

CHAPTER 165  
FAMILY DEVELOPMENT AND SELF-SUFFICIENCY PROGRAM

PREAMBLE

These rules define and structure the family development and self-sufficiency council within the department of human services and the family development and self-sufficiency grant program administered, under contractual agreement, by the department of human rights. The grant program is designed to make services available to families who are at risk of long-term welfare dependency.

The purpose of the program is to fund, evaluate, and provide recommendations on programs that provide services to families at risk of long-term welfare dependency.

These rules establish the framework regarding eligibility criteria, application procedures, and provisions for the termination of contractual agreements.

**441—165.1(217) Definitions.**

“*Applicant*” means a public or private organization which makes application for a grant through the request for proposal process.

“*Council*” means the family development and self-sufficiency council.

“*Department*” means the Iowa department of human services.

“*Grant*” means an award to fund a project approved by the council.

“*Grantee*” means the recipient of a grant approved by the council.

**441—165.2(217) Council.** The family development and self-sufficiency council is established within the department pursuant to Iowa Code section 217.11. The council’s powers and duties are policy-making and advisory with respect to the family development and self-sufficiency grants administered, under contractual agreement, by the department of human rights. Council responsibilities are further delineated in subrule 165.2(3).

**165.2(1) Membership.** The council membership is established by Iowa Code section 217.11 as follows:

- a. The director of the Iowa department of human services or the director’s designee.
- b. The director of the Iowa department of public health or the director’s designee.
- c. The administrator of the division of community action agencies in the department of human rights or the administrator’s designee.
- d. The administrator of the division of adult, children and family services of the department of human services or the administrator’s designee.
- e. The dean of the college of family and consumer sciences at Iowa State University or the dean’s designee.
- f. The director of the department of education or the director’s designee.
- g. The director of the public policy center at the University of Iowa or the director’s designee.
- h. The head of the department of design, family and consumer sciences at the University of Northern Iowa or that person’s designee.
- i. Two recipients or former recipients of the family investment (FIP) program, selected by the other members of the council.

**165.2(2) Procedures.**

- a. A quorum shall consist of two-thirds of the members.
- b. Where a quorum is present in person or by telephone, a position is carried by a majority of the members, or members’ designees, eligible to vote.
- c. Copies of the minutes are kept on file in the office of the administrator of the Division of Economic Assistance in the Department of Human Services, Hoover State Office Building, Des Moines, Iowa 50319-0114.

*d.* At each meeting the council shall determine the date and location of the next meeting. Special meetings may be called by the chair or upon the written request of a majority of council members.

*e.* Council meetings are considered public and require timely notice to the communications media as defined in Iowa Code section 21.4.

*f.* In cases not covered by these rules, Robert's Rules of Order shall govern.

**165.2(3) Council duties.** Council duties as established by Iowa Code section 217.11 are as follows:

*a.* Identify the factors and conditions that place Iowa families at risk of long-term dependency upon the FIP program. The council shall seek to use relevant research findings and national and Iowa-specific data on the ADC program.

*b.* Identify the factors and conditions that place Iowa families at risk of family instability and foster care placement. The council shall seek to use relevant research findings and national and Iowa-specific data on the foster care system.

*c.* Subject to availability of funds for this purpose, award grants to public or private organizations to provide family development services to families at risk of long-term welfare dependency.

*d.* In cooperation with the legislative services agency, develop measures to independently evaluate the effectiveness of programs, including measurement of the program's effectiveness in meeting its goals through reduction in length of stay on welfare or a reduced need for other state child and family welfare services.

*e.* Seek the support of the Iowa research community to carry out research and evaluation responsibilities.

*f.* Seek additional support for the funding of grants. Any funding received will be administered by the department subject to Iowa Code section 234.14.

*g.* Make recommendations to the governor and the general assembly on the effectiveness of early intervention programs in Iowa and throughout the country that provide family development services to families at risk of long-term welfare dependency.

*h.* Evaluate and make recommendations regarding the costs and benefits of the expansion of the services provided under the special needs program of the FIP program to include tuition for parenting skills programs, family support and counseling services, child development services and transportation and child care expenses associated with the programs and services.

#### **441—165.3(217) Funding of grants.**

**165.3(1) Availability of funds.** In any year in which funds are available for the family development and self-sufficiency grant program, the council shall award grants, subject to annual renewal, to selected applicants. The amount of money granted shall be contingent upon the amount of funds available and shall be determined on an annual basis.

**165.3(2) Grants not renewed.** Upon the council's determination that a grantee's project funding will not be renewed, the balance of funds to that grantee shall be awarded by the council to other previously approved grantees for which funding is renewed or to fund new grantees selected by the council as a result of the grant application process. These funds shall be awarded on the basis of how well the grantees exhibit the ability to effectively utilize additional funds. The allocation of these funds shall be in compliance with legislation.

**165.3(3) Funding allocations.** The allocation of funds shall be in compliance with legislation and contingent on available funds. The council shall endeavor to allocate funds in a manner which allows participation of a variety of projects across Iowa. Federal funds generated through grantee match shall be used for program expansion.

**165.3(4) Matching funds.** Grantees may generate funds to be used by the department (Title IV-F of the Social Security Act agency) to access federal matching funds. The local funds used for federal match must have been expended on the program, and new federal funds generated should be used for program expansion and not result in a decrease in annual local funding commitments.

**441—165.4(217) Families at risk.**

**165.4(1) Identification of conditions and criteria.** The following conditions and criteria which may place families at risk of long-term welfare dependency have been identified by the council:

- a. Educational level of head of household.
  - (1) Less than a high school education.
  - (2) Lacks basic literacy skills.
- b. Work experience of head of household.
  - (1) Never employed.
  - (2) Multiple episodes of employment lasting less than one year.
  - (3) Currently unemployed.
- c. Household composition.
  - (1) Members are homeless or near homeless.
  - (2) Members outside of the nuclear family in residence.
  - (3) Three or more children.
  - (4) One or more children born while on public assistance.
  - (5) One or more children identified as having special needs.
  - (6) Includes alcohol or substance abusers.
  - (7) Includes past or current perpetrator of child abuse or domestic violence.
  - (8) Includes members with a record of incarceration.
- d. Background of head of household.
  - (1) Was a teenager at first birth.
  - (2) Has a disability or chronic illness (mental or physical).
  - (3) Past or current victim of child abuse or domestic violence.
  - (4) Grew up in a household with alcohol or substance abuse.
- e. Welfare history.
  - (1) Grew up in a household receiving public assistance.
  - (2) Multiple episodes on public assistance.
  - (3) Family on public assistance for three or more years.
- f. Other conditions which may contribute to long-term dependency.
  - (1) Geographic location.
  - (2) Lack of employment opportunity.
  - (3) Lack of available services.
  - (4) Lack of transportation.

**165.4(2) Identification of families.** The department shall identify those families receiving family investment program benefits who meet the council's criteria.

**165.4(3) Designation of criteria.** The grantees shall designate, in the application for funds, the criteria for families to be served by the program. Grantees shall serve families meeting one or more criteria established by the council. The grantee may further delineate the criteria identified by the council.

**165.4(4) Selection of families.** A selection of families from the population meeting the council's criteria shall be made by the department. Selections may be made using the Statistical Package for Social Services or through local levels under a plan of referral approved by the council.

a. From these families, a selection will be made of those families that meet grantee specific criteria which is available through the department and those names will be forwarded to the grantee.

b. The grantee shall be responsible for marketing its services to the families identified by the department. All marketing plans, procedures, and materials used by the grantee must be approved in writing by the department of human rights prior to use.

c. Of the identified families who voluntarily agree to participate in a family development and self-sufficiency program, assignment of families will be made to grant projects by the department. The department of human rights shall receive timely notification of assignment.

d. Families referred shall be identified in the database of the department as receiving grantee services.

**165.4(5) *Monitoring of families.*** Referred families shall be monitored by the department to determine the effect of the programs in changing the status of the families selected.

**441—165.5(217) Grant application process.**

**165.5(1) *Public notice of grant availability.*** The council will announce through public notice the opening of a competitive application period. The announcement will include information on how public and private organizations may obtain a request for proposal and the deadlines for submitting requests.

**165.5(2) *Request for proposals.*** Applications for family development and self-sufficiency grants shall be distributed by the department of human rights. Applicants shall submit Form 379-4200, Request for Proposal, to the department of human rights. If a proposal does not include the information specified in the application package or if it is late, it will be disapproved. Proposals shall contain, at a minimum, the following information:

- a. Applicant identification, including general agency information.
- b. Project summary, including a statement of need, the issues the project will address, and the geographic area to be served.
- c. Project objectives.
- d. Specific project information which includes but is not limited to the following:
  - (1) Criteria for families to be served.
  - (2) The number of families to be served.
  - (3) Description of the services to be provided by the project and methodology for provision. Services may include, but are not limited to, assistance regarding job-seeking skills, family budgeting, nutrition, self-esteem, health and hygiene, child rearing, child care education preparation, and goal setting. Support systems that will be developed shall be described.
  - (4) Description of the manner in which other needs of the families will be provided. These services may include, but are not limited to, day care assistance, transportation, substance abuse treatment, support group counseling, food, clothing, and housing.
  - (5) Description of community support for the program, which may include letters of support.
  - (6) Description of the manner in which community resources will be made available to families being served and to meet their subsequent needs.
- e. Description of the training and recruitment of the staff providing services and the appropriateness of same.
- f. Designation of the evaluation and audit mechanisms.
- g. Assurances that families referred by the department will be served.
- h. Project budget.
- i. Plan for evaluation of project.

**165.5(3) *Submission process.*** All applicants shall submit proposals in accordance with instructions in the request for proposal distributed by the department of human rights. The minimum number of copies of the completed application form, as defined in the request for proposal, shall be submitted to the Bureau of Community Services, Iowa Department of Human Rights, First Floor, Lucas State Office Building, Des Moines, Iowa 50319.

In order to be included in the review process and considered for possible funding, applications shall be postmarked by midnight the date applications are due or delivered to the bureau of community services during regular business hours anytime prior to the deadline.

**441—165.6(217) Selection of grantees.** All applications received within the time frames designated by the council and meeting the criteria, shall be reviewed by the department of human rights, which shall make funding recommendations to the council. The council shall make the final decision with respect to which organizations will receive grant funds.

**165.6(1) *Selection criteria.*** The council will review the projects recommended by the department of human rights. Criteria for selection of projects include, but are not limited to, the following:

- a. The statement of need which will demonstrate the need for the service in the geographical area to be served.

- b. The issues the project will address.
- c. The criteria for families to be served, including the number to be served.
- d. The services to be provided and how the services address the needs. This includes direct and indirect services.
- e. The community support systems available to the families to be served.
- f. Description of how the project objectives are to be measured in both quantitative and qualitative terms.
- g. General program structure including, but not limited to, how well goals can be met, how realistic the objectives are, stability of the organization, and the overall quality and utility of the proposal in comparison to other proposals and in relationship to funding limits.
- h. The project budget, including administration of the funds. Note, the funds may be used for salaries, fringe benefits, job-related in-state travel, contract services, materials, and operational expenses. The funds may not be used for construction, capital improvement or purchase of real estate.

**165.6(2) Notification of applicants.** Applicants shall be notified no later than 45 days following the due date for receipt of proposals whether the proposal is denied or accepted.

The grantee may be requested to modify the proposal through the contracting process.

**441—165.7(217) Contract with grantee.** Funds for grants approved by the council shall be awarded through a contract entered into by the department of human rights and the applicant.

**165.7(1) Negotiation.** The department of human rights shall conduct contract negotiation with the applicant. The applicant may be requested to modify a project proposal in the negotiation process. The applicant or the department of human rights may request an amendment to the contract.

**165.7(2) Withdrawal of contract offer.** If the applicant and the department of human rights are unable to successfully negotiate a contract, the council may withdraw the award offer.

**165.7(3) Duration.** The contract period shall not exceed 36 months.

**441—165.8(217) Grantee responsibilities.**

**165.8(1) Records.** The grantee shall maintain records which include, but are not limited to:

- a. Specific client information.
- b. Specific services provided.
- c. Fiscal records of expenditures.
- d. Any other specific records as may be determined necessary by the department of human rights, to the overall evaluation of the project.
- e. In lieu of disposition of family records, such records shall be transferred to the department of human rights.

**165.8(2) Reports.**

a. Grantees shall complete Form 379-4103, Monthly Funding Request and Expenditure Report, that includes, but is not limited to, the state grant dollars expended as they relate to each line item in the budget.

b. Grantees shall complete Form 379-4201, Quarterly Activities Report, that includes, but is not limited to:

- (1) The number of clients served and the services provided.
- (2) A list of planned goals and activities and progress toward goals completed on schedule.
- (3) Any general comments on the progress of the program.

**441—165.9(217) Evaluation.** The grantee shall be evaluated by the department of human rights at least once prior to the end of each 12-month period that the project is funded. The purpose of the evaluation is to determine the progress of the grantee in relation to the stated goals and objectives of the project, as well as other matters relating to contractual obligations. The grantee shall receive a written report of the evaluation.

**441—165.10(217) Contract revision and termination.**

**165.10(1) *Contract revisions.*** The department of human rights and the grantee may negotiate a revision to the contract to allow for expansion or modification of services but shall not increase the total amount of the grant. The council shall have authority to approve revised contracts involving realignment in funding of plus or minus 10 percent or any change in work scope.

**165.10(2) *Termination for convenience.*** The contract may be terminated in whole, or in part, by the department of human rights when the department of human rights, with council approval, determines that the termination is in the best interest of the state. The department of human rights shall notify the grantee of termination in writing at least 30 days prior to the effective date of termination. The grantee shall not incur new obligations for the terminated portion after the effective date, and shall cancel as many outstanding obligations as possible. Payments to the grantee will be only for services and activities provided up to the date of termination.

**165.10(3) *Termination for cause.*** The contract may be terminated in whole, or in part, at any time before the date of completion, whenever it is determined that the grantee has failed to comply with the conditions of the contract. The grantee shall be notified in writing by the department of human rights of the reasons for the termination and the effective date. The grantee shall have ten days after the notice is received to correct the problem or otherwise outline a corrective action plan. The department of human rights shall then issue a notice of termination if the problems are not corrected to the satisfaction of the department of human rights. Payments to the grantee will be only for services and activities provided up to the date of termination.

The department of human rights shall administer the funds for this program contingent upon their availability. If there is a lack of funds necessary to fulfill the fiscal responsibility of this program, the contracts shall be terminated or renegotiated. The council may terminate or renegotiate a contract upon 30 days' notice when there is a reduction of funds by executive order.

**165.10(4) *Responsibility of grantee at termination.*** Within 45 days of the termination, the grantee shall supply the department of human rights with a financial statement detailing all costs up to the effective date of the termination. All records (family and financial) shall be forwarded to the department of human rights.

**441—165.11(217) Reconsideration.** Applicants dissatisfied with the council's actions regarding proposals for funds and grantees dissatisfied with termination of a contract may request a reconsideration. The letter requesting reconsideration must be submitted to the department of human rights within ten working days of the date of the notice of decision. The request must include the reasons for dissatisfaction and evidence of the reasons for dissatisfaction. Reasons for reconsideration must be based on a contention that the process violated state or federal law, policy, or rule, did not provide adequate public notice or was altered without adequate public notice, involved conflict of interest, or was biased or unfair. Within 15 working days of the receipt of the request for reconsideration, the director of the department of human services, or designee, who has not personally participated in the issues under reconsideration, will review the request and evidence provided by the applicant or grantee as well as the evidence provided by the department of human rights and will issue a final decision.

No disbursements will be made to any applicant for a period of ten calendar days following the notice of decision. If a request is filed within the ten days, all disbursements will be held pending a final decision on the appeal. All applicants will be notified if a reconsideration request is filed.

These rules are intended to implement Iowa Code sections 217.11 and 217.12.

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