

**IOWA FAMILY INVESTMENT PROGRAM
QUARTERLY REPORT**

OCTOBER 1993 - DECEMBER 1993

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APPROVAL OF WAIVERS

I. Approval of Waivers

Iowa submitted for consideration and approval, an AFDC 1115 Waiver and Food Stamp waiver application for the Iowa Family Investment Program on April 27, 1993. Iowa requested approval to implement the waiver provisions statewide by July 1, 1993, with the exception of the Family Investment Agreement, which was to be implemented by January 1, 1994.

Approval of the Food Stamp waiver was received from the United States Department of Agriculture on June 28, 1993. Approval of the AFDC 1115 Waiver was received from the Department of Health and Human Services on August 13, 1993.

A Medicaid Waiver was not required as AFDC-related Medicaid follows AFDC policy. Therefore, all AFDC-related Medicaid cases, with the exception of those cases in the control group, will have Medicaid eligibility determined according to AFDC waiver policies.

The waiver project period is October 1, 1993, through September 30, 1998.

SELECTION OF EVALUATION SITE

II. Selection of Evaluation Site

Based upon the Waiver Terms and Conditions, with the exception of the control group, all Family Investment Program and Food Stamp-only cases in the state receive welfare reform policy treatment.

Administration of Iowa's Family Investment and Food Stamp programs is done at a state level. There are five Department of Human Services regional offices. Each regional office is responsible for that region's share of Iowa's 99 counties.

Selection of the research site was determined in partnership with the Department of Human Services regional and county offices. The Departments of Employment Services and Economic Development, Iowa's PROMISE JOBS provider agencies, had input in the decision making process. Regional offices requested input from outside service agencies and political groups within their region.

Options considered were having the research group within: one county, certain offices within a county, a small number of counties within one or two regions, certain clusters (administrative combination of counties) across the state, certain clusters in a limited number of regions across the state, and in every county and office in the state.

Major concerns that drove the decision making process included: having representation from both rural and urban locations, having a research site that would not be unduly affected by the loss or gain of a major employer, political factors, and ease of administration.

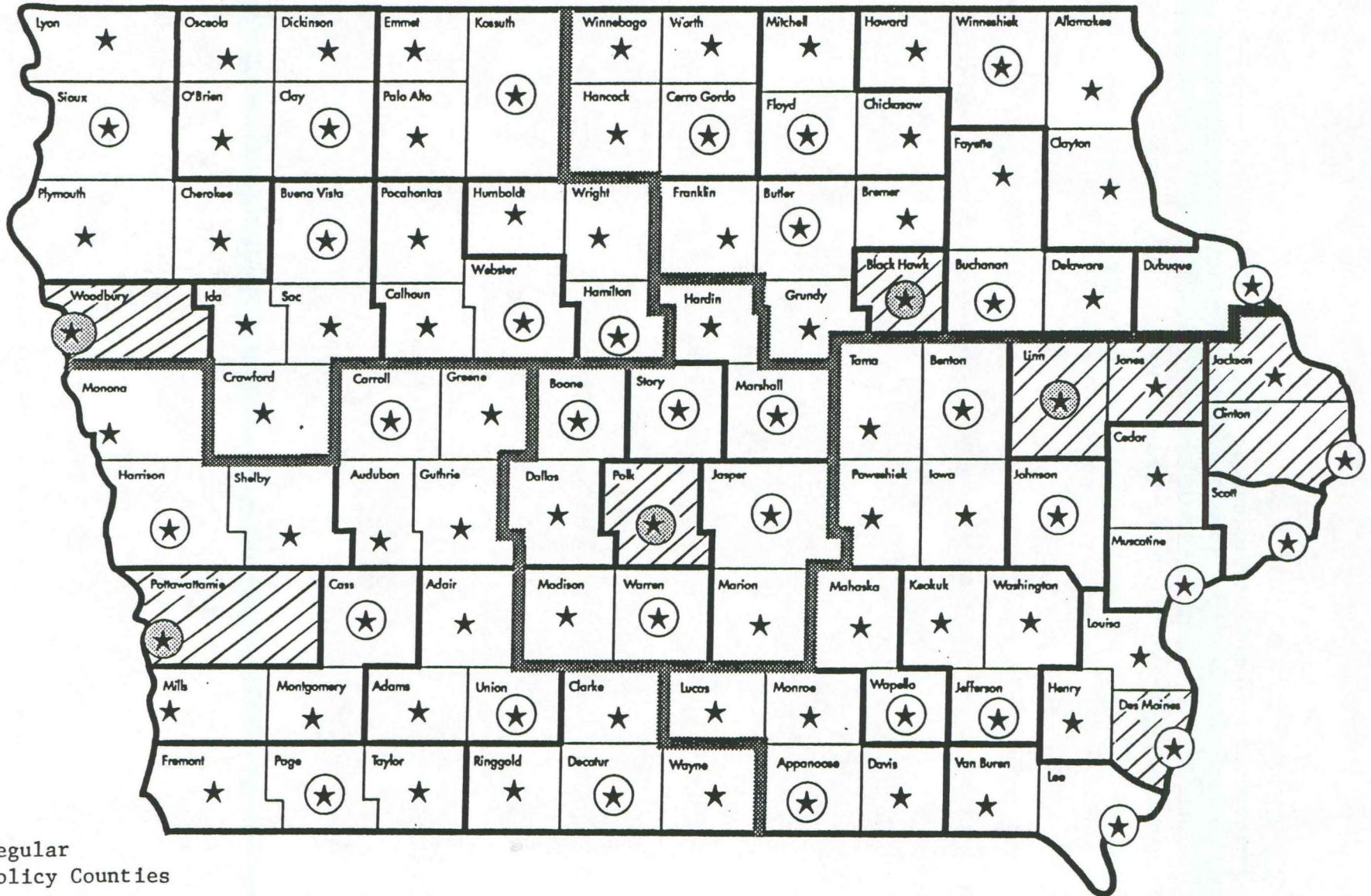
Ultimately, the decision was made that each region would contain its' proportional share of the research cases. The location of the research site proposed to, and approved by, the United States Departments of Human Services and Agriculture is:

<u>Region</u>	<u>County</u>	<u>Population Based on 1990 Census</u>
Sioux City	Woodbury	95,884
Waterloo	Black Hawk	117,195
Des Moines	Polk	319,331
Council Bluffs	Pottawattamie	81,270
Cedar Rapids	Clinton	50,097
	Des Moines	41,890
	Jackson	19,639
	Jones	17,807
	Linn	164,273

A copy of an Iowa map showing the research site is included in this section.

Field Operations Regional Structure

June 19, 1992



= Regular Policy Counties

= Regional Office = HSAA Location = County Office

Grundy, Mitchell and Worth are less than full time offices

SAMPLING PLAN

III. Sampling Plan

The Welfare Reform Sampling Plan was submitted to the Department of Health and Human Services on August 31, 1993. Approval was received on September 20, 1993.

Information from the "Guidelines for Random Sampling of New Cases in the Field" was used to train county staff on how to randomly assign cases into the research sample at the time of application. This guide also contains the application random selection interval frequency used in the first quarter of the evaluation.

The "Final Sampling Table for Ongoing Cases" was issued September 29, 1993. This table contains the final tables that were used to draw the ongoing FIP and Food Stamp-only research samples.

A memorandum was issued September 29, 1993, which clarified the sampling log process for months in which too many or too few applications are received.

Copies of the "Welfare Reform Sampling Plan", the "Guidelines for Random Sampling of New Cases in the Field", the "Final Sampling Table for Ongoing Cases" and the clarification memorandum are attached.

Status of Application Sampling

Applications were not pulled into the research group at the expected rate for the first quarter of the evaluation. Factors which contributed to low sampling included: inadvertent assignment coding of cases which contain both Medicaid and Food Stamps into the non-research group and misinterpretation by county staff of the application sampling process. To resolve the issue, the inadvertent coding was removed from the combination Medicaid and Food Stamp cases in February 1994, discussions with field staff were held to clarify which cases are to be included in the random selection process, and the random sampling interval frequency has been increased. In addition, retraining was planned and given on March 1, 1994.

Charts dated March 30, 1994, show the number of applications sampled during this quarter as compared to the number that had been expected to be sampled. These charts are included in this section. Sampling increased in the second quarter and a substantial improvement occurred at the beginning of the third quarter.

IOWA DEPARTMENT OF HUMAN SERVICES
WELFARE REFORM
SAMPLING PLAN

An experimental research design will be used in evaluating the welfare reform initiatives of the state of Iowa. Cases will be randomly assigned to experimental and control groups. The following sampling plan details how cases will be randomly assigned to the two groups. This plan meets the research design concerns specified in the "Terms and Conditions" of the waivers, and minimizes the operational and administrative burden placed upon the state. Both prospective and participant cases for the Family Investment Program (FIP) and Food Stamps-only will be sampled.

I. Ongoing Case Assignment

FIP Cases

In September, staff from the Bureau of Research and Statistics will draw the FIP research sample. FIP cases are ongoing public assistance cases. Most of these cases participate in both FIP and Food Stamps.

Two-thousand ongoing FIP cases at nine demonstration sites will be randomly selected and assigned to the ongoing FIP control sample. In addition, a sample of four-thousand experimental cases will also be selected. The control and experimental cases together constitute the research sample. Cases not in the research sample will participate in the same treatment as the experimental sample, but will not be part of the research sample. Selection of the sample at this time will allow for the timely calculation of October benefits. Table 1 shows the nine county demonstration sites, and indicates that for both groups, there will be some oversampling. The numbers shown on Table 1 are based on state fiscal year 1993 averages.

Drawing the sample will take several steps. First, a count of the number of cases in each demonstration county will be made from the Iowa Automated Benefit Calculation (IABC) system. The sampling tables will be recalculated based on the most current data available. Based on the numbers specified in the sampling plan, the research sample will be selected at each site from IABC. Any FIP case not in the research sample will become a treatment case. From the file of cases in the research sample, a pass will be made through the data to select the control cases. Any case not selected on this pass will become an experimental case. This sequence of passes through the data should ensure that each case at the demonstration site has an equal probability of being selected into the research sample and of being selected into the control group. The software that will be used to draw the samples is the "Sample" procedure in the Statistical Package for the Social Sciences (SPSS).

The file of ongoing FIP cases in the research sample will be passed to the Bureau of Systems and Programming. Each case in the research sample will then be assigned a status flag in IABC. This flag will become the basis for tracking welfare reform related cases during the demonstration.

Food Stamp Only Cases

In September, a sample of Food Stamps-only cases will also be drawn from IABC. As shown on Table 2, the sample size will be 500 cases with an allowance of an over-sampling factor of 33%. The same steps and sample sites used for the FIP samples will also be used for the food stamp samples. Again the research sample will be passed on to Systems and Programming, and the cases will be tagged in IABC.

II. New Case Assignment

The sampling process for prospective cases meets the statistical requirements of the waivers, and minimizes the burden the design places upon both the client and worker. It would be inappropriate to ask the worker to explain both the waiver and prewaiver policies to the applicant, and then later deny the applicant the opportunity to participate in one or the other policy based upon the research sample status of the case. Thus it is pivotal that cases in the research sample have their status identified early in the intake process. Therefore, first it will be determined if the applicant is asking for FIP or Food Stamps, and then the research status decision will be made. The research sample status assigned to the case will determine whether waiver or prewaiver policies will be explained to the applicant. The research sample status of each case will be determined according to the sample interval assigned to each site. Thus once the research status of a case is known, the worker will have to explain only one set of policies and programs to the applicant.

New FIP Cases

New public assistance cases will also be randomly assigned to the research sample, and to the experimental and control groups. Table 3 shows the sampling plan for new FIP cases. Two-thousand new control cases will be added into the research sample over 24 months. An over-sampling factor will be used at each site. Each sample site will keep a sampling log for new FIP applicant cases.

Once it has been determined that the new applicant wants to apply for FIP, the name of the new applicant will be entered sequentially onto the sampling log. Each sample site will be given a sampling interval. Every case at the interval on the sampling log will become a control case, and the next two cases on the log

after the control case will become a treatment case in the research sample. The sample interval will be given to each site before the implementation date, and will be based on the historical pattern of applications and approvals. If new cases flow into the research sample at a rate different from that which is specified in the sampling plan, it will be necessary to adjust the sampling interval.

Based on case selection at the sampling interval, workers will enter the status of each case into IABC. IABC will be programmed so that the status of each case is attached to the case number. Once the field staff has assigned a status, the field will not be able to change the status flag.

New Food Stamp Only Cases

New Food Stamps-only cases will also be randomly assigned to the research sample, and to the experimental and control groups. Table 4 shows the sampling plan for new Food Stamps-only cases. One-thousand new control cases will be added into the research sample over 24 months. An over-sampling factor will be used at each site. Each sample site will keep a sampling log for new Food Stamps-only cases.

Once it has been determined that the new applicant wants to apply for Food Stamps-only, the name of the new applicant will be entered sequentially onto the log. Assignment of prospective Food Stamps-only cases will follow the same procedure specified for FIP cases.

III. Prevention of Crossovers

In order to maintain the integrity of the experimental design it is essential that cases not be allowed to cross over from the experimental and control groups. Every effort will be made to prevent crossovers. Workers will be instructed to check each case on IABC before assigning a new case number. The evaluation contractor will be asked to monitor the integrity of the sampling process.

Cases will receive one of the following tags either when the on-going samples are drawn or as workers enter new applicants into the system:

- 0=not in the research sample
- 1=FIP control on-going case
- 2=FIP control new case
- 3=FIP treatment on-going case
- 4=FIP treatment new case
- 5=FOOD STAMP control on-going case
- 6=FOOD STAMP control new case
- 7=FOOD STAMP treatment on-going case

8=FOOD STAMP treatment new case

These tags will be locked onto each case for the duration of the demonstration. Field staff will be allowed to view, but not change, the status of a case. The status will remain even if the case is denied, terminated, or withdraws the application and subsequently reapplies for assistance. Treatment cases that move into a county in the research sample will continue to participate as a treatment case but will not become part of the research sample. If, however, a case moves from a control county to a county not in the research sample, the IABC system will apply the treatment policy but the status flag will not change from control to treatment.

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TABLE 1: FIP CONTROL GROUP SAMPLING PLAN FOR PARTICIPANT CASES

REGION	COUNTY	REGION CASELOAD			COUNTY FIP CONTROL SAMPLE			FIP EXPERIMENTAL	TOTAL RESEARCH
		(1) Region Avg. Mo. No.Cases	(2) % of State Total	(3) # of Cases Needed	(4) County Avg. Mo. No.Cases	(5) % of Cases in Counties	(6) # of Cases Needed	(7) # of Cases Needed	(8) # of Cases
SIOUX CITY		4,623	12.6%	314				628	942
	Woodbury				1,837	100%	314	628	942
WATERLOO		6,205	16.8%	421				842	1,263
	Black Hawk				2,714	100%	421	842	1,263
DES MOINES		8,566	23.3%	581				1,162	1,743
	Polk				5,794	100%	581	1162	1743
COUNCIL BLUFFS		4,035	11.0%	274				548	822
	Pottawattamie				1,629	100%	274	548	822
CEDAR RAPIDS		13,410	36.4%	910				1,820	2,730
	Clinton				956	22.4%	203	406	609
	Des Moines				748	17.5%	159	318	477
	Jackson				245	5.7%	52	104	156
	Jones				152	3.6%	32	64	96
	Linn				2175	50.9%	463	926	1389
	Five-County Total				4,276	100%	909	1,818	2,727
STATE TOTALS:		36,839	100%	2,500	16,250		2,499	5,000	7,500

Assumptions: Over Sample: 25% Sample Size 2500 Min.Sample Req.: 2,000

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TABLE 2: CONTROL GROUP SAMPLING PLAN FOR PARTICIPANT FOOD STAMP-ONLY CASES*

REGION	COUNTY	REGION CASELOAD			COUNTY FOOD STAMP- ONLY CONTROL SAMPLE			FOOD STAMP-ONLY EXPERIMENTAL SAMPLE	TOTAL RESEARCH SAMPLE SIZE
		(1) Region Avg. Mo. No. Cases	(2) % of State Total	(3) # of Cases Needed	(4) County Avg. Mo. No. Cases	(5) % of Cases in Counties	(6) # of Cases Needed	(7) # of Cases Needed	(8) # of Cases
SIOUX CITY		2,930	14.93%	100				200	300
	Woodbury				603	100%	100	200	300
WATERLOO		3,837	19.56%	130				260	390
	Black Hawk				1,174	100%	130	260	390
DES MOINES		4,037	20.58%	137				274	411
	Polk				2478	100.00%	137	274	411
COUNCIL BLUFFS		2,290	11.67%	78				156	234
	Pottawattamie				500	100%	78	156	234
CEDAR RAPIDS		6,525	33.26%	222				444	666
	Clinton				377	19.21%	43	86	129
	Des Moines				438	22.31%	50	100	150
	Jackson				154	7.85%	17	34	51
	Jones				75	3.82%	8	16	24
	Linn				919	46.82%	104	208	312
	Five-County Total				1,963	100%	222	444	666
STATE TOTALS:		19,619	100%	667	6,718		667	1,334	2,001

Assumptions: Over Sample: 33% Sample Size: 667 Min. Sample Req.: 500

* These are Food Stamp-Only cases.

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TABLE 3: FIP CONTROL GROUP SAMPLING PLAN FOR AFDC APPLICANTS OVER 24 MONTHS

REGION	COUNTY	REGION CASELOAD				COUNTY FIP CONTROL SAMPLE				FIP EXPERIMENTAL SAMPLE		TOTAL RESEARCH SAMPLE SIZE	
		(1) Avg. Apps./ Month	(2) % of Total/ State	(3) # of Cases/ Month	(4) # of Cases/ 24 Mos.	(5) Avg. Apps./ Month	(6) % of Cases in Selected Counties	(7) # of Cases/ Month	(8) # of Cases/ 24 Mos.	(9) # of Cases/ Month	(10) # of Cases/ 24 Mos.	(11) # of Cases/ Month	(12) # of Cases/ 24 Mos.
SIOUX CITY		386	13.51%	17	408					34	816	51	1,224
	Woodbury					153	100.0%	17	408	34	816	51	1,224
WATERLOO		442	15.46%	19	456					38	912	57	1,368
	Black Hawk					162	100.0%	19	456	38	912	57	1,368
DES MOINES		673	23.57%	30	720					60	1,440	90	2,160
	Polk					433	100.0%	30	720	60	1,440	90	2,160
COUNCIL BLUFFS		346	12.10%	15	360					30	720	45	1,080
	Pottawattamie					134	100.0%	15	360	30	720	45	1,080
CEDAR RAPIDS		1,010	35.36%	44	1,056					88	2,112	132	3,168
	Clinton					69	20.9%	9	216	18	432	27	648
	Des Moines					60	18.2%	8	192	16	384	24	576
	Jackson					21	6.4%	3	72	6	144	9	216
	Jones					18	5.5%	2	48	4	96	6	144
	Linn					162	49.1%	22	528	44	1,056	66	1,584
	Five-County Total					330	100.0%	44	1,056	88	2,112	132	3,168
STATE TOTALS:		2,857	100%	125	3,000	1,212		125	3,000	250	6,000	375	9,000

Assumptions: Over Sample:50% Sample/Month: 125 Approval Rate: 77.25% Min.Sample Req.: 108

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TABLE 4: FOOD STAMP-ONLY CONTROL GROUP SAMPLING PLAN FOR APPLICANTS OVER 24 MONTHS

REGION	COUNTY	REGION CASELOAD				COUNTY FOOD STAMP- ONLY CONTROL SAMPLE				FOOD STAMP-ONLY EXPERIMENTAL SAMPLE		TOTAL RESEARCH SAMPLE SIZE	
		(1) Avg. Apps./ Month	(2) % of Total/ State	(3) # of Cases/ Month	(4) # of Cases/ 24 Mos.	(5) Avg. Apps./ Month	(6) % of Cases in Selected Counties	(7) # of Cases/ Month	(8) # of Cases/ 24 Mos.	(9) # of Cases/ Month	(10) # of Cases/ 24 Mos.	(11) # of Cases/ Month	(12) # of Cases/ 24 Mos.
SIoux CITY		424	13.35%	7	168					14	336	21	504
	Woodbury					127	100%	7	168	14	336	21	504
WATERLOO		550	17.33%	9	216					18	432	27	648
	Black Hawk					203	100%	9	216	18	432	27	648
DES MOINES		779	24.54%	12	288					24	576	36	864
	Polk					496	100%	12	288	24	576	36	864
COUNCIL BLUFFS		343	10.81%	5	120					10	240	15	360
	Pottawattamie					112	100%	5	120	10	240	15	360
CEDAR RAPIDS		1,078	33.97%	17	408					34	816	51	1,224
	Clinton					66	19.02%	3	72	6	144	9	216
	Des Moines					61	17.58%	3	72	6	144	9	216
	Jackson					17	4.90%	1	24	2	48	3	72
	Jones					11	3.17%	1	24	2	48	3	72
	Linn					192	55.33%	9	216	18	432	27	648
	Five-County Total					347	100%	17	408	34	816	51	1,224
STATE TOTALS:		3,174	100%	50	1,200	1,285				100	2,400	150	3,600

Assumptions: Over Sample: 20% Sample/Month: 50 Approval Rate: 76.63% Min. Sample Req.: 41

^a-These are Food Stamp-Only cases.

GUIDELINES FOR RANDOM SAMPLING OF NEW CASES IN THE FIELD

Background

According to the "Terms and Conditions" of Iowa's welfare reform waivers, random samples of cases must be drawn from the nine selected counties. There must be separate samples for FIP and Food Stamp only cases. For each of the programs, FIP and Food stamps only, there must be separate samples of ongoing and new cases. Some of the cases that are sampled are what researchers call control cases and some are called experimental cases. The control and experimental cases in the nine selected counties make up the research sample. The purpose of having control and experimental samples is to allow for an comparative evaluation of the old and new welfare policies. Control cases receive the prewaiver policies while experimental cases receive the waiver policies. The Bureau of Research and Statistics has already drawn the sample of ongoing cases for both FIP and Food Stamps only. The sample of new cases will have to be selected in the field. Many ongoing cases of course did not fall into either the control or experimental ongoing samples; these cases will also participate in the new policies. Cases not included in the nine selected counties will also receive the new policies. The ongoing cases that have already been sampled are identified on IABC with the following codes:

C control case (regular)- prewaiver FIP and Food Stamp policies
T treatment sample case (experimental) - waiver FIP and Food Stamp policies
N treatment case that was not selected in the sample, - waiver FIP and Food Stamp policies

The material prepared by the Division of Economic Assistance indicates what aid types should be included in the FIP and Food Stamp only samples.

The following table shows all the samples involved in the evaluation. The actual sample size used in the evaluation are slightly larger due to an allowance for oversampling.

	FIP		Food Stamp Only	
	<u>Control</u>	<u>Treatment</u>	<u>Control</u>	<u>Treatment</u>
New Case	2000	4000	1000	2000
Ongoing Case	2000	4000	500	1000

The purpose of this note is to give some guidance on how cases should be sampled in the field. PLEASE NOTE HOWEVER THAT IT CAN NOT BE ASSUMED THAT ALL NEW CASES WILL GO THROUGH THE PROCESS OF RANDOM SAMPLING IN THE FIELD. READ AND FOLLOW THE PROCEDURES PREPARED BY THE DIVISION OF ECONOMIC ASSISTANCE BEFORE PUTTING A CASE THROUGH THE PROCESS OF RANDOM SAMPLING. THESE PROCEDURES, IN SOME INSTANCES, SCREEN OUT CASES FROM THE PROCESS OF RANDOM SAMPLING.

Sampling New Cases

The sampling process for new cases in the field has been designed on the assumption that first a decision will be made as to the type of program being applied for (FIP or Food Stamps) and ONLY then will the sampling decision be made. This sequence of decisions will minimize the time the staff has to take to explain programs to prospective clients. Workers will not have to explain both prewaiver and waiver policies to the same case. Thus, once it has been determined that a case is not to be screened out of the random sampling process, the first step is to determine the program for which the application is being made.

Sampling Logs

For the purpose of randomly sampling new cases, a separate sampling log for FIP and a separate log for Food stamps only will have to be kept. These logs are separate from any logs or lists currently used to assign cases to workers. Any lists etc. used to assign cases to workers should be completed after information has been entered in the sampling log. Each site should decide how to keep a sampling log for each program; it could be a clipboard, 3-ring notebook, a special form etc. All cases that pass the screening requirements, whether they come from a worker, in the mail or walk-in through the front door, should be entered on the sampling logs in the order in which they are received.

The sampling log should show the sequence number assigned to the case, the name of the case, the date the name is entered in the log, and its sampling label. Ideally, the sequence number should start with one upon implementation and continue in sequential fashion through the end of the twenty-four month period. If this is not possible, then each month the sequence number should start again with one. As shown above, each case should have a "C", "T" or "N" label. Under the terms of the waiver agreement, the integrity of the sampling process must be monitored for the next 24 months. Therefore, all sampling logs should be saved. Periodically, the Bureau of Research and Statistics will ask to have a log sent to central office for examination.

EXAMPLE FIP SAMPLING LOG

Sequence No.	<u>Case Name</u>	<u>Date</u>	<u>Label</u>
1.	Manon de Street	10/1/93	C
2.	Wally Mart	10/1/93	T
3.	Kae Mart	10/2/93	T
4.	Richard Roe	10/4/93	N
5.	John Doe	10/4/93	N
6.	Reasonable Man	10/4/93	C
	etc.		

Sampling Interval

The last column of the attached tables show the sampling interval for each of the nine counties. The interval number indicates what cases are to be included in the sample of new cases and which cases are excluded from the sample. Begin assigning cases to the control group with the first case on the list. The number shown for the interval indicates the number of cases that must be skipped in between selected control cases. In the example above, the interval is five. Thus the first case and the sixth case are sampled as control cases as indicated by the "C" in the label column. Note that cases two and three are labeled "T" for treatment case. According to the terms of the waiver, for each new sampled control case there must be two treatment cases. Finally, cases four and five are labeled "N"; these cases will receive the waiver policies, but are not part of the research sample of control and treatment cases.

Thus the second step in the random sampling process is to determine whether the case will be assigned to the research sample as a control or treatment case based on the sampling interval.

It is important that the sampling logs at the local office allow for the sequential listing of cases in order to easily allow for the identification of control and treatment cases. Once cases have received a label, they can be assigned to a worker. The assigned interval was calculated from the historical average of new applications at each site. An allowance has been made for the average rate of approval. The number of new cases needed each month is based on the waiver conditions with an allowance for over sampling. The interval is designed to take in enough cases per month to allow the sampling of new cases to continue for two years. The rate at which new cases flow into the research sample will be monitored. If it is necessary to either increase or decrease the flow of cases, the sampling interval will be adjusted and the counties will be notified of the new sampling interval.

It would be especially helpful to have each site chose one persor to be responsible for the sampling in their county. This person would serve as the site sampling coordinator. This coordinator could take responsibility for assigning a label to every case on the sampling log. All questions about the statistical aspects of the sampling should be directed by the coordinator to Dave Engels by phone at (515) 281-6094 or by Officevision.

IOWA DEPARTMENT OF HUMAN SERVICES

FIP CONTROL GROUP SAMPLING PLAN FOR AFDC APPLICANTS OVER 24 MONTHS

REGION	COUNTY	REGION CONTROL SAMPLE				COUNTY CONTROL SAMPLE				FIP SAMPLE		RESEARCH SAMPLE SIZE		SAMPLING INTERVAL
		(1) Region Avg. Apps./ Month	(2) % of Total/ State	(3) # of Cases/ Month	(4) # of Cases/ 24 Mos.	(5) County Avg. Apps./ Month	(6) % of Cases in Selected Counties	(7) # of Cases/ Month	(8) # of Cases/ 24 Mos.	(9) # of Cases/ Month	(10) # of Cases/ 24 Mos.	(11) # of Cases/ Month	(12) # of Cases/ 24 Mos.	
SIOUX CITY		498	13.37%	17	408					34	816	51	1,224	
	Woodbury					193	100.0%	17	408	34	816	51	1,224	11
WATERLOO		582	15.63%	20	480					40	960	60	1,440	
	Black Hawk					214	100.0%	20	480	40	960	60	1,440	11
DES MOINES		877	23.57%	30	720					60	1,440	90	2,160	
	Polk					560	100.0%	30	720	60	1,440	90	2,160	19
COUNCIL BLUFFS		457	12.29%	15	360					30	720	45	1,080	
	Pottawattamie					176	100.0%	15	360	30	720	45	1,080	12
CEDAR RAPIDS		1,308	35.15%	44	1,056					88	2,112	132	3,168	
	Clinton					84	19.5%	9	216	18	432	27	648	9
	Des Moines					83	19.3%	8	192	16	384	24	576	10
	Jackson					28	6.5%	3	72	6	144	9	216	9
	Jones					23	5.3%	2	48	4	96	6	144	12
	Linn					212	49.3%	22	528	44	1,056	66	1,584	10
	Five-County Total					430	100.0%	44	1,056	88	2,112	132	3,168	
STATE TOTALS:		3,722	100%	126	3,024	1,573		126	3,024	252	6,048	378	9,072	

Assumptions: Over Sample: 50% Sample/Month: 125 Approval Rate: 77.25% Min. Sample Req.: 108

IOWA DEPARTMENT OF HUMAN SERVICES

FOOD STAMP CONTROL GROUP SAMPLING PLAN FOR APPLICANTS OVER 24 MONTHS

REGION	COUNTY	REGION CONTROL SAMPLE				COUNTY CONTROL SAMPLE				FOOD STAMP SAMPLE		RESEARCH SAMPLE SIZE		SAMPLING INTERVAL
		(1) Avg. Apps./ Month	(2) % of Total State	(3) # of Cases/ Month	(4) # of Cases/ 24 Mos.	(5) Avg. Apps./ Month	(6) % of Cases in Selected Counties	(7) # of Cases/ Month	(8) # of Cases/ 24 Mos.	(9) # of Cases/ Month	(10) # of Cases/ 24 Mos.	(11) # of Cases/ Month	(12) # of Cases/ 24 Mos.	
SIOUX CITY		588	13.03%	7	168					14	336	21	504	
	Woodbury					178	100%	7	168	14	336	21	504	25
WATERLOO		776	17.19%	9	216					18	432	27	648	
	Black Hawk					307	100%	9	216	18	432	27	648	34
DES MOINES		1,119	24.78%	12	288					24	576	36	864	
	Polk					724	100%	12	288	24	576	36	864	60
COUNCIL BLUFFS		481	10.65%	5	120					10	240	15	360	
	Pottawattamie					167	100%	5	120	10	240	15	360	33
CEDAR RAPIDS		1,551	34.35%	17	408					34	816	51	1,224	
	Clinton					98	18.42%	3	72	6	144	9	216	33
	Des Moines					93	17.48%	3	72	6	144	9	216	31
	Jackson					28	5.26%	1	24	2	48	3	72	28
	Jones					19	3.57%	1	24	2	48	3	72	19
	Linn					294	55.26%	9	216	18	432	27	648	33
	Five-County Total					532	100%	17	408	34	816	51	1,224	
STATE TOTALS:		4,515	100%	50	1,200	1,908				100	2,400	150	3,600	

Assumptions: Over Sample: 20% Sample/Month: 50 Approval Rate: 75.32% Min. Sample Req.: 41

^a-These are NPA or Food Stamp only cases.

IOWA DEPARTMENT OF HUMAN SERVICES
 TABLE 1: FIP CONTROL GROUP SAMPLING PLAN FOR PARTICIPANT CASES

REGION	COUNTY	REGION CASELOAD			COUNTY FIP CONTROL SAMPLE			FIP EXPERIMENTAL	TOTAL RESEARCH
		(1) Region No. Cases	(2) % of State Total	(3) # of Cases Needed	(4) County No. Cases	(5) % of Cases in Counties	(6) # of Cases Needed	(7) # of Cases Needed	(8) # of Cases
SIOUX CITY		4,158	11.8%	295				590	885
	Woodbury				1,601	100%	295	590	885
WATERLOO		5,781	16.4%	411				822	1,233
	Black Hawk				2,564	100%	411	822	1,233
DES MOINES		8,433	24.0%	599				1,198	1,797
	Polk				5,648	100%	599	1,198	1,797
COUNCIL BLUFFS		3,930	11.2%	279				558	837
	Pottawattamie				1618	100%	279	558	837
CEDAR RAPIDS		12,901	36.6%	916				1,832	2,748
	Clinton				935	22.7%	208	416	624
	Des Moines				763	18.6%	170	340	510
	Jackson				227	5.5%	51	102	153
	Jones				152	3.7%	34	68	102
	Linn				2035	49.5%	453	906	1359
	Five-County Total				4,112	100%	916	1,832	2,748
STATE TOTALS:		35,203	100%	2,500	15,543		2,500	5,000	7,500

Assumptions: Over Sample: 25% Sample Size 2500 Min. Sample Req.: 2,000

IOWA DEPARTMENT OF HUMAN SERVICES
TABLE 2: CONTROL GROUP SAMPLING PLAN FOR PARTICIPANT FOOD STAMP-ONLY CASES*

REGION	COUNTY	REGION CASELOAD			COUNTY FOOD STAMP- ONLY CONTROL SAMPLE			FOOD STAMP-ONLY EXPERIMENTAL SAMPLE	TOTAL RESEARCH SAMPLE SIZE
		(1) Region No.Cases	(2) % of State Total	(3) # of Cases Needed	(4) County No.Cases	(5) % of Cases in Counties	(6) # of Cases Needed	(7) # of Cases Needed	(8) # of Cases
SIOUX CITY		2,508	13.52%	90				180	270
	Woodbury				575	100%	90	180	270
WATERLOO		3,552	19.14%	128				256	384
	Black Hawk				1,143	100%	128	256	384
DES MOINES		4,398	23.70%	158				316	474
	Polk				2790	100.00%	158	316	474
COUNCIL BLUFFS		2,043	11.01%	73				146	219
	Pottawattamie				524	100%	73	146	219
CEDAR RAPIDS		6,056	32.63%	215				430	645
	Clinton				371	19.76%	42	84	126
	Des Moines				373	19.86%	43	86	129
	Jackson				157	8.36%	18	36	54
	Jones				61	3.25%	7	14	21
	Linn				916	48.78%	105	210	315
	Five-County Total				1,878	100%	215	430	645
STATE TOTALS:		18,557	100%	664	6,910		664	1,328	1,992

Assumptions: Over Sample: 33% Sample Size: 667 Min. Sample Req.: 500

* These are Food Stamp-Only cases.

MEMORANDUM

TO: Division of Economic Assistance
ATTENTION: Deb Bingaman
FROM: Dave Engels, Bureau of Research and Statistics ^{DE}
DATE: September 29, 1993
SUBJECT: Final Sampling Table for Ongoing Cases

I am attaching a copy of the final tables used to draw the ongoing FIP and Food Stamps only samples, September 17. The number of cases shown in column one indicates the number of active cases in the universe statewide and for each individual region and selected counties on that date. The remaining columns show the number of control and experimental cases drawn from each area.

Subsequent to drawing the sample, I looked at the representativeness of the sample. In terms of geographic distribution, the sample was very representative of the universe. For example, 11.8% of the cases were from the Sioux City region, and 11.8% of the cases in the sample were from Sioux City.

I want to take this opportunity to thank my two staff members, Larry Johnsen and Jan Conrad, who helped me on the sampling plan and drawing the sample.

cc: Gloria Conrad
Jan Conrad
Larry Johnsen



IOWA DEPARTMENT OF HUMAN SERVICES
TABLE 1: FIP CONTROL GROUP SAMPLING PLAN FOR PARTICIPANT CASES

REGION	COUNTY	REGION CASELOAD			COUNTY FIP CONTROL SAMPLE			FIP EXPERIMENTAL	TOTAL RESEARCH
		(1) Region No.Cases	(2) % of State Total	(3) # of Cases Needed	(4) County No.Cases	(5) % of Cases in Counties	(6) # of Cases Needed	(7) # of Cases Needed	(8) # of Cases
SIOUX CITY		4,158	11.8%	295				590	885
	Woodbury				1,601	100%	295	590	885
WATERLOO		5,781	16.4%	411				822	1,233
	Black Hawk				2,564	100%	411	822	1,233
DES MOINES		8,433	24.0%	599				1,198	1,797
	Polk				5,648	100%	599	1,198	1,797
COUNCIL BLUFFS		3,930	11.2%	279				558	837
	Pottawattamie				1618	100%	279	558	837
CEDAR RAPIDS		12,901	36.6%	916				1,832	2,748
	Clinton				935	22.7%	208	416	624
	Des Moines				763	18.6%	170	340	510
	Jackson				227	5.5%	51	102	153
	Jones				152	3.7%	34	68	102
	Linn				2035	49.5%	453	906	1359
	Five-County Total				4,112	100%	916	1,832	2,748
STATE TOTALS:		35,203	100%	2,500	15,543		2,500	5,000	7,500

Assumptions: Over Sample: 25% Sample Size 2500 Min.Sample Req.: 2,000

IOWA DEPARTMENT OF HUMAN SERVICES
 TABLE 2: CONTROL GROUP SAMPLING PLAN FOR PARTICIPANT FOOD STAMP-ONLY CASES*

REGION	COUNTY	REGION CASELOAD			COUNTY FOOD STAMP- ONLY CONTROL SAMPLE			FOOD STAMP-ONLY EXPERIMENTAL SAMPLE	TOTAL RESEARCH SAMPLE SIZE
		(1) Region No.Cases	(2) % of State Total	(3) # of Cases Needed	(4) County No.Cases	(5) % of Cases in Counties	(6) # of Cases Needed	(7) # of Cases Needed	(8) # of Cases
SIoux CITY		2,508	13.52%	90			180	270	
	Woodbury				575	100%	90	180	270
WATERLOO		3,552	19.14%	128			256	384	
	Black Hawk				1,143	100%	128	256	384
DES MOINES		4,398	23.70%	158			316	474	
	Polk				2790	100.00%	158	316	474
COUNCIL BLUFFS		2,043	11.01%	73			146	219	
	Pottawattamie				524	100%	73	146	219
CEDAR RAPIDS		6,056	32.63%	215			430	645	
	Clinton				371	19.76%	42	84	126
	Des Moines				373	19.86%	43	86	129
	Jackson				157	8.36%	18	36	54
	Jones				61	3.25%	7	14	21
	Linn				916	48.78%	105	210	315
	Five-County Total				1,878	100%	215	430	645
STATE TOTALS:		18,557	100%	664	6,910		664	1,328	1,992

Assumptions: Over Sample: 33% Sample Size: 667 Min. Sample Req.: 500

* These are Food Stamp-Only cases.

MEMORANDUM

TO: Benefit Payment Administrators

FROM: Dave Engels, Bureau of Research and Statistics ^{DE}

DATE: September 29, 1993

SUBJECT: Simplified Sampling Logs
Months with Too Many Applications
Months with Too Few Applications

Please pass this information to the sampling site coordinators in each of the nine selected counties that have cases in the re-search sample. The problems discussed in this memo should not arise in the first few months after implementation, but I do want to alert them to what could happen down the road.

if you have sampling questions, give me a call at (515) 281-6094.

cc: Deb Bingaman ✓
Gloria Conrad
Larry Johnsen
Siri Granberg
Glenda O'Brien

September 30, 1993

ADDITIONAL GUIDELINES FOR RANDOM SAMPLING
OF NEW CASES IN THE FIELD

This note covers two topics. First there are some suggestions on designing your sampling logs. Then there is a discussion of some special sampling problems that could arise later into the implementation period.

DESIGNING THE SAMPLING LOGS

In the guidelines I sent out previously on handling sampling logs, I indicated the general requirements, but left the mechanics to your choice.

I want to suggest an approach that I think simplifies the mechanics of assigning cases. Some of you may have already used this approach if you use worker rotation logs. Your sampling logs could be designed with blocks of numbers preprinted based on the sampling interval. Thus for a sampling interval of 5, the following form could be designed at the local office.

<u>Sequence</u> <u>Number</u>	<u>Label</u>	<u>Case</u> <u>Name</u>	<u>Date</u>	<u>Case No.</u>	<u>Social</u> <u>Security No.</u>
1	C] block of numbers and labels geared to the sampling interval requirements labels entered after names entered			
2	T				
3	T				
4	N				
5	N				
1	C				
2	T				
3	T				
4	N				
5	N				
1	C				
2	T				
3	T				
4	N				
5	N				

The above example shows the general form of the sampling log at the end of the month after the labels have been assigned to each new case. Please note that I have added a column for case number or social security number. If either of these numbers are added to the list, then the local supervisors as well as the Bureau of Research and Statistics will have some way of checking to see that the cases have been correctly assigned.

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SPECIAL SAMPLING PROBLEMS

According to the approval terms of Iowa's waivers, there are two conditions which the sampling of new applicants must meet. First, there is a numerical requirement as to the total number of FIP and Food Stamp only cases that must be included. Second, there is a time requirement; new cases must be drawn into the sample over the first 24 months after implementation. Together these criteria require that the quota of new cases be apportioned over each of the 24 months. The sampling tables I sent out indicate the average number of applications at your site, and the number of control and experimental (research sample treatment) cases needed each month.

Two situations can make it difficult to meet the requirements. First, there may be months in which too few applications are received and thus the quota of new cases is not met. Second, there may be months when more applications are received than anticipated by the sampling plan. Under this situation, if sampling continued according to the interval too many cases would be sampled. A change in the historical rate of approval or a change in the number of applications could lead to either problem. The following discussion explains how each of these situations are to be handled. Ultimately, both problems must be resolved by a change in the sampling interval.

Months with More Than the Average Number of Applications

Since new cases must be sampled over a twenty-four month period, it is important that the sampling process stop each month when the quota for control and experimental cases has been reached. The first example indicates how to handle months in which there are more than the average number of applications. All applications beyond the number of historical applications for your site should be assigned an "N". Thus continue to write the name etc. of all new applicants on the list. The listing of additional cases will help ensure that no new applicants will somehow get lost. Do not take the cases from this month and use them to begin the sampling process for next month. Each month has a quota of cases to be captured for that month. If either the counts on IABC or the sampling logs indicate an increase in the number of applications, then the sampling interval will be adjusted to take in the required monthly quota and cover all the applications.

Months with Fewer Than the Average Number of Applications

Example two shows how to handle months in which too few applications are received. Put applications on the log until there are no more applications for the month. At the close of business the last working day of the month, the log for the month should be set aside so that new cases for the next month are not mistakenly added to the quota for the current month. Do not take cases from the next month and use them to meet the quota for the current

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month. An examination of the logs or counts from IABC will indicate the possible need to readjust the sampling interval. Usually, the adjustment would not be made on a monthly basis.

EXAMPLE ONE: More Applications per Month than the historical Average

This example shows how to stop sampling once the required number of control and treatment applications have been received.

Assumptions for this example

Average No. of Applications: 20
 Sampling Interval 5
 No. of Control Cases Needed: 4
 No. of Treatment Cases Needed: 8

App. No.	Sequence Number	Case Label	Name	Date	Case No.	Social Security No.
1	1	C				
2	2	T				
3	3	T				
4	4	N				
5	5	N				
6	1	C				
7	2	T				
8	3	T				
9	4	N				
10	5	N				
11	1	C				
12	2	T				
13	3	T				
14	4	N				
15	5	N				
16	1	C				
17	2	T				
18	3	T				
19	4	N				
20	5	N				
21	1	N				
22	2	N				
23	3	N				
		etc.				

NOTE 4TH. CONTROL CASE FOR MONTH - QUOTA REACHED
 NOTE 7TH. TREATMENT CASE FOR MONTH
 NOTE 8TH. TREATMENT CASE FOR MONTH - QUOTA REACHED
 NOTE: 20TH. APPLICATION - HISTORICAL AVERAGE NUMBER APPLICATIONS 21 THROUGH 23 ARE ABOVE THE AVERAGE, AND ARE NOT TO BE INCLUDED IN THE SAMPLE. ALL CASES ABOVE THE AVERAGE THAT APPEAR ON THE LOG SHOULD BE ASSIGNED AN "N" CONTINUE WRITING NEW APPLICANTS ON THE LIST

Sampling would begin at the start of the next month.

EXAMPLE TWO: Fewer Applications per Month than the historical Average

This example shows how to stop sampling before the required number of control and treatment applications have been received.

Assumptions for this example

Average No. of Applications: 20
Sampling Interval 5
No. of Control Cases Needed: 4
No. of Treatment Cases Needed: 8

<u>App. No.</u>	<u>Sequence Number</u>	<u>Case Label</u>	<u>Name</u>	<u>Date</u>	<u>Case No.</u>	<u>Social Security No.</u>
1	1	C	first control case			
2	2	T				
3	3	T				
4	4	N				
5	5	N				
6	1	C	second control case			
7	2	T				
8	3	T				
9	4	N				
10	5	N				
11	1	C	third control case			
12	2	T				
13	3	T				
14	4	N				

LAST CASE ENTERED ON THE LOG FOR THE MONTH
NOTE 4TH. CONTROL CASE FOR MONTH NEVER CAME IN
NOTE 7TH. TREATMENT CASE FOR MONTH NEVER CAME IN
NOTE 8TH. TREATMENT CASE FOR MONTH NEVER CAME IN

DO NOT TAKE CASES FROM THE NEXT MONTH AND USE THEM TO MEET THIS MONTHS REQUIRED QUOTA OF CONTROL AND TREATMENT CASES. IF YOU TAKE CASES FROM NEXT MONTH AND ADD THEM TO THIS MONTH, IT WILL NOT BE POSSIBLE TO DETECT WHEN THE SAMPLING INTERVAL SHOULD BE ADJUSTED.

Sampling would begin again the next month.

File: CNFIPQ1

NEW FIP CONTROL APPLICATIONS SAMPLED IN THE FIELD

REGION	<u>Actual First Quarter Cases Sampled</u>				<u>Expected First Quarter Cases Sampled</u>		<u>Difference</u>	
	October	November	December	Actual Total	Expected Monthly Total	Expected Quarterly Total	Difference	(1)/(2)
								Actual Percentage
SIOUX CITY								
Woodbury (97)	3	2	3	8	17	51	43	15.69%
WATERLOO								
Black Hawk (7)	5	2	3	10	19	57	47	17.54%
DES MOINES								
Polk (77)	11	2	5	18	30	90	72	20.00%
COUNCIL BLUFFS								
Pottawattamie (78)	7	0	2	9	15	45	36	20.00%
CEDAR RAPIDS								
Clinton (23)	4	3	4	11	9	27	16	40.74%
Des Moines (29)	0	0	2	2	8	24	22	8.33%
Jackson (49)	0	0	0	0	3	9	9	.00%
Jones (53)	1	0	0	1	2	6	5	16.67%
Linn (57)	2	1	6	9	22	66	57	13.64%
Other	0	1	0	1	0	0	-1	
subtotal	7	5	12	24	44	132	108	18.18%
Statewide Total	33	11	24	69	125	375	306	18.40%

FILE: EXFIPQ1

NEW FIP EXPERIMENTAL APPLICATIONS SAMPLED IN THE FIELD

REGION	<u>Actual First Quarter Cases Sampled</u>				<u>Expected First Quarter Cases Sampled</u>		<u>Difference</u>	
	October	November ^a	December	(1) Actual Total	Expected Monthly Total	Expected Quarterly Total	(1)/(2) Actual Difference	Percentage
SIOUX CITY								
Woodbury (97)		15	8	23	34	102	79	22.55%
WATERLOO								
Black Hawk (7)		15	6	21	38	114	93	18.42%
DES MOINES								
Polk (77)		14	1	15	60	180	165	8.33%
COUNCIL BLUFFS								
Pottawattamie (78)		7	8	15	30	90	75	16.67%
CEDAR RAPIDS								
Clinton (23)		4	0	4	18	54	50	7.41%
Des Moines (29)		4	2	6	16	48	42	12.50%
Jackson (49)		7	3	10	6	18	8	55.56%
Jones (53)		1	0	1	4	12	11	8.33%
Linn (57)		11	10	21	44	132	111	15.91%
Other		0	1	1	0	0	-1	
subtotal		27	16	43	88	264	221	16.29%
Statetwide Total		78	32	117	250	750	633	15.60%

^aThe number of sampled cases shown for November is the cumulative total for November and October.

FILE: CNFSPQ1

NEW FOOD STAMP ONLY CONTROL APPLICATIONS SAMPLED IN THE FIELD

REGION	<u>Actual First Quarter Cases Sampled</u>				<u>Expected First Quarter Cases Sampled</u>		<u>Expected-Actual Difference</u>	
	October	November	December	(1)	(2)		(1)/(2) Actual Difference Percentage	
				Actual Total	Expected Monthly Total	Expected Quarterly Total		
SIOUX CITY								
Woodbury (97)	3	3	2	8	7	21	13	38.10%
WATERLOO								
Black Hawk (7)	5	1	2	8	9	27	19	29.63%
DES MOINES								
Polk (77)	8	4	2	14	12	36	22	38.89%
COUNCIL BLUFFS								
Pottawattamie (78)	2	1	3	6	5	15	9	40.00%
CEDAR RAPIDS								
Clinton (23)	1	0	0	1	3	9	8	11.11%
Des Moines (29)	1	2	1	4	3	9	5	44.44%
Jackson (49)	1	0	1	2	1	3	1	66.67%
Jones (53)	1	0	0	1	1	3	2	33.33%
Linn (57)	5	2	5	12	9	27	15	44.44%
Other	0	0	1	1	0	0	-1	
subtotal	9	4	8	21	17	51	30	41.18%
Statewide Total	27	13	16	57	50	150	93	38.00%

March 30, 1994

FILE: EXFSQ1

NEW FOOD STAMP ONLY EXPERIMENTAL APPLICATIONS SAMPLED IN THE FIELD: FIRST QUARTER

REGION	<u>Actual First Quarter Cases Sampled</u>				<u>Expected First Quarter Cases Sampled</u>		<u>Difference</u>	
	October	November ^a	December	(1)	(2)		(1)/(2) Actual Percentage	
				Actual Total	Expected Monthly Total	Expected Quarterly Total		
SIOUX CITY								
Woodbury (97)		6	5	11	14	42	31	26.19%
WATERLOO								
Black Hawk (7)		21	4	25	18	54	29	46.30%
DES MOINES								
Polk (77)		17	12	29	24	72	43	40.28%
COUNCIL BLUFFS								
Pottawattamie (78)		2	2	4	10	30	26	13.33%
CEDAR RAPIDS								
Clinton (23)		5	1	6	6	18	12	33.33%
Des Moines (29)		6	3	9	6	18	9	50.00%
Jackson (49)		7	4	11	2	6	-5	183.33%
Jones (53)		3	0	3	2	6	3	50.00%
Linn (57)		12	5	17	18	54	37	31.48%
Other		0	0	0	0	0	0	
subtotal		33	13	46	34	102	56	45.10%
Statewide Total		79	26	115	100	300	185	38.33%

^aThe number of sampled cases shown for November is the cumulative total for November and October.

**SYSTEM CHANGES REQUIRED FOR EVALUATION
PURPOSES**

IV. System Changes Required for Evaluation Purposes

System changes were required that allow identification of research cases. An assignment field and a sample indicator field were added to the Department of Human Services system (IABC). Cases, and individuals on those cases, are identified as belonging to the control, experimental, or treatment non-sample groups by the assignment coding. Cases are identified by the way in which they came into the research group through use of the sample indicator coding.

Assignment coding: C = control
T = experimental
N = treatment non-sample

Sample indicator coding: 0 = not in the research sample
1 = FIP control ongoing case in the research sample
2 = FIP control applicant case in the research sample
3 = FIP experimental ongoing case in the research sample
4 = FIP experimental applicant case in the research sample
5 = Food Stamp control ongoing case in the research sample
6 = Food Stamp control applicant case in the research sample
7 = Food Stamp experimental ongoing case in the research sample
8 = Food Stamp experimental applicant case in the research sample

The assignment coding is entered by field staff on applications that have not previously been assigned to a group. Assignment coding can only be changed by Department of Human Services, Quality Assurance staff. Sample Indicator coding is entered by Data Processing based upon the characteristics of the case.

**PLAN TO TRACK AND COLLECT DATA FOR RESEARCH
CASES DENIED BENEFITS**

V. Plan to Track and Collect Data for Research Cases Denied Benefits

The Plan to Track and Collect Data for Research Cases Denied Benefits was submitted to the Department of Health and Human Services on August 31, 1993. Approval was received on September 20, 1993. A copy of the plan is included in this section.

PLAN FOR TRACKING AND COLLECTING DATA FIP AND FOOD STAMP DENIALS

Iowa plans to track and collect data on cases in the research sample that do not receive Family Investment Program (FIP) or Food Stamps. We plan to utilize information from our management information system (IABC) as well as information gathered by contacting the individuals.

System Tracking and Data Collection

Once a FIP or Food Stamp application is assigned either experimental or control status, that status will remain with the case for the duration of the waivers. The original status assigned to the case will remain locked onto the case even if subsequent applications are made during the waiver period.

The Systems and Programming unit of the Division of Data Management will create a special "Welfare Reform Initiatives Budgeting File." This is a cumulative file containing a record for each case in the research sample when eligibility or benefit has been calculated. Records will be added to the file and kept for the duration of the waiver period.

FIP and Food Stamp eligibility and benefits for each case will be calculated under both control and experimental resource and income policies. The file will retain countable data on entered resources, earned and unearned income. The amount diverted from the stepparent's earning to meet the needs of others will be contained in this file. Finally, the file will contain the usual demographic items such as age, sex, education and marital status.

Personal Contact

In years four and five of the waivers, an independent evaluator will survey a random sample of research group individuals. The interviews will cover at least:

- Employment
- Earnings
- Savings/Assets
- Family Composition
- Skills/Education
- Attitudes
- Impressions of waivers

**PLAN FOR DESIGNATING ADMINISTRATIVE COSTS AS
DEVELOPMENTAL COSTS**

VI. Plan for Designating Administrative Costs as Developmental Costs

A plan for designating administrative costs as developmental costs was submitted to the Department of Health and Human Services on October 15, 1993 with updates submitted on October 28, 1993, and January 5, 1994. Approval has not yet been received. A copy of the plan and updates are included in this section.

ESTIMATED DEVELOPMENTAL COSTS
OF AFDC AND FOOD STAMP WAIVERS

<u>Item</u>	<u>Total Cost</u> ¹	<u>Period of Time</u> <u>Costs Incurred</u>
MIS Changes	\$ 207,000	4/93-1/94
XPERT Development (Knowledge-Based System)	\$ 239,940	10/93-6/95
Marketing to Clients, Public, Etc.	\$25,000- \$35,000 Annually	7/93-End of Project
Training		
Income Maintenance ²	\$ 225,000	6/93-9/93
FIA Workers ³	\$ 655,000	11/93-12/93
Employees' Manual	\$ 20,000	7/93-1/94
Project Coordinator ⁴	\$ 50,000 Annually	1/93-End of Project
Research & Statistics Analyst ⁴	\$ 42,000 Annually	10/93-End of Project

¹ Federal financial participation (FFP) is normally 50% of total cost; however, in some instances, FFP will be less than 50% due to cost allocation.

² Costs include payroll of trainers and income maintenance staff receiving training plus applicable mileage, per diem, and training materials.

³ FIA means Family Investment Agreement. Costs include staff time of trainers and FIA staff receiving training plus applicable mileage, per diem, and training materials.

⁴ Includes salary, fringe benefits, and support.



TERRY E. BRANSTAD, GOVERNOR

DEPARTMENT OF HUMAN SERVICES

CHARLES M. PALMER, DIRECTOR

October 28, 1993

Ms. Girley Wright
Federal Project Officer
Division of Program Evaluation
Office of Family Assistance
Administration for Children & Families
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447

Dear Ms. Wright:

This is to inform you of an addition to our list of estimated developmental cost for the Iowa Family Investment Program. We anticipate spending \$220,000.00 (50% federal/50% state) in November and December, 1993 for recruitment of child care providers. Homes and facilities targeted to infants and second shift workers will be the primary focus of these recruitment efforts.

This information is provided to comply with section 4.0 of the Terms and Conditions for IFIP. If you have any questions, please contact Gloria Conrad at 515/281-5334.

Thank you.

Sincerely,

Douglas E. Howard, Administrator
Division of Economic Assistance

DEH/GC/bg



TERRY E. BRANSTAD, GOVERNOR

DEPARTMENT OF HUMAN SERVICES

CHARLES M. PALMER, DIRECTOR

January 5, 1994

Ms. Girley Wright
Federal Project Officer
Division of Program Evaluation
Office of Family Assistance
Administration for Children & Families
370 L'Enfant promenade, S.W.
Washington, D.C. 20447

Dear Ms. Wright:

Re: Developmental Costs

I would like to make you aware of some changes in the time frames in which developmental costs will be incurred.

In a letter dated October 15, 1993 Mr. Palmer indicated that developmental costs for training would be used through December. Because all personnel hiring was not completed at that time, there will be developmental costs for new employees in training through February, 1994.

Developmental expenses for recruitment of child care providers will be incurred through March, 1994.

Thank you,

Sincerely,

Douglas E. Howard, Administrator
Division of Economic Assistance

DEH/DB

**PLAN TO PHASE DOWN AND END THE
DEMONSTRATION**

VII. Plan to Phase Down and End the Demonstration

The Plan to Phase Down and End the Demonstration was submitted to the Department of Health and Human Services on November 10, 1993. Approval was received January 10, 1994. A copy of the Plan to Phase Down and End the Demonstration is included in this section.

WELFARE REFORM PHASE DOWN PLAN

The terms and conditions of the Iowa Family Investment Program Demonstration require a plan to phase down and end the demonstration. This is to ensure that no waiver-related federal costs are incurred past the end date. All activities requiring the waivers must cease on the date decided by the Department of Health and Human Services and the Department of Agriculture if the project is terminated prior to the end of the agreed upon five year period.

A period of six months would be required to complete all of the necessary changes under normal procedures. The use of emergency rule-making procedures could shorten the time required to revise the rules.

Tasks to be completed to phase down welfare reform

1. Prepare and submit changes to Iowa Administrative Rules for the Family, Investment Program (FIP) (including the Family Investment Agreement), Transitional Child Care, Food Stamps and Medicaid programs. Secure emergency rule-making authority from the Legislature if planning to use emergency authority
2. Prepare changes to the Employee's Manual.
3. Revise forms and incorporate into the Employee's Manual. Prepare informational inserts, brochures and revise videos to inform clients of the changes.
4. Make necessary computer system changes and incorporate into the Employee's Manual.
5. Provide training for field staff.
6. Revise cost allocation plan.

**WELFARE REFORM PHASE DOWN TIMELINE
FIP, FOOD STAMPS MEDICAL**

TASK	RESPONSIBLE PARTY	MONTH 1	MONTH 2	MONTH 3	MONTH 4	MONTH 5	MONTH 6
IOWA ADMINISTRATIVE RULES							
1	FIP/FIA - Rules - Draft	EA	—				
2	Food Stamps Rules - Draft	EA	—				
3	Medical Rules Draft	MS	—				
4	Draft Rules Circulated	EA, MS	—				
5	Revise Rules	EA, MS	—				
6	Rules to Policy Analysis	EA, MS	—	—			
7	Rules to DHS Council	Policy Anal	—	—			
8	Rules presented to Council (Rules Noticed)	Policy Anal EA, MS	—	—	—		
9	Rules Published	Policy Anal	—	—	—		
10	Public Hearings	BPAs	—	—	—		
11	Comments on Public Hearings to Central Office	BPAs	—	—	—		
12	Respond to comments and Amend Rules	EA, MS	—	—	—	—	
13	Rules to Council	Policy Anal	—	—	—	—	
14	Council Adopts Rules	Policy Anal	—	—	—	—	
15	Rules filed with ARC	Policy Anal	—	—	—	—	
16	Rules Published	Policy Anal	—	—	—	—	—
17	Final Rules Effective		—	—	—	—	—

**WELFARE REFORM PHASE DOWN TIMELINE
FIP, FOOD STAMPS, MEDICAL**

TASK	RESPONSIBLE PARTY	MONTH 1	MONTH 2	MONTH 3	MONTH 4	MONTH 5	MONTH 6
MANUAL							
1 Manual to Policy Analysis for circulation	EA,MS						
2 Comments due Policy Analysis	BPAs						
3 Revisions made & returned to Policy Analysis	EA,MS						
4 To Print	Policy Anal.						
5 All Chapters Revised and Released to Field	Policy Anal.						

**WELFARE REFORM PHASE DOWN TIMELINE
FIP, FOOD STAMPS, MEDICAL**

TASK	RESPONSIBLE PARTY	MONTH	MONTH	MONTH	MONTH	MONTH	MONTH
		1	2	3	4	5	6
FORMS/BROCHURES/VIDEOS							
1 Determine what needs to be revised	EA, MS	_____					
2 Check current forms supply with Marilyn Matthews and determine what has to be destroyed.	EA, MS	_____					
3 Forms revisions to Policy Analysis	EA, MS	_____	_____				
4 Brochure revisions to Policy Analysis	EA, MS	_____	_____	_____			
5 Revise IV - Appendix to Policy Analysis	EA, MS	_____	_____	_____	_____		
6 Revised video released	EA, MS	_____	_____	_____	_____	_____	_____
7 Release of IV-Appendix, VII-Appendix, VIII Appendix	EA, MS	_____	_____	_____	_____		
8 Brochure, Circular Letters Released	EA	_____	_____	_____	_____	_____	

EA = Economic Assistance MS = Medical Services

**WELFARE REFORM PHASE DOWN TIMELINE
FIP, FOOD STAMPS, MEDICAL**

TASK	RESPONSIBLE PARTY	MONTH	MONTH	MONTH	MONTH	MONTH	MONTH	
		1	2	3	4	5	6	
DATA PROCESSING								
1 FIP/FIA/Medical Service Request	EA, MS	x						
2 Food Stamps Service Request	EA	x						
3 System Specifications Written	Mgmt Inf.		x					
4 Systems Specifications Approved	EA		x					
5 IABC/SPAD Programming Changes	Mgmt Inf.		x		x			
6 Set test criteria & develop test data	Mgmt Inf.		x		x			
7 Test IABC programming changes	Mgmt Inf.				x		x	
8 Test SPAD programming changes	Mgmt Inf.				x		x	
9 Approve Tests	EA, MS						x	
10 Implement old policies for all cases	Mgmt Inf.							x
11 Recalculate benefits for entire caseload based on old policy	Mgmt Inf.							x

EA= Economic Assistance MS = Medical Services

WELFARE REFORM PHASE DOWN TIMELINE
FIP, ROOD STAMPS, MEDICAL

TASK	RESPONSIBLE PARTY	MONTH 1	MONTH 2	MONTH 3	MONTH 4	MONTH 5	MONTH 6
TRAINING							
1	Training Packet, Draft Manual/ General Letter will serve as the Training Packet		x				
2	Train the Tainers		x_____x				
3	Schedule room for training		x_____x				
4	Field Training				x_____x		
5	Field Training Follow-Up					x_____x	

**WELFARE REFORM PHASE DOWN TIMELINE
FIP, FOOD STAMPS, MEDICAL**

TASK	RESPONSIBLE	MONTH	MONTH	MONTH	MONTH	MONTH	MONTH
	PARTY	1	2	3	4	5	6
FISCAL							
1 Identify changes to Cost Allocation Plan	Finance	x_____	x				
2 Submit Cost Allocation Plan Admendments to Federal Division of Cost Allocation (DCA) for approval.	Finance		x_____	x			
3 Finalize budget cost centers & fiscal layout	Budget	x_____	_____x				
4 On-line SFY appropriation, complete general ledger coding.	Budget	x_____	_____x				

DRAFT COST NEUTRALITY INTEGRATED FORMAT

VIII. Draft Cost Neutrality Integrated Format

The Department submitted a draft integrated cost neutrality format to the Department of Health and Human Services on December 1, 1993. A copy of the December 1, 1993, draft cost neutrality format is included in this section.

Teleconferences with the Department of Health and Human Services have been helpful in clarifying the cost neutrality process. The Department is anticipating receipt of a cost neutrality example from the Department of Health and Human Services. Extensions on cost neutrality format and reporting due dates have been extended to allow for clarification of the process.

COST ALLOCATION PLAN

IX. Cost Allocation Plan

The Department submitted a cost allocation plan to the Department of Health and Human Services on December 29, 1993. A response to this plan has not been received to date. A copy of the cost allocation plan is included in this section.

STATE OF IOWA
DEPARTMENT OF HUMAN SERVICES

DRAFT

WELFARE REFORM ADMINISTRATIVE COST ALLOCATION PLAN

The purpose of this cost allocation plan is to assign administrative costs to the AFDC/FIP, Food Stamps, and Medicaid programs according to Section 4.2 of the Waiver Terms and Conditions for Iowa's Family Investment Program demonstration.

For reporting cost neutrality on Iowa's Family Investment Program Demonstration, the allocation of administrative costs to AFDC/FIP, Food Stamps, and Medicaid is based on the number of cases in the research sample for the effected programs. The time percents from the Income Maintenance Random Moment Sample (IMRMS) system for the programs effected by the welfare reform waivers are applied to field administrative costs. The resulting costs for each program are then allocated to the research control group and the research treatment group based on the case counts for each group by program. In this manner administrative costs are assigned to the research control cases and the research treatment cases for AFDC/FIP, Food Stamps, and Medicaid. (See Appendix A for details.)

The Income Maintenance Random Moment Sample (IMRMS) system of time reporting is a federally approved method of identifying worker effort. Within the IMRMS there are twenty-five separately identified tasks which an Income Maintenance Worker may perform on a given case. For the nine IMRMS program categories involved in the demonstration, the percents of time reported to each task for SFY 1993 were reviewed by a task force* of income maintenance specialists. These specialists reviewed the historical actual time percents and projected whether the percent of time spent on a task for a given case would change under the waiver provisions. Attached is a summary of the group's efforts listing: the twenty-five tasks, the SFY 1993 average IMRMS time percents for each task, and the new time percents for each task estimated under the waiver provisions of Iowa's Family Investment Program.

For each task the historical quarterly average percent of time (SFY 93) is compared to the projected percent of time needed to complete that task under the provisions of the waiver. The historical quarterly average time percents were adjusted based on whether or not the welfare reform waivers would impact a given task and how great that impact would be. If the waiver impacted a given task, the increased or decreased percent of time was projected by the income maintenance task force.

After examining the provisions of the welfare reform waiver 97% of all the program tasks were unaffected by the waiver. Only 3% of all program tasks were effected and had any projected change in the amount of time needed for completion. The net change in time percents for these program tasks is only (0.108)%. Translated to SFY 1993 annual dollars this (0.108)% represents \$21,923 of IM administrative costs shifting from the programs effected by the welfare reform waiver to other programs.

Based on the projected changes in task time, and using the most recent case counts and all IM administrative costs from SFY 1993, the net change in costs per case is \$(.51). For the programs involved in the welfare reform waiver, the July-September SFY 1994 benefit costs were \$90,582,007 and corresponding IM administrative costs were \$5,559,307 or 6.137% of the benefit costs. This demonstrates that the administrative cost per case differential is such a small part of the whole as to become insignificant. Therefore, the Department's efforts have been directed toward determining the cost neutrality of the benefit costs for the AFDC/FIP, Food Stamp, and Medicaid programs.

Whether these tasks are performed under the waiver provisions or under the existing provisions of the Social Security Act, there is no significant difference in the amount of time needed to complete each task.

DRAFT

* This task force included:

The Welfare Reform Waiver Coordinator who has worked for the Department 13 years, with 5 1/2 of those years serving in a supervisory capacity.

A FIP Policy Specialist who has been with the Department 9 years, with 1 1/2 years as a supervisor.

A Food Stamp Employment Training Monitor who has worked for the Department for 17 years, with 7 of those years serving in a supervisory capacity.

The Management Analyst for the Office of Field Support who has been with the Department for 5 years working primarily on IM programs.

Various Field Staff were called in to help out with questions on the specific processes followed for a case within a given program.

STATE OF IOWA
DEPARTMENT OF HUMAN SERVICES

DRAFT

APPENDIX A

DETAILED STEPS FOR CALCULATING ADMINISTRATIVE COSTS

Step One

The quarterly time percents resulting from the Income Maintenance Random Moment Sample (IMRMS) system are identified for the following program pools and summed by the three program categories of the demonstration:

TITLE IV-A AFDC/FIP:	FIP(AFDC)	PP12
	FIP(AFDC)-UP	PP12
	Food Stamp FIP Households	PP22
	Transitional Child Care	PP27
	Promise JOBS Child Care	PP43
FNS FOOD STAMP:	Other Food Stamps	PP25
	Food Stamps EBT	PP26
TITLE XIX MEDICAID:	Medicaid-FIP Related	PP03
	Medicaid Refugee	PP03

Step Two

The IMRMS time percents summed for the three program categories are applied to the sum of the following cost pools for Field Operations:

Regional Income Maintenance
County Income Maintenance
IM portion of Regional Administrative Support
IM portion of County Administrative Support

This calculation identifies the dollar amount of Field Operations costs associated with each of the three program categories of the demonstration AFDC/FIP, Food Stamps, and Medical.

Step Three

The number of active AFDC/FIP, Food Stamp, and Medicaid cases in the state are reported to cost allocation staff by the Department's Research & Statistics Bureau. The information collected on this report includes the following case counts:

AFDC/FIP Control	Food Stamp Control	FIP/Medical Control
AFDC/FIP Treatment-Sample	Food Stamp Treatment-Sample	FIP/Medical Treatment-Sample
AFDC/FIP Treatment-Non Sample	Food Stamp Treatment-Non Sample	FIP/Medical Treatment-Non Sample

The percentages of control, treatment-sample, and treatment-non sample cases within each of the three program categories are computed based on the case counts provided by the Department's Research & Statistics Bureau. The number of Treatment-Non Sample cases are used in the calculation of the percentages in Step 3, but are not carried forward for use in the following computational steps.

Step Four

The percentages of the control and treatment-sample cases for the AFDC/FIP program from Step 3 are applied to the Title IV-A Field Operations costs from Step 2. The percentages of the control and treatment-sample cases for the Food Stamp program from Step 3 are applied to the FNS Field Operations costs from Step 2. The percentages of the control and treatment-sample cases for the Medical program from Step 3 are applied to the Title XIX Field Operations costs from Step 2. This step results in administrative costs for the AFDC/FIP, Food Stamps, and Medicaid programs being assigned to the control and treatment-sample cases of the demonstration.

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Step Five

The applicable FFP is applied to the administrative costs assigned to the AFDC/FIP, Food Stamps, and Medicaid programs in Step 4 converting the total costs of the control and treatment-sample cases to federal dollars for each program.

Step Six

The federal dollars for control cases for each program (AFDC/FIP, Food Stamps, and Medicaid) are compared to the federal dollars for the treatment-sample cases for each program. The result of this comparison is included in the Administrative Cost Liabilities section on the Iowa Quarterly and Cumulative Cost Neutrality report.

Step Seven

The federal share of benefit costs for the JOBS funding in excess of the IV-F cap, the Transitional Child Care benefit costs and the Title IV-A Day Care benefit costs will be shown on the Iowa Quarterly and Cumulative Cost Neutrality report in the Administrative Cost Liabilities section of the report for the AFDC/FIP program.

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PERCENT OF TIME SPENT ON
PROGRAMS AND ACTIVITIES FOR
REGULAR AND WELFARE REFORM
PROGRAMS

	ACTUAL AVERAGE TOTALS	ESTIMATED WAIVERS AVERAGE TOTALS	VARIANCES
Screening Interview/Intake	9.085%	9.004%	-0.081%
Application/Certification	28.186%	27.857%	-0.329%
Redetermination	7.842%	8.493%	0.651%
Process Changes To Ongoing Case	18.823%	18.590%	-0.233%
Cancellation	1.295%	1.295%	0.000%
Overpayment/Underpayment Processing	1.384%	1.384%	0.000%
Case Documentation	3.055%	3.055%	0.000%
Fair Hearings and Appeals	0.443%	0.443%	0.000%
Information and Referral	1.368%	1.368%	0.000%
Home Visit	0.036%	0.036%	0.000%
Conciliation	0.018%	0.000%	-0.018%
Sanctions	0.240%	0.159%	-0.081%
Verification of Alien Status	0.035%	0.035%	0.000%
Case Reading	0.086%	0.086%	0.000%
Outstationing	0.018%	0.018%	0.000%
Paper Benefit Issuance	0.197%	0.197%	0.000%
Expedited Issuance	0.247%	0.230%	-0.017%
Electronic Benefit Transfer	0.068%	0.068%	0.000%
Conduct/Participate in Meetings	0.365%	0.365%	0.000%
Conduct/Partic in Trning/Core Courses	1.530%	1.530%	0.000%
Professional Reading/Review Manual	0.431%	0.431%	0.000%
Supervisory Conference/Unit Meeting	0.201%	0.201%	0.000%
Administrative Functions	0.420%	0.420%	0.000%
Travel (Job-Related)	0.053%	0.053%	0.000%
All Other Activities	0.053%	0.053%	0.000%
	75.479%	75.371%	-0.108%

Time percents for regular programs are based on actual percents from the Random Moment Sample system.

EVALUATION

X. Evaluation

A draft Request for Proposal (RFP) was submitted to the United States Departments of Health and Human Services (DHHS) and Agriculture during the first quarter of the demonstration. Comments from DHHS and Agriculture, as well as internal review, resulted in revision of the RFP. The RFP will be released during the second quarter of this project.

MARKETING

XI. Marketing

Marketing to Program Participants

Information about welfare reform was issued to program participants in two separate mailings. Mailing were issued in July and September, 1993. A copy of each mailing is included in this section.

Brochures were revised to reflect pre-waiver policy for FIP control group participants. A new brochure was developed to reflect welfare reform FIP policy. These brochures are given at the time of application interviews, annual face-to-face interviews and upon request.

An audio tape was developed for temporary use at the time of interview to replace a video that was used prior to welfare reform implementation. The audio tells about the waivers, the random selection of households into the research group, and the research site. A copy of the audio script is included in this section. A video is being developed for use after the January 1, 1994, implementation of the Family Investment Agreements.

Sioux City Region held an informational meeting for FIP participants and other service agencies. Attendance by participants was very low but the event was attended by many service providers.

In November, a questionnaire was completed by 53 FIP participants. The questionnaire asked for input on what we should tell FIP participants about the benefits of working and how to tell them. A copy of the questionnaire results is included in this section of the report.

Marketing to the Community and Advocacy Groups

Central Office staff spoke with statewide groups at every opportunity. County and Regional staff discussed welfare reform with groups within their communities. A Talking Paper was developed to assist in this effort. A copy of the Talking Paper is included in this section.

The brochure developed to relay welfare reform FIP policy is provided to agencies or community groups, in addition to being given to FIP applicants and participants.

Marketing Within the Department of Human Services

In April 1993, the Welfare Reform Implementation Group (WRIG) met for the first time. The purpose of WRIG was to develop a work plan for the implementation of welfare reform issues. The plan established the program goals, the activities needed to accomplish those goals, the individuals responsible and the deadlines for

completion of the activities and program goals. The group is composed of field income maintenance staff, area administrators, benefit payment administrators, a regional administrator and central office staff from many divisions. The Regional DHHS Office, Aid to Families With Dependent Children Branch, is also represented on the WRIG committee. A membership list is included in this section of the report.

The WRIG worked on many aspects of welfare reform implementation, including policy review, making recommendations for policy changes, form and brochure revisions, communications, and control and treatment group implementation. The WRIG met weekly through October, and then biweekly through this quarter. This group was responsible for sharing welfare reform information with all other staff as well as obtaining input from other staff to be shared with the group in decision-making processes.

Staff were given welfare reform updates through use of memos, electronic mail, teleconferences, the Office of Field Support Newsletter and Across DHS (the Department newsletter). Updates were given to staff during the time of development through implementation.

Updates were given at Area Administrator Meetings and Regional Administrator meetings.

Marketing Within the PROMISE JOBS Provider Agencies

The PROMISE JOBS Coordinators provide: technical assistance to field staff on issues relating to PROMISE JOBS, monitor service delivery, and budget and recommend changes to Division Administrators as needed. This group was responsible for determining the process to be used to put the welfare reform legislation into practice, to provide needed training, and to provide technical assistance to staff. A membership list is included in this section.

The PROMISE JOBS Advisory Committee (PJAC) was formed to serve in a policy advisory capacity to state-level PROMISE JOBS staff to promote policy clarification, consistency of interpretation and coordination among agencies. PJAC also provides input for PROMISE JOBS Provider Manual development. The PJAC began meeting in May 1993. From May through December, 1993, PJAC focused on welfare reform-related issues. PJAC met bimonthly from May, 1993, through December, 1993.

PJAC developed a work plan for the implementation of welfare reform issues. The plan established the program goals, the activities needed to accomplish those goals, the individuals responsible and the deadlines for completion of the activities and program goals. The group is composed of local office staff from the Departments of Employment Services, Economic Development, and Human Services and JTPA, as well as state-level staff from the Departments of Employment Services, Economic

Development, and Human Services. This group was responsible for sharing welfare reform information with all other staff as well as obtaining input from other staff to be shared with the group in decision-making processes. A membership list is included in this section of the report.

Iowa Human Investment Policy (IHIP) Council and Work Group

Both the IHIP Council and IHIP Work Group are expansions of the old Welfare Reform Council and PROMISE Work Group. The Welfare Reform Council was established in 1987 by Governor Brandstad to recommend welfare reforms known as Project PROMISE. The PROMISE Work Group was also formed in 1987 and chaired by the Department of Human Services, Economic Assistance Division Administrator.

The Director of the Department chaired the Welfare Reform Council. Other members were the department directors of Economic Development, Employment Services, Management, Education, and Human Rights. The PROMISE Work Group was chaired by the Department's Economic Assistance Division Administrator. Other members of the PROMISE Work Group were departmental staff from the same state agencies represented on the Welfare Reform Council.

In early 1992, after consulting with the Governor, legislative leadership and the Welfare Reform Council, the IHIP Council was appointed. In addition to the members of the Welfare Reform Council, the new Council included the Director of the Department of Public Health and representatives from the Legislature, private sector, labor, education, community organizations, and former and current welfare recipients.

The PROMISE Work Group was transformed into the IHIP Work Group with membership corresponding to the Council members' organizations.

The IHIP Work Group and Council worked with the Corporation for Enterprise Development to produce the State Human Investment Policy (SHIP) Plan, "Iowa Invests," in December, 1992. The Plan was the basis of Senate File 268 which established the legal framework for the human investment plan and welfare reforms. When the Family Investment Policy was being considered, the IHIP Work Group and additional staff from the DHS field and central office and from the Department of Economic Development PROMISE JOBS program joined together as the Welfare Reform Policy Analysis Work Group.

Senate File 268 also established the Council on Human Investment whose members will be appointed by the Governor and confirmed by the Senate sometime next year. The Council on Human Investment will implement a human investment strategy, set goals and create benchmarks. It will eventually replace the IHIP Council.

Attached are membership lists for the Iowa Human Investment Policy Council, the Iowa Human Investment Policy Work Group, and the Welfare Reform Policy Analysis Group.

**WELFARE REFORM
IMPORTANT NOTICE**

1. As of July 1, 1993, the name of the ADC program was changed to the **FAMILY INVESTMENT PROGRAM (FIP for short)**. You will see the new name on forms, notices and letters. Also, your worker will use the new name.
2. We will no longer count a stepparent's resources for FIP, but we must still count their income. If you are a parent who was denied or cancelled from FIP only because of the stepparent's resources, we will add you back to the grant for July.

If you are a parent who was denied or cancelled from Medicaid only because of the stepparent's resources, you may now be eligible. Contact your worker if you wish to reapply for Medicaid coverage.

Also, we have asked for permission from the federal government to make the following welfare reform changes to the program:

- Change the current work expense deduction from the \$90 maximum per month to 20% of gross earnings for each employed person.
- Change the current \$30 plus 1/3 time-limited earned income deduction to a 50% deduction for each employed person. The new deduction will not be time-limited. It comes off your income after we have subtracted the 20% work expense and child care expenses.
- Allow everybody who works a child care deduction for their children, even stepparents.
- Don't count income from a new job for the first 4 months if the person made less than \$1,200 in the past year.
- Stop counting terminated income the first month the income is lost. But, if the income that stops was from a job, there must be good cause to quit the job.
- Exempt interest income.
- Raise the resource limit to \$2,000 for applicant families and to \$5,000 for recipient families.
- Raise the exempt value of a motor vehicle to \$3,000 in equity for each adult in the family and working teen.
- Exempt \$10,000 in equity value of tools of self-employed households.
- Extend Transitional Child Care assistance to 24 months.

We have also asked for the following changes in the **UNEMPLOYED PARENT** program:

- Δ Eliminate the work history requirement.
- Δ Eliminate the limit on working hours.
- Δ Require both parents to register with Job Service and cooperate with work and training rules.

We will tell you when we get permission from the federal government to make the changes. We hope this will be soon.

Also, we have asked for permission to start using Family Investment Agreements on 1/1/94. The agreement will be between you and the state. It will spell out activities you will be involved in that will help you become self-supporting. It will also spell out what the state will do to help you get this done.

You will get more information in the mail before these changes occur.



IMPORTANT NOTICE

OCTOBER 1, 1993, WELFARE REFORM CHANGES

In June 1993, we sent you a letter that listed a number of welfare reform changes that we wanted to make to the Family Investment Program (FIP), the food stamp program and the Transitional Child Care (TCC) program when we got permission from the federal government. In August 1993, we got permission for the changes. But to get permission, we had to agree to have two FIP, two TCC and two food stamp programs. This is to test each new program against the current program and prove that the new program works. The two programs are the "regular" FIP, TCC or food stamp program, and the "welfare reform" FIP, TCC or food stamp program.

There are nine counties that have the two FIP, TCC and food stamp programs. They are: Black Hawk, Clinton, Des Moines, Jackson, Jones, Linn, Polk, Pottawattamie and Woodbury. The other ninety counties have only the new "welfare reform" FIP, TCC and food stamp programs. Families living in the nine counties are put into either program based on random selection (and not based on the worker's decision). This

means, your case may be in the regular program or your friend's or neighbor's case may be in the welfare program.

There will only be one program for Refugee Assistance (RCA) cases and for FIP-related Medicaid cases in all counties. Only the new welfare FIP rules will be used for those cases.

You will get a letter in September that tells you what program you are in. If you have a change which puts you in a different program, you will get a new letter.

If you file an appeal, you may not get a hearing. The only reason for your appeal is that you would be in the other program.

Below is a list of the changes that start October 1, 1993. The list also shows how each change works in the regular program and the new welfare reform program.

FIP Changes		
Resources	If Under Regular FIP	If Under Welfare Reform FIP
-Limit	\$1,000 per FIP family	\$2,000 per FIP applicant family \$5,000 per FIP participant family
-Vehicle equity exemption	\$1,500 in equity value for 1 vehicle is exempt. The amount over \$1,500 is counted toward the \$1,000 resource limit.	\$3,000 in equity value for one vehicle of each adult and a working teenager is exempt. The amount over \$3,000 is counted toward the \$2,000 or \$5,000 resource limit.
-Tools of the trade/capital assets of self-employed persons	\$10,000 in equity is exempt. The amount over \$10,000 is counted toward the \$1,000 resource limit.	\$10,000 in equity is exempt. The amount over \$10,000 is counted toward the \$2,000 or \$5,000 resource limit.

Monthly Deductions Per Working Person Whose Income Is Counted	If Under Regular FIP	If Under Welfare Reform FIP
<p>-Earned income deduction</p> <p>-Child care deduction for:</p> <ul style="list-style-type: none"> • children on the grant • children in the home not on the grant <p>-Earned income incentives</p>	<p>\$90</p> <p>Allowed</p> <p>Not allowed</p> <p>\$30 + 1/3 deduction for 4 months.</p> <p>\$30 deduction for the next 8 months.</p> <p>Only persons on the grant get the \$30 + 1/3 or \$30 deduction.</p> <p>Note: The \$30 + 1/3 deduction or the \$30 deduction is subtracted from earnings that are left after the \$90 deduction.</p>	<p>20% of gross earnings</p> <p>Allowed</p> <p>Allowed in certain instances</p> <p>50% deduction after all other deductions have been given.</p> <p>There is no time limit for the 50% deduction.</p> <p>Any person whose earnings are counted gets the 50% deduction.</p>

Income	If Under Regular FIP	If Under Welfare Reform FIP
<p>-Interest and dividend income</p> <p>-Earnings from employment or self-employment that starts on or after October 1, 1993</p> <p>-Income from a source that ends on or after October 1, 1993</p>	<p>Is counted</p> <p>Are counted beginning with the first month the person gets the income.</p> <p>Is counted retrospectively.</p>	<p>Is not counted</p> <p>Are not counted for the first 4 months of work if timely reported, and the person had less than \$1,200 earnings in the past 12 months, and the new employment starts after the date of application for FIP.</p> <p>Is not counted beginning with the first month without the income, if the ending income is timely reported. Also, if the ending income was from a job, there must be good cause for leaving the job.</p>

Unemployed Parent Program	If Under Regular FIP	If Under Welfare Reform F
-Determine the qualifying parent (QP)	Is required.	Is not required.
-Determine if the QP has a work history	Is required.	Is not required.
-Effective date of assistance	QP must be working less than 100 hours in the 30 days before FIP begins.	If either parent works 100 or more hours per month, assistance cannot begin until 30 days after the date of application.
-Limit on working hours	The family is not eligible if the QP works 100 or more hours per month.	There is no limit on the number of working hours for either parent.
-Referral to Employment Services	Only the QP is referred.	Both parents are referred.
-Cooperate with work and training rules	Only the QP has to cooperate.	Both parents have to cooperate.
-Record of 8 job searches per month	Is no longer required.	Is not required.

More Information If You Are in the Welfare Reform FIP

- **Unemployed Parent (UP) and Refugee Cases** - Your benefits may change because of the changes in the Unemployed Parent program. If so, your worker will get in touch with you. You must do what your worker tells you or you may lose your entire FIP grant.
- **Referral to Employment Services of Parents on UP Cases** - Under the regular FIP-UP rules, only one of the parents has to go to Job Service to register for work and apply for unemployment benefits. If you are getting Unemployed Parent assistance now under the regular FIP program but you are chosen for the welfare reform FIP-UP program, both parents will have to do this. Therefore, your worker will send you a form in October for the other parent to take to Job Service.
- **PROMISE JOBS** - At least one parent on each Unemployed Parent (UP) case will have to be in the FIP-UP Work Program under PROMISE JOBS. There are several PROMISE JOBS activities in the FIP-UP Work Program. A parent who is exempt from PROMISE JOBS can volunteer.
- **Child Care Deduction** - If your family has child care expenses for a child not getting FIP, you may be able to get a deduction starting in October if your case is chosen for the welfare reform FIP. You will need to give proof of your child care costs to your worker. Remember, your October grant is based on August income and child care expenses. Therefore, you need to send in proof of your August child care expenses. Because this rule is new, you have until October 31, 1993, to send in proof for August expenses. From then on, you should send in proof of your child care expenses with your monthly report form.

Food Stamp Changes

Resources	If Under Regular Program	If Under Welfare Reform Program
Limit	<p>\$3,000 for all households with one or more members age 60 or over</p> <p>\$2,000 for all other households</p>	<p>\$3,000 for applicant households with one or more members age 60 or over</p> <p>\$2,000 for all other applicant households</p> <p>\$5,000 for all participant households</p>

Income	If Under Regular Program	If Under Welfare Reform Program
<p>-Interest and dividend income</p> <p>Earnings from employment or self-employment that starts on or after October 1, 1993</p> <p>-Income from a source that ends on or after October 1, 1993</p>	<p>Is counted</p> <p>Are counted beginning with the first month the person gets the income</p> <p>Is counted under certain circumstances</p>	<p>Is not counted</p> <p>Are not counted for the first 4 months of work if timely reported, and the person had less than \$1,200 earnings in the past 12 months, and the new employment starts after the date of application for food stamps.</p> <p>Is not counted beginning with the first month without the income, if the ending income is timely reported. Also, if the ending income was from a job, there must be good cause for leaving the job.</p>

Transitional Child Care (TCC) Changes

Change	If Under Regular TCC	If Under Welfare Reform TCC
-Period of eligibility	12 months	24 months
-Review required	when changes are reported	once a year

F YOUR BENEFITS GO UP OR DOWN BECAUSE OF THE CHANGES, YOU WILL GET A SEPARATE NOTICE OF DECISION.

FIP-Food Stamp-Medicaid Intake — AUDIO

V/O: This tape provides you information about the Family Investment Program, FIP for short, and the Food Stamp and Medicaid programs. You have received a packet of materials which includes paper so you can write down any questions you have while you listen. Your worker will answer any questions at your interview following this recording.

Worker: As an applicant or a participant of the FIP, Food Stamp and Medicaid programs, you have certain rights and responsibilities. Let's talk about your rights first.

You have the right to be treated with respect.

You have the right to be told about all programs available to you and to apply for any program at any time you wish.

You have the right to have your questions answered. Sometimes getting the right answer takes a little time, but please come to your worker for answers. If you rely on friends and neighbors for answers to important questions, it's possible for you to get wrong information.

You have the right to talk with a supervisor and to appeal any decision about your eligibility or benefits. Your worker can help you file an appeal.

You can expect to get a Notice of Decision about your FIP or Food Stamp application within 30 days. However, a Medically Needy application can take up to 45 days.

As a general rule, you have the right to receive ten days notice if your FIP, Food Stamp or Medicaid coverage will be canceled or if your benefits will be reduced.

And, you have the right to confidentiality. Information you give us will not be given to anyone outside of our agency without your permission, unless we are required to do so by law. If you find personal information is being talked about outside of our agency by a worker, call the local office and ask to talk to the worker's supervisor.

However, we do share information with some agencies, like Employment Services and the Social Security Administration. We do this to be sure each government agency has the most accurate information.

Worker: It's important for you to understand your rights and the responsibilities that go with them. They help your worker get you the benefits you're eligible for.

Now let's talk about your responsibilities. When you have your interview, tell your worker about your situation as completely and accurately as you can. Your benefits are based on the number of people living with you, your family income and your family's resources, so be sure not to leave anything out.

You must give proof of anything that affects your eligibility, and you must give it by the date your worker tells you. At your interview, your worker will give you a list of things to do and the length of time you have to do them. You should contact your worker if you need more time so your case will not be denied at the end of the time period.

As stated before, your benefits are based on the number of people living with you, your family income, and your family resources. If any of these change, your benefits may change. Your responsibility is to report all changes. If changes are not reported, you may have to repay some of the benefits you receive, or you may get less than you could have.

You must give your worker a Social Security number for each person in your household needing FIP, Medicaid or Food Stamps. If you need to apply for a number, ask for a receipt from the Social Security Office and give the receipt to your worker. When you get a number, make sure that you give your worker that number.

If someone from Quality Control or the Department of Inspections and Appeals contacts you, you must cooperate with them. Their purpose is to make sure we've given you the right amount of benefits.

If you are applying for FIP or Medicaid, you are required to cooperate with the Child Support Recovery Unit. If you receive FIP benefits, you must cooperate by assisting the Child Support Recovery Unit in obtaining child support.

Worker: Some persons are required to cooperate with either Employment Services of Iowa or the PROMISE JOBS Program, which may offer training or help in finding jobs. Your worker will tell you whether you are expected to take part in these programs.

If you do not cooperate with any of these agencies or programs your benefits may be denied, reduced or canceled.

To be eligible for FIP, you must have a child in your home and meet all other eligibility rules.

We also want you to be aware of another point. Iowa has received approval from the federal government to make changes in the FIP and Food Stamp programs. To get this approval, Iowa had to agree that some people in nine counties would receive FIP and Food Stamps under the regular program rules. The nine counties are: Black Hawk, Clinton, Des Moines, Jackson, Jones, Linn, Polk, Pottawattamie, and Woodbury. Your DHS worker will tell you if you will be covered by the regular program or the welfare reform program. This decision is not made by the worker but through a statistical random selection process. During your interview, your worker will explain the FIP and Food Stamp policies and rules that apply to your household.

And now, does anyone have any questions?

Client 1: How long will it take to get my benefits?

Worker: You can expect to get your first FIP check, Food Stamps or Medicaid card within one week after you get your Notice of Decision.

Regular FIP checks are mailed the first day of the month. If the first falls on a weekend or holiday, they may be mailed earlier. Food Stamps are mailed on different days. Your worker will tell you what day your stamps will be mailed. FIP checks and Food Stamps cannot be forwarded by the post office, so it is very important to let your worker know right away if you have a change of address. By the way, you do have the choice of having your FIP check delivered to your home or deposited in your bank account.

Worker (con't.): Some of you will qualify for the Food Stamp Program. Its purpose is to help families increase their food purchasing power. It is not meant to meet a family's entire food bill.

Client 2: What can I buy with Food Stamps?

Worker: You can use Food Stamps not only for groceries, but also for garden seeds and plants that produce food.

Food Stamps cannot be used for hot ready-to-eat foods, foods intended to be heated in the store, lunch counter items, or prepared foods to be eaten in the store. Also, you cannot use them to buy nonfood items, like alcoholic beverages, tobacco, paper or cleaning products, pet food, vitamins, or medicine.

Food Stamps are not to be traded or sold.

Client 3: You said earlier that our benefits would depend on our resources and income. What do you mean by resources?

Worker: Resources are any items of value that you and members of your household own, buy or collect.

Resources include your cash, bank accounts, life insurance policies, bonds, and other financial holdings. Other resources include cars; boats; campers; real estate other than your home, such as land or business properties; livestock; and hobby collections.

Client 3: By income, do you mean just my paycheck?

Worker: No, income means more than just wages. Income is any money you or other members of your household get from any person, agency, business, or institution outside your household. This includes not only wages and tips, but also unemployment benefits, social security, child support, alimony, gifts and commissions. It also includes money you receive from selling cans and bottles and from baby-sitting.

Different income and resource limits are set for each program. Your worker will explain the resource and income limits for the program you are applying for.

Client 2: What if I am getting child support now, or I begin receiving child support later?

Worker : If you apply for FIP benefits, your child support is assigned to the state of Iowa. "Assigned" means that the state keeps support collected while you are on FIP. It also means that any unpaid support will be kept by the state when that support is collected. The amount the state can keep is up to the total amount of the FIP benefits paid you.

After FIP is approved, if you receive support directly, you must turn it in to the department. You are entitled to the first \$50 of support collected in a month. This amount will be sent to you by the department.

FIP is also available to families with both parents at home. The program for these two-parent families is called Unemployed Parent-FIP.

Eligibility for FIP is based on a resource limit which is the same for all applicants. It is also based on income limits which depend on the number of people in your household. If the income and resources of your household are less than the limits, the amount of FIP you'll get will depend on the number of people in your household and your household's monthly countable income. In addition to your FIP check, you may be able to get special allowances for school expenses. Your worker will tell you if you can get these added benefits.

As I mentioned earlier, if you are eligible for FIP, you will get your first payment within seven days from the date you get the Notice of Decision. Please remember that your worker has 30 days from the date you apply to give you an answer on your eligibility for FIP and Food Stamps.

Client 3: Who is eligible for Food Stamps?

Worker: There are standard resource limits, and the income limits vary depending on the number of people in your household. If your household meets the resource limit, and if your monthly countable income, including your FIP check, is less than the standard limit for your size household, you will qualify for Food Stamps.

If you ever receive fewer stamps than you were told you would get, do not spend any of them. Save the envelope they came in, and contact your worker immediately. If any of your Food Stamps are damaged, let your worker know right away.

Worker (con't.): Some people eligible for Food Stamps will be asked to register for Food Stamp Employment and Training through the Department of Employment Services, also known as Job Service. We have already mentioned you are responsible for cooperating with this and other agencies. If you don't, your Food Stamps could be canceled. Your worker will tell you if you have to register with Employment Services.

Client 4: I need some help with my food bills now. If I'm eligible for Food Stamps, it will take a while to get them. Can I get some help right away?

Worker: If you are eligible, you might be able to get your Food Stamps within five days after you apply. This is called Expedited Service, and you have to meet special requirements to qualify for it. Ask your worker if you are eligible for Expedited Food Stamps.

If you are eligible for Food Stamps, you will receive a Food Stamp identification card in the mail.

You should always carry your card because the store has the right to ask to see the card before accepting your Food Stamps. Food Stamps, except for the one dollar stamps, will not be accepted if they are torn out of the books before you check out.

If there are no other questions about the Food Stamp Program, I'd like to discuss Medicaid, which is also called Title 19. This is a public assistance program which provides health care for those who are eligible. This program may also pay premiums for medical insurance for certain eligible individuals.

People who may be eligible for Medicaid include FIP recipients, people under 21 years of age; pregnant women; persons who are aged, blind, or disabled; persons eligible for medically needy assistance; and persons who have responsibility for their relatives' children, but who receive no support.

Client 1: What does Medicaid pay for?

Worker: Medicaid pays for most medical services. These include doctors, hospital services, and prescription drugs. Medicaid also covers voluntary health screening and follow-up care for anyone under 21 years of age.

Worker (con't.): Some medical procedures require prior approval before Medicaid will pay for them. Ask your doctor or other medical provider about unusual or questionable procedures to make sure they are payable by Medicaid. If they aren't, you will be responsible for paying the bill. For example, Emergency Room services are not covered unless they are for a life threatening emergency or unless your doctor refers you to the Emergency room.

You will be asked to make a co-payment for some covered services. A co-payment is a small cost you pay when you receive medical services. The medical provider will tell you the actual amount of co-payment.

Additionally some Medicaid recipients are required to enroll with a managed health care provider. If you are enrolled with a managed health care provider, you must receive your care from that provider or from someone to whom your provider refers you. Otherwise, you will be responsible for paying the bill. If you are required to enroll with a managed health care provider, you will be shown a video explaining managed health care and your worker will tell you how to enroll and get more information.

Client 1: If my doctor wants me to go to a hospital in another city, do I have to pay my own way to get there?

Worker: Yes, but Medicaid does allow us to pay you back for some of your transportation costs if it is necessary for you to travel outside your community to receive the care you need. The Department of Human Services will pay a set rate to the nearest place providing adequate treatment. It is important to check with your worker before you make the trip. You must claim this transportation cost as soon as possible but not more than 90 days after the medical service was received.

In your packet, you will find a booklet describing just what is covered under Medicaid. Please take time to read it and make sure you understand it. If you have questions about it, ask your worker to explain the coverage to you. You can also ask your doctor, dentist, or other medical providers what is covered and what is not.

Client 1: Do I just tell my doctor I am covered by Medicaid?

Worker: Each month, if you are eligible for Medicaid, you will get a medical eligibility ID. card, which is good for that month only. Show this card each time you see your health care provider. Many providers will not perform services unless you have your card with you. Make sure your doctor or druggist or other medical professional accepts Medicaid payments. NOT ALL DO. If you go to a doctor or some other provider who doesn't accept the program's payments, you will have to pay the bill yourself.

Client 2: What if I have some health insurance coverage through my work? Will this keep me from being eligible for Medicaid?

Worker: No, having health insurance or HMO coverage doesn't keep you from getting this Medicaid assistance. But your worker needs to know that you have coverage, and must be informed of any changes in that coverage, so the proper billing procedures can be followed.

Additionally, your worker needs to know if you have insurance available to you. The Health Insurance Premium Payment Program may pay your health insurance premium so you can keep an insurance policy that you already have or get insurance if it is available to you. You must cooperate with this program when asked to do so.

Your worker also needs to know if you or any members of your family are involved in an accident and get a settlement, or if another insurance company should have paid for medical services that Medicaid covered. If either of those things happen, you will be asked to pay back the amount the Department of Human Services paid for your medical care. Be sure to report any personal injury accidents to your worker as soon as possible.

Client 3: I already have some medical bills that I need help with. What can I do about those?

Worker: You may be able to get Medicaid help for some or all of the three months before the month in which you file your application for Medicaid. Discuss this possibility with your worker.

Client 2: Can my doctor or dentist accept a Medicaid payment and then bill me, too?

Worker: No. Medical providers who say they will accept Medicaid payment have to agree to accept the amount the program pays as payment in full. They can't bill you for the difference between the Medicaid payment and the amount they might receive from a private pay patient. However, you might get a bill from your doctor for a service that Medicaid doesn't cover. You would be responsible for paying that bill.

Client 1: What if I get a bill I don't think I should have to pay?

Worker: First, talk to the health care provider. If you are not satisfied with the information you get from the provider and still feel you should not have to pay the bill, contact the Department of Human Services through the toll-free number on the back of your medical ID card.

Now, I'd like to tell you how we look at your income in deciding whether you are eligible for FIP, Food Stamps or Medicaid. There are some terms you will hear from time to time which may be new to you. One of these is "Prospective Budgeting".

Prospective Budgeting means that we determine eligibility and the amount of benefits for a particular month by looking at what will happen in that same month. Prospective budgeting is usually used for the first two months of an application. In some cases, Food Stamps continue to be prospectively budgeted after the first two months.

In other words, if you apply in June, we use June's income to determine June's eligibility and benefit amount, and we use July's expected income to determine July's eligibility and benefit amount.

Retrospective Budgeting means we determine the amount of benefits for a particular month by looking at what actually happened two months earlier. In other words, we use May's income to determine July benefits.

Client 4: What will happen if I go to work while receiving FIP?

Worker: Your worker will be able to tell you specific information based on your household's situation. There are several deductions that are allowed from earnings.

Worker (con't.): Your packet contains a sheet headed "How Earnings Affect Your FIP Grant." See that form for more information.

Client 4: What if I earn enough to cancel FIP?

Worker: If you earn enough to cancel FIP, you may be eligible to receive up to 12 months of Medicaid and up to 24 months of Transitional Child Care Services to help you become self-sufficient.

If you work, you'll probably have to report your income and any changes in your household situation each month. The Public Assistance Eligibility Report (also called a PAER or a Monthly Report form) will be used for this. A copy of this form is in your packet along with a booklet that explains how to complete the form.

This form will be mailed to you each month and must be returned to your worker by a certain date, which will be on the front of the form. You'll also have to send proof of the income you received in that month. This information will be used to determine your benefits. Your worker will explain more about the Monthly Report.

The Review/Recertification Eligibility Document, or RED, form is used to review your case either semi-annually or annually, depending on your circumstances, for all programs. A copy of this form is in your packet.

Another word you should be familiar with is "Recoupment". When we ask you to pay back any over-payment you receive, no matter who is responsible for the error, we use the term "recoupment". You may pay back the over-payment in several ways: as a one-time payment in full, in monthly payments, or as a reduction of FIP or Food Stamp benefits. Income tax refunds can also be taken as payment, if other arrangements aren't made.

If you intentionally withhold information which affects your eligibility for Food Stamps, you are committing an Intentional Program Violation. Repayment in this case is based on an agency or court hearing. This would result in your paying back the over-payment, and you could be disqualified from the Food Stamp program, fined or jailed. Remember to report any and all changes to your worker.

Worker (con't.): On a more positive note, remember we are here to help you. To do that, *we* need *your* help as well. Please cooperate in giving all the information your worker asks for. If you are unable, for some reason, to get the information, tell your worker, sign a Release of Information, and your worker will get the needed information. Remember, too, that it is your responsibility to report all changes in your household situation so your worker can make sure you get the right amount of benefits. Please ask any questions you have, even those you think have already been discussed. Your worker wants you to understand our programs and procedures and will be happy to answer your questions. By cooperating, reporting, and asking, you are helping your worker help you and your family.

FIP PARTICIPANT QUESTIONNAIRE RESULTS NOVEMBER, 1994

The Department of Human Services has changed rules to our programs so that employed families will have more money than in the past, and is expecting people to move quickly into jobs if not in training:

We would like your ideas on how we can best let everyone know about these changes.

1. What should we tell people that will make them want to go to work?

RESPONSES:

- 22 - That they will: Feel better about self/For self-worth/Feeling of success/More self-confidence/To better self/Give back to the state/Accomplishments/Working gives you something to think about/It's healthier, mentally and physically/You'll get more out of life/Build self-esteem/Working is good for your whole family/Feeling of independence/Not depending on someone else
- 11 - That they will have more money
- 10 - That Medical will continue
- 6 - About the income deductions/changes in the program
- 6 - How we gain by going to work compared to staying on assistance, what will total household income be, what about child care, medical costs, impact on HUD, WIC, etc./give examples
- 5 - That there are child care subsidies (2 appeared to want help while on FIP)
- 4 - Time limit assistance
- 4 - That food stamps and cash benefits will continue if needed
- 3 - About the work transition period
- 3 - It's temporary/it's assistance not dependence
- 3 - It's a way to meet people
- 2 - It's a good way to get out of the house and away from your children for a while
- 2 - That the education they need will be given to them
- 1 - What will happen if the job ends
- 1 - That they will learn a lot from a job
- 1 - If you can work, you should, should help yourself, not take welfare
- 1 - That they will be retrained
- 1 - Help them find a job
- 1 - You won't be as embarrassed to cash a work check as a FIP check
- 1 - By seeking training can advance yourself within the community
- 1 - You'll be a good example for your children
- 1 - That you may be off of welfare one day
- 1 - That there is help with transportation
- 1 - Tell how going to work at a low paying job will help me in the future
- 1 - About the possibility of health insurance premiums being paid
- 1 - That WIC and other Government subsidies will continue if needed
- 1 - About the new vehicle limits

2. How should we tell people this?

RESPONSES:

- 10 - More information at interview/by workers
- 10 - Letters (1 said with bullets)
- 8 - TV
- 8 - Pamphlet/Literature/Flyers not only in DHS but at job service, doctors offices, schools
- 7 - Videos/Movie/tapes that can be viewed at home
- 6 - Local newspaper
- 5 - Messages with checks/medical cards/give more realistic examples
- 5 - Community meeting (one said to make attendance mandatory)
- 3 - Radio
- 3 - Posters at Job Service, DHS Offices, Malls, Post Offices, gas stations, laundromats, grocery stores, etc.
- 2 - Through visual material
- 1 - Show standard of living comparison between recipient and working person w/no benefits
- 1 - Call the person
- 1 - Have clients sign a contract saying they understand
- 1 - Seeing other people working and still being eligible for assistance
- 1 - Put people to work and it will spread by word of mouth
- 1 - Ask questions, like: Do you want to own your own home? What do you want out of life? What do you want for your children?
- 1 - Use less emphasis on getting off of FIP and more on getting into the work force

3. Are you working now?

RESPONSES:

- 26 - No
- 4 - No, husband is employed
- 20 - Yes
- 3 - Yes, part-time

Number of responses: 53

Responses received from all five regions and QC.

Welfare Reform in Iowa

The three basic welfare programs are Aid to Families with Dependent Children (AFDC), Food Stamps and Medicaid.

The purpose of Aid to Families with Dependent Children (AFDC) is to provide financial assistance to children who are dependent because of the death, absence, incapacity or unemployment of one or both parents.

Many changes have taken place in the 50 years since AFDC was established in Iowa. Iowans have decided that a major revision of the system is needed to make AFDC work for the people it serves.

Iowans believe public assistance should create and provide:

- transitions to work,
- family stability and
- responsibility with consequences.

Why AFDC Should Be Reformed

Many Families with Children Are At Risk Due to Poverty

- 1 in 7 children in Iowa lives below the poverty level.
- The number of Iowa families in poverty rose from 58,265 in 1979 to 62,747 in 1989. Families on AFDC rose from 32,147 in January 1979 to 34,250 in December 1989.
- 64 percent of Iowa families headed by women with infants and toddlers are at or below the poverty level.
- The number of both two-parent and single-parent families in poverty has increased significantly.

The Welfare System Has Not Responded to the Needs of These Families

- Current AFDC rules do not encourage work; only 18 percent of Iowa's AFDC families are employed.
- Current policies discourage savings because clients fear total loss of AFDC benefits if they accumulate savings.
- Current policies discourage family stability because clients fear immediate reduction or total loss of AFDC benefits if parents begin to earn a wage that could eventually lead to self-sufficiency.
- Although the majority of families use AFDC only temporarily, some use it longer. Long-term families' needs have never been adequately addressed by the AFDC program.
- AFDC benefits have not kept up with inflation, significantly decreasing the purchasing power of AFDC families.

What Should Be Done?

The current welfare system must be restructured. Over a year's time many Iowans, including welfare clients, met and discussed the state's welfare system. The Iowa Family Investment Program (IFIP) was developed based on their observations.

The intended implementation date of IFIP is July 1, 1993. Federal waivers are currently being applied for to make this date a reality. Substantial changes also are being made in the Medicaid and Food Stamp programs to ensure compatibility with IFIP.

As IFIP reforms are initiated, much work will be required in making changes in the "culture of welfare." This includes informing the public of IFIP reforms and how the new policies affect service provision, and modifying the public's attitudes towards poor people. Changing community perspectives will be integral to the implementation of IFIP.

Summary of the Iowa Family Investment Program (IFIP)

IFIP Supports Transitions to Work

Often when an AFDC parent works, the family is not better off financially. IFIP rewards work by making changes that encourage parents to work. Under IFIP, families keep a greater portion of their earnings and are allowed more for work-related expenses.

Specifically, IFIP ensures work is rewarded by:

- Changing the work expense deduction to 20 percent of gross earnings;
- Increasing the work-and-earn incentive to 50 percent of net earnings;
- Removing the current time limit on the incentive;
- Allowing stepparents the same work expense deductions as parents;
- Not counting earnings for the first four months of work for long-term unemployed;
- Discontinuing the counting of terminated income beginning with the month the income ended; and
- Extending the period of subsidized child care assistance from 12 months to 24 months for families that become ineligible for IFIP because of employment.

IFIP enables families to combine paid work with decreased benefits, reducing their reliance on assistance. Many people enter the labor market in part-time or low-paying jobs, and will need a partial grant for a period of time while they work towards self-sufficiency.

IFIP Encourages Family Stability

IFIP will not distinguish between single-parent and two-parent families as the current AFDC program does. This will increase options for both types of families in determining their own family's composition.

Currently, the eligibility requirements for two-parent families are much more restrictive than the requirements for single-parent families. The result is that some low-income couples separate to qualify for AFDC. IFIP removes these barriers by:

- Eliminating the work history requirements.
- Removing the limit on the number of hours a two-parent family can work and still qualify for assistance.
- Allowing stepparents to receive work expense deductions equal to a parent's deduction. This change removes a barrier for single parents who may want to marry but worry about losing assistance.

Under IFIP, both parents in two-parent households as well as single parents are required to look for work and participate in work and training activities. This increases the likelihood of successful employment of one or both parents.

IFIP also encourages its clients to build their financial assets. With accumulated assets or savings, all IFIP families can plan for the future. Also, their need for benefits decreases if they have assets to weather a temporary financial setback. IFIP helps families accumulate assets by:

- Increasing the asset limit to \$2,000 for applicants and \$5,000 for clients.
- Increasing the equity limit on motor vehicles to \$3,000.
- Not counting interest income.
- Not counting money deposited, balances and earned interest in Individual Development Accounts.
- Not counting a certain portion of self-employed families' tools-of-the-trade and capital assets when eligibility is determined. This allows families to continue their livelihood while qualifying for IFIP when business profits are low.

IFIP Promotes Personal Responsibility for Self-Sufficiency

Beginning January 1, 1994, an IFIP family and the state will enter a Family Investment Agreement (FIA). The FIA will outline the family's goals for achieving self-sufficiency and the time in which the goals will be met.

Family Investment Agreement

The FIA begins with an extensive assessment and will be individually designed for each family. The agreement will focus on employment and training, but will also give attention and resources to the broader range of family issues which present barriers to self-sufficiency. Clients will be required to participate in at least one of the following activities:

- Δ Full or part-time employment
- Δ Job search
- Δ PROMISE JOBS
- Δ Family Development and Self Sufficiency (FaDSS)
- Δ Other education or training programs
- Δ Work experience placement
- Δ Unpaid community involvement
- Δ Parenting skills classes

The Family Investment Agreement is a binding contract between the family and the state. The FIA will be flexible and can be extended, but a benefit reduction will occur if the parent refuses to follow through with the terms of the agreement.

Families with the following characteristics are exempt from participation:

- Δ Have a child(ren) less than 6 months old;
- Δ Parents who are disabled; or
- Δ Parents working at least 30 hours per week.

(Teen parents may be required to pursue high school completion even if the teen's child is less than 6 months old.)

Families entering a Family Investment Agreement will be reimbursed by the Iowa Department of Human Services (DHS) for their child care and transportation costs while the parent participates in the agreement. DHS also will help with the cost of tuition, fees, books and supplies for persons involved in high school completion and post-secondary education. Organizationally the FIA will be folded into the PROMISE JOBS program.

Anticipated Results of IFIP

- All non-exempt IFIP families eventually will be involved in work-related or family development activities.
- Many more IFIP clients will be able to earn their way out of poverty by retaining a portion of their earnings plus a portion of the grant after they begin to work.
- Time frames for leaving public assistance will be shortened for many families.

- There will be fewer long-term (five or more years) IFIP clients than under the current program.
- IFIP clients will be able to plan for the future and meet emergencies through individual development accounts and other asset-building activities.
- Family stability is promoted through IFIP for both single- and two-parent families through asset building activities, changing work-and-earn incentives, and providing them training, education and skill development assistance. Couples will not lose income if they want to remain together.
- The costs of public assistance will be lower in future years.
- Although it is anticipated that the number of IFIP clients will increase slightly at first, this number is expected to decrease in the future.

Considerations

Challenges

Cost It is anticipated that the reforms will be relatively cost neutral early on and produce savings in future years because more people on IFIP will be working. Our challenge is to make that a reality.

Complex implementation The magnitude of the project means there will be many administrative challenges throughout the implementation process.

Commitment of time and resources The project will require years of commitment and resources.

Cultural Change The mindset and perspectives of the public and those involved in the public assistance programs must be transformed from entitlement to employment. Attitudes towards people experiencing poverty can be a major barrier to their self-sufficiency.

Encouraging families to be self-sufficient Staff working with IFIP clients can use the new policies to encourage and enable clients to increase the amount of income to their households through earnings. This will provide clients a more hopeful vision for the future.

Benefits

- Many long-term clients will become working families.
- All IFIP families will be able to keep more income from being employed.
- The needs of short-term IFIP families will be better addressed.
- IFIP families will be encouraged to become self-sufficient.
- Iowa's children will have a better future.

Implementing the Iowa Family Investment Program

The state is in the process of obtaining federal waivers for implementing the program. As part of the implementation process, substantial changes are also being made in the Medicaid and Food Stamps programs to ensure compatibility with IFIP.

IFIP is one portion of the Iowa Human Investment Plan. Other segments of the program will be concurrently implemented with IFIP, including workforce development centers and individual development accounts. Information on the Iowa Human Investment Plan and its other components may be obtained from the Division of Economic Assistance, Iowa Department of Human Services.

The implementation schedule for the Iowa Family Investment Program is as follows:

~~July 1, 1993~~ **October 1, 1993**

Official change of name from Aid to Families with Dependent Children to Iowa Family Investment Program

Statewide implementation of program changes, dependent on waivers, for new IFIP applicants and current AFDC clients

January 1, 1994

Family Investment Agreement component is implemented

Changes in work programs implemented

January - February 1994

Requests for Proposals released for pilot Individual Development Account projects (An RFP allows providers of client services and other interested groups to propose how they would develop and implement a project in their area. The most feasible proposals are then selected as projects.)

March 1994

Pilot IDA projects chosen

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**IMPLEMENTATION OF FAMILY INVESTMENT
PROGRAM AND FOOD STAMP CHANGES**

XII. Implementation of Family Investment Program and Food Stamp Changes

This section follows up on Section V, Work Plan, of the waiver request.

1. Phase One: Initiatives to be Implemented July 1, 1993 (this date changed to October 1, 1993)
 - A. The waiver coordinator position was filled in October, 1993. Hiring of the Statistical Research Analyst position was not completed in this quarter but will be completed within the second quarter of the waiver.
 - B. The waiver request was prepared and submitted on April 27, 1993.
 - C. Iowa Administrative Emergency Rules were submitted to the Council for adoption on September 15, 1993, and were effective October 1, 1993. Regular Rules were submitted to the Council under notice on September 15, 1993 for adoption December 15, 1993.
 - D. Employees' Manual, Manual Letters, Title IV, "Family Investment Program" and Title VII, "Food Stamps" were completed and released for distribution on September 21, 1993.
 - E. New forms were being developed for incorporation into Employees' Manual Title IV, Appendix, "Family Investment Program".
 - F. System changes were made and initially incorporated into the manual letters released September 21, 1993. Changes to Employees' Manual, Title XIV, were released on December 28, 1993. Additional changes are in process. System changes were made to facilitate running two separate FIP and Food Stamp programs (regular and welfare reform). The system was updated to include fields reflecting which policy the case received and the sample indicator, identifying how the case was assigned to the research group.
 - G. Training materials were prepared for staff training.
 - H. Training was provided for local office staff.

Training on FIP, Food Stamps and Medicaid policy changes was conducted through use of "Train the Trainers" sessions. In other words, central office policy staff provided training to field representatives who then provided training to field income maintenance staff. Training on policy changes was provided in June 1993 as implementation was expected to occur July 1, 1993.

On September 24, 1993, income maintenance staff were trained on system changes made to accommodate policy changes and the research group. This training also covered random sampling into the research group.

When the October 1, 1993, implementation date was set, additional training needs were apparent. In September 1993, training was provided by central office staff on policy changes that were made following the June training, random selection into the research group, and system changes. "Refresher" training to field staff was provided by regional policy specialists.

In November 1993, a preview of the Family Investment Agreement and Limited Benefit Plan process was given to income maintenance staff.

On December 16, 1993, in-depth training on the January PROMISE JOBS changes, including Family Investment Agreements and Limited Benefit Plans, occurred. This training was designed for income maintenance staff. PROMISE JOBS staff were also invited to attend and did so.

- I. In addition to the regular questions-and-answer process, follow-up question and answer sessions with field staff were held. Question and answer sessions occurred at weekly WRIG teleconferences.
 - J. Informational inserts and pamphlets were prepared to inform program applicants and participants of the new program. These are described in Section XI, Marketing to Program Participants.
 - K. A public service announcement about the program name change from AFDC to FIP and about the welfare reform waiver application was released in July 1993.
 - L. The Manual Letters are being incorporated into the Employees' Manual, Titles IV, "Family Investment Program" and VII, "Food Stamps". This project is not yet completed.
2. Phase Two: Family Investment Agreement (FIA)
 - A. The waiver request on the FIA was prepared and submitted on April 27, 1993.
 - B. Iowa Administrative Emergency Rules for the FIA and Limited Benefit Plan (LBP) were submitted to the Council for adoption on November 10, 1993. Regular Rules were submitted to the Council under notice on November 10, 1993.
 - C. Discussions and contract negotiations occurred with PROMISE JOBS provider agencies for administration and case management of the FIAs.

- D. Income maintenance Employees' Manual, Title IV, on the FIA was prepared for release.
- E. PROMISE JOBS Provider Manual on the FIA was being prepared during this quarter. In addition, the PROMISE JOBS Provider Manual was being revised to reflect PROMISE JOBS changes in the regular FIP program.
- F. New forms were being developed for incorporation into the Employees' Manual, Title IV, "Family Investment Program", and the PROMISE JOBS Provider Manual. In addition, PROMISE JOBS forms for the regular FIP program were being revised for incorporation into the manuals.
- G. Necessary computer system changes were made. These were being incorporated into the Employees Manual, Title XIV and the PROMISE JOBS provider manual.
- H. Training packets were prepared for staff training.
- I. Training was provided to PROMISE JOBS field staff responsible for administering the FIA.

PROMISE JOBS staff training on the January 1, 1994, PROMISE JOBS changes occurred on December 8, 9, and 10, 1993, Income maintenance benefit payment administrators and regional policy specialists were invited to attend this training and did so.

Additional training is being planned for new staff who were not hired prior to the December training and for new staff who attended the December training. This training session will focus on the pre-waiver PROMISE JOBS program in addition to the waiver policies.

- J. Follow-up question-and-answer sessions with PROMISE JOBS staff are scheduled monthly through use of teleconferencing. Income maintenance staff are invited to attend. In addition, field visits are being planned to follow FIA implementation.
- K. Informational inserts and pamphlets were prepared to inform program applicants and participants of the new PROMISE JOBS program. These are described in Section XI, Marketing to Program Participants.
- L. News releases were not utilized.
- M. Hiring of additional staff for PROMISE JOBS provider agencies was begun. Staff size will be approximately doubled upon completion of hiring.

In addition to those tasks above, which were outlined in the waiver request, the following activities occurred:

Terminology

Applying the words "control" and "treatment" to program participants seemed to have the potential for being interpreted in a negative manner, i.e. "control" as in "being controlled" and "treatment" commonly interpreted as "drug and alcohol treatment". Therefore, through the WRIG committee, the decision was made that when describing what policy was being applied to a case the policies would be called "regular" and "welfare reform". Regular policy is the policy applied to those in the control group, and welfare reform policy is the policy applied to everyone else.

Additional Department of Human Services Field Preparation

In some county administrative areas, the need for workers specialized in either regular or welfare reform policy was identified. Caseloads had to be redistributed to these specialized workers.

Additional Central Office Activities

Printouts identifying cases according to their research group status were generated for the field to use in redistributing caseloads.

Notice of Assigned Program forms were generated and mailed to program participants to advise them of which policy they were to receive effective October 1, 1993.

SUMMARY OF FIRST QUARTER

XIII. Summary of First Quarter

- A. Caseload Growth: Initial caseload growth has been larger than anticipated, growing from 36,404 in September 1993 to 38,970 in December 1993.

The caseload growth appears to have come from two sources. First, there was an increase in families receiving FIP-Unemployed Parent benefits. In state fiscal year 1993 the average Unemployed parent caseload was 2,221 compared to the December 1993 Unemployed parent caseload of 3,072. Secondly, the Department believes that there was some increase in applications from families with minimal earned income.

- B. Average Cost: Average cost has decreased from \$373.75 in September 1993 to \$356.95 in December 1993.

The average cost per case is a result of additional families on assistance having earned income. These families include both recipients going to work and new low-income applicants.

- C. Percent of FIP Households With Employment: The percentage of cases that have employment increased from 18% in September 1993 to 26.3% in December 1993.

- D. PROMISE JOBS Participation Rates:

	<u>Control Group</u>	<u>Experimental & Treatment Group</u>
Unemployed Parent	14.06%	21.38%
All (20-hour rule)	15.23%	11.90%

Iowa did not implement any changes in the PROMISE JOBS program until January 1994, therefore any difference in participation rate would be purely coincidental.

KEY EVENTS FOR NEXT QUARTER

XIV. Key Events for Next Quarter

January 1, 1994	Implementation of FIA's
March 14, 1994	Issuance of Request for Proposal for an independent evaluator

CONTACT PERSON

XV. Contact Person

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