of support and technical staff. Increasing not only the depth, but also the breadth, of each employee's training will enable them to perform their own work better, and also increase their opportunities for promotion and the ability of the Bureau to assign work by project, rather than by function.










VIII. PROCESS MANAGEMENT

The processes of the Adjudication Bureau are described in several places. The general claims investigation process is described in the Claims Investigation Handbook. The Bureau's business process was described during the database migration project. The short and long-term action plans provide the overall process for the Snake River Basin Adjudication. The Human Resource Plan provides the process for handling the human resources of the Bureau. Each of these processes must be continually assessed, improved and documented.







A. Appropriate Measurement Indices to Monitor Processes

Claims Investigation Handbook:

-  Number of hits on Claims Investigation Handbook
-  Requests for advice to attorneys/supervisors
-  Number of notices of error
-  Number of objections
-  Percentage of objections per Report
-  Objections to same element or decision of IDWR
-  Reversals by court



Adjudication Business Processes:

-  Percentages of recommendations with electronic CVRs
-  Percentage of irrigation recommendations with associated shape file
-  Number of changes made to record after final recommendation
-  Number of errors found between final decree and IDWR record
-  Number of shape files modified after final decree
-  Number of claims transferred to Allocation Bureau



Audit-log tracking of claim progress time from initial investigation to verified ready for reporting and court report date

Strategic Plan:



MS Project 98 tracking.



Subcase tracking data.



Funding/expenditure data.



Staffing levels.



Contractor numbers and expenses.



Human Resource Plan:



Average longevity of Bureau employees.



Number of Bureau employees leaving for lateral positions within IDWR.



Number of Bureau employees leaving for lateral positions outside IDWR.



Number of Bureau employees leaving for promotions.



Percentage of employees taking training classes.



Number of employee complaints to electronic box, percentage resolved.

B. Competitive Comparisons or Benchmarks to Assess Improvements

Using the indices described in Section VIII.A the Bureau can determine the impact of process improvements by studying:



Current year results compared to previous year results.



Comparing results between regions.



Rate of acceleration in claim investigation speed.



Rate of deceleration in objection rate.



C. Measure Customer Satisfaction

See section V.C.



D. Process Used to Diagnose Problems and Process Deviations

A continuous dialogue must occur up and down the levels of authority within the Bureau regarding the processes within the Bureau. When changes are made to any of the process documents based upon that dialogue, an e-mail describing the change will be sent to every employee within the Bureau. Members of the Bureau at every level are encouraged to make changes at their level to improve the quality of their own work and to make recommendations for improving the quality of the Bureau's work as a whole.

The Quality Measures Committee shall meet at least quarterly to formally review data on the processes of the Bureau. See Section IV. D.

IX. BUSINESS RESULTS

The following sections will be updated at least once every six months to provide quality data to all personnel within the Bureau.

A. Customer Satisfaction Results.



B. Financial Results.

C. Benchmark Data on Same Measurement Indices as Ongoing Performance Results

D. Human Resource Results.



E. Improvement Efforts in Core and/or Support Functions Decreased Process Time

F. Supplier Results.



G. Negative Trends.





APPENDIX A

•Engineer, Manager 3 (Bureau Chief)

This is an administrative/management position which accomplishes engineering applications and improvement through other professional engineering staff. Incumbents make authoritative decisions that have broad and important impact on the protection and safety of the public. Incumbents need creativity, foresight, and mature judgment in anticipating and solving unprecedented engineering problems, determining program objectives and requirements, organizing programs and projects, and developing standards and guides for diverse engineering activities. Types of positions found at this level may be: Administrators and District Engineers, or similar positions requiring this level of managerial and technical expertise.

JOB FUNCTIONS/RESPONSIBILITIES

Plans, organizes, directs, staffs, and controls the equivalent of a division or district operation involving the most difficult of engineering applications with multiple engineering applications. Develops department policies, rules, procedures, and standards, and insures uniform statewide interpretation, application and implementation of related issues.

•Grants/Contract Program Specialist

PRINCIPAL ACCOUNTABILITIES

1. Grant/contract evaluation/coordination. Typical responsibilities: reviews and evaluates grant or contract applications for conformance to established criteria and compliance with provisions of laws and regulations; ensures on-going compliance with regulations and legal use of funds; confers with awarding agencies, grantees, contractors, and subgrantees on administrative procedures and bills; maintains tracking system of expenditures and balances; researches, collects and analyzes data to identify trends and prepare or adjust reports; may recommend payment or non-payment.
2. Technical assistance. Typical responsibilities: responds to inquiries regarding grant or contract availability requirements and procedures; notifies grant applicants or contractors of program deadlines, procedures and status; provides technical assistance and advises grantees or contractors on interpretation of program regulations and guidelines; may develop, design, or modify forms and documents.

•Administrative Asst. 1


These positions perform a wide variety of secretarial functions. Incumbents are delegated the authority to coordinate non-routine secretarial and clerical activities.

Incumbents compose letters, correspondence, and memos requiring independent judgment as to content; compile and analyze information from a variety of sources to prepare reports. They utilize word processing equipment and/or computers to create, process, and maintain a variety of documents and administrative records containing technical information and difficult formats. Incumbents schedule and coordinate arrangements for meetings and conferences.

Incumbents act as a liaison between their organizational unit and external customers. Incumbents must be knowledgeable of multiple procedures and program requirements to respond to inquiries, explain department services, policies, procedures, and rationale for decisions to customers.

Incumbents may: perform legal secretarial support functions and apply knowledge of the legal system to prepare and process legal documents; have responsibility for financial record keeping including monitoring budgets, preparing financial transactions; supervise support staff or have leadwork responsibilities.

•Office Specialist 2



Incumbents in this class perform a wide range of office support functions using independent judgment in applying existing policies and procedures to complete assignments. This involves knowledge of multiple procedures and program guidelines to make decisions. Decisions cover a variety of tasks. Incumbents respond to non-routine inquiries and explain department services, policies, procedures, and rationale for decisions to customers. Incumbents typically utilize a variety of computer operations to complete daily assignments.

Incumbents may perform office support or secretarial duties such as composing correspondence; creating, reviewing, and processing documents and records; identifying and correcting errors and omissions on documents received from staff, departments and/or public; and maintaining records. They may schedule appointments or services and make meeting and travel arrangements.

Incumbents may supervise staff or have leadwork responsibilities.



•Office Specialist 1

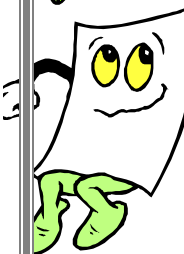
Under direct supervision, these positions perform general office support duties using well established guidelines. Incumbents in this class perform work requiring knowledge of the organization or program to verify documents for completeness, accuracy, and to determine compliance with department procedures. Utilizing this knowledge they answer routine questions and provide non-technical information to customers or refer customers to appropriate department staff for more in-depth assistance. These positions may involve working with automated systems, computer records system maintenance, and/or word processing software.

•Deputy Attorney General

•Paralegal

•Water Rights Adjudication Section Mgr.

PRINCIPAL ACCOUNTABILITIES

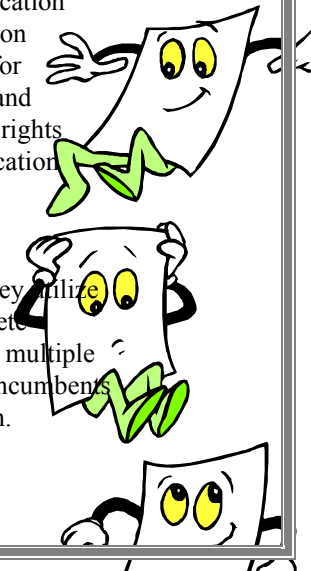


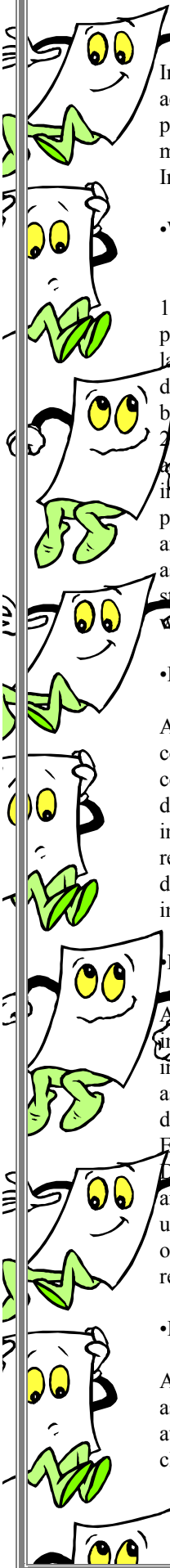
Section management. Typical responsibilities: hires and evaluates staff in reviewing, accepting and recommending action on claims; develops, reviews and implements section work plans, priorities and programs; develops regional office procedures and standards for implementing section programs; evaluates program effectiveness and compliance with state and federal laws and regulations; develops and recommends statutes, regulations and policies changes, develops section budget and monitors expenditures; develops and conducts training for regional and headquarters' staff.

Water adjudication program. Typical responsibilities: develops water resource adjudication data base and coordinates implementation of data systems; oversees computerization of all water rights adjudication records; oversees preparation of management's water rights reports; drafts decisions and orders on adjudication matters; evaluates legislation regarding adjudication process and drafts proposals for improvement; coordinates section activities with other governmental entities; develops reports and correspondence; directs preparation of legal exhibits; acts as department spokesperson at water rights adjudication hearings and court proceedings; responds to inquiries on difficult contested adjudication matters.

•Technical Records Specialist 1

Incumbents gather information, make decisions, resolve problems, and respond to inquiries. They utilize independent judgment and discretion as to the methods, policies, and procedures used to complete assignments. Incumbents conduct involved searches which may require accessing and selecting multiple information sources or contact with clients, vendors, or outside sources to obtain information. Incumbents perform specialized support work that involves an extensive in-depth knowledge of the program.





Incumbents generally review, evaluate, approve, and process records and/or documents; determine acceptability or conformance to eligibility requirements according to rules, regulations, statutes, and program policies and procedures; explain requirements, processes, and procedures to customers; manipulate and update manual and/or computerized records systems; and develop reports. Incumbents may supervise other support staff or have leadwork responsibilities.

•Water Rights Supervisor

PRINCIPAL ACCOUNTABILITIES

1. Supervision. Typical responsibilities: hires and trains staff, makes assignments, and evaluates performance; establishes work unit priorities, standards, and procedures; implements state water right laws and regulations and department policies; coordinates work with other units; maintains computerized data equipment used to process adjudication claims and water appropriation applications; ensures database accuracy.
2. Water rights program. Typical responsibilities: conducts final review of water use applications, adjudication claims, and field examinations to determine extent of appropriation, correctness, potential impact on other water claims and rights, and compliance with state laws and regulations and department procedures and policies; researches historic records to obtain water rights data; conducts field inspections and investigations to resolve complex water rights cases; provides technical water rights information and assistance to consultants, water users, legal counsel, state and federal entities, the public, and department staff; writes decisions, correspondence, and technical reports including decisions and orders on contested water right applications of water rights for adjudication; testifies in court.

•Engineer, Technical 1

Applies intensive and diversified knowledge of engineering principles and practices. Plans, schedules, conducts, and coordinates detailed phases of the engineering work. Performs work that involves conventional engineering practices, but may include a variety of complex features. Makes independent decisions on engineering problems and methods, and represents the organization in conferences. Resolves important questions, and plans and coordinates work to come up with improved techniques. This may require the modification of normal thought and practices of the specific field and related sciences and disciplines. Incumbents carry out complex, and possibly, novel assignments. Work should result in improved techniques and processes, and refined equipment, materials, and procedures.

•IT Database Analyst

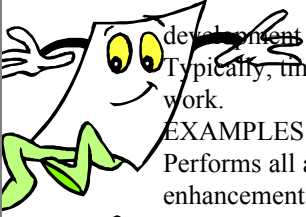
At this level, incumbents are fully knowledgeable in all aspects of database administration, design, and installation. They apply their knowledge of database design considerations and the operating interrelationships among databases, business applications, and the operating systems to complete their assignments. They have a high degree of technical expertise to work independently on all elements of design projects. May have supervisory responsibilities over a small technical staff.

EXAMPLES OF WORK (may include but is not limited to):

Designs, develops, installs, and tests new, enhanced, or purchased database systems; assures compatibility and efficiency of database applications through ongoing system monitoring and evaluation; prepares and updates data models and develops standards for updating the data dictionary; provides technical expertise on database management systems to clients, management, and IT personnel; develops security requirements for all on-line applications.

•IT Programmer Analyst

At this level, incumbents are fully qualified to work on all aspects of programming and analysis assignments and are fully knowledgeable in both the client's discipline and in the technology tools available. Incumbents may develop routine to complex applications, typically involving more than one client and using multiple technologies, platforms, and interfaces or work on defined subsets of new




development with complete responsibility for the design, testing, and implementation of these subsystems. Typically, time will be somewhat equally divided between client needs and analysis and programming work.

EXAMPLES OF WORK (may include but is not limited to):

Performs all aspects of development, testing, and implementation of new applications programs and enhancements; resolves routine to complex programming problems and determines appropriate solutions; participates in and may design applications systems; prepares system diagram and logic representation; participates in cost-benefit analyses; researches available tools and technologies to determine alternative technology solutions; coordinates resolution of problems with the operational system; confers with users to analyze, develop, and maintain programs.

•Engineer-In-Training



Incumbents work under the supervision of a Professional Engineer(s) and receive on-the-job, structured training for approximately four years which is a prerequisite for licensure as a Professional Engineer.

After certification as to completion of training, candidates will be eligible to take the examination to become a Professional Engineer as determined by the Idaho Board of Professional Engineers.

Responsibilities depend on specialization of the position, and can be varied in any of the disciplines associated with engineering. Works under close supervision. Receives specific and detailed instructions as to required tasks and results expected.

JOB FUNCTIONS/RESPONSIBILITIES

Using prescribed methods, performs specific and limited portions of a broad assignment of an experienced professional engineer. Applies standard practices and techniques in specific situations, adjusts and correlates data, recognizes discrepancies in results, and follows operations through a series of related, detailed steps or processes.

EXAMPLES OF WORK (may include but not limited to):

Performs work in planning, inspection, design, testing, and construction of highways, structures, wells, pumping plants, water supply systems, and the evaluation of water rights and environmental concerns and/or environmental engineering restoration or control systems and similar engineering systems.

Works on surveys required for location and construction projects.

Participates in all phases of project design.

Serves as leadworker over technical staff and engineering phases of construction or specialty administrative programs.

Analyzes engineering data, interprets plans and specifications, and makes recommendations regarding feasibility.

Prepares comments on studies by other government agencies.

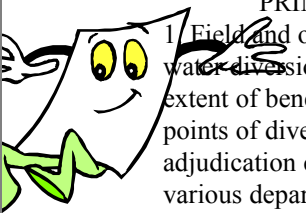
Develops technical exhibits and working papers in support of projects and testimony.

Assists in preparation and analysis of multi-objective planning studies.

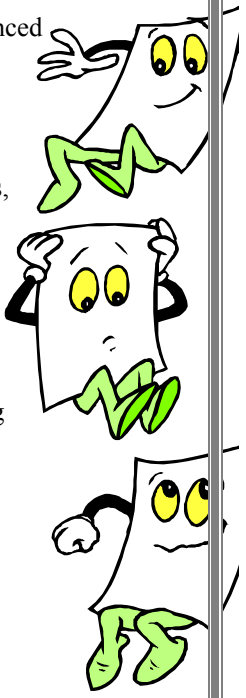

Works on specified portions or minor phases of projects.

•Water Resource Agent, Sr.

PRINCIPAL ACCOUNTABILITIES



1/Field and office work. Typical responsibilities: conducts scientific field examinations to measure rate of water diversion and determine location, method, purpose and frequency of appropriation to establish extent of beneficial use; interprets legal descriptions, survey plats, aerial photographs and maps to locate points of diversion and places of use; evaluates new-use applications, amendments, transfers and adjudication claims pertaining to water appropriations and recommends appropriate action; reviews various department regulations for impact on natural resources, technical correctness, and compliance with state and federal laws and regulations and department policies; researches documents including county records, federal land patents, court decrees and water right licenses to process adjudication claims; measures ground water levels; investigates, mediates and recommends action on unauthorized water diversions and water right disputes; conducts stream flow measurements and calculates reservoir storage capacity; reviews water districts' water use and assessment reports for accuracy and compliance with rules



and procedures; trains water masters in proper methods of water measurements, report preparation, and water distribution; calculates pumping system efficiencies; prepares petitions and orders; issues citations; inspects construction, operation, and maintenance of wells for compliance with construction and ground water contamination standards; initiates action for the reconstruction, repair, or abandonment of wells; collects water samples for laboratory testing; may be assigned to special projects to collect data and compile findings and prepare reports.

2. Technical assistance. Typical responsibilities: responds to technical questions from the public regarding regulations, and assists with compliance procedures; explains water laws and regulations to individuals and groups; trains or assists in training water resource agents and temporary staff; may act as team leader; testifies in court; may supervise water right field activities.

•Geographic Information Systems Analyst, Sr.

PRINCIPAL ACCOUNTABILITY

GIS development, operation, and coordination. Typical responsibilities: researches GIS proposals; designs investigations and sets objectives and work plans; conducts or oversees projects; coordinates with state and federal entities to accomplish specific project goals; drafts progress reports; solves complex technical problems; provides functional guidance or team leadership to professional and technical staff assigned to a specific GIS project; serves as senior technical advisor regarding application and implementation of GIS and digital cartography methodologies; researches and designs new or revised methodologies; prepares scientific research reports documenting methodologies, scope, findings, and conclusions for publication in professional journals; performs digital computer-assisted mapping and database functions; operates GIS hardware; develops, modifies, and maintains computer programs; trains users in computer systems use, spatial analysis and related technologies; provides guidance to users to maximize productivity and equipment use; converts information from maps and photographs into computer-compatible format; applies sampling procedures to assess map or data base accuracy; may perform GIS system administration; may supervise staff.

•Geographic Information Systems Analyst

PRINCIPAL ACCOUNTABILITIES

1. GIS projects. Typical responsibilities: plans GIS projects; designs spatial and relational databases; uses mathematical functions to analyze spatial and relational data; builds spatial data layers; applies complex combinations and sequences of specialized computer programs to process spatial and relational data; designs and produces thematic maps; interprets results of analysis using multivariate statistical techniques.

2. Computer program maintenance and development. Typical responsibilities: analyzes existing computer programs and makes enhancements; tests new computer programs to determine usefulness; recommends or makes program alterations; designs and develops computer programs.

3. Technical assistance. Typical responsibilities: trains users in computer system use, spatial analysis and related technologies; provides guidance to the users to maximize productivity and equipment use.