



# **Effectively Manage Resources**

**Field Operations  
General Administration  
Volunteers**

# Field Operations



## Purpose

The Field Operations staff directly and indirectly support the delivery of the department's protective, case management, and basic support services and provider support services.

## Who Is Helped

In SFY15, DHS Field Operations employees served the following individuals and families:

### Abuse Assessment:

- 55,375 calls to the abuse hotline were handled of which 26,928 were complaints of abuse that were accepted for onsite assessment.
- 39,673 children and dependent adults were assessed for abuse.

### Child Welfare Case Management:

- Almost 40,000 children and their families who are at risk or who experienced abuse were served.
- 10,023 adopted children with special needs are eligible for financial support.

Eligibility services for Medicaid, FA , FIP and CCA were provided to enable low-income lowans access to health care, food, basic supports, and child care:

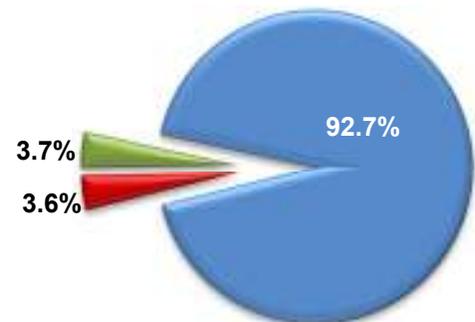
- 566,646 individuals received Medicaid, Iowa Health and Wellness Plan, and Family Planning waiver.
- 394,954 individuals received food assistance.
- 28,813 individuals and their families received FIP cash assistance.
- 19,046 children, as of June 30, 2015, were receiving child care assistance, which supports working parents.

Child care, foster families, nursing and other health care facilities were supported:

- 1,378 licensed child care centers were visited.
- 3,580 registered child care development homes were registered or monitored.
- 578,757 payments to child care providers were processed.
- 8,601 record checks were done for individuals seeking work in nursing facilities and other health care facilities.

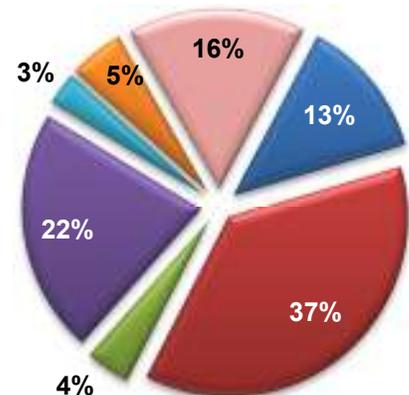
### Services by DHS Field Operations SFY15

- Abuse Investigations (3.6%)
- Services to Families - Social Work (3.7%)
- Income Maintenance (92.7%)



### Field Staffing by Classification

- Abuse Assess (13%)
- IM Work (37%)
- Management (4%)
- Social Work (22%)
- IM Supervisor (3%)
- SW Supervisor (5%)
- Support (16%)



- ✓ *About 36 percent of all assessments yield a finding of abuse, meaning there is a need for child welfare case management.*
- ✓ *Approximately 27,000 more lowans are expected to require services from DHS between SFY15 and SFY17, primarily in Medicaid programs.*
- ✓ *85 percent of the providers that bill DHS for CCA are doing so through the provider portal.*

## Services By the Five Service Areas

Five Field Service Areas deliver the following basic services.  
At the start of SFY15, 1300 employees were located in 42 full time county offices.

**Protective Services:** 182 Social Worker 3 (SW3) staff assure child and dependent adult assessments are performed when abuse is alleged.

- Each assessment worker has 12 to 14 new assessments each month. The assessments must be completed within 20 business days.
- National standards call for no more than 10 to 12 new assessments per month.

### **A day in the life of a protective worker consists of:**

- Reviewing newly received child abuse intakes and, if needed, calling the reporter.
- Observing the child, sometimes within 1 hour or within 24 hours.
- Interviewing the child, parents, and others who may have knowledge of the case.
- Consulting supervisor regarding a safety plan for the family.
- Reviewing police and medical reports on other cases.
- Doing narratives and entering the data into computer system.
- Consulting with county attorney and attending court.
- Reviewing and providing information for appeals and attending appeal hearings.
- Finalizing a child abuse report and submitting to supervisor for approval.

**Child Welfare (CW) Case Management** for Children and Families: 350 Social Worker 2 (SW2) staff provide case management services.

- A CW Social Work Case Manager has 28-33 children and families for whom they are responsible. That is about double the Child Welfare League of America recommended caseload.

### **A day in the life of a CW case manager consists of:**

- Identifying child and parent needs.
- Developing case plans with families and service providers.
- Reviewing progress towards goals.
- Meeting with or talking with providers.
- Visiting a child and the family.
- Consulting with County Attorney on status of case.
- Writing court reports.
- Consulting with supervisor.
- Attending Juvenile Court hearings.
- Documenting the day's activities in the various case narratives.
- Reviewing and providing information for appeals and attending appeal hearings.

**Eligibility services** for Medicaid, FA, and FIP recipients. 440 IM staff perform eligibility activities for Medicaid, FA and FIP services.

- An IM worker is responsible for an average of 919 cases or families or roughly 1,891 individuals.
- In a usual day, an IM worker will complete and process nine new applications or review of existing cases to determine eligibility for FA, Medicaid, and FIP.

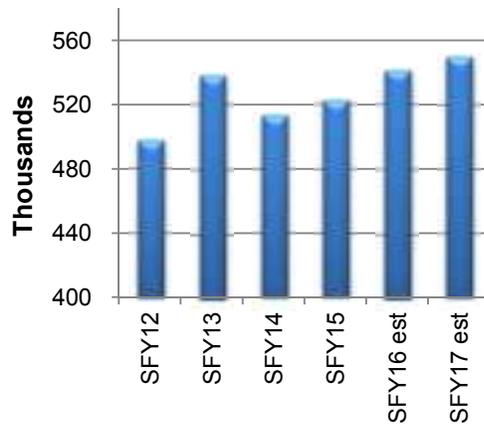
**A day in the life of an IM worker may consist of:**

- Review all of the required eligibility information for completeness.
- Perform look-ups in at least 7 different data bases to verify citizenship, income and other information.
- Conduct client interviews as required.
- Make referrals to other agencies for services as appropriate.
- Update information in the IABC.
- Reviewing and providing information for appeals and attending appeal hearings.

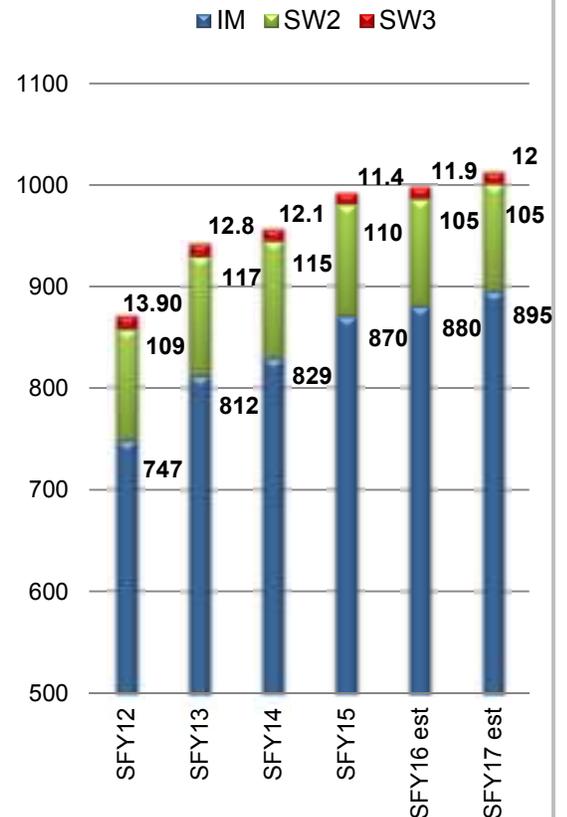
Other Service Area Staff include: 78 SW Supervisors who provide clinical consultation and approve all child abuse findings and case plans. 36 IM Supervisors who provide eligibility and case consultation to IM staff. 36 support staff, on average, in each Service Area to support the Social Work and IM staff. There are approximately 7 staff per service area provide administrative support and oversight of the statewide Service Area staff and service delivery.

Field Services include the Bureau of Refugee Services. The primary function of this 19-person unit is to help non-English-speaking refugees find employment. Services include an intensive employment-readiness class for new arrivals. The caseload averages about 40-50 cases per worker. Main areas of employment continue to be jobs at meatpacking, housekeeping, and manufacturing. Success is measured regarding amount of pay, rate of retention for at least 90 days, degree of health insurance coverage, and ability to leave public welfare assistance programs (FIP). Funding is a blend of federal funds, competitive grants, and PROMISE JOBS funds. At least 30,000 refugees have settled in Iowa since the resettlement program began in 1975.

**Average Monthly Cases**



**Cases Per Worker**



**Projections of workloads for all Field Staff:**

- The services delivered by line staff are measured using the number of cases supported by a single worker or “cases per worker.” Cases typically include families with slightly over two individuals. A caseload measure is used because many of the functions that are performed for a family or household are only performed one time and do not need to be repeated for each individual receiving services.

Based on the projected number of persons to be served by a program, the cases per worker are calculated.

<p><b>Services by the Centralized Service Unit</b></p>	<p>The Centralized Service Area has nine specialized units. At the beginning of SFY16, there were 235 staff in the Centralized Service Area, located primarily in Des Moines and Council Bluffs.</p> <ul style="list-style-type: none"> <li>• <b>Service Intake Unit:</b> 32 staff accept reports of abuse by the public, determine the cases that meet child abuse criteria and refer the assessment to the appropriate Service Area.</li> <li>• <b>Child Care Unit:</b> 67 staff determine eligibility for child care assistance, handle billing, and registration.</li> <li>• <b>Centralized Facility Eligibility Unit:</b> 29 staff determine Medicaid eligibility for individuals in nursing homes.</li> <li>• <b>IM Customer Service Center:</b> 54 staff receive and address reported changes in client eligibility information.</li> <li>• <b>Child Care Licensure Unit:</b> 11 staff conduct on-site licensure visits of and investigate complaints in 1,378 child care centers.</li> <li>• <b>Title IV-E Unit:</b> 22 staff determine eligibility for federal IV-E funding and Medicaid eligibility for children in foster and adoptive care to maximize federal financial participation.</li> <li>• <b>Integrated Claims Recovery Unit:</b> 12 staff will investigate, establish claims and recoup money, for fraud and overpayments in assistance programs.</li> <li>• <b>Interstate Compact:</b> 2 staff oversee the movement of children in the child welfare and juvenile justice systems between states.</li> <li>• <b>Central Abuse Registry:</b> 6 staff respond to inquiries of the Central Abuse Registries and perform record check evaluations for employers and citizens.</li> </ul>	
<p><b>Services by Field Support</b></p>	<p><b>Field Support:</b> 40 staff review and respond to client/family case inquiries; provide Help Desk support to front line staff (e.g. case consultation and IT support); and monitor and provide assistance to improve field performance.</p>	
<p><b>Goals &amp; Strategies</b></p>	<p>Goal: Improve Safety, Well-Being, and Permanency for Iowa's Children. Strategies:</p> <ul style="list-style-type: none"> <li>• Victims of alleged abuse will be seen timely</li> <li>• Focus on best practice to assure children receive effective and timely services.</li> </ul> <p>Goal: Improve Iowa's Health and Employment and Economic Security. Strategies:</p> <ul style="list-style-type: none"> <li>• Provide timely and accurate Medicaid eligibility for Medicaid, FA, FIP and CCA</li> </ul> <p>Goal: Provide Quality Child Care Services. Strategies:</p> <ul style="list-style-type: none"> <li>• Process CCA payments timely</li> <li>• Conduct annual CC licensure visits on all child care centers</li> </ul>	<p>Results across SFY14-SFY15:</p> <ul style="list-style-type: none"> <li>• 99.4 percent of assessment reports met timeliness requirements.</li> <li>• 95 percent of children alleged to be victims of abuse are seen within required 1 hour and 24 hour timeframes.</li> <li>• 91 percent of children are safe from re-abuse.</li> <li>• Iowa achieved a 149.8 rating in FFY14 for assuring children whose parental rights have been terminated are adopted within 2 years. Iowa remains the #1 ranking nationally for the fourth year.</li> <li>• On average, 7,241 monthly medical applications are processed within 12 days of receipt.</li> <li>• Process 9,334 Medicaid nursing facility applications, review and case actions annually.</li> </ul>

	<p>Goal: Effectively Manage Resources and Prevent Fraud and Abuse.</p> <p>Strategies:</p> <ul style="list-style-type: none"> <li>• Maintain current IV-E eligibility penetration rates</li> <li>• Implement Integrated Claims Recovery Unit (ICRU)</li> </ul>	<ul style="list-style-type: none"> <li>• Iowa Food Assistance accuracy rates have reached 96 percent.</li> <li>• 99.7 percent of child care claims are paid timely.</li> <li>• 100 percent of child care centers were visited annually.</li> <li>• SFY15 Iowa earned \$54.9 million in federal IV-E match for foster care and adoption costs which lowered the need for general funds.</li> <li>• SFY15, the Integrated Claims Recovery Unit established over \$1.83 million in claims related to inaccurate or fraudulently claimed benefits.</li> </ul>
	<p>✓ <i>The work on the new eligibility system will continue to streamline IM work by enabling more accurate and timely eligibility determinations and providing an effective way to identify potential fraud and abuse.</i></p>	
<p><b>Legal Basis</b></p>	<p><b>Federal:</b></p> <ul style="list-style-type: none"> <li>• Title IV-A and Title IV-B of the Social Security Act</li> <li>• Code of Federal Regulations: 42 CFR 435.403, 435.906, and 435.908; § 431.50; 7 CFR 273.2(a)-(c)</li> <li>• Sec. 422.42 U.S.C. 622</li> </ul> <p><b>State:</b></p> <ul style="list-style-type: none"> <li>• Iowa Code Chapters 217.42-44, 234.12, 235A.14, 235B, 239B, and 249A.3</li> <li>• Iowa Administrative Code, 441 IAC 1.4(17A) and 441 IAC 65.2(234)</li> </ul>	

# General Administration



<p><b>Purpose</b></p>	<p>The General Administration appropriation funds the administrative support and oversight staff of the Department. The General Administration team is responsible for fiduciary oversight for the \$6.0 billion budget and for program compliance and integrity for all state and federally funded programs administered by the Department.</p>	
<p><b>Who Is Helped</b></p>	<p>The current staff of 281 employees provides leadership, management, and support for the delivery of quality human services to more than 982,546 individuals/families.</p> <p>4,375 Field, CSRU, Facility and program staff responsible for actual delivery of service rely on General Administration for policy and technical expertise, support, and oversight.</p> <p>Over \$5.6 billion (94 percent) of the \$6.0 billion DHS budget is paid to vendors, providers, and lowans in the form of provider claims, service/goods payments, and program benefits.</p>	
<p><b>Services</b></p>	<p>General Administration is organized into seven divisions, as well as the Director's office. The divisions include:</p> <ul style="list-style-type: none"> <li>• Iowa Medicaid Enterprise</li> <li>• Mental Health and Disability Services</li> <li>• Adult, Children, and Family Services</li> <li>• Field Operations - Child Support Recovery Unit</li> <li>• Data Management</li> <li>• Fiscal Management</li> <li>• Policy Coordination</li> </ul> <p>General Administration staff:</p> <ul style="list-style-type: none"> <li>• Design or update programs/service requirements to comply with state and federal law.</li> <li>• Implement key services through DHS staff in the field or facilities or via community providers.</li> <li>• Develop, monitor, and account for the budgets under more than 75 active appropriations, funds, and federal funding sources.</li> <li>• Maintain and update web-based and mainframe based applications and network connection points to support DHS offices in all 99 counties.</li> <li>• Oversee direct service delivery by Field, CSRU, and the nine facilities.</li> </ul>	

**IME:** 32 staff are responsible for Medicaid and the new Iowa Health and Wellness Plan with a \$4 billion budget, and CHIP/*hawk-i* with a \$150 million budget; as well as oversight of nearly \$80 million in contracts and over \$4 billion in provider payments annually.

**MHDS:** 19 staff are responsible for the MHDS redesign planning and implementation, oversight of the 6 DHS facilities, accreditation of more than 240 community providers annually, *administrative oversight of DHS Targeted Case Management*, and monitoring and oversight of 120 contracts with an annual budget of over \$110 million.

**ACFS:** 60 staff are responsible for policy and state/federal compliance for FA, FIP, PROMISE JOBS, CCA, Child Abuse, and CFS programs and over \$1.1 billion in contracts for basic services, CCA, and CFS.

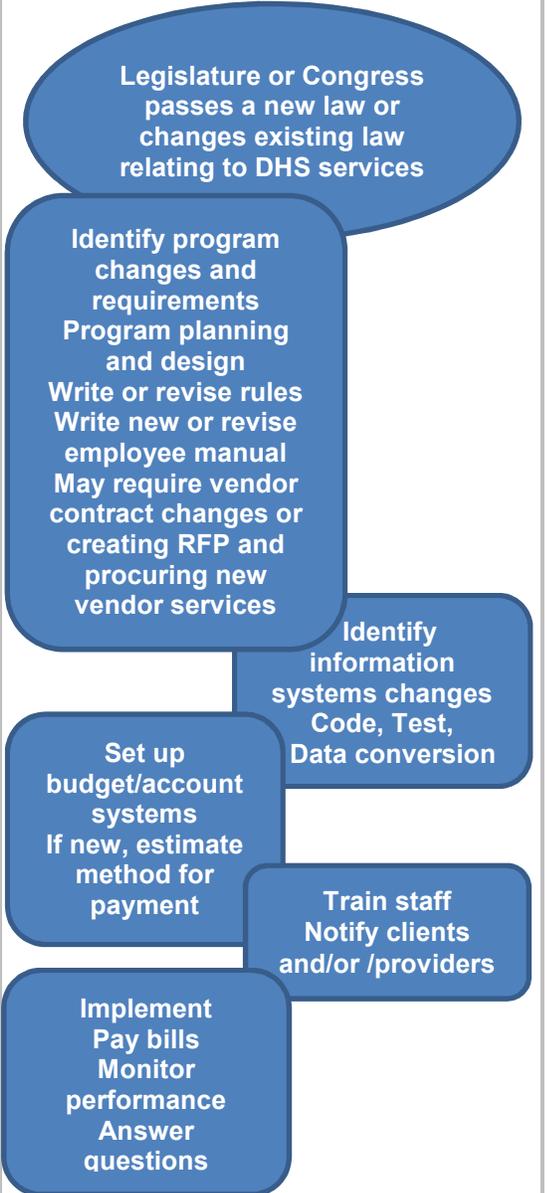
**Field:** 26 staff are responsible for oversight of all field operations, abuse registries, record check evaluations for all employee applicants for Iowa health care facilities and DHS staff, interstate compact on placement of children, help desks for case consultation and advice, quality improvement (Lean Business Process Improvement), and monitoring and oversight of nearly 410 contracts.

**DDM:** 130 staff and contractors support 100 management information systems, 327 servers and support networks for DHS in all 99 counties, providing over 34,240 technical help desk inquiries annually to ensure DHS systems and data security are maintained in accordance with all state and federal law.

**Fiscal:** 46 staff budget, monitor, and account for a \$6.0 billion budget, process approximately 35,000 claims for payment to vendors and employee travel reimbursement and provide oversight for over 150,000 payments to clients and providers, provide service contract support for 1,568 DHS service contracts, coordinate all state and federal financial and program audits, manage the Department's federal cost allocation plan, and submit more than 175 required federal reports annually.

**Policy Coordination Unit:** 11 staff process over 9,100 appeals and 4,050 exceptions to policy annually, manage and publish rules and the DHS employee manual, and provide public policy information as requested.

**A complex chain of events is initiated by DHS General Administration when the Legislature or Congress passes a new law or changes existing law.**



**These activities occur simultaneous with management of more than 120 current programs.**

	<ul style="list-style-type: none"> <li>✓ <i>General administrative staff comprise less than 6 percent of total DHS staff.</i></li> <li>✓ <i>Fiscal Management is responsible for a \$6.0 billion budget, including \$4.1 billion in federal funding from many different funding sources.</i></li> </ul>	
<p><b>Goals &amp; Strategies</b></p>	<p>Goal: Effectively Manage Resources</p> <p>Strategies:</p> <p>Implementation of State and Federal Law</p> <ul style="list-style-type: none"> <li>• Implement state and federal law accurately and timely</li> <li>• Assure program design and delivery are efficient and effective</li> <li>• Ensure program integrity</li> </ul> <p>Effective Budget Management</p> <ul style="list-style-type: none"> <li>• Ensure cost management consistent with available resources</li> <li>• Sustain or improve Federal Financial Participation</li> </ul> <p>Customer Service</p> <ul style="list-style-type: none"> <li>• Pay providers timely</li> <li>• Respond timely to client/provider appeals</li> <li>• Respond timely the inquiries from stakeholders including the Legislature and the public</li> </ul> <p>Resource Management</p> <ul style="list-style-type: none"> <li>• Implement new ELIAS eligibility system and new MIDAS IME payment system</li> </ul>	<p>In SFY15:</p> <ul style="list-style-type: none"> <li>• DHS achieved Iowa Medicaid savings of nearly \$46.8 million through program integrity cost avoidance or recoveries while maintaining essential healthcare services and provider rates.</li> <li>• 100 percent of DHS operational budgets were managed without deficits or supplementals. However, 3% of DHS program budgets required additional funding to close the fiscal year.</li> <li>• Overall DHS expenditures included approximately \$3.9 billion in federal funding – approximately 57.6 percent of all expenditures.</li> <li>• DHS processed 100 percent of vendor payments within 45 days.</li> <li>• DHS processed over 9,100 appeals and 4,050 exceptions to policy.</li> <li>• DHS processed 158 pages of administrative rule changes in 31 administrative rule submissions.</li> <li>• DHS processed 479,000 words in 713 documents for translation into 27 distinct languages.</li> <li>• DHS prepared 1,457 responses to stakeholders including Legislators, Congressional delegates and others.</li> <li>• DHS worked to procure managed care vendors to operationalize the Medicaid Modernization initiative. Support staff ensures program oversight, independent verification and validation, and high-quality procurement through comprehensive contracting processes and training.</li> </ul>
	<ul style="list-style-type: none"> <li>✓ <i>General Administration manages the Department's federal cost allocation plan to ensure compliance with federal requirements while maximizing federal funding available to the state for human services programs.</i></li> </ul>	
<p><b>Legal Basis</b></p>	<p><b>State:</b></p> <p>Iowa Administrative Code, 441 IAC 11.11(1)(a)</p>	

# Volunteers



<b>Purpose</b>	The Volunteer Services Program enhances the delivery of services to lowans in need.	
<b>Who Is Helped</b>	<p>Volunteers, under the supervision of paid staff, assist in providing compassionate and caring service far beyond the services which could be provided by staff alone.</p> <p>Department volunteers supplement paid staff rather than replacing staff. This staff-volunteer team approach results in extended services to clients and is an essential component in the broad delivery of services.</p> <p>More than 5,600 people volunteered their services to DHS in SFY15. The number of lowans served by volunteers in SFY15 included:</p> <ul style="list-style-type: none"> <li>• Children: 9,514.</li> <li>• Adults under age 60: 6,553.</li> <li>• Adults 60 and over: 2,616.</li> </ul>	<p style="text-align: center;"><b>People Served by Volunteers in SFY15</b></p> <ul style="list-style-type: none"> <li>■ Children (51%)</li> <li>■ Adults &lt;60 years (35%)</li> <li>■ Seniors (14%)</li> </ul>
	<ul style="list-style-type: none"> <li>✓ <i>Volunteers donate from 3 to 40+ hours per week throughout the year.</i></li> <li>✓ <i>Ten DHS volunteers received a Governor's Volunteer Award in 2015.</i></li> </ul>	
<b>Services</b>	<p>There were 95,747 total hours of volunteer service in SFY15. On average, 472 volunteers provided 17 hours of service per month. Service types include:</p> <ul style="list-style-type: none"> <li>• Direct service to clients/residents.</li> <li>• Indirect service, such as clerical assistance.</li> </ul> <p>Volunteer hours increased by 22% between SFY14 and SFY15. The increase is due to the standardized reporting of hours to capture more of the work done by volunteers and one area is now using volunteers as guardians/conservators for dependent adults. The adult services are provided on a 24-hour per day basis.</p>	<p style="text-align: center;"><b>Services in SFY15</b></p> <ul style="list-style-type: none"> <li>■ Individual Direct Service (79%)</li> <li>■ Individual Indirect Service (21%)</li> </ul>
<b>Goals &amp; Strategies</b>	<p>Goal: Utilize volunteers to supplement client service and relieve frontline staff. Simplify reporting to improve accuracy and limit administrative duties</p>	<p>Results: An increase in volunteer hours was documented in SFY14. An emphasis is being placed on the utilization of volunteers along with simplification of the reporting requirements.</p>
<b>Legal Basis</b>	<p><b>Federal:</b></p> <ul style="list-style-type: none"> <li>• Domestic Volunteer Service Act of 1973(42 U.S.C. 4950 et seq),</li> <li>• 42 U.S. Code, Chapter 66</li> </ul> <p><b>State:</b></p> <ul style="list-style-type: none"> <li>• Iowa Code, Chapter 217.13</li> <li>• Iowa Administrative Code, 441 IAC 12</li> </ul>	