Iowa Department of Human Services

SOCIAL SERVICES BLOCK GRANT

INTENDED USE PLAN &

PRE-EXPENDITURE REPORT

State Fiscal Year:
July 1, 2016 - June 30, 2017

Public Comment Period:
June 14-June 28, 2016

Charles M. Palmer, Director
Iowa Department of Human Services

Jean Slaybaugh, Chief Financial Officer
Iowa Department of Human Services

Iowa Department of Human Services

Terry E. Branstad
Governor

Kim Reynolds
Lt. Governor

Charles M.
Director

June 28, 2016

Ms. Marsha Werner
Office of Community Services
Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade, SW
Washington, DC 20447

Dear Ms. Werner:

Attached are the Social Services Block Grant (SSBG) Intended Use Plan and Pre-Expenditure Report for the State of Iowa. The report covers the State Fiscal Year 2017, for the period of 07/01/16 through 06/30/2017.

Comments or questions regarding this report should be addressed to the Iowa SSBG contact staff:

Jody Lane-Molnari, Executive Officer II
Iowa Department of Human Services
Division of Fiscal Management
Hoover State Office Building
1305 E Walnut Street
Des Moines, IA 50319-0114
(O) 515-281-6027
(F) 515-564-4042
jlanemo@dhs.state.ia.us

The SSBG official receiving the SSBG Grant Award is:

Charles M. Palmer, Director
Iowa Department of Human Services
Hoover State Office Building
1305 E Walnut Street
Des Moines, IA 50319-0114
(O) 515-281-5452
(F) 515-281-4980
cpalmer1@dhs.state.ia.us

Sincerely,

Jean M Slaybaugh, CFO
IDHS, Division of Fiscal Management

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DOCUMENTATION OF PUBLIC NOTICE & CERTIFICATIONS

Proof of Public Notice

Certifications

Attached at the end of the Final SFY 2017 Pre-Expenditure Report

OVERVIEW

We proudly proclaim our Vision: "*The Iowa Department of Human Services makes a positive difference in the lives of Iowans we serve through effective and efficient leadership, excellence, and teamwork.*" The Mission of the Iowa Department of Human Services is to help individuals and families achieve safe, stable, self-sufficient, and healthy lives, thereby contributing to the economic growth of the state. We do this by keeping a customer focus, striving for excellence, sound stewardship of state resources, maximizing the use of federal funding and leveraging opportunities, and by working with our public and private partners to achieve results.

The Iowa Department of Human Services (DHS) provides a variety of statewide social services to help individuals and families improve their lives. Iowa DHS is the State Agency designated to administer the State's SSBG program. The program services are designed to assist individuals or families to become less dependent on others for financial support or personal care; to protect vulnerable children and/or adults; to avoid unnecessary or premature institutionalization; and to gain appropriate placement, if institutionalization is necessary.

This report outlines those services in Iowa funded with federal Social Services Block Grant funds and related state funds during the 2017 State Fiscal Year that begins July 1, 2016 and ends June 30, 2017.

GOALS

Each State has the flexibility to determine what services will be provided, who is eligible to receive services, and how funds are distributed among various services or programs within the State. Target population is determined by each State, according to these needs and must be directed at one or more of the five broad statutory goals.

Iowa's intended use plan for its SSBG allocation is to advance one or more of the following SSBG goals:

- Achieving or maintaining economic self-support to prevent, reduce, or eliminate dependency;
- Achieving or maintaining self-sufficiency, including reduction or prevention of dependency;
- Preventing or remedying neglect, abuse, or exploitation of children and adults unable to protect their own interests, or preserving, rehabilitating or reuniting families;
- Preventing or reducing inappropriate institutional care by providing for community-based care, home-based care, or other forms of less intensive care;
- Securing referral or admission for institutional care when other forms of care are not appropriate, or providing services to individuals in institutions

LEGAL REQUIREMENTS

The federal government established the Social Services Block Grant (SSBG) in the Omnibus Budget Reconciliation Act of 1981 (Public Law 97-35). The SSBG replaced the previous federal social services program known as Title XX, and gave the states substantial discretion in the use of block grant funds. Each State's SSBG grant is determined by a statutory formula based on the State's population. States are fully responsible, within the limitations of the law, for determining the use of their grant funds. The SSBG funds must be spent according to requirements in the Code of Federal Regulations, Title 45, Part 96, as amended.

The Iowa regulations, which apply to SSBG eligibility for services and their delivery, are found in the Iowa Administrative Code, Section 441, Chapters 130 (General Provisions) and 153 (Social Services Block Grant). In addition, the Code of Iowa also covers social services in the "Administrative Procedures Act" (Chapter 17A), "The Department of Human Services" (Chapter 217), and "Child and Family Services" (Chapter 234).

CHANGES TO THE PRE-EXPENDITURE REPORT

An amendment process makes it possible to respond to changing needs throughout the year. Any decision to add a service, stop a service, or change the period of time a service is available is publicly posted in the full-time DHS offices. Most of these amendments are posted for 30 days before the change takes place. However, if funding is not available to continue a service, an amendment may take effect as soon as it is posted.

PUBLIC PARTICIPATION

The Iowa Legislature passed two appropriation bills related to the use of SSBG funding for SFY17: in 2015, the Iowa Legislature passed HF 630, a two-year Federal Block Grant Appropriation bill; it was signed into law by the Governor on 05/15/15. HF 2460, the Health & Human Services Appropriation, was passed by the Iowa Legislature and signed into law by the Governor on 05/27/16.

Iowa publishes the proposed intended use plan and pre-expenditure report to inform the State's citizens and decision-makers of its plans for implementing the SSBG program and to meet the SSBG pre-expenditure reporting requirements. The Intended Use Plan and Pre-Expenditure Report are posted on the DHS website for 24-hour access at http://dhs.iowa.gov/ under "Performance and Reports". The public comment period for the proposed State Fiscal Year 2017 intended use plan and pre-expenditure report was from June 14 – June 28, 2016.

Public notices are posted to provide the public an opportunity to submit comments. Iowa considers all feedback received from the public, including service recipients, service providers, and other interested citizens, throughout the program year and in its preparation of updates, if necessary, to reflect substantial changes. There were no inquiries or comments received during the public comment period; no substantial changes to the Intended Use Plan were required.

POLICY ON NONDISCRIMINATION

It is the policy of the Iowa Department of Human Services to provide equal treatment in employment and provision of services to applicants, employees, and clients without regard to race, color, national origin, sex, religion, age, disability, political belief, or veteran status

If any applicant for or recipient of services has reason to believe DHS or any of its vendors, providers, or contractors have discriminated against him or her for any of the reasons stated above, the person may use the discrimination complaint procedures of the following agencies:

(1) Iowa Department of Human Services;

(2) Iowa Civil Rights Commission (if a person feels he or she was treated differently because of his or her race, creed, color, national origin, sex, religion, or disability); or

(3) U.S. Department of Health and Human Services, Office for Civil Rights.

For assistance or consultation, the person may contact a DHS office, a member of the DHS Affirmative Action committee, or:

Iowa Civil Rights Commission
Grimes State Office Building
400 E. 14th Street
Des Moines, IA 50319-1004
Phone: 515-281-4121
Toll Free: 1-800-457-4416
Fax 515-242-5840

U.S. Department of Health and Human Services
Office for Civil Rights, Region VII
601 East 12th Street, Room 248
Kansas City, Missouri 64106

APPLICATION FOR SERVICES

A person may request service at any DHS field office. The services and programs that are included in this Intended Use Plan are intended to be available on a statewide basis; there are no geographic limitations within the state of Iowa for any service covered by SSBG funds.

The request for services will be acted upon within 30 days of the date the application form is completed unless otherwise indicated in the Iowa Administrative Code. For local purchase services, a person may also apply at the Central Point of Coordination. There is no fee for application, however there may be a cost to the client for services that are received based upon income.

ELIGIBILITY

To be eligible for a service a person must be found to need the service and be a resident of the state of Iowa. For some services, financial eligibility may also be required. To be financially eligible, the family income must fall within the income guidelines in Table 1, as defined in Iowa Administrative Code 441—130.3(1)"d"(2).

Persons who qualify for an income maintenance program such as the Family Investment Program (FIP), Supplemental Security Income (SSI), or State Supplemental Assistance (SSA) are considered financially eligible.

For local purchase or state payment program services to be provided through an approved county management plan, eligibility is based upon the criteria established in this plan. A copy of a county management plan may be obtained from the county or the DHS Division of Mental Health and Disability Services. For local purchase services without an approved county management plan, eligibility is based upon eligibility criteria established in the last approved county management plan.

TABLE 1

MONTHLY GROSS INCOME LIMITS

Family Size	Monthly Gross Income Limits For Services
1	583
2	762
3	942
4	1121
5	1299
6	1478
7	1510
8	1546
9	1581
10	1612
*	*Add $33 for each additional person

Certain services are provided without regard to income, which means family income is not considered in determining eligibility. The services provided without regard to income are information and referral, child abuse investigation, child abuse treatment, child abuse prevention services, including protective child care services, family-centered services, dependent adult abuse evaluation, dependent adult abuse treatment, dependent adult abuse prevention services, and purchased adoption services to individual and families referred by the department.

GLOSSARY OF TERMS

Note: The definitions in this glossary are brief descriptions of block grant funded services. The full legal definitions may be found in the Iowa Administrative Code, Section 441, or as noted below.

Adult Support - Community–based assistance services, individual treatment services, social contact services, and supervisory services. These services encourage and assist adults, persons aged eighteen and older who do not meet the definition of "child" (see below), to obtain or more fully use community services that promote health and well-being.

Case Management (Field Operations Social Services Casework) - Means working with the client to:

a) Assess and identify individual and family strengths and needs,
b) Develop a case plan to provide appropriate supports and services,
c) Implement the case plan using community resources,
d) Coordinate and monitor the provision of services,
e) Evaluate client progress and the case plan to determine continued need for services, and
f) Plan for discharge.

Central (General) Administration - The Central (General) Administration appropriation provides for the administrative direction and coordination for all programs and services provided by the Department, including program planning, policy formulation, budget formulation, purchasing, accounting, data processing, and systems development to generate provider payments.

Child (as defined by Iowa Code 234.1(2)) - Means either a person less than eighteen years of age or a person eighteen or nineteen years of age who meets any of the following conditions:

a) is in full-time attendance at an accredited school pursuing a course of study leading to a high school diploma,
b) is attending an instructional program leading to a high school equivalency diploma,
c) has been identified by the director of special education of the area education agency as a child requiring special education as defined in section 256B.2, subsection 1

Child and Family Services - The Child and Family Services appropriation provides funds for services to children and families and for activities to support those services. Services are designed to protect children from abuse and neglect, prevent out-of-home placement, provide temporary foster care for children unable to remain in their own homes, and provide permanent homes for children who cannot return home. SSBG funds are used for family centered child welfare services (i.e. Safety Plan Services and Family Safety, Risk, and Permanency Services), foster care services (i.e., family foster care, group care, emergency juvenile shelter care), and Child Welfare Emergency Services (CWES).

Child Welfare Emergency Services (as defined in the Department of Human Services' CWES contracts) - An array of short term and temporary interventions that are provided to the target population by the child welfare system and focus on children's safety, permanence, and well-being. CWES range from the least restrictive approaches that can be used, e.g., crisis interventions such as family conflict mediations or in-home interventions, to more restrictive emergency services including out-of-home placements with relatives, foster families, or emergency juvenile shelter care (as permitted by the Iowa Code).

County Administration - Local agency expenses, including the portion of the cost of maintaining a local office in order to effectively and efficiently provide an array of case management services to eligible persons, which is reimbursed to the county.

DHS - The Iowa Department of Human Services.

Dependent Adult Protection - (Protective Services - Adults) A service in which a DHS worker provides an evaluation of a reported abuse of a dependent adult which occurred because of the actions or omissions of caretakers or of dependent adults themselves. Some examples of abuse are non-accidental physical injury, sexual abuse, inadequate food, clothing, shelter, or items necessary for the dependent adult's health and welfare. This service also includes providing or arranging for intervention or court referral that remedies an actual or potential abuse problem.

"At-risk adult" means an adult who, because of a significant impairment due to a physical or mental disability or both, is unable to meet essential daily needs without assistance and whose personal health or safety is at risk due to such impairments, the environment, substance abuse problems, a lack of services or social supports, a refusal to accept services, or other risk factors identified through an assessment.

"Dependent adult" means a person eighteen years of age or older who is unable to protect the person's own interest or unable to adequately perform or obtain services necessary to meet essential human needs, as a result of a physical or mental condition which requires assistance from another.

Family-Centered Supportive Child Welfare Services (as defined by IAC 441- Chapter 172, Division IV) are specific services that DHS workers may approve and deliver at various points during the course of a child's and family's involvement with the agency's child welfare system to address the children's safety, permanency, and well-being needs. These services include Drug Testing, Family Team Meeting Facilitation, Legal Services for Permanency, Parent Partners program, and service area specific services.

Family-Life Home - (Foster Care Services - Adults) A program for adults who want and need family-type living arrangements. The department certifies provider families who furnish a home for not more than two clients at a time, giving them room, board, laundry, and encouragement to share in family living and participate in the social, cultural, educational, religious, and other activities of the community.

"Eligible adult" means a person eighteen years of age or older who meets the eligibility requirements for services or is a recipient of protective services, and who is considering or needs a living arrangement in a family-life home.

Family Safety, Risk, and Permanency (FSRP) Services (as defined by DHS Contracts for FSRP Services as well as IAC 441- Chapter 172, Division III) - use strategies and family focused interventions designed to deliver a flexible array of culturally sensitive interventions and supports to achieve safety and permanency for a child or children with an open DHS child welfare case, regardless of the setting in which the child resides. FSRP Services are the primary family-centered service intervention purchased by the Department. The outcome may be to maintain children safely within their own families or with relatives, to reunite children safely with their parents or other relatives, or to achieve alternative permanent family connections for the child.

Field Operations - The Field Operations appropriation funds the DHS service delivery system provided by front-line field staff who deliver and coordinate an array of social services and economic assistance to children, families and dependent adults throughout the State. Staff are located in county-based offices across Iowa in order to provide services at a local level, whenever possible. There are five service delivery areas that span the State, and a sixth, centralized area for common services, such as child care assistance and reporting of changes to households, in order to gain efficiencies and provide costs effective solutions. All six service areas are part of the Division of Field Operations that also provides help desk services, technical support, and customer service to DHS, other governmental agencies, and Iowans.

Foster Care Services - Child - Foster care is designed to protect child safety and to ensure children have a permanent family. The DHS worker provides foster care service by arranging for and monitoring substitute 24-hour care for a child while working to achieve a permanent placement for the child. The caregiver provides food, lodging, training, and supervision in a foster family home, group care facility, or shelter care facility. Services may be purchased from private agencies. SSBG, Medicaid, and state funds are used for the services. Maintenance is funded from state and IV-E funds.

Preparation for Adult Living Services (PALS) & Supervised Apartment Living (SAL) Services PALS is a transition service to support youth age 18-21 who age out of foster care. Emphasis is placed on aftercare life skills, housing, employment, education, budgeting, and relationships. Youth receive individualized services from case managers, called Self Sufficiency Advocates. A network of nine child welfare providers comprise the Iowa Aftercare Services Network, providing services to 425 youth monthly. SAL, as defined in IAC 441 – Chapters 108 & 202) is the least restrictive foster care placement in Iowa. Youth either live in a cluster site living arrangement or in a scattered-site living arrangement. The living arrangement must provide the youth with an environment in which the youth can experience living in the community with less supervision than other types of foster care placements. Contractors must provide life-skills training services to youth in SAL. Youth who are at least 16 ½ years of age are eligible for cluster site placement and youth 17 years of age are eligible for scattered-site placement; youth must be mature enough to handle living in the community with less supervision. Youth must be attending high school or classes leading to their GED; if a youth has completed their high school education, the youth must be working an average of 80 hours per month or participating in a work training program leading to employment. If approved by the DHS Service Area Manager, a youth may remain in SAL up to their 20th birthday to finish a high school diploma or GED.

Safety Plan (SP) Services (as defined by DHS Contracts for Safety Plan Services as well as IAC 441- Chapter 172, Division II) provide oversight of children who are assessed by the DHS worker to be conditionally safe and in need of interventions (services and activities) to move them from conditionally safe to safe status during a time-limited Child Protective or CINA Assessment by providing culturally sensitive assessment and interventions. Services assure that the child(ren) will be safe and that without such services the removal of the child(ren) from the home or current placement will occur. The services shall provide a flexible array of strategies and interventions to monitor, evaluate, and intervene to ensure the child's safely; and evaluate and supplement the protective capacities of the child's caregivers. This service remediates the circumstances that brought the child to the attention of the Department.

SSBG - Funds provided by the federal government for social services described in Title XXIII, Subtitle C, "Block Grants for Social Services of the Omnibus Budget Reconciliation Act of 1981" of Public Law 97-35. SSBG stands for Social Services Block Grant.

State Payment Program - Residential and other disability-related services as specified in an approved regional service system management plan which are provided to adults with mental illness, intellectual disability, brain injury, and/or a developmental disability with the goal of maintaining and improving self-sufficiency and reducing or eliminating the need for institutionalized placement. Individuals are residents of the State of Iowa, but who have not established county residence per Iowa Code 331.394.

Volunteers - The cost for an individual or agency to perform a variety of services in support of a structured volunteer program to enhance departmental programs. Services include volunteer recruitment, screening, orientation, recognition, training, and other appropriate activities.

FUNDING

The Iowa Legislature allocates the anticipated funding from the Social Services Block Grant. Table 2 provides the estimated amounts and sources of funding anticipated for Social Services Block Grant related services in state fiscal year 2017.

Table 2
SOCIAL SERVICES BLOCK GRANT

PROPOSED FUNDING BY SOURCE AND CATEGORY OF EXPENDITURE

SFY 2017

DHS BUDGET CATEGORY	FEDERAL	STATE	COUNTY	TOTAL
FIELD OPERATIONS	$12,055,502	$14,608,572		$26,664,074
COUNTY ADMINISTRATION	$577,636	$0	$2,913,669	$3,491,305
CHILD & FAMILY SERVICES	$13,279,357	$6,827,071		$20,106,428
VOLUNTEERS	$63,241	$84,686		$147,927
STATE PAYMENT PROGRAM	$576,073	$0	Cannot be determined	$576,073
CENTRAL ADMINISTRATION	$1,680,805	$1,856,252		$3,537,057
TOTAL	$28,232,614	$23,376,581	$2,913,669	$54,522,864

NOTES:
Federal funds include the total planned SSBG Expenditures, including both the SSBG Allocation and TANF funds used to replace reduced SSBG funding.

The state dollars represent funds available based on legislative action.

Prepared by: Victoria Wiedemeier
DHS-Fiscal Management
June 9, 2016

Table 3
SOCIAL SERVICES BLOCK GRANT
CATEGORIES OF EXPENDITURE

Expenditure Report Line # and SSBG Service Name	IA DHS Budget Category	IA DHS Program/Service
2. Case Management	Field Operation	Case Management
	County Administration	County Administration (Local Agency Expenses)
10. Foster Care - Adult	Field Operation	Family-Life Homes
11.Foster Care - Child	Child & Family Services	Foster Care
13. Home-Based Services	Child & Family Services	Family-Centered Child Welfare Services (i.e. Child Welfare Emergency Services; Family-Centered Supportive Services; Family Safety, Risk, and Permanency Services; and Safety Plan Services)
16. Independent/ Transitional Living Services	Child & Family Services	Preparation for Adult Living Services (PALS) & Supervised Apartment Living (SAL)
21. Protective Services - Adult	Field Operation	Dependent Adult Protection (Protective Services-Adult)
29. Other Services	Volunteers	Volunteers
25. Special Services - Disabled	State Payment Program	Adult Residential Services (for persons with disabilities) Other Disability-Related Services as specified in approved Regional Service System Management Plans
31. Administrative Costs	Central Administration	Central Administration (General Administration)

This table displays the services that are funded within the categories of expenditure on Table 2 of the SSBG Proposed Funding in the Pre-Expenditure Report.

DHS uses a methodology of calculating the final costs for the Field Operations Budget Category (for case management, county administration-local agency expense, dependent adult protection, and family-life homes) based on Random Moment time studies.

STANDARDS FOR LIVING ARRANGEMENTS FOR SSI RECIPIENTS

Many of the people who use SSBG services are Supplemental Security Income (SSI) recipients. The following standards apply to residential facilities for these recipients.

Standards for Family Life Homes, corresponding to Foster Homes in Public Law 94-566, are the responsibility of the Iowa Department of Human Services. A Family Life Home is a private household offering a protective social living arrangement for one or two eligible adults. These standards, along with procedures for enforcement of these standards are contained in the Iowa Administrative Code 441--Chapter 111. There is no provision for waiving family life home standards. Homes which do not meet standards are either denied certification or the existing certification is revoked. A list of homes having violated these standards, including deficiencies involved in each violation which have come to the attention of the DHS, are available free from:

Iowa Department of Human Services
Division of Adult, Children, and Family Services
Hoover State Office Building - 5th Floor
Des Moines, Iowa 50319

Family Life Home standards include a section on definition of terms, procedures for application for certification, provisions of certification, requirements for certification pertaining to physical standards, personal characteristics of the family, health of family, activities for residents, medical requirements, eligibility requirements, confidentiality, placement agreements, and emergency care.

Standards for children's foster care facilities are the responsibility of the Iowa Department of Human Services. These standards are contained in Iowa Administrative Code 441--Chapters 105, 108, 112, 113, 114, 115, and 116. These facilities are licensed, certified, or approved by the Department as one of the following:

- Foster family home
- Community residential facility
- Comprehensive residential facility
- Residential facilities for children with intellectual disabilities/developmental disabilities
- Juvenile shelter care homes

A copy of the standards for each type of care, a list of facilities licensed or approved to provide each type of care, a checklist of compliance with the standards for each facility, a list of facilities with provisional licenses due to deficiencies and the deficiencies involved, are available free from:

Iowa Department of Human Services
Division of Adult, Children, and Family Services
Hoover State Office Building - 5th Floor
Des Moines, Iowa 50319

Children's foster care facilities standards include sections on definition of terms, procedures for application, physical standards, health of foster family or facility staff, required reference checks on the family or staff, record care, unannounced visits, rights of foster children and required services. Group care facilities also have requirements regarding drug policies; dental and medical services; dietary requirements; safety requirements; care plan review and revision; discipline; and staff qualifications.

The Social Services Block Grant Report for SFY 2015 includes local purchase services (see definition of local purchase in the "Glossary of Terms"). The following information on one of the local purchase services, adult residential services, is provided to meet the public notice requirements of the Keys Amendment. Standards for Residential Care Facilities are the responsibility of the Department of Inspections and Appeals (DIA). According to Iowa law, the standards cover facilities providing 24-hour care for three or more people for a period exceeding 24 or more consecutive hours. A copy of these standards and administrative rules for enforcement, criteria for variances for each rule, and a list of facilities having violated these standards, including deficiencies involved in each violation that have come to the attention of DIA, are available from:

Iowa Department of Inspections and Appeals
Lucas State Office Building
Des Moines, Iowa 50319

The standards for Residential Care Facilities include sections on: definition of terms; provisions for variances; procedures for application for license; requirements on changes in facilities; duties and responsibilities for the administrator; health requirements of staff; personnel practices; admission, transfer and discharge policies; terms of contracts with residents; medical services to residents; records; care and personal services; rights of residents; drug policies; dental services; dietary requirements; social service programs; activities programs; care review; safety requirements; housekeeping procedures; and requirements for maintenance, garbage disposal, laundry, buildings, equipment, furnishings, and supplies.

Standards for Supported Community Living Services are the responsibility of the Iowa Department of Human Services. This is a program providing services and supervision for adults and children with mental illness, intellectual disabilities, or developmental disabilities to enable them to live in an apartment in the community.

The Division of Mental Health and Disability Services is responsible for the certification standards for the Supported Community Living Services program and for enforcement of these standards. A copy of the relevant administrative rules may be obtained by writing:

Iowa Department of Human Services
Division of Mental Health and Disability Services
Hoover State Office Building - 5th Floor
Des Moines, Iowa 50319

Administrative rules for Supported Community Living Services specify an approval process for programs, procedures for assessment of compliance and denial or revocation of approval and requirements for living arrangement and program of services. They also detail the standards for governance, administration, program and services and living arrangement and are found in Iowa Administrative Code 441, Chapter 24.

Part A. Estimated Expenditures and Proposed Provision Method

OMB NO.: 0970-0234

EXPIRATION DATE: 11/30/2017

STATE: **IOWA**	FISCAL YEAR: **2017**	REPORT PERIOD: **7/01/2016-6/30/2017**
Contact Person: **Jody Lane-Molnari**	Phone Number: **515-281-6027**	
Title: **Executive Officer II**	E-Mail Address: **jlanemo@dhs.state.ia.us**	
Agency: **Iowa Department of Human Services**	Submission Date: 06/29/2016	

	Service Supported with SSBG Expenditures	SSBG Expenditures		Expenditures of All Other Federal, State and Local funds**	Total Expenditures	Provision Method	
		SSBG Allocation	Funds transferred into SSBG*			Public	Private
1	Adoption Services						
2	Case Management	5,900,225	6,608,812	17,161,283	29,670,320	X	
3	Congregate Meals						
4	Counseling Services						
5	Day Care--Adults						
6	Day Care--Children						
7	Education and Training Services						
8	Employment Services						
9	Family Planning Services						
10	Foster Care Services—Adults	803	0	2,336	3,139	X	
11	Foster Care Services--Children	816,094	0	2,749,876	3,565,970	X	X
12	Health-Related Services						
13	Home-Based Services	3,780,223	5,583,040	3,353,273	12,716,536	X	X
14	Home-Delivered Meals						
15	Housing Services						
16	Independent/Transitional Living Services	3,100,000	0	723,922	3,823,922	X	X
17	Information & Referral						
18	Legal Services						
19	Pregnancy & Parenting						
20	Prevention & Intervention						
21	Protective Services--Adults	123,298	0	358,622	481,920	X	
22	Protective Services--Children						
23	Recreation Services						
24	Residential Treatment						
25	Special Services--Disabled	576,073	0	(not available)	576,073	X	X
26	Special Services--Youth at Risk						
27	Substance Abuse Services						
28	Transportation						
29	Other Services***	63,241	0	84,686	147,927	X	
30	SUM OF EXPENDITURES FOR SERVICES	14,359,957	12,191,852	24,433,998	50,985,807		
31	Administrative Costs	910,649	770,156				
32	SUM OF EXPENDITURES FOR SERVICES AND ADMINISTRATIVE COSTS	15,270,606	12,962,008				

* From which block grant(s) were these funds transferred? TANF

** Please list the sources of these funds:

2. Case Management: T XIX, TANF, IV-B, IV-E, state & local (county)
10. Foster Care Adult: state & local
11. Foster Care Child: IV-B, state
13. Home-Based Services: TANF, state
16. Independent/Transitional Living Services: IV-B, state
21. Protective Services-Adults: state & local
25. Special Services-Disabled: state & local
29. Other Services: state & local

*** Please list other services: DHS Volunteer Program – Using a staff-volunteer team approach, volunteers provide compassionate and caring social services beyond what could be provided by staff alone and results in extended services to clients as an essential component in the broad delivery of services.

Part B. Estimated Recipients

OMB NO.: 0970-0234

STATE: IOWA
FISCAL YEAR: 2017

	Service Supported with SSBG Expenditures	Children	Adults			Total Adults	Total
			Adults Age 59 Years & Younger	Adults Age 60 Years & Older	Adults of Unknown Age		
1	Adoption Services						
2	Case Management	18,000					18,000
3	Congregate Meals						
4	Counseling Services						
5	Day Care--Adults						
6	Day Care--Children						
7	Education and Training Services						
8	Employment Services						
9	Family Planning Services						
10	Foster Care Services—Adults		2	3		5	5
11	Foster Care Services--Children	3,500					3,500
12	Health-Related Services						
13	Home-Based Services	15,000					15,000
14	Home-Delivered Meals						
15	Housing Services						
16	Independent/Transitional Living Services	150	800			800	950
17	Information & Referral						
18	Legal Services						
19	Pregnancy & Parenting						
20	Prevention & Intervention						
21	Protective Services—Adults		1,000	1,500	100	1,600	2,600
22	Protective Services--Children						
23	Recreation Services						
24	Residential Treatment						
25	Special Services--Disabled				15	15	15
26	Special Services--Youth at Risk						
27	Substance Abuse Services						
28	Transportation						
29	Other Services***	10,000	7,500	5,000		12,500	22,500
30	SUM OF RECIPIENTS OF SERVICES	46,650	9,302	6,503	115	15,920	62,570

PROOF OF AUDIT

The Office of Auditor of the State (AOS) of Iowa posted the 2015 Single State Audit, which contains the latest review of the SSBG program funding, on March 31, 2015.

Link to the 2015 State Auditor Report: https://auditor.iowa.gov/reports/1660-8990-a000

The Summary of the most recent Independent Auditor's results, including identification of SSBG as a major program and part of the review, can be found on pages 63-64 of the 2015 report. The independent auditor's report on compliance for major programs expressed an unmodified[1] opinion for each of the major programs, including CFDA Number 93.667 – Social Service Block Grant. There were no instances of noncompliance for the SSBG program. Results for all US Department of Health and Human Services' findings can be found on pages 76-79 of the referenced report.

SSBG is on a three-year cycle for review by AOS; the next anticipated review is SFY18, with the report available in March 2019.

DOCUMENTATION OF PUBLIC HEARING and CERTIFICATIONS

Attached at the end of the Final SFY 2017 Intended Use Plan & Pre-Expenditure Report:

- Copy of Public Notice

- Drug-Free Workplace Requirements Certification
- Environmental Tobacco Smoke Certification
- Lobbying Certification
- Debarment, Suspension and Other Responsibility Matters Certification

[1] The American Institute of Certified Public Accountants (the "AICPA") Auditing Standards Board (the "ASB") has redrafted the majority of the auditing sections in the Codification of Statements on Auditing Standards: "clean opinion or unqualified opinion" has changed to "unmodified opinion". Unmodified Opinion is where an auditor expresses an opinion that financial statements are presented, in all material respects, in accordance with applicable financial reporting framework.

Iowa Department of Human Services

PUBLIC NOTICE

The Iowa Department of Human Services has developed a proposed plan for providing a number of social services funded by the federal government's Social Services Block Grant and other state and county funds. For each service, the plan describes what the service is and its funding source for the state fiscal year 2017 (i.e., July 1, 2016 through June 30, 2017).

You may review the proposed **Social Services Block Grant Pre-Expenditure Report** at a local service area office of the Iowa Department of Human Services (where a service area manager is located*) during regular business hours from June 14 through June 28, 2016 or 24 hours a day at our website: http://dhs.iowa.gov/ under "Performance and Reports".

You may submit written comments to the Iowa Department of Human Services offices or email comments to jlanemo@dhs.state.ia.us

The services included in Iowa's SFY2017 intended use plan are:

- case management for children
- child and family services, including in-home, foster care, and supportive services
- administrative support for volunteers
- family life home services for adults
- dependent adult protection
- local purchase/ state payment for special services for disabled adults
- preparation for adult living services & supervised apartment living

*Local Service Area Offices:

- Western Service Area: Pottawattamie County, 417 Kanesville Blvd, Council Bluffs, IA
- Northern Service Area: Black Hawk County,1407 Independence Ave, Waterloo, IA
- Eastern Service Area: Scott County, 600 W 4th St, 3rd Floor, Davenport, IaA
- Cedar Rapids Service Area: Linn County, 411 3rd Ave, Suite 160, Cedar Rapids, IA
- Des Moines Service Area: Polk County, 2309 Euclid Ave, Des Moines, IA
- Centralized Service Area: Hoover State Office Building, 1305 E Walnut, Des Moines, IA

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
(b) Establishing an ongoing drug-free awareness program to inform employees about - -
(1) The dangers of drug abuse in the workplace;
(2) The grantee's policy of maintaining a drug-free workplace;
(3) Any available drug counseling, rehabilitation, and employee assistance programs; and
(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

In each office maintained or leased by the Department of Human Services

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

Signature and Date

Jean M. Slaybaugh

Printed Name

Chief Financial Officer

Title

Iowa Department of Human Services

Organization

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to $1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

Signature and Date

Jean M. Slaybaugh

Printed Name

Chief Financial Officer

Title

Iowa Department of Human Services

Organization

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature and Date

Jean M. Slaybaugh

Printed Name

Chief Financial Officer

Title

Iowa Department of Human Services

Organization

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant

may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared

ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Signature and Date

Jean M. Slaybaugh

Printed Name

Chief Financial Officer

Title

Iowa Department of Human Services

Organization