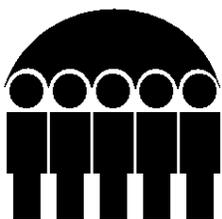


Revised December 19, 2008

Employees' Manual
Title 1
Chapter B Appendix

POLICY DEVELOPMENT

APPENDIX



Iowa
Department
of
Human Services

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Administrative Rule Transmittal, 470-4673

Purpose	Form 470-4673 is used to initiate changes in the Department's administrative rules.
Source	A template for this form is available on the Department's network server Hoovr3s1, in the share Policy.771 /Rules /Help for Rule and Manual Writing, under the name "AdminCode Update Template." For best performance, start with a new document each time.
Completion	<p>Central office policy staff initiate this form when the policy unit is proposing a change to the Department's administrative rules.</p> <p>The program manager completes as much of the form as possible. The Division of Fiscal Management assists with completion of the fiscal impact statement.</p> <p>For stating the proposed rule changes, use the buttons on the "Iowa Administrative Code" toolbar to:</p> <ul style="list-style-type: none">◆ Choose your rule action (item statement);◆ Copy and insert text from the current rule; and◆ Mark deletions with strike-through and additions by underlining. (Do not use the "track changes" tool.) <p>The form must be signed by the policy bureau chief and division administrator, by a representative of the attorney general's office, and by the budget analyst and bureau chief (on the fiscal impact statement).</p>
Distribution	<p>After policy bureau approval, send the entire form to the attorney general assigned to your program or to the chief of the Regents and Human Services Division for assignment. Upon approval, send the entire form to the Division of Fiscal Management for assignment and tracking.</p> <p>Upon completion, obtain sign-off from your division administrator and submit the entire form to the rules coordinator in the Bureau of Policy Analysis and Appeals both electronically and in printed form.</p>

Data

The completed template shall contain:

- ◆ A cover page with identifying information about the proposed rule changes and the process requested.
- ◆ An information page requesting background information on the rule changes that will be used in preparing the rule preamble and in filing the rule document with the governor's office.
- ◆ The text of the proposed rule changes, showing the current rule language and the changes requested.
- ◆ The administrative rule fiscal impact statement that is required to be prepared for every rule change.

Clarification Request, 470-0116

Purpose	Form 470-0116 is used to prescribe the application of official policy to specific case situations when the wording of the policy is not adequate to provide clear direction. Responses must interpret a particular Department policy.
Source	Complete form 470-0116 on line using the template on the Department's Intranet eForms web page or in the public state-approved forms administrative folder on Outlook.
Completion	<p>Field staff prepare the request (side A) when:</p> <ul style="list-style-type: none">◆ The client has a trust or other case-specific document and central office evaluation of the terms is needed to determine its proper treatment for income and resources.◆ A formal statement of policy from central office program staff is desired, rather than a response through the Income Maintenance SPIRS Help desk or the Service Help Desk. <p>Central office program staff may initiate a "request" to introduce a new interpretation of policy.</p> <p>Central office program staff prepare the response (side B) within 15 days of the receipt of request. (Issuance of the response to field may be delayed when the response is sent for review by the Attorney General's Office.)</p> <p>When the question is of such a specialized nature that the answer does not have general applicability, such as review of the terms of a particular trust, the response is a "clarification" and is issued only to the requesting unit.</p> <p>When a response has general applicability in similar case situations, the response is an "interpretation" (or "interpretive memo") and is issued to all service areas.</p>
Disposition	Field questions are routed through the immediate supervisor and the service area manager's designee.

The unit preparing the response distributes it as follows:

- ◆ Send **clarifications** to the unit raising the question.
- ◆ Send **interpretations** to all units that could be affected by the policy (all service areas plus the Appeals Section, the Office of Program Evaluations, and the Department of Inspections and Appeals, as applicable).

File **interpretations** in a binder in numeric order, by the manual title, chapter, and page of the principle manual (filing) reference, found on the first page of the form in the upper right corner. Keep interpretations until the issuing unit announces that they are obsolete.

Provide copies of individual interpretations to people outside the Department upon request.

Data

The person requesting a clarification or interpretation of policy:

- ◆ Indicates what program area the question addresses.
- ◆ Explains the question. Do not identify specific clients unless requesting clarification of a case-specific document.

In a request for clarification of a case-specific document (such as, but not limited to a trust, life estate, annuity, or life insurance policy), include the following information under "Complete Statement of Question":

- The name and state ID number of the client.
 - A brief description of household circumstances and pertinent information such as the client's age or disability status and names and relationships of other household members.
 - Identification of the owner of the assets that were used to fund a trust and, if funded by a non-household member, the relationship of that person to household.
 - Whether persons who created a testamentary trust are now deceased.
- ◆ Indicates what manual references have been checked.
 - ◆ Enters the requestor's name and address and the date of the request.

The person preparing the response:

- ◆ Checks whether the response is a clarification or interpretation.
- ◆ Enters the assigned number for an interpretation. (See 1-B, [Preparation and Distribution of Response](#).)
- ◆ Enters a subject title and the specific manual references that are being interpreted.
- ◆ Enters the principle manual reference as the filing reference on the request page (side A) of the form.
- ◆ Completes the response section and obtains the necessary signatures. (NOTE: When the request contained identifying information, the response section will be de-identified.)

Petition for Exception to Policy, 470-3888

Purpose	Form 470-3888 may be used to initiate a request for an exception to policy. (Use of this form is not mandatory.)
Source	<p>The form may be completed electronically at https://dhssecure.dhs.state.ia.us/forms/470-3888.htm (available through either the "exceptions to policy" or the "forms" link on the Department's home page).</p> <p>The form can also be printed or photocopied from the sample in the manual.</p>
Completion	Department staff or a member of the public may complete form 470-3888 when a person or agency affected by the Department wishes to request an exception to policy.
Distribution	A form completed electronically may be submitted directly to the Appeals Section to be processed using the "submit" button on the form. A completed printed form shall be sent to the DHS Appeals Section, 1305 E. Walnut St., 5 th Floor, Des Moines, Iowa 50319-0114 or via fax to (515) 281-4597.
Data	<p>This form contains:</p> <ul style="list-style-type: none">◆ Information about the person requesting the exception to policy, including name, address, and phone number.◆ Information about the person who needs the exception to policy (which may be the same person), including:<ul style="list-style-type: none">• The person's name, social security or state identification number, and birth date.• A description of the exception to policy being requested.• The period for which the exception to policy is being requested and the requested effective date.• The reason the exception to policy is being requested.• Identification of others who can offer helpful information.• The way the Department has treated similar situations, if known.• Other options that have been tried as alternatives.• The rule being waived, if known.• The requestor's signature.

Policy Approval and Distribution, 470-0049

Purpose	<p>Department policy staff use form 470-0049 (also known as the "A & D" sheet) to:</p> <ul style="list-style-type: none">◆ Request the publication of changes to the Department <i>Employees' Manual, Management Manual, State Handbook of Procedure</i>, or provider manuals, or of manual letters or circular letters.◆ Set publication dates and communicate information needed for publishing and distribution of manual material.◆ Transmit changes to manual or forms for review and comment when circulation is not done through electronic mail.
Source	<p>Complete this form on line using the template in the public state-approved forms administrative folder on Outlook.</p>
Completion	<p>The unit originating the material completes the left side of the form when the material to be published has been drafted. A separate form is required for each letter being issued.</p> <p>The form can be used to record internal circulation of the draft material. All reviewers can sign one form, or a separate form can be used for each reviewer. The forms manager must sign this form if you are making changes to a form.</p> <p>People reviewing the material should initial the name of their office in the circulation list. Comments or special instructions may be written in the comment box, on a separate sheet, or on the material itself.</p> <p>Editing staff in the Bureau of Policy Analysis and Appeals assign the due date for field or division circulation, if required, and the letter or transmittal number and publication date.</p> <p>The printing coordinator in the Division of Fiscal Management determines the quantity to be printed based on the records in the Manual Distribution System for each subscribing location.</p>

Distribution

For manual and circular letter publication:

- ◆ The originating unit submits one copy of the signed form with the draft material to the Policy Analysis Unit.
- ◆ Policy Analysis keeps the original and makes a photocopy to send with the final material to the printing coordinator.
- ◆ The printing coordinator makes a copy of the form for the staff in the Division of Fiscal Management that are responsible for distributing the printed material.

The Policy Analysis Unit and the Division of Fiscal Management both keep the forms for six months.

Data

The originating unit enters:

- ◆ The request date.
- ◆ The type of issuance being requested.
- ◆ The writer's name, organizational unit, and phone number.
- ◆ The title, chapter, and subject of the material.
- ◆ Whether the material implements a law or rule change.
- ◆ If so, the effective date of that change.
- ◆ What publication date is requested.
- ◆ What 10-digit cost center the printing should be charged to.
- ◆ What staff have reviewed the material (if applicable).
- ◆ Whether the material affects appeal issue codes.
- ◆ Whether the release must coincide with system changes.
- ◆ Whether waiver of field circulation is requested.

NOTE: The forms manager must sign this form if you are making changes to a form. Material that comes to the Policy Analysis Unit without this signature will be routed to the forms manager.

It is not necessary to enter the exact letter or transmittal number. The Policy Analysis Unit assigns this number. It is not necessary to specify what units should receive the published manual, except for special mailings outside the regular distribution.

Word Processing Request, 470-0051

Purpose	Form 470-0051 is used to request and track changes to the master form and manual files for publication.
Source	Complete this form on line using the template in the public state-approved forms administrative folder on Outlook.
Completion	<p>Central office policy and forms management staff complete this form when a policy unit wants to prepare a new manual or form or a change to a manual or form. A new <i>Word Processing Request</i> is required each time work is submitted unless the work is returned for correction on the same day.</p> <ul style="list-style-type: none">◆ Choose the date requested at your convenience.◆ Mark "rush" if it is essential that the changes are completed by that date.◆ Enter the manual chapter number or form number as the name of the document. <p>Be sure to include enough instructions to explain the request. It is preferable to submit a draft general letter with all work orders so that the Policy Analysis Unit can judge the timing and extent of the proposed changes.</p> <p>Changes may be marked on the previous version of the document, typed in using "track changes," or sent as inserts to the previous version. New material should be sent in electronic form.</p>
Distribution	Bring or send the completed form in electronic or printed form to the Policy Analysis Unit, along with the requested changes. A personal visit or phone call may be helpful to clarify expectations.
Data	<p>This form contains:</p> <ul style="list-style-type: none">◆ Identifying information about the request and requestor.◆ Special instructions for the project. For forms, it is important to note whether the form is to be completed electronically and what system will access the form.◆ Space for recording Policy Analysis workload statistics.



THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
JESSIE K. RASMUSSEN, DIRECTOR

September 7, 1999

GENERAL LETTER NO. 1-B-AP-7

ISSUED BY: Office of Policy Analysis

SUBJECT: Employees' Manual, Title 1, Chapter B, *Policy Development Appendix*, Title page, revised; Contents (page 1), revised; pages 1 through 5, revised; page 6, new; and the following forms:

- 470-0116 *Clarification Request*, revised
- 470-2250 *Notice Subscription*, revised
- 470-0049 *Policy Approval and Distribution*, revised
- 470-2352 *Rule Docket*, revised

Summary

The Policy Development chapter appendix has been updated to the new manual format. The forms in the appendix have been revised to reflect current organizational structure and terminology.

There is no change in policy on the use of the forms. However, the *Clarification Request* (Adm-4209-0) query and response and the *Policy Approval and Distribution* (A&D sheet) can now be completed on line using the templates available in the administrative Word 97 folder in the public state-approved forms folders on Outlook.

Effective Date

Upon receipt.

Material Superseded

Remove the entire Chapter B Appendix from Employees' Manual, Title I, and destroy it. This includes:

<u>Page</u>	<u>Date</u>
Title page	May 2, 1989
Contents (page 1)	May 2, 1989
Adm-4209-0	4/89
1, 2	May 2, 1989

470-0049	10/85
3	October 22, 1985
4	November 10, 1987
470-2352	9/87
470-2250	7/87
5	November 10, 1987

Additional Information

Remaining supplies of the previous versions of the *Clarification Request* and the A&D sheet can be used up. Printed supplies of the *Clarification Request* will continue to be available from Iowa Prison Industries in Anamosa. No supplies of the revised A&D sheet will be printed.

Refer questions about this general letter to your regional benefit payment, service, or collections administrator.



December 11, 2001

GENERAL LETTER NO. 1-B-AP-8

ISSUED BY: Division of Policy and Rule Integration

SUBJECT: Employees' Manual, Title 1, Chapter B, **POLICY DEVELOPMENT APPENDIX**, Contents (page 1), revised; page 4, 5, and 6, revised; and form 470-3888, *Petition for Exception to Policy*, new.

Summary

Employee's Manual 1-B-Appendix is revised to reflect:

- ◆ Addition of a new form that can be used to request an exception to policy. Use of form 470-3888, *Petition for Exception to Policy*, is optional. Customers may still request an exception to policy in writing on their own, without using the form. When a customer requests this form, generate a copy for the customer to complete.
- ◆ Deletion of form 470-2352, *Rule Docket*, which is obsolete. The Department's rule docket and notices of intended rulemaking action are now published on the Policy Analysis web site, and are accessible on the Internet at <http://www.dhs.state.ia.us/policyanalysis>.

Effective Date

Upon receipt.

Material Superseded

Remove the following pages from Employees' Manual, Title 1, Chapter B-Appendix, and destroy them:

<u>Page</u>	<u>Date</u>
Contents (page 1)	September 7, 1999
4-6	September 7, 1999
470-2352	7/99

Additional Information

Form 470-3888 is available to Department staff as a template in the public forms folder on Outlook, as well as through the on-line manual. Refer questions about this general letter to your regional administrator.



STATE OF IOWA

THOMAS J. VILSACK, GOVERNOR
SALLY J. PEDERSON, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
KEVIN W. CONCANNON, DIRECTOR

September 17, 2004

GENERAL LETTER NO. 1-B-AP-9

ISSUED BY: Office of Policy Analysis

SUBJECT: Employees' Manual, Title 1, Chapter B, **POLICY DEVELOPMENT APPENDIX**, pages 1 through 6, revised; and the following revised forms:

470-0116 *Clarification Request*
470-2250 *Notice Subscription*
470-0049 *Policy Approval and Distribution*

Summary

This chapter is revised to:

- ◆ Update form 470-0116, *Clarification Request*, to reflect the Department's current table of organization and program references. Instructions for the form are revised to reflect the role of the IM SPIRS Unit and the Service Help Desk.
- ◆ Update form 470-2250, *Notice Subscription*, to reflect the Department's current table of organization and update a mailing address.
- ◆ Change the instructions for form 470-3888, *Petition for Exception to Policy*, to indicate that exception requests can be made electronically at www.dhs.state.ia.us/exceptions.asp. The request will be submitted directly to the Appeals Section to be processed.
- ◆ Update the instructions and form 470-0049, *Policy Approval and Distribution*, to:
 - Reflect the Department's current table of organization.
 - Replace the "Code No." field with "Requisition No."
 - Add fields for field representatives (IM supervisor 2, service supervisor 3 or child support core team) and the forms manager to sign off. Use of these sections is determined through the internal policy of the originating division.

Effective Date

Upon receipt.

Material Superseded

Remove the following pages from Employees' Manual, Title 1, Chapter B, Appendix, and destroy them:

<u>Page</u>	<u>Date</u>
Adm-4209-0 (470-0116)	8/99
1, 2	September 7, 1999
470-2250	5/99
3, 4	September 7, 1999
470-0049	8/99
5, 6	December 11, 2001

Additional Information

Use up the existing supply of form 470-0116, *Clarification Request*. No further supplies will be printed.

Refer questions about this general letter to your service area manager or regional administrator.



STATE OF IOWA

CHESTER J. CULVER, GOVERNOR
PATTY JUDGE, LT. GOVERNOR

DEPARTMENT OF HUMAN SERVICES
EUGENE I. GESSOW, DIRECTOR

December 19, 2008

GENERAL LETTER NO. 1-B-AP-10

ISSUED BY: Bureau of Policy Analysis and Appeals

SUBJECT: Employees' Manual, Title 1, Chapter B, **POLICY DEVELOPMENT**, Appendix, Title page, revised, Contents (page 1), revised, pages 1 through 6, revised; pages 7 through 9, new; and the following forms:

470-4673 *Administrative Rule Transmittal*, new
470-0116 *Clarification Request*, revised
470-3888 *Petition for Exception to Policy*, revised
470-0049 *Policy Approval and Distribution*, revised
470-0051 *Word Processing Request*, new

Summary

This appendix is revised to:

- ◆ Add form 470-4673, *Administrative Rule Transmittal*, used by the Department's central office policy staff. This new form is a Word template that combines:
 - Form 470-3663, which was originally called *Division Sign-Off for Administrative Rules*, and later was renamed *Administrative Rule Transmittal*;
 - Form 470-0114, a later generation of form Adm-4207-0, *Information on Rules*, which is included in the **State Handbook of Procedure**, XXX-A-Appendix, and has been available as part of the "New Rules" template;
 - The template for preparing rule revisions that was recently created by the Legislative Services Agency; and
 - The *Administrative Rule Fiscal Impact Statement*, also created by the Legislative Services Agency in 2003.
- ◆ Issue revisions to form 470-0116, *Clarification Request*, and instructions to:
 - Specify the identifying information that workers must include when requesting clarification of case-specific documents such as trusts, life estates, annuities, or life insurance policies.
 - Clarify that the response to a request that contains identifying information will be de-identified.
 - Clarify that the response issued from central office program staff may not be issued within 15 days of the request if longer time is needed for legal review.
 - Reflect that this form is also available on the Intranet eForms web site.
 - Reflect current unit and job class titles.

- ◆ Remove form 470-2250, *Notice Subscription*, from the manual because the rule notices are now available on the Internet, both through the Department's policy web site and the legislative web site.
- ◆ Update the sample of form 470-3888, *Petition for Exception to Policy*, to align with the version available on the Department's web site.
- ◆ Update form 470-0049, *Policy Approval and Distribution*, and instructions to reflect current unit and job class titles.
- ◆ Add form 470-0051, *Word Processing Request*, which is also used by the Department's central office policy staff. This form is also included in 20-C-Appendix, *FORMS MANAGEMENT*. The new instructions add emphasis on preparing manual and state plan changes.

Effective Date

Immediately.

Material Superseded

Remove the entire Chapter B, Appendix, from Employees' Manual, Title 1, and destroy it. This includes the following pages:

<u>Page</u>	<u>Date</u>
Title page	September 7, 1999
Contents page	December 11, 2001
470-0116	9/04
1, 2	September 17, 2004
470-2250	6/04
3, 4	September 17, 2004
470-3888	12/01
470-0049	9/04
5, 6	September 17, 2004

Additional Information

Refer questions about this general letter to the Bureau of Policy Analysis and Appeals.