



# **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 SFY14, DHS Field Operations employees served the following individuals and families:

### Abuse Assessment:

- 56,389 calls to the abuse hotline were handled of which 30,801 were complaints of abuse that were accepted for onsite assessment.
- 37,590 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.
- 9,987 adopted children with special needs received financial support.

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

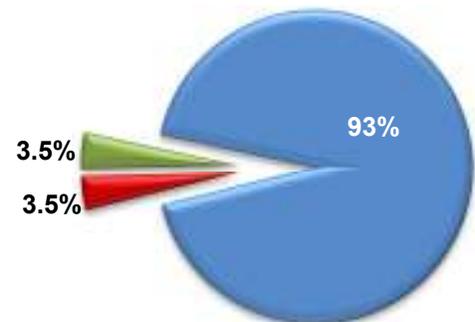
- 523,899 individuals received Medicaid, IowaCare, Medicaid expansion, and Family Planning waiver.
- 413,838 individuals received food assistance.
- 33,577 individuals and their families received FIP cash assistance.
- 19,784 children received child care assistance which supports working parents.

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

- 1,281 licensed child care centers were visited.
- 4,142 registered child care development homes were registered or monitored.
- 610,568 payments to child care providers were processed.
- 7,560 record checks were done for individuals seeking work in nursing facilities and other health care facilities.

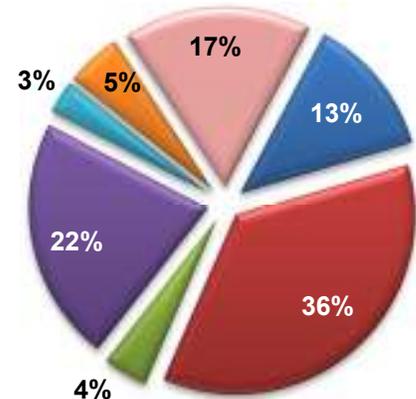
## Services by DHS Field Operations SFY14

- Abuse Investigations (3.5%)
- Services to Families - Social Work (3.5%)
- Income Maintenance (93%)



## Field Staffing by Classification

- Abuse Assess (13%)
- IM Work (36%)
- Management (4%)
- Social Work (22%)
- IM Supervisor (3%)
- SW Supervisor (5%)
- Support (17%)



- ✓ *About one-third of all assessments yield a finding of abuse, meaning there is a need for child welfare case management.*
- ✓ *Approximately 65,000 more Iowans are expected to require services from DHS between SFY14 and SFY16, primarily in the Medicaid and Food Assistance 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, 1309 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: 349 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. 443 IM staff perform eligibility activities for Medicaid, FA and FIP services.

- An IM worker is responsible for an average of 828 cases or families or roughly 1,704 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.

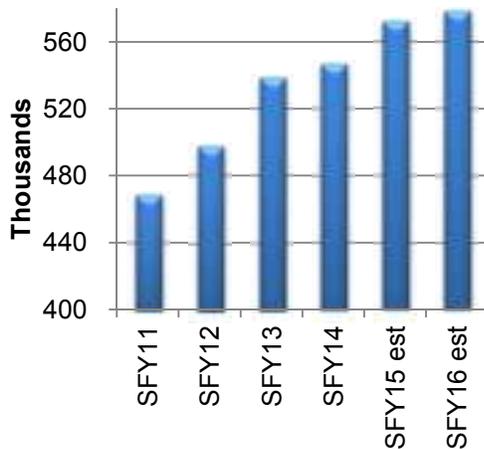
**A day in the life of an IM worker may consist of:**

- 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.

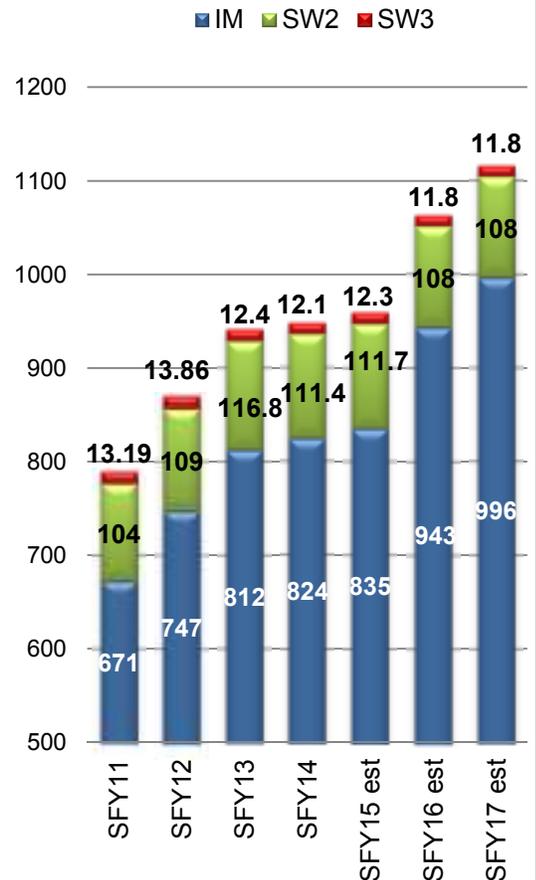
Other Service Area Staff include: 75 SW Supervisors who provide clinical consultation and approve all child abuse findings and case plans. 35 IM Supervisors who provide eligibility and case consultation to IM staff. 36 support staff, on average, in each Service Area to support the Social Work and IM staff. Approximately 9 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 100. 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 100 percent federal and is based on the number of refugees settling in the state. At least 30,000 refugees have settled in Iowa since the resettlement program began in 1975.

**Average Monthly Cases**



**Cases Per Worker**

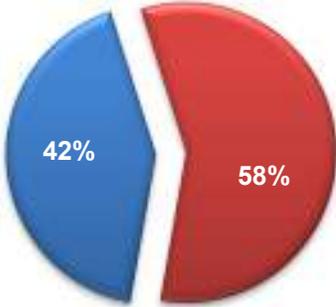


**Projections of workloads for all Field Staff:**

- 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 SFY15, there were 234 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 1,281 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> 5 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 in SFY14:</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 154.5 rating in FFY13 for assuring children whose parental rights have been terminated are adopted within 2 years. Iowa remains first in the nation for this composite.</li> <li>• On average, 5,358 monthly medical applications are processed within 24.3 days of receipt.</li> <li>• Process 9,882 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 97 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>• SFY14 Iowa earned \$53.7 million in federal IV-E match for foster care and adoption costs which lowered the need for general funds.</li> <li>• SFY14, the Integrated Claims Recovery Unit established over \$1.6 million in claims related to inaccurate or fraudulently claimed benefits.</li> </ul>
	<p>✓ <i>The new eligibility system will profoundly simplify 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>Cost of Services</b></p>		<p><i>Less than 2 ½ cents of each dollar in the DHS budget is spent on Field Operations -- the staff who provide protective, case management, eligibility determinations, and key provider support functions.</i></p> <p>✓ <i>94 percent of the SFY14 Field Operations expense was staffing costs; the remaining six percent supports operational expenses for staff travel, office supplies, depreciation, DAS fees, annual technology licensure costs, State Auditor costs, and technology replacement.</i></p>
<p><b>Funding Sources</b></p>	<p>Field Operations is funded by state general funds and a blend of federal funds including Title IV-B, Title IV-E, Title XIX, Food Assistance, TANF, CCDF, and SSBG.</p> <p>The SFY16 total budget is \$149,930,168:</p> <ul style="list-style-type: none"> <li>• \$63.4 million (42 percent) state general fund.</li> <li>• \$86.4 million (58 percent) is federal funding.</li> <li>• A nominal \$147,140 is other funding.</li> </ul>	<p><b>SFY16 Funding</b></p> <ul style="list-style-type: none"> <li>■ State General Fund (42%)</li> <li>■ Federal (58%)</li> </ul> 
	<p>✓ <i>While the state general fund expenses and budgets have dropped and slowly recovered since SFY10, critical federal matching funds and other state funds have helped sustain the levels of service provided to Iowans.</i></p>	

## SFY16 & SFY17 Budget Drivers

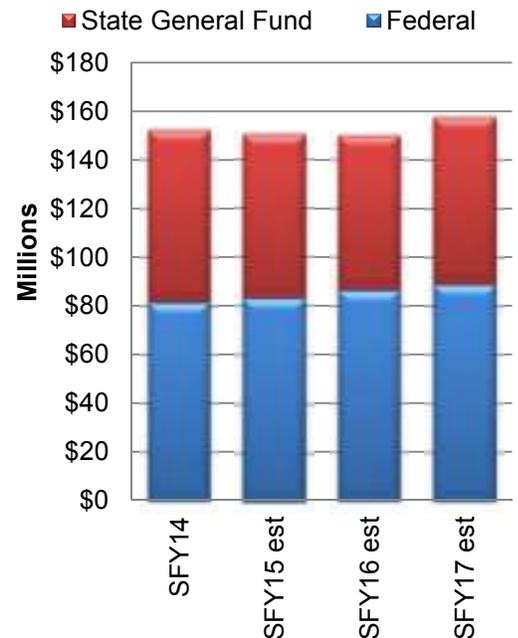
The total SFY16 Field Operations budget request reflects a \$1,800,000 (2.8 percent) general fund decrease from the SFY15 Enacted Appropriation.

The total SFY17 Field Operations budget request reflects a \$3,238,981 (4.96 percent) increase from the SFY15 Enacted Appropriation.

The key budget drivers of increases are:

- Reallocate State Employee Retirement Incentive Program (SERIP) funds to Medical Assistance.
- Increases in staff levels to support the additional lowans needing benefits and services. Between SFY14 and SFY17, the average number of monthly cases is anticipated:
  - To grow 94,921 (20%) for financial assistance and medical eligibility cases.
  - To grow 11 (0.5%) for abuse investigations.
  - To decline 67 (minus 0.2%) for services to families.
- Increases in the Department of Administrative Services (DAS) charges
- Increased cost of technology support and corporate technology budget.

### Total Budget Funding Mix



## Legal Basis

### Federal:

- Title IV-A and Title IV-B of the Social Security Act
- Code of Federal Regulations: 42 CFR 435.403, 435.906, and 435.908; § 431.50; 7 CFR 273.2(a)-(c)
- Sec. 422.42 U.S.C. 622

### State:

- Iowa Code Chapters 217.42-44, 234.12, 235A.14, 235B, 239B, and 249A.3
- Iowa Administrative Code, 441 IAC 1.4(17A) and 441 IAC 65.2(234)

**Request - Field Operations  
State Fiscal Year 2016**

**Request Total:** \$149,930,168

**General Fund Need:** \$63,370,976

**Request Description:**

Field Operations is composed of six Service Areas with staff who provide child protection, child welfare, eligibility for income maintenance programs (Medicaid, Food Assistance, Family Investment Program, Child Care Assistance), and child care registration/child care licensure work. There are local offices in all 99 counties with 42 operating on a full time basis. About 94% of the Field Operations budget goes to staff salaries and benefits. Approximately 79% of staff are front line workers and their supervisors, divided between three groups: 1.) Social Worker 3 staff who complete child and dependent adult assessments when abuse is alleged. These workers address safety issues; evaluate service needs, and makes recommendations regarding protection of the child/dependent adult; 2.) Social Worker 2s work to assure the safety of children and dependent adults while working to help families stay together whenever possible. When it is not possible for a child to remain in their home, staff work to help find a safe, stable and permanent living arrangement and 3.) Income Maintenance 2s work with low income Iowans as well as the elderly, disabled individuals or pregnant women to meet their nutritional, financial, and medical needs at a basic level. For the remaining 21% of staff, 17% are staff who respond to customer calls, review and process payment, process the scanning of documents and/or other administrative functions, about 2% are management staff who oversee the service area operations and work with communities to support their needs and 2% are specialized staff who work as contract managers, hiring and IT review and support.

This budget request does not reflect any changes or impact for potential salary adjustments. In the event collective bargaining results in a salary adjustment that is not funded by appropriation, reductions in force will likely occur.

**SFY15 Enacted Appropriation- 2014 Session**

SFY15 Enacted Appropriation \$65,170,976

**Total State \$ Appropriated:** \$65,170,976

Status quo funding maintains 1,759 FTEs in SFY 2016. Caseloads at this level of funding - IM = 807, Service = 109, Abuse = 11.36.

**Funding Needed to Maintain Current Service Level**

Decision Package	Decision Package Description	Amount
1	Reallocate State Employee Retirement Incentive Program (SERIP) to Medical Assistance	(\$2,250,000)
2	Increased cost of services due to inflation (aligned with the April 2014 Consumer Price Index) and growth in amounts paid to other agencies (DAS and Office of the Chief Information Officer (OCIO)). Specific areas of increase include: Worker's Compensation, Corporate Technology, DAS FMLA and Training, DAS utilities and market services, and Inflation (SFY 2016)	\$450,000
<b>Total Requested for Current Service Level Funding:</b>		<u>(\$1,800,000)</u>

**Funding for Improved Results**

Decision Package	Decision Package Description	Amount
		\$0
<b>Total Requested for Improved Results Funding:</b>		<u>\$0</u>

<b>General Fund Total</b>	<b>\$63,370,976</b>
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<b>General Fund Change From Prior Year</b>	<b>(\$1,800,000)</b>
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**Request - Field Operations  
State Fiscal Year 2016**

**Total Funding Summary:**

<b>State Funding Total</b>	<b>\$63,518,116</b>
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	<b>Program</b>
General Fund	\$63,370,976
Health Care Trust Fund	\$0
Quality Assurance Trust Fund	\$0
Hospital Health Care Access trust Fund	\$0
Other*	\$147,140
<b>Total</b>	<b>\$63,518,116</b>

\* Other: Outstationing revenue

<b>Federal Funding Total</b>	<b>\$86,412,052</b>
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	<b>Program</b>
Temporary Assistance to Needy Families (TANF)	\$31,296,232
Social Services Block Grant (SSBG)	\$5,475,304
Iowa Health and Wellness Plan	\$0
Federal Financial Participation (FFP)	\$49,640,516
Other**	\$0
<b>Total</b>	<b>\$86,412,052</b>

\*\* Other:

<b>Other Funding Total</b>	<b>\$0</b>
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	<b>Program</b>
Other***	\$0

\*\*\*Other:

<b>Totals</b>	<b>Program</b>
	\$149,930,168

**Request Total**  
\$149,930,168

**FTEs included in request:**

<b>FTEs</b>	<b>1,717.0</b>
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**Request - Field Operations  
State Fiscal Year 2017**

**Request Total:** \$157,410,840

**General Fund Need:** \$68,409,957

**Request Description:**

Field Operations is composed of six Service Areas with staff who provide child protection, child welfare, eligibility for income maintenance programs (Medicaid, Food Assistance, Family Investment Program, Child Care Assistance), and child care registration/child care licensure work. There are local offices in all 99 counties with 42 operating on a full time basis. About 94% of the Field Operations budget goes to staff salaries and benefits. Approximately 79% of staff are front line workers and their supervisors, divided between three groups: 1.) Social Worker 3 staff who complete child and dependent adult assessments when abuse is alleged. These workers address safety issues; evaluate service needs, and makes recommendations regarding protection of the child/dependent adult; 2.) Social Worker 2s work to assure the safety of children and dependent adults while working to help families stay together whenever possible. When it is not possible for a child to remain in their home, staff work to help find a safe, stable and permanent living arrangement and 3.) Income Maintenance 2s work with low income Iowans as well as the elderly, disabled individuals or pregnant women to meet their nutritional, financial, and medical needs at a basic level. For the remaining 21% of staff; 17% are staff who respond to customer calls, review and process payment, process the scanning of documents and/or other administrative functions, about 2% are management staff who oversee the service area operations and work with communities to support their needs and 2% are specialized staff who work as contract managers, hiring and IT review and support.

This budget request does not reflect any changes or impact for potential salary adjustments. In the event collective bargaining results in a salary adjustment that is not funded by appropriation, reductions in force will likely occur.

**SFY15 Enacted Appropriation - 2014 Session**

SFY15 Enacted Appropriation \$65,170,976

**Total State \$ Appropriated:** \$65,170,976

Status quo funding maintains 1,759 FTEs in SFY 2016. Caseloads at this level of funding - IM = 807, Service = 109, Abuse = 11.36. Status quo funds 1,753 FTEs in SFY 2017. Caseloads at this level of funding - IM=858, Service=110, Abuse = 11.36

**Funding Needed to Maintain Current Service Level**

Decision Package	Decision Package Description	Amount
1	Reallocate State Employee Retirement Incentive Program (SERIP) to Medical Assistance	\$ (2,250,000)
2	Increased cost of services due to inflation (aligned with the April 2014 Consumer Price Index) and growth in amounts paid to other agencies (DAS and Office of the Chief Information Officer (OCIO)). Specific areas of increase include: Worker's Compensation, Corporate Technology, DAS FMLA and Training, DAS utilities and market services, and Inflation (SFY 2016)	\$450,000
3	Increased cost of services due to inflation (aligned with the April 2014 Consumer Price Index) and growth in amounts paid to other agencies (DAS and Office of the Chief Information Officer (OCIO)). Specific areas of increase include: Worker's Compensation, Corporate Technology, DAS FMLA and Training, DAS utilities and market services, and Inflation (SFY 2017)	\$304,654
4	Maintain cases per worker at SFY 2016 level : IM = 807, Service = 109, Abuse = 11.36. This package funds 89 FTEs or contracting for services to support eligibility determinations and ongoing maintenance of caseloads.	\$4,734,327
<b>Total Requested for Current Service Level Funding:</b>		<b>\$ 3,238,981</b>

**Request - Field Operations  
State Fiscal Year 2017**

**Funding for Improved Results**

Decision Package	Decision Package Description	Amount
1		\$0
<b>Total Requested for Improved Results Funding:</b>		<b>\$0</b>

<b>General Fund Total</b>	<b>\$68,409,957</b>
<b>General Fund Change From Prior Year</b>	<b>\$3,238,981</b>

**Total Funding Summary:**

<b>State Funding Total</b>	<b>\$68,557,097</b>
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	<b>Program</b>
General Fund	\$68,409,957
Health Care Trust Fund	\$0
Quality Assurance Trust Fund	\$0
Hospital Health Care Access trust Fund	\$0
Other*	\$147,140
<b>Total</b>	<b>\$68,557,097</b>

\* Other: Outstationing revenue

<b>Federal Funding Total</b>	<b>\$88,853,743</b>
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	<b>Program</b>
Temporary Assistance to Needy Families (TANF)	\$31,296,232
Social Services Block Grant (SSBG)	\$5,475,304
Iowa Health and Wellness Plan	\$0
Federal Financial Participation (FFP)	\$52,082,207
Other**	\$0
<b>Total</b>	<b>\$88,853,743</b>

\*\* Other:

<b>Other Funding Total</b>	<b>\$0</b>
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<b>Program</b>	
Other***	\$0

\*\*\*Other:

<b>Totals</b>	<b>Program</b>
	\$157,410,840

<b>Request Total</b>
<b>\$157,410,840</b>

**FTEs included in request:**

<b>FTEs</b>	<b>1,806.0</b>
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# 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 \$6.28 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 282 employees provides leadership, management, and support for the delivery of quality human services to more than 973,223 individuals/families.</p> <p>4,775 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 \$5.9 billion (94 percent) of the \$6.28 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 80 active appropriations, funds, and federal funding sources.</li> <li>• Maintain and update web-based and mainframe based applications and 174 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 \$70 million in contracts and over \$4 billion in provider payments annually.

**MHDS:** 19 FTEs are responsible for the MHDS redesign planning and implementation, oversight of the 8 DHS facilities, accreditation of more than 240 community providers annually, and monitoring and oversight of 120 contracts with an annual budget of over \$12 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.

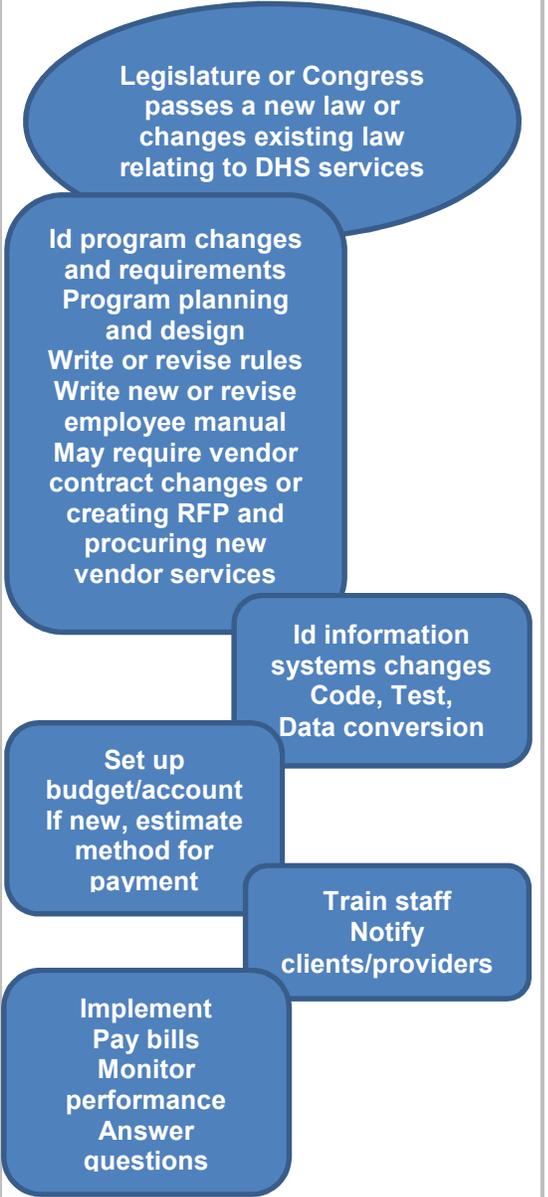
**Field:** 25 staff are responsible for oversight of all field operations, abuse registries, record check evaluations for all employee applicants for Iowa health care facilities and DHS staff, interstate compact on placement of children, help desks for case consultation and advice, quality improvement (Lean Business Process Improvement), and monitoring and oversight of nearly 410 contracts.

**DDM:** 138 staff and contractors support 100 management information systems and computer networks statewide, providing nearly 47,000 technical help desk inquiries annually, to ensure DHS systems and data security are maintained in accordance with all state and federal law.

**Fiscal:** 47 staff budget, monitor, and account for a \$6.28 billion budget, process nearly 1.5 million checks annually, 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 8,700 appeals and nearly 4,700 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 simultaneously with management of more than 120 current programs.

- ✓ General administrative staff comprise less than 6 percent of total DHS staff.
- ✓ Fiscal Management is responsible for a \$6.28 billion budget, including \$3.6 billion in federal funding from many different funding sources.

<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 SFY14:</p> <ul style="list-style-type: none"> <li>• 100 percent state and federal changes to programs were implemented timely.</li> <li>• DHS completed approximately 160,000 hours of changes in the management information systems used by DHS staff.</li> <li>• DHS hosts 174 internally developed websites, averaging over 7.6 billion website hits per year.</li> <li>• DHS achieved Iowa Medicaid savings of nearly \$49.5 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 \$3.5 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 8,700 appeals and nearly 4,700 exceptions to policy.</li> <li>• DHS prepared 1,545 responses to stakeholders including Legislators, Congressional delegates and others.</li> <li>• DHS re-negotiated contracts for an integrated eligibility system and worked to re-procure development of a new MMIS. Support staff ensures program oversight, independent verification and validation, and high-quality procurement through comprehensive contracting processes and training.</li> <li>• General administration staff facilitated the closure and shuttering of one DHS facility, ensuring confidential handling of records; distribution of assets; and establishment of on-going facility, maintenance, and security contracts.</li> </ul>
<p><b>Cost of Services</b></p>	<p>Accounting for less than 1 percent of the total DHS budget, General Administration provides the foundation and infrastructure for the management and efficient delivery of the state's human services programs.</p>	 <p><i>Since SFY11, less than One Cent of each dollar in the total DHS budget is allocated to General Administration.</i></p>

	<ul style="list-style-type: none"> <li>✓ <i>Between SFY11 and SFY15, the General Administration budget has been less than 0.90 percent of the total DHS budget. The SFY16 General Administration budget request is just 0.84 percent of the total budget.</i></li> <li>✓ <i>A review of comparable human services' budgets from surrounding Midwest states reveals the typical administrative overhead range is 2.60 percent (MN) to 10.66 percent (KS).</i></li> </ul>	
<b>Funding Sources</b>	<p>General Administration is funded by state general funds and federal funds, including a match via federal financial participation, Title IV-B, Social Services Block Grant and TANF (Temporary Assistance for Needy Families).</p> <p>The total budget for SFY16 is \$49,398,127:</p> <ul style="list-style-type: none"> <li>• \$33,169,098 (67 percent) is federal funding</li> <li>• \$16,029,029 (33 percent) is state general fund</li> </ul> <p>The total budget for SFY17 is \$50,183,292:</p> <ul style="list-style-type: none"> <li>• \$33,594,487 (67 percent) is federal funding</li> <li>• \$16,388,805 (33 percent) is state general fund</li> </ul>	<p style="text-align: center;"><b>SFY16 Funding</b></p> <div style="text-align: center;"> <ul style="list-style-type: none"> <li>■ Federal (68%)</li> <li>■ State (33%)</li> </ul> <p>The pie chart is titled 'SFY16 Funding' and shows two segments: a large blue segment representing 67% (Federal) and a smaller red segment representing 33% (State). A legend above the chart identifies the colors: blue for Federal (68%) and red for State (33%).</p> </div> <p><b>The General Administration budget has increased the federal share of funding from 59.7% in SFY11 to 67% in SFY16 &amp; SFY17.</b></p>
	<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>	

## SFY16 & SFY17 Budget Drivers

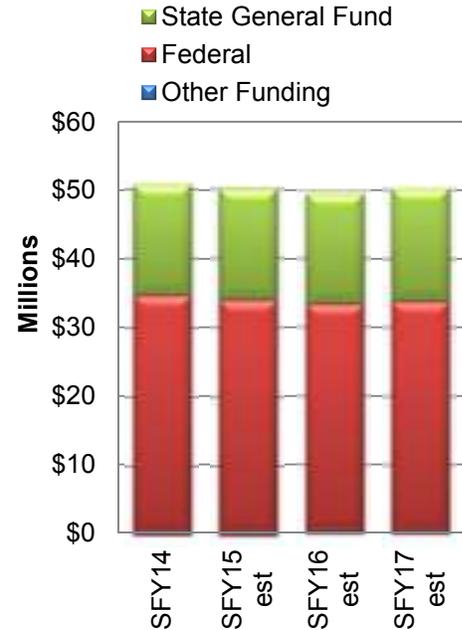
The total SFY16 General Administration budget request reflects a \$43,273 (2.6 percent) general fund decrease from the SFY15 Enacted Appropriation.

The total SFY17 General Administration budget request reflects a \$316,503 (2.0 percent) increase from the SFY15 Enacted Appropriation.

The key budget drivers of the SFY15 increase are:

- Reallocate State Employee Retirement Incentive Program (SERIP) funds to Medical Assistance.
- The \$43,273 decrease in SFY16 is the net result of reallocating SERIP funding to Medical Assistance (\$410,561; 2.6 percent) and increased cost of service (\$367,288, 2.3 percent). The SFY17 budget request includes \$359,776 (2.2 percent) for increased cost of services.
- Increased DAS charges are \$274,406 (1.7 percent) in SFY16 and \$208,194 (1.3 percent) in SFY17. This includes new services for FMLA in SFY16 and training in SFY17, Utility and Market Services increases, and increased system use by ELIAS
- Increased cost of services for Corporate Technology and other support is \$92,882 (0.6 percent) in SFY16 and \$151,582 (0.9 percent) in SFY17.

## Total Budget Funding Mix



## Legal Basis

**State:**  
Iowa Administrative Code, 441 IAC 11.11(1)(a)

**Request - General Administration  
State Fiscal Year 2016**

**Request Total:** \$49,398,127

**General Fund Need:** \$16,029,029

**Request Description:**

This offer seeks to fund the Central Office of the Department of Human Services which provides leadership in the management and support of the delivery of quality services to Iowa citizens so they can be safe, healthy, stable, and self-sufficient. Functions performed include program planning, policy formulation, budget formulation, purchasing, claims payment, data processing and systems development, and training.

This budget request does not reflect any changes or impact for potential salary adjustments. In the event collective bargaining results in a salary adjustment that is not funded by appropriation, reductions in force will likely occur.

**SFY15 Governor's Recommendation - SFY15 Enacted Appropriation- 2014 Session**

SFY15 Enacted Appropriation \$16,072,302

**Total State \$ Appropriated:** \$16,072,302

**Funding Needed to Maintain Current Service Level**

Decision Package	Decision Package Description	Amount
1	Reallocate State Employee Retirement Incentive Program (SERIP) to Medical Assistance	(\$410,561)
2	Increase cost of services due to inflation (aligned with the April 2014 Consumer Price Index) and growth in amounts paid to other agencies (DAS and Office of the Chief Information Officer (OCIO)). Specific areas of increase include: Corporate Technology, DAS FMLA and Training, DAS utilities and market services, and Inflation.	\$367,288
<b>Total Requested for Current Service Level Funding:</b>		<u>(\$43,273)</u>

**Funding for Improved Results**

Decision Package	Decision Package Description	Amount
		\$0
<b>Total Requested for Improved Results Funding:</b>		<u>\$0</u>

<b>General Fund Total</b>	<b>\$16,029,029</b>
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<b>General Fund Change From Prior Year</b>	<b>(\$43,273)</b>
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**Request - General Administration  
State Fiscal Year 2016**

**Total Funding Summary:**

<b>State Funding Total</b>	<b>\$16,129,029</b>
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<b>Program</b>	
General Fund	\$16,029,029
Health Care Trust Fund	\$0
Quality Assurance Trust Fund	\$0
Hospital Health Care Access trust Fund	\$0
Other*	\$100,000
<b>Total</b>	<b>\$16,129,029</b>

\* Other: Food Stamp Receipts - recovery of overpayments, State portion.

<b>Federal Funding Total</b>	<b>\$33,169,098</b>
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<b>Program</b>	
Temporary Assistance to Needy Families (TANF)	\$3,744,000
Social Services Block Grant (SSBG)	\$915,432
Iowa Health and Wellness Plan	\$0
Federal Financial Participation (FFP)	\$28,359,666
Other**	\$150,000
<b>Total</b>	<b>\$33,169,098</b>

\*\* Other: Title IV-B \$150,000

<b>Other Funding Total</b>	<b>\$100,000</b>
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<b>Program</b>	
Other***	\$100,000

\*\*\*Other: Food Stamp Receipts - recovery of overpayments, Federal portion.

<b>Totals</b>	<b>Program</b>
	\$49,398,127

<b>Request Total</b>
<b>\$49,398,127</b>

**FTEs included in request:**

<b>FTEs</b>	<b>278.9</b>
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**Request - General Administration  
State Fiscal Year 2017**

**Request Total:** \$50,183,292

**General Fund Need:** \$16,388,805

**Request Description:**

This offer seeks to fund the Central Office of the Department of Human Services which provides leadership in the management and support of the delivery of quality services to Iowa citizens so they can be safe, healthy, stable, and self-sufficient. Functions performed include program planning, policy formulation, budget formulation, purchasing, claims payment, data processing and systems development, and training.

This budget request does not reflect any changes or impact for potential salary adjustments. In the event collective bargaining results in a salary adjustment that is not funded by appropriation, reductions in force will likely occur.

**SFY15 Enacted Appropriation- 2014 Session**

SFY15 Enacted Appropriation \$16,072,302

**Total State \$ Appropriated:** \$16,072,302

**Funding Needed to Maintain Current Service Level**

Decision Package	Decision Package Description	Amount
1	Reallocate State Employee Retirement Incentive Program (SERIP) to Medical Assistance	(\$410,561)
2	Increase cost of services due to inflation (aligned with the April 2014 Consumer Price Index) and growth in amounts paid to other agencies (DAS and Office of the Chief Information Officer (OCIO)). Specific areas of increase include: Corporate Technology, DAS FMLA and Training, DAS utilities and market services, Inflation. (FY16)	\$367,288
3	Increase cost of services due to inflation (aligned with the April 2014 Consumer Price Index) and growth in amounts paid to other agencies (DAS and Office of the Chief Information Officer (OCIO)). Specific areas of increase include: Corporate Technology, DAS FMLA and Training, DAS utilities and market services, Inflation. (FY17)	\$359,776
<b>Total Requested for Current Service Level Funding:</b>		<u>\$316,503</u>

**Funding for Improved Results**

Decision Package	Decision Package Description	Amount
		\$0
<b>Total Requested for Improved Results Funding:</b>		<u>\$0</u>

**General Fund Total** **\$16,388,805**

**General Fund Change From Prior Year** **\$316,503**

**Request - General Administration  
State Fiscal Year 2017**

**Total Funding Summary:**

<b>State Funding Total</b>	<b>\$16,488,805</b>
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	<b>Program</b>
General Fund	\$16,388,805
Health Care Trust Fund	\$0
Quality Assurance Trust Fund	\$0
Hospital Health Care Access trust Fund	\$0
Other*	\$100,000
<b>Total</b>	<b>\$16,488,805</b>

\* Other: Food Stamp Receipts - recovery of overpayments, State portion.

<b>Federal Funding Total</b>	<b>\$33,594,487</b>
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	<b>Program</b>
Temporary Assistance to Needy Families (TANF)	\$3,744,000
Social Services Block Grant (SSBG)	\$915,432
Iowa Health and Wellness Plan	\$0
Federal Financial Participation (FFP)	\$28,785,055
Other**	\$150,000
<b>Total</b>	<b>\$33,594,487</b>

\*\* Other:

<b>Other Funding Total</b>	<b>\$100,000</b>
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	<b>Program</b>
Other***	\$100,000

\*\*\*Other: Food Stamp Receipts - recovery of overpayments, Federal portion.

<b>Totals</b>	<b>Program</b>
	\$50,183,292

**Request Total**  
\$50,183,292

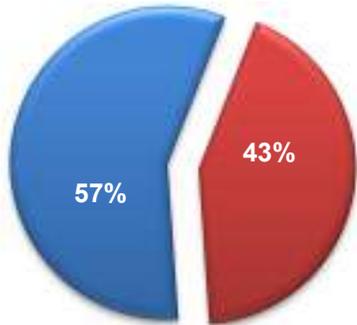
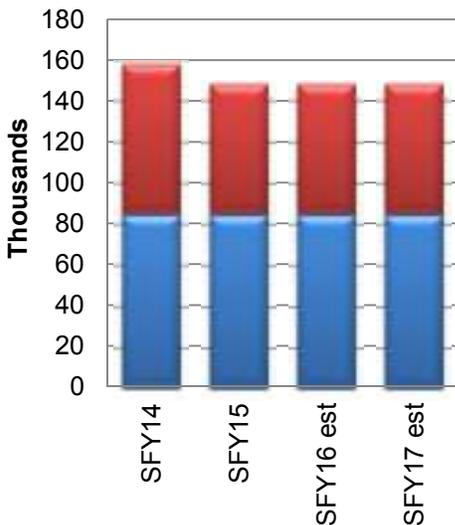
**FTEs included in request:**

<b>FTEs</b>	<b>278.9</b>
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# 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 5,200 people volunteered their services to DHS in SFY14. The number of lowans served by volunteers in SFY14 included:</p> <ul style="list-style-type: none"> <li>• Children: 6,393.</li> <li>• Adults under age 60: 7,633.</li> <li>• Adults 60 and over: 3,616.</li> </ul>	<p style="text-align: center;"><b>People Served by Volunteers in SFY14</b></p> <ul style="list-style-type: none"> <li>■ Children (36%)</li> <li>■ Adults &lt;60 years (43%)</li> <li>■ Seniors (21%)</li> </ul>
<ul style="list-style-type: none"> <li>✓ Volunteers donate from 3 to 40+ hours per week throughout the year.</li> <li>✓ Nine DHS volunteers received a Governor's Volunteer Award in 2014.</li> </ul>		
<b>Services</b>	<p>There were 78,223 total hours of volunteer service in SFY14. On average, 436 volunteers provided 15 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 60% between SFY13 and SFY14. 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 SFY14</b></p> <ul style="list-style-type: none"> <li>■ Individual Direct Service (79%)</li> <li>■ Individual Indirect Service (26%)</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>

<p><b>Cost of Services</b></p>	<p>The average annual cost to recruit, coordinate, and support a single volunteer is \$26.</p> <p>✓ <i>If volunteers were paid at the base level of a clerk position, about \$11 per hour, the department cost would have been \$860,450 in SFY14.</i></p>	
<p><b>Funding Sources</b></p>	<p>The Volunteers program is funded by state dollars and federal funds, including the Social Services Block Grant.</p> <p>The actual budget for SFY15 was \$158,029.</p> <p>The anticipated SFY16 and SFY17 budget is \$148,259 (per year).</p> <ul style="list-style-type: none"> <li>\$63,573 (42.9 percent) is federal funding</li> <li>\$84,686 (57.1 percent) is state general fund</li> </ul>	<p><b>SFY16 Funding</b></p> <ul style="list-style-type: none"> <li>State (57%)</li> <li>Federal (43%)</li> </ul> 
<p><b>SFY16 &amp; SFY17 Budget Drivers</b></p>	<p>The funding level remained constant between 2010 and 2014. In SFY15, the funding level was slightly lower due to a reduction in available Social Service Block Grant (federal) funds due to sequestration. The federal funding decreased by \$9,796.</p> <p>The anticipated state funding for SFY16 and SFY17 is anticipated to remain at the SFY15 level.</p>	<p><b>Total Budget Funding</b></p> <ul style="list-style-type: none"> <li>Federal Funding</li> <li>State General Fund</li> </ul> 
<p><b>Legal Basis</b></p>	<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>	

**Request - Volunteers  
State Fiscal Year 2016**

**Request Total:** \$148,259

**General Fund Need:** \$84,686

**Request Description:**

This appropriation pays for contracts with organizations that recruit and coordinate volunteers to assist DHS staff and clients. In SFY14, 5,236 volunteers contributed 78,223 hours. The average annual cost to recruit, coordinate, and support a single volunteer is just under \$26.

**SFY15 Enacted Appropriation - 2014 Session**

SFY15 Enacted Appropriation \$84,686

**Total State \$ Appropriated:** \$84,686

**Funding Needed to Maintain Current Service Level**

Decision Package	Decision Package Description	Amount
		\$0
<b>Total Requested for Current Service Level Funding:</b>		<u>\$0</u>

**Funding for Improved Results**

Decision Package	Decision Package Description	Amount
		\$0
<b>Total Requested for Improved Results Funding:</b>		<u>\$0</u>

<b>General Fund Total</b>	<b>\$84,686</b>
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<b>General Fund Change From Prior Year</b>	<b>\$0</b>
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**Request - Volunteers  
State Fiscal Year 2016**

**Total Funding Summary:**

<b>State Funding Total</b>		<b>\$84,686</b>
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	<b>Program</b>
General Fund	\$84,686
Health Care Trust Fund	\$0
Quality Assurance Trust Fund	\$0
Hospital Health Care Access trust Fund	\$0
Other*	\$0
<b>Total</b>	<b>\$84,686</b>

\* Other:

<b>Federal Funding Total</b>		<b>\$63,573</b>
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	<b>Program</b>
Temporary Assistance to Needy Families (TANF)	\$0
Social Services Block Grant (SSBG)	\$63,573
Iowa Health and Wellness Plan	\$0
Federal Financial Participation (FFP)	\$0
Other**	\$0
<b>Total</b>	<b>\$63,573</b>

\*\* Other:

<b>Other Funding Total</b>		<b>\$0</b>
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	<b>Program</b>
Other***	\$0

\*\*\*Other:

<b>Totals</b>	<b>Program</b>
	\$148,259

<b>Request Total</b>
<b>\$148,259</b>

**FTEs included in request:**

<b>FTEs</b>	-
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**Request - Volunteers  
State Fiscal Year 2017**

**Request Total:** \$148,259

**General Fund Need:** \$84,686

**Request Description:**

This appropriation pays for contracts with organizations that recruit and coordinate volunteers to assist DHS staff and clients. In SFY14, 5,236 volunteers contributed 78,223 hours. The average annual cost to recruit, coordinate, and support a single volunteer is just under \$26.

**SFY15 Enacted Appropriation - 2014 Session**

SFY15 Enacted Appropriation \$84,686

**Total State \$ Appropriated:** \$84,686

**Funding Needed to Maintain Current Service Level**

Decision Package	Decision Package Description	Amount
		\$0
<b>Total Requested for Current Service Level Funding:</b>		<u>\$0</u>

**Funding for Improved Results**

Decision Package	Decision Package Description	Amount
		\$0
<b>Total Requested for Improved Results Funding:</b>		<u>\$0</u>

<b>General Fund Total</b>	<b>\$84,686</b>
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<b>General Fund Change From Prior Year</b>	<b>\$0</b>
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**Request - Volunteers  
State Fiscal Year 2017**

**Total Funding Summary:**

<b>State Funding Total</b>		<b>\$84,686</b>
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	<b>Program</b>
General Fund	\$84,686
Health Care Trust Fund	\$0
Quality Assurance Trust Fund	\$0
Hospital Health Care Access trust Fund	\$0
Other*	\$0
<b>Total</b>	<b>\$84,686</b>

\* Other:

<b>Federal Funding Total</b>		<b>\$63,573</b>
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	<b>Program</b>
Temporary Assistance to Needy Families (TANF)	\$0
Social Services Block Grant (SSBG)	\$63,573
Iowa Health and Wellness Plan	\$0
Federal Financial Participation (FFP)	\$0
Other**	\$0
<b>Total</b>	<b>\$63,573</b>

\*\* Other:

<b>Other Funding Total</b>		<b>\$0</b>
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	<b>Program</b>
Other***	\$0

\*\*\*Other:

<b>Totals</b>	<b>Program</b>
	\$148,259

<b>Request Total</b>
<b>\$148,259</b>

**FTEs included in request:**

<b>FTEs</b>	-
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