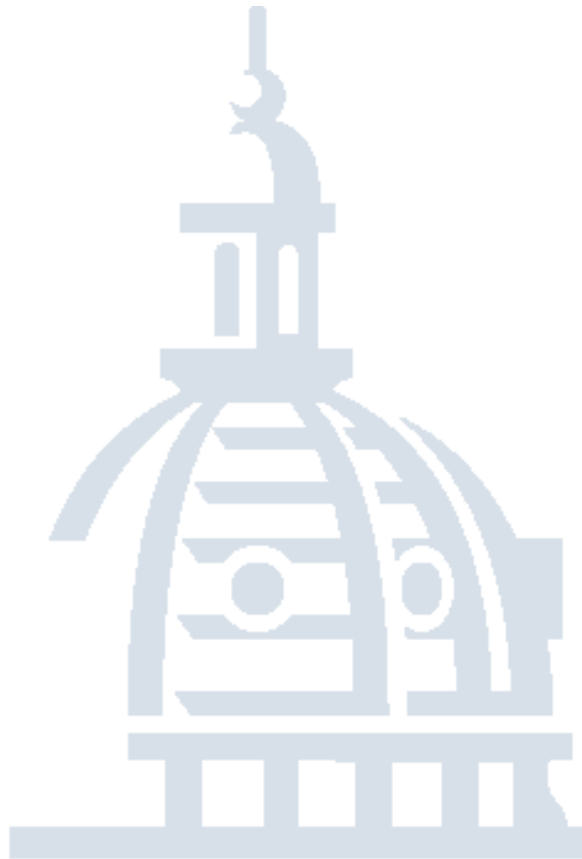


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**ADMINISTRATION AND REGULATION  
APPROPRIATIONS SUBCOMMITTEE  
ANALYSIS OF THE  
FY 2016 GOVERNOR'S RECOMMENDATIONS**



**FISCAL SERVICES DIVISION**

**JANUARY 2015**





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## ADMINISTRATION AND REGULATION APPROPRIATIONS SUBCOMMITTEE MEMBERS

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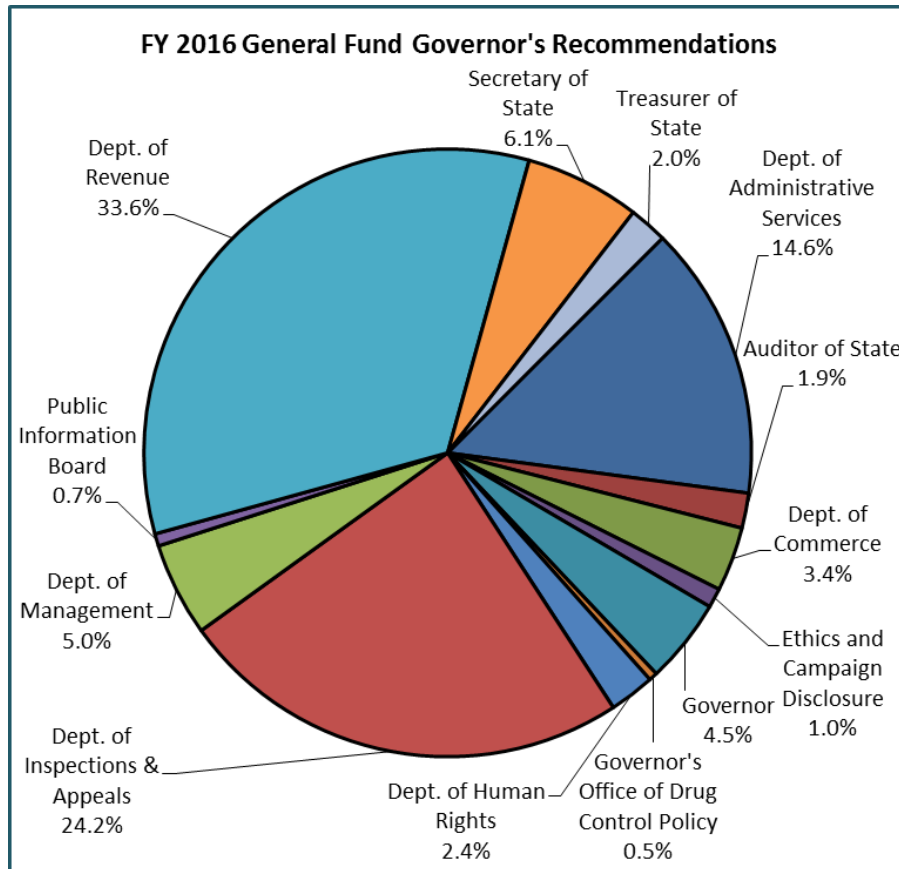
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## Administration and Regulation Appropriations Subcommittee

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### Analysis of Governor's Budget



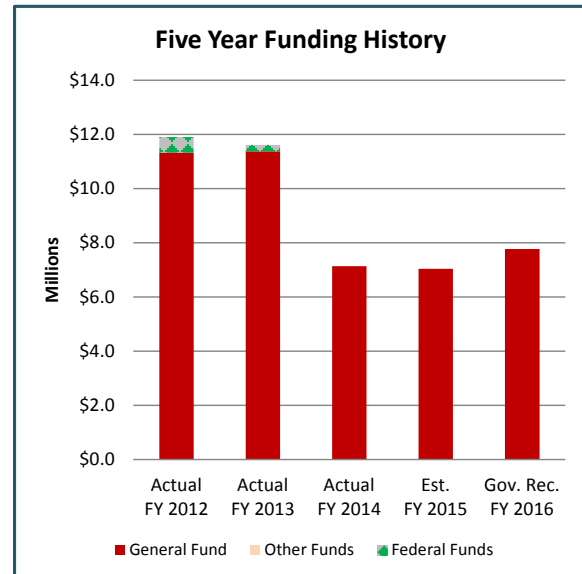
FY 2016 General Fund Governor's Recommendations		
Dept. of Administrative Services	\$	7,774,786
Auditor of State		991,731
Dept. of Commerce		1,821,928
Ethics and Campaign Disclosure		550,335
Governor		2,396,455
Governor's Office of Drug Control Policy		241,134
Dept. of Human Rights		1,282,261
Dept. of Inspections & Appeals		12,891,142
Dept. of Management		2,650,220
Public Information Board		350,000
Dept. of Revenue		17,880,839
Secretary of State		3,261,699
Treasurer of State		1,084,392
<b>Total</b>	<b>\$</b>	<b>53,176,922</b>

## **DEPARTMENT OF ADMINISTRATIVE SERVICES**

### **Overview and Funding History**

**Agency Overview:** The [Department of Administrative Services \(DAS\)](#) was established in 2003 by legislative action and consists of five enterprises that provide infrastructure and facilities services to other agencies of State government and a Core/Finance Operations responsible for internal administration of the Department. The five enterprises are the Core/Finance, General Services Enterprise (GSE), Human Resources Enterprise (HRE), Central Procurement and Fleet Services Enterprise (CPFSE), and State Accounting Enterprise (SAE).

**Funding History:** The Department receives less than one tenth of its funding for operations through appropriations. The remainder is funded primarily by fees charged to other State agencies for services provided and are not reflected in the appropriations funding history chart. In FY 2012, the I/3 Distribution appropriation and the Iowa Building appropriation were moved from the Rebuild Iowa Infrastructure Fund (RIIF) appropriation to the DAS General Fund appropriation. After being funded from the General Fund for two years, the appropriation for the I/3 Distribution appropriation was eliminated and those funds were appropriated directly to State agencies to be included in their base budgets in future years. The Iowa Building has been demolished so funding was not needed after FY 2014.



### **FY 2015 Quick Facts - DAS**

**\$98,664,372**

Total Enterprise Budgets

**92.8%**

Funding from charges to State agencies

**7.2%**

General Fund appropriations

## Governor's Recommendations

**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$7,774,786. This is an increase of \$732,039 compared to estimated FY 2015.

## General Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Administrative Services, Dept. of</b>				
<b>Administrative Services</b>				
Administrative Services, Dept.	\$ 4,067,924	\$ 4,067,924	\$ 4,067,924	\$ 0
Utilities	2,568,909	2,568,909	3,178,948	610,039
Terrace Hill Operations	405,914	405,914	527,914	122,000
<b>Total Administrative Services, Dept. of</b>	<b>\$ 7,042,747</b>	<b>\$ 7,042,747</b>	<b>\$ 7,774,786</b>	<b>\$ 732,039</b>

## Governor's Recommendations – Significant Changes

<b>Utilities</b>	
An increase to cover the shortfall in rising utility costs in FY 2016.	\$ 610,039
<b>Terrace Hill Operations</b>	
An increase to shift \$93,111 in funding for Terrace Hill Quarters and staff, and an additional \$15,000 for ongoing communications costs from the Governor's Office to the Department of Administrative Services.	\$ 122,000

## Discussion Items

***FY 2016 DAS Service Rate Increases*** – The Customer Council met on August 11, 2014, and adopted rate increases for six utilities for FY 2016. The overall change to the total utility service rate billings from FY 2015 to FY 2016 is an increase of \$2.4 million (6.3%) in additional fee revenue. The Subcommittee may want to examine the fee-for-service process and intended uses of the fee increases for FY 2016.

***Utility Rate Cost Increases*** – The Department of Administrative Services (DAS) utilities are funded through a General Fund appropriation. The current balance brought forward is approximately \$250,000. The projected Mid-American rate increase is 3.7% for FY 2016 totaling \$277,000. This is in addition to the 7.5% franchise fee cost of \$138,000 identified by Mid-American in November, after the department requests had been submitted. The Subcommittee may want an update from DAS on the increased costs for utilities expected in FY 2016. *The Governor is recommending an increase of \$610,039 for increased utility costs to cover the following:*

- \$341,445 for a 4.1% Mid-American rate increase for FY 2016.
- \$86,786 for increased electrical costs related to using the boiler at the Historical Building.
- \$137,736 for the 7.5% franchise fee identified by Mid-American in November 2014.
- \$22,000 for annual engineering and efficiency project expenses.
- \$22,072 for a water rate increase of approximately 7.0%.

***Terrace Hill Quarters*** – The Governor is recommending an increase of \$122,000 and 1.9 FTE positions for Terrace Hill Operations to move the appropriation for Terrace Hill Quarters from the Governor's Office to the DAS. This includes \$107,000 and 1.9 FTE positions for the staff at Terrace Hill and \$15,000 for communication costs. In FY 2013 and FY 2014, Terrace Hill Quarters required appropriation transfers increasing the total appropriation expenditure to \$114,489 for FY 2013 and \$117,313 for FY 2014.

## **AUDITOR OF STATE**

### **Overview and Funding History**

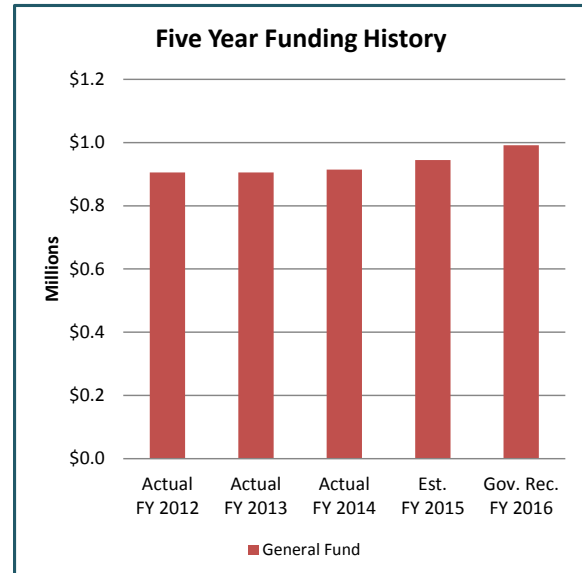
**Agency Overview:** The position of [Auditor of State](#) was created in 1857 with [Article IV, Section 22](#), of the Iowa Constitution. The Auditor is elected by popular vote and serves a four-year term. The duties of the Office are spelled out in Iowa Code chapter [11](#). The mission of the Office of the Auditor of State is to benefit all citizens of Iowa by providing independent audit, review, and other technical services to State and local governments to ensure the effective, economical, and businesslike conduct of public activities in a prudent, accountable manner to achieve the intended purposes. The Auditor's Office provides independent audits of the financial operations of State and local governments. The Office also reviews government activities to help ensure they are conducted in an effective, efficient, and legal manner.

**Funding History:** The Auditor of State Office receives an annual General Fund appropriation to fund the costs of conducting audits of State departments that are not statutorily required to reimburse the Office for annual audit costs. In addition to the General Fund appropriation, the Office receives fees for conducting audits and reviews of certain State agencies and governmental subdivisions (see Iowa Code sections [11.20](#) and [11.21](#) for subdivision fees). The Office attempts to maintain staffing equal to 103.0 FTE positions.

### **Governor's Recommendations**

**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$991,731. This is an increase of \$47,225 compared to estimated FY 2015 to allow the completion of more audits of non-billable agencies.

**FY 2017:** The Governor is recommending FY 2017 General Fund appropriations of \$1,041,317. This is an increase of \$49,586 compared to estimated FY 2016 to allow the completion of more audits of non-billable agencies.



### **FY 2013 Quick Facts – Auditor**

**94,676**

Audit Hours Expended on State Audits during FY 2013.

**48,796**

Audit Hours Expended on Local Audits during FY 2013.

## General Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Auditor of State</b>				
<b>Auditor Of State</b>				
Auditor of State - General Office	\$ 944,506	\$ 991,731	\$ 991,731	\$ 47,225
<b>Total Auditor of State</b>	\$ 944,506	\$ 991,731	\$ 991,731	\$ 47,225

## Governor's Recommendations – Significant Changes

<b>Auditor of State</b>	
An increase to allow more audit effort to be focused on non-billable agencies.	\$ 47,225

## ETHICS AND CAMPAIGN DISCLOSURE BOARD

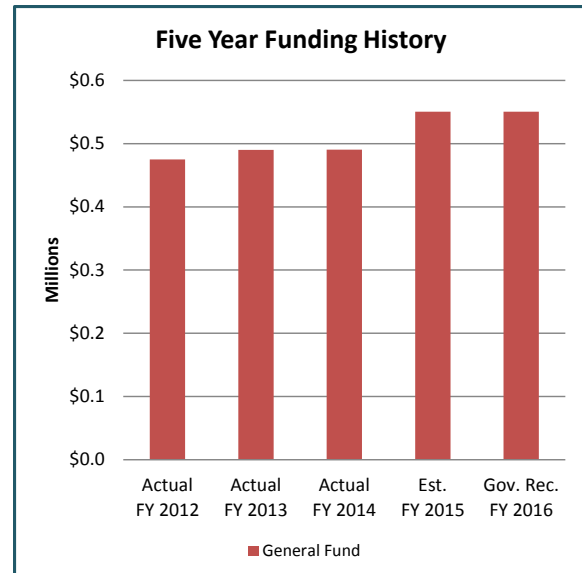
### Overview and Funding History

**Agency Overview:** The [Iowa Ethics and Campaign Disclosure Board](#) administers and enforces the State campaign, lobbying, and ethics laws. The Board also reports on all gifts, bequests, and grants received by an Executive Branch agency other than a Regents university as specified in Iowa Code section [8.7](#).

**Funding History:** The Board's funding comes from General Fund appropriations and has been relatively flat over the past five years. In FY 2011 there was a transfer of \$150,000 from the Cash Reserve Fund that does not appear as an appropriation in this chart.

### Governor's Recommendations

**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$550,335. This is no change compared to estimated FY 2015.



### CY 2013 Quick Facts – Ethics and Campaign Finance Disclosure

**\$7,410,635**

Contributions to candidates

**\$2,562,590**

Contributions to parties

**\$6,230,495**

Contributions to PACs

## General Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Ethics and Campaign Disclosure</b>				
<b>Campaign Finance Disclosure</b>				
Ethics & Campaign Disclosure Board	\$ 550,335	\$ 550,335	\$ 550,335	\$ 0
<b>Total Ethics and Campaign Disclosure</b>	<b>\$ 550,335</b>	<b>\$ 550,335</b>	<b>\$ 550,335</b>	<b>\$ 0</b>

## Discussion Items

**Electronic Filings** – The Board is taking initial steps towards a new web filing system for campaign disclosures. The Subcommittee may want an update on how web filing has been received by candidates and committees, changes that may be needed, and whether additional expansion is needed to further reduce paper filings.

**Education Outreach** – The Board continues to focus efforts on informing and educating candidates and committees about their obligations to file reports and to advise them on acceptable campaign activities. The Subcommittee may be interested in the advances the Board has made in this area (including those through the use of social media), what challenges are faced, and what is needed to make the educational outreach more effective or efficient.

## **OFFICE OF THE CHIEF INFORMATION OFFICER**

### Overview and Funding History

**Agency Overview:** The Office of the Chief Information Officer (OCIO) was transferred from the DAS to become a separate department by [SF 396](#) (Government Efficiency Act) enacted during the 2013 Legislative Session. The Chief Information Officer is appointed by and serves at the pleasure of the Governor and is subject to confirmation by the Senate. The Office was created for the purpose of leading, directing, managing, coordinating, and providing accountability for the information technology resources of State government and to provide high-quality, customer-focused information technology services and business solutions. Some of the Chief Information Officer's responsibilities are to prescribe and adopt information technology standards and rules, advise the Governor on issues related to information technology, consult and work with all governmental entities to achieve the information technology goals established by the Office, and to develop systems and methodologies to review, evaluate, and prioritize information technology projects.

**Funding History:** The Office was created July 1, 2014. Funding for the OCIO comes from fees charged to State agencies for Information Technology (IT) Enterprise Operations through the OCIO Internal Services Fund, money from the Iowa Access Revolving Fund used for IT projects, and Technology Reinvestment money used for the State IT infrastructure.

### FY 2015 Quick Facts – OCIO

**594**

State IT classified positions

**118**

IT contractors

**\$220.0 million**

Executive Branch estimate annual IT expenditures (without Regents)

Source: FY 2013 Iowa Data Center Quick Facts

## Discussion Items

**Information Technology Consolidation** – The OCIO is a separate agency but attached to the DAS for accounting and fiscal services and has oversight responsibilities for the State’s information technology. Computer infrastructure is being consolidated with the goal of improving efficiency and effectiveness. The Subcommittee may want an update on the progress of the consolidation, the effect on departments, and the estimated cost savings. Also, the Subcommittee may want to inquire as to how the Office will be structured in future years, the OCIO’s responsibilities for and authority over the State’s information technology operations, and future plans and changes to the State’s information technology functions. **This is a recommendation for the Transportation, Infrastructure, and Capitals Committee.** *The Governor is recommending \$2,132,949 from the Technology Reinvestment Fund (TRF) for IT consolidation.*

**Broadband:** **This is a recommendation for the Transportation, Infrastructure, and Capitals Committee.** *The Governor is recommending \$2.0 million from the TRF and an additional \$3.0 million from the State Bond Repayment Fund (SBRF) to deploy technology assets across the State, and connect Iowans through improved broadband service.*

**OCIO Iowa Fees Website** – [House File 2274](#) (Fee Increase Notification Act) required the OCIO to create a State service fee Internet site no later than December 1, 2014. The OCIO has completed this project. Fees and rates charged to the public by state agencies were collected by the OCIO for the website. The definition for a government fee includes the following: licensing, registration, application, permit, reporting, professional licensing, filing, recertification, education, renewal, certificate, dealer, inspection, examination, background check, endorsement, and reactivation fees. There may be other associated fee types for your agency that charge a fee to the public that are not reported on this website such as copy fees, open records, or purchase of goods. The Subcommittee may wish to view this website - <https://iafees.iowa.gov/>.

## DEPARTMENT OF COMMERCE

### Overview and Funding History

**Agency Overview:** The [Department of Commerce](#) is comprised of five divisions – the Alcoholic Beverages Division, the Division of Banking, the Credit Union Division, the Insurance Division, and the Utilities Board. The Professional Licensing and Regulation Bureau is attached to the Banking Division. Each division is responsible for regulation of an industry or group of industries. Each division's budget is prepared independently and then combined with the other divisions' budgets for submission to the Governor and General Assembly for consideration.

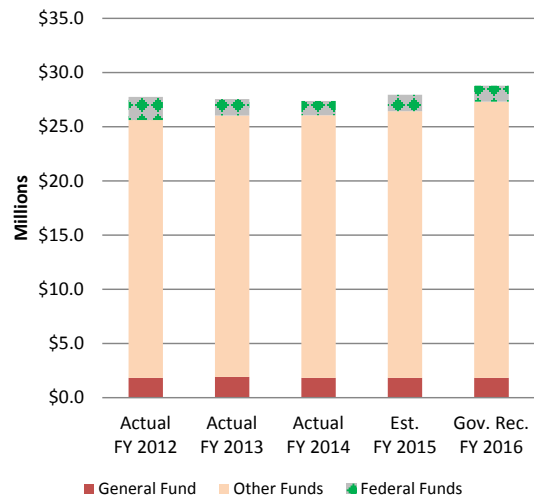
**Funding History:** The total funding for the Department of Commerce has been fairly stable with slow growth over the past five years. Historically, the Banking, Credit Union, Insurance, and Utilities Divisions were funded with General Fund appropriations. The divisions then billed their respective regulated companies for the costs of regulation, and that revenue was deposited into the State General Fund. The Commerce Revolving Fund was created by [HF 809](#) (FY 2010 Administration and Regulation Appropriations Act) during the 2009 Legislative Session, receiving the fees, fines, and penalties charged by these four regulatory agencies. Since FY 2010, the Commerce Revolving Fund appropriates funds out to the Banking, Insurance, Credit Union and Utilities Divisions. The Alcoholic Beverages Division and the Professional Licensing Bureau receive the General Fund appropriations.

### Governor's Recommendations

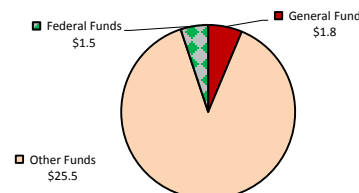
**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$1,821,928. This is no change compared to estimated FY 2015. The Governor is recommending FY 2016 other fund appropriations totaling \$25,485,102. This is an increase of \$881,900 in Commerce Revolving Fund appropriations compared to estimated FY 2015.

**FY 2017:** The Governor is recommending an additional \$100,000 in Commerce Revolving Fund appropriations for FY 2017 for the Banking Division.

Five Year Funding History



FY 2016 Governor's Recommendations  
Dollars in Millions



### FY 2015 Quick Facts – Commerce

**291**

Banks regulated by the Banking Division.

**106**

Credit unions regulated by the Credit Union Division.

**214**

Domestic insurance companies regulated by the Insurance Division.

**General Fund Recommendations**

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Commerce, Dept. of</b>				
<b>Alcoholic Beverages</b>				
Alcoholic Beverages Operations	\$ 1,220,391	\$ 1,220,391	\$ 1,220,391	\$ 0
<b>Professional Licensing and Reg.</b>				
Professional Licensing Bureau	\$ 601,537	\$ 601,537	\$ 601,537	\$ 0
<b>Total Commerce, Dept. of</b>	<b>\$ 1,821,928</b>	<b>\$ 1,821,928</b>	<b>\$ 1,821,928</b>	<b>\$ 0</b>

**Other Fund Recommendations**

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Commerce, Dept. of</b>				
<b>Banking Division</b>				
Banking Division - CMRF	\$ 9,317,235	\$ 9,667,235	\$ 9,667,235	\$ 350,000
<b>Credit Union Division</b>				
Credit Union Division - CMRF	\$ 1,794,256	\$ 1,869,256	\$ 1,869,256	\$ 75,000
<b>Insurance Division</b>				
Insurance Division - CMRF	\$ 5,099,989	\$ 5,325,889	\$ 5,325,889	\$ 225,900
<b>Utilities Division</b>				
Utilities Division - CMRF	\$ 8,329,405	\$ 8,560,405	\$ 8,560,405	\$ 231,000
<b>Professional Licensing and Reg.</b>				
Field Auditor - Housing Impr. Fund	\$ 62,317	\$ 62,317	\$ 62,317	\$ 0
<b>Total Commerce, Dept. of</b>	<b>\$ 24,603,202</b>	<b>\$ 25,485,102</b>	<b>\$ 25,485,102</b>	<b>\$ 881,900</b>

**Governor's Recommendations – Significant Other Fund Changes**

<b>Department of Commerce – Banking Division</b>	
An increase to allow for the hiring and training of three new bank examiners in FY 2016. The increase also covers salary adjustments to compete with private market rates, retirement payouts, and to update training for existing examiners.	\$ 350,000
<b>Department of Commerce – Credit Union Division</b>	
An increase to cover the salary and training costs of hiring an additional Credit Union Examiner in FY 2016.	\$ 75,000
<b>Department of Commerce – Utilities</b>	
An increase to cover the salaries and training costs of the following positions: Utility Analyst I (\$56,000), Utility Administrator I (\$100,000), and an Attorney I (\$75,000). The increase also covers the costs of knowledge exchange between retiring, current and new staff.	\$ 231,000
<b>Department of Commerce – Insurance Division</b>	
An increase to allow the Division to be fully staffed through the addition of a Compliance Officer II (\$74,400), a Special Investigator (\$65,500), and two Secretary I positions (\$86,000).	\$ 225,900

## Discussion Items

**Insurance Exchange** – Iowa continues to participate in the federal insurance exchange. As the State’s regulator of insurance agencies, the Insurance Division is the nexus for State involvement. The Subcommittee may want to be updated as to how the implementation of the Affordable Care Act is progressing and how Iowans are being affected by its implications.

**Staff Turnover** – The Banking, Credit Union, Insurance, and Utilities Divisions are experiencing difficulties retaining younger professional staff at the current pay levels. After gaining a few years of experience, younger staff is being hired away by private sector firms offering higher salaries. The situation is aggravated by retirements of senior staff.

**Alcoholic Beverages Regulation** – Iowa’s alcoholic beverages industry operates under a three-tier system with the State as the sole spirits wholesaler. (See [Fiscal Topic: Alcoholic Beverage Control](#).) In FY 2014, the Division had revenues totaling \$302,657,376. After paying for product and operating expenses, \$119,001,253 was available for transfer. The State General Fund received \$95,648,494; the Department of Public Health received \$19,411,861 for substance abuse programs; \$3,649,166 was remitted to cities and counties for issuing licenses; and \$291,732 was transferred to the Economic Development Authority to promote the native wine and native beer industries. The Subcommittee may want to examine sales and profit trends and inquire about the growth in native wineries, microbreweries, and local small-batch distilleries.

## **OFFICE OF GOVERNOR AND LIEUTENANT GOVERNOR**

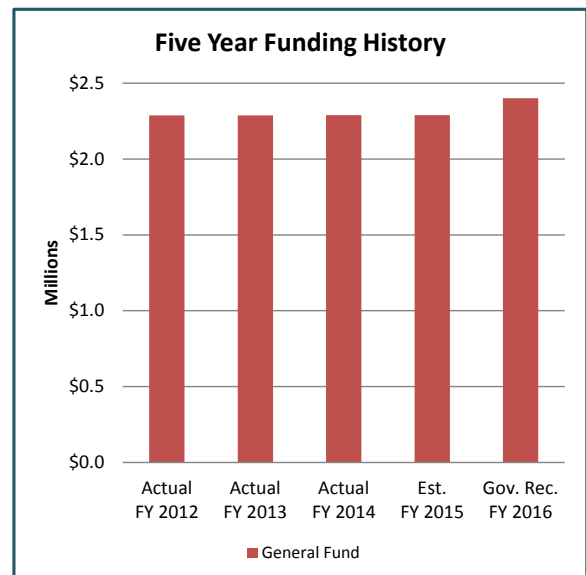
### Overview and Funding History

**Agency Overview:** The position of [State Governor](#) was created in 1857 by [Article IV, Section 1](#), of the Iowa Constitution. The Governor is elected by a statewide popular vote and serves a four-year term. The duties and responsibilities of the Office are specified in Iowa Code chapter [7](#). The Governor’s Office is responsible for managing the Executive Branch and implementing policies and programs in accordance with State law.

The functions funded by the Terrace Hill Quarters appropriation consist of the following:

- Staffing and expenses of the overall operation of the Terrace Hill National Historic Landmark and Iowa Governor’s Residence.
- Daily food preparation and housekeeping services for the Governor and the Governor’s family.
- Maintenance of the grounds by the DAS.

**Funding History:** The Governor’s Office receives an annual appropriation from the General Fund for the majority of the operational cost of the Office. The FY 2012 decrease is related to a general reduction of \$46,907 for all appropriations to the Governor’s Office.



## Governor's Recommendations

**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$2,396,455 for the Office of the Governor. This is an increase of \$106,889 compared to estimated FY 2015. This includes an increase in the Governor's Office of \$200,000 for day-to-day operations, and a decrease for Terrace Hill Quarters of \$93,111 to shift the costs from the Governor's Office to the DAS.

## General Fund Recommendations

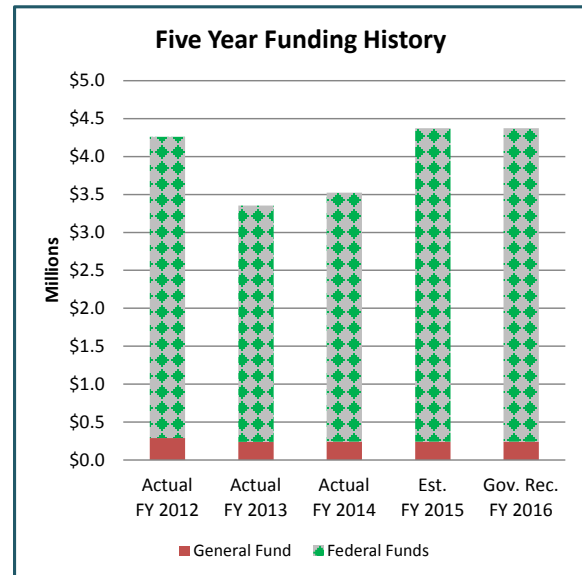
	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Governor</b>				
<b>Governor's Office</b>				
Governor/Lt. Governor's Office	\$ 2,196,455	\$ 2,196,455	\$ 2,396,455	\$ 200,000
Terrace Hill Quarters	93,111	93,111	0	-93,111
<b>Total Governor</b>	<b>\$ 2,289,566</b>	<b>\$ 2,289,566</b>	<b>\$ 2,396,455</b>	<b>\$ 106,889</b>

## GOVERNOR'S OFFICE OF DRUG CONTROL POLICY

### Overview and Funding History

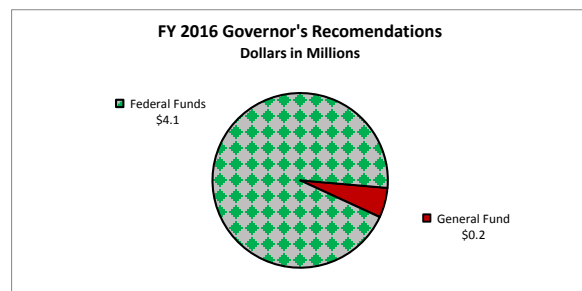
**Agency Overview:** The [Governor's Office of Drug Control Policy \(ODCP\)](#) coordinates agencies and stakeholders involved with drug enforcement and substance abuse treatment and prevention. The ODCP creates the drug control policy and strategy for the State and identifies, pursues, and administers federal and other grants.

**Funding History:** The General Fund appropriations support administrative activities by the Office. The decline in total funding is due to the decrease in federal support for grant programs. The General Fund decrease in FY 2013 comes from downsizing the Office and collocating with the Department of Public Safety.



## Governor's Recommendations

**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$241,134. This is no change compared to estimated FY 2015.



## General Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b><u>Governor's Office of Drug Control Policy</u></b>				
<b>Office of Drug Control Policy</b>				
Drug Policy Coordinator	\$ 241,134	\$ 241,134	\$ 241,134	\$ 0
<b>Total Governor's Office of Drug Control Polic</b>	<b>\$ 241,134</b>	<b>\$ 241,134</b>	<b>\$ 241,134</b>	<b>\$ 0</b>

## Discussion Items

**Federal Grants** – The Office administers a variety of federal grants that are passed through to other agencies and programs. The Office's operating budget includes approximately \$425,000 in federal grants for FY 2015 in addition to a General Fund appropriation of \$241,134. The Subcommittee may want to inquire about changes in federal funding and potential impacts this may have on the Office's operations and the programs these funds assist.

### Quick Facts – Governor's Office of Drug Control Policy

**867**

Number of FY 2014 new drug-related prison admissions.

**155**

Number of FY 2014 meth lab incidents reported in Iowa.

**77**

Number of CY 2013 overdose deaths from prescription pain relievers (opioids).

## DEPARTMENT OF HUMAN RIGHTS

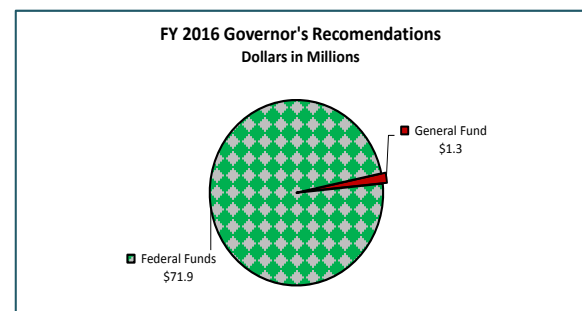
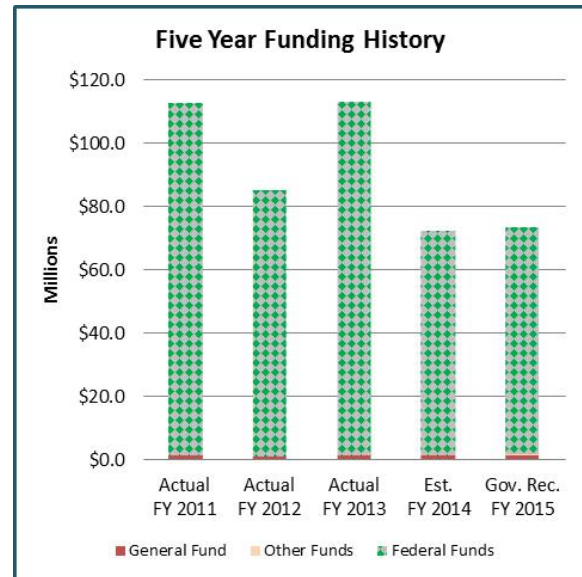
### Overview and Funding History

**Agency Overview:** The [Iowa Department of Human Rights \(DHR\)](#) is comprised of three divisions: Community Advocacy and Services, Community Action Agencies and Criminal and Juvenile Justice Planning. The Community Advocacy and Services Division is comprised of seven offices that promote self-sufficiency for individuals and by providing training and educating the public, developing public and private partnerships, and advocating and advancing the interest of the constituencies they serve. The seven offices are the Offices of Asian and Pacific Islanders, Deaf Services, Latino Affairs, Native Americans, Persons with Disabilities, African Americans, and the Status of Women.

**Funding History:** In recent years, General Fund appropriations to the DHR have decreased. The bulk of the Department's funding comes from federal programs and grants. The weatherization and energy assistance programs have accounted for much of the decrease in federal funds in FY 2012 and FY 2014 as seen in the chart on the right.

### Governor's Recommendations

**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$1,282,261. This is an increase of \$30,000 compared to estimated FY 2015.



### Quick Facts – Human Rights

**1,557,570**

Women in Iowa population as of CY 2013.

**7.8%**

Percent of disabled Iowans under the age of 65 who lived with a disability in 2010-2013.

**169,973**

Latino population in Iowa as of CY 2013.

From 2013 U.S. Census estimates

## General Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Human Rights, Dept. of</b>				
Human Rights, Department of				
Central Administration	\$ 224,184	\$ 224,184	\$ 254,184	\$ 30,000
Community Advocacy and Services	1,028,077	1,028,077	1,028,077	0
<b>Total Human Rights, Dept. of</b>	<b>\$ 1,252,261</b>	<b>\$ 1,252,261</b>	<b>\$ 1,282,261</b>	<b>\$ 30,000</b>

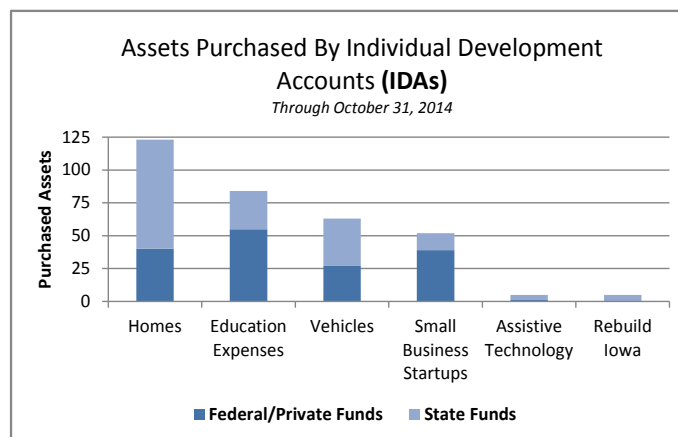
## Governor's Recommendations – Significant Changes

<b>Human Rights Division</b>	
An increase to cover salary adjustments in the Criminal and Juvenile Justice Program and the Community Advocacy and Services Division.	\$ 30,000

## Discussion Items

**Program Funding** –With the exception of the Weatherization Assistance Program, which received \$5.5 million in FFY 2014 compared to \$3.8 million in FFY 2013, federal funding for assistance programs has steadily decreased over the last several years. Funding for the Low Income Home Energy Assistance Program (LIHEAP) decreased from \$51.3 million in FFY 2013 to \$48.4 million in FFY 2014, and the Community Services Block Grant (CSBG) decreased from \$76.8 million in FFY 2013 to \$6.7 million in FFY 2014. The Subcommittee may want an update on future federal funding trends for these programs.

**Individual Development Accounts (IDAs)** – The Program was established in 2009 to encourage low-income, working lowans to establish savings accounts for long-term asset development and increase family self-sufficiency. Participants can qualify for up to \$2,000 in State matching funds for savings to pay for higher education, job training, purchase of a home, starting a small business, emergency medical costs, an automobile, or assistive technology for a family member with a disability. The Program received a General Fund appropriation of \$100,000 in FY 2013 but no appropriation in FY 2014 or FY 2015. In addition to State appropriations, funding comes from federal sources and private donations including 332 total assets of which 170 were purchased with State funds. The Subcommittee may want an update on the Program's federal funding status and any further initiatives planned in the coming fiscal year.



## DEPARTMENT OF INSPECTIONS AND APPEALS

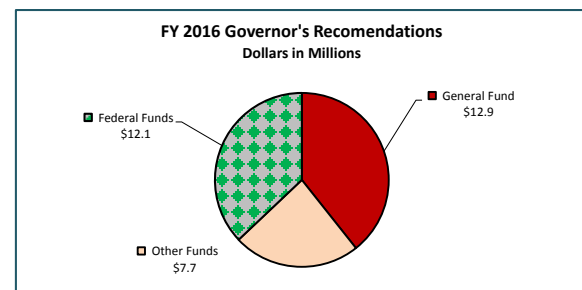
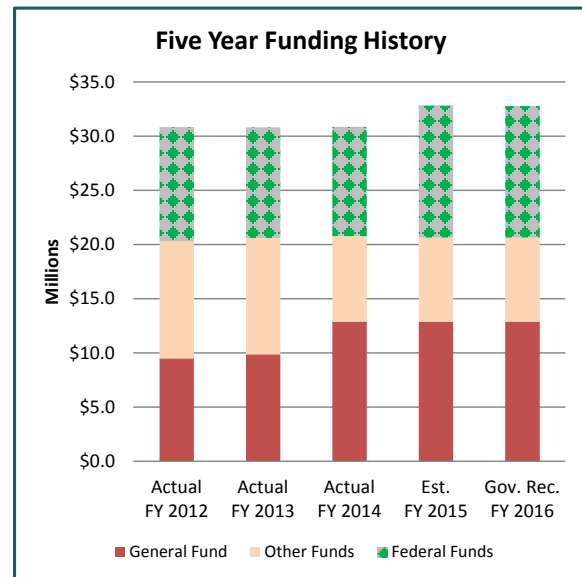
### Overview and Funding History

**Agency Overview:** The [Department of Inspections and Appeals \(DIA\)](#) is a regulatory agency charged with protecting the health, safety, and well-being of Iowans. The DIA consists of four major divisions: the Administration Division, the Administrative Hearings Division, the Health Facilities Division, and the Investigations Division. The Food and Consumer Safety Bureau, Social and Charitable Gambling Unit, and Targeted Small Business (TSB) Certification Program are located in the Administration Division. The DIA also includes five administrative units: the Child Advocacy Board, the Employment Appeal Board, the Hospital Licensing Board, the Iowa Racing and Gaming Commission, and the State Public Defender. The State Public Defender is funded through the Justice System Appropriation Subcommittee and is not discussed in this section.

**Funding History:** Much of the recent increase in funding came from increased federal funding. In FY 2012, funding for regulation by the Racing and Gaming Commission was shifted from the General Fund to the newly created Gaming Regulatory Revolving Fund, producing the \$5,589,540 shift. The Revolving Fund received fees from the gaming industry that had previously been deposited in the State General Fund. In FY 2014, \$3,000,000 in operational funding was shifted from the Medicaid Fraud Fund to the General Fund.

### Governor's Recommendations

**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$12,891,142. This is no change compared to estimated FY 2015. The Governor is recommending FY 2016 other fund appropriations totaling \$7,738,108. This is no change compared to FY 2015.



### FY 2013 Quick Facts – DIA

**11,642**

Inspections by the Food and Consumer Safety Bureau.

**13,636**

Contested cases heard by Administrative Hearings Division.

**400 and 2,064**

Nursing homes inspected and complaints investigated by Health Facilities Division.

## General Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b><u>Inspections &amp; Appeals, Dept. of</u></b>				
<b>Inspections and Appeals, Dept. of</b>				
Administration Division	\$ 545,242	\$ 545,242	\$ 545,242	\$ 0
Administrative Hearings Division	678,942	678,942	678,942	0
Investigations Division	2,573,089	2,573,089	2,573,089	0
Health Facilities Division	5,092,033	5,092,033	5,092,033	0
Employment Appeal Board	42,215	42,215	42,215	0
Child Advocacy Board	2,680,290	2,680,290	2,680,290	0
Food and Consumer Safety	1,279,331	1,279,331	1,279,331	0
<b>Total Inspections &amp; Appeals, Dept. of</b>	<b>\$ 12,891,142</b>	<b>\$ 12,891,142</b>	<b>\$ 12,891,142</b>	<b>\$ 0</b>

## Other Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b><u>Inspections &amp; Appeals, Dept. of</u></b>				
<b>Inspections and Appeals, Dept. of</b>				
DIA - RUTF	\$ 1,623,897	\$ 1,623,897	\$ 1,623,897	\$ 0
<b>Racing Commission</b>				
Pari-Mutuel Regulation GRF	\$ 3,068,492	\$ 0	\$ 0	\$ -3,068,492
Gaming Regulation (Riverboat) - GRF	3,045,719	6,114,211	6,114,211	3,068,492
<b>Total Racing Commission</b>	<b>\$ 6,114,211</b>	<b>\$ 6,114,211</b>	<b>\$ 6,114,211</b>	<b>\$ 0</b>
<b>Total Inspections &amp; Appeals, Dept. of</b>	<b>\$ 7,738,108</b>	<b>\$ 7,738,108</b>	<b>\$ 7,738,108</b>	<b>\$ 0</b>

## Governor's Recommendations – Significant Other Fund Changes

## Discussion Items

**Food Inspections** – The Department continues to work on implementing new administrative rules requiring restaurants, grocery stores, and other food establishments to have a certified food protection manager to oversee the safe handling, preparation, and service of food items. The number of relinquishments of inspections by local county inspectors to the DIA continues to increase. The Subcommittee may want to ask DIA to discuss these issues and identify upcoming trends.

**Merging of Appropriations: Racing and Gaming Fund** - In FY 2016, the Governor recommends merging the Pari-Mutuel appropriation with the Gaming Regulation (Riverboat) appropriation. The recommended change between FY 2015 and FY 2016 results in a decrease of \$3,068,492 and FY 2017, when compared to FY 2016, will show an increase of the Gaming Regulation appropriation by the same amount.

## DEPARTMENT OF MANAGEMENT

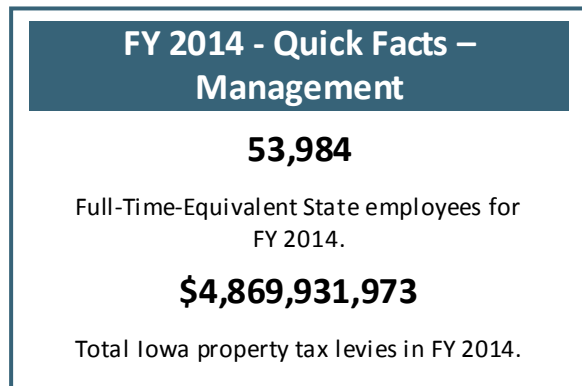
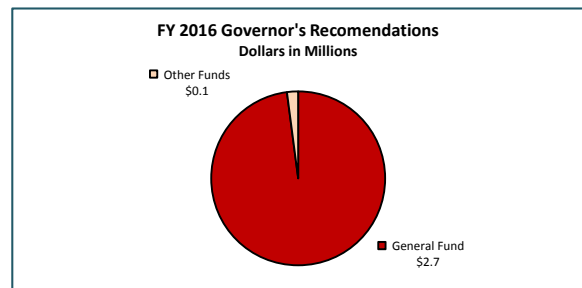
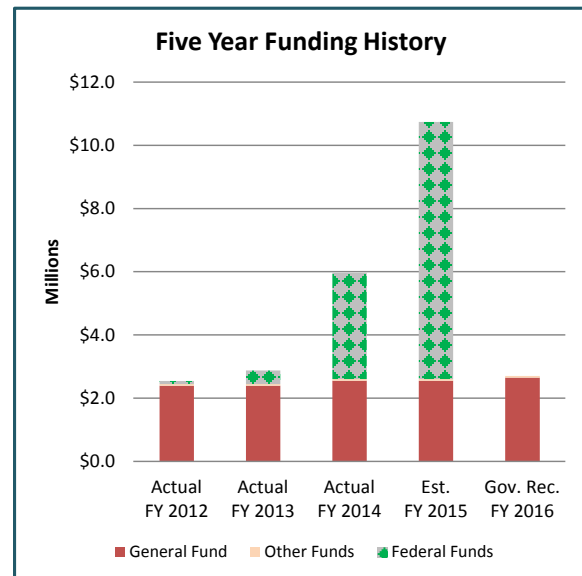
### Overview and Funding History

**Agency Overview:** The [Department of Management \(DOM\)](#) is the planning and budgeting agency within the Executive Branch. The director of the DOM serves as the Governor's chief financial advisor.

**Funding History:** The Department's funding comes primarily from the State General Fund, and a small amount (\$56,000) comes from the Road Use Tax Fund (RUTF). The DOM received one-time federal funding from the Children's Health Insurance Program (CHIP) totaling \$3,178,811 in FY 2014 and \$8,131,837 in FY 2015. These funds were deposited in the Rebuild Iowa Infrastructure Fund (RIIF).

### Governor's Recommendations

**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$2,650,220. This is an increase of \$100,000 compared to estimated FY 2015. The Governor is recommending FY 2016 other fund appropriations totaling \$56,000. This is no change compared to estimated FY 2015.



**General Fund Recommendations**

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Management, Dept. of</b>				
Management, Dept. of Department Operations	\$ 2,550,220	\$ 2,550,220	\$ 2,650,220	\$ 100,000
<b>Total Management, Dept. of</b>	<b>\$ 2,550,220</b>	<b>\$ 2,550,220</b>	<b>\$ 2,650,220</b>	<b>\$ 100,000</b>

**Other Fund Recommendations**

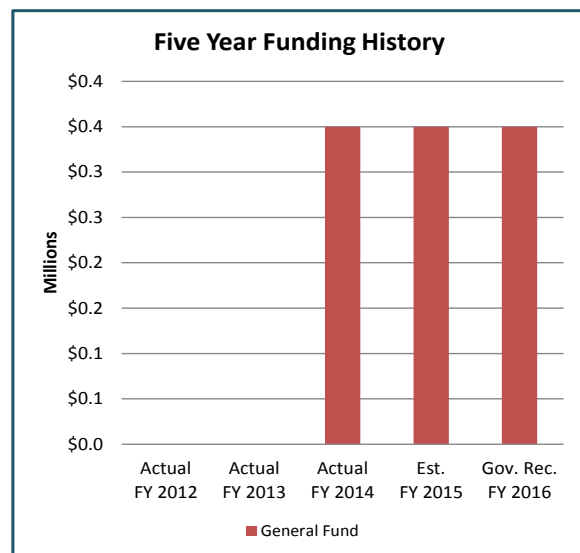
	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Management, Dept. of</b>				
Management, Dept. of DOM Operations - RUTF	\$ 56,000	\$ 56,000	\$ 56,000	\$ 0
<b>Total Management, Dept. of</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 0</b>

**Governor's Recommendations – Significant Changes**

<b>Department of Management</b>	
An increase to cover the rising costs of day-to-day operations for the DOM in FY 2016, including DAS technology reimbursements.	\$ 100,000

**IOWA PUBLIC INFORMATION BOARD****Overview and Funding History**

**Agency Overview:** The [Iowa Public Information Board](#) was created by [SF 430 \(Public Information Board Act\)](#) during the 2012 Legislative Session to provide an alternative for complaint proceedings regarding open meetings and public record laws. The Board consists of nine members appointed by the Governor and confirmed by the Senate. Prior to establishment of the Board, complaints relating to the open meetings and public records laws were handled by different agencies in the State. The Office of Citizens' Aide/Ombudsman handled many of these cases. In addition, some cases were handled by the Attorney General's Office, as well as internally by local entities. Board appointments were made, and the



Board began meeting in July 2012 to organize, develop administrative rules, and identify staffing needs and budget requirements. The Board received a General Fund appropriation and became operational in July 2013.

**Funding History:** The Board's funding comes from the State General Fund. The first appropriation was in FY 2014.

### Governor's Recommendations

**FY 2016:** The Governor is recommending an FY 2016 General Fund appropriation of \$350,000 for the Board. This is no change compared to estimated FY 2015.

### CY 2013 Quick Facts – Public Information Board

**43**

Formal complaints

**3**

Formal opinions and declaratory orders

**203**

Informal complaints, informal requests, and other requests

### General Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Public Information Board</b>				
<b>Public Information Board</b>				
Iowa Public Information Board	\$ 350,000	\$ 400,000	\$ 350,000	\$ 0
<b>Total Public Information Board</b>	<b>\$ 350,000</b>	<b>\$ 400,000</b>	<b>\$ 350,000</b>	<b>\$ 0</b>

### Discussion Items

**Organization and Progress** – The Iowa Public Information Board (IPIB) became operational at the beginning of FY 2014. The Subcommittee may want to review the staffing adequacy, identify statutory changes needed to facilitate operations, and manage increasing requests and caseloads.

## DEPARTMENT OF REVENUE

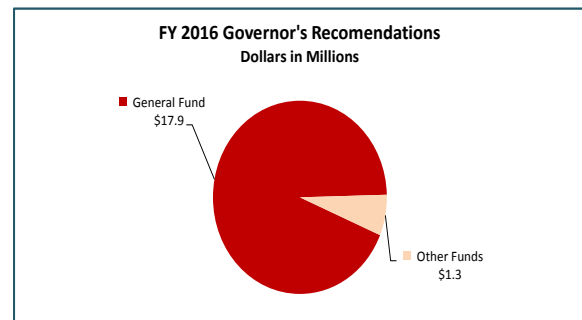
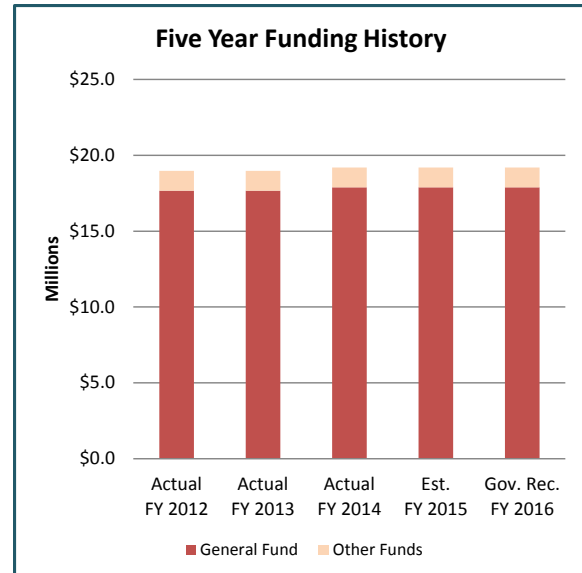
### Overview and Funding History

**Agency Overview:** The [Department of Revenue \(DR\)](#) is comprised of five divisions, including: Tax Management, Property Tax, Internal Services, Technology and Information Management, and Tax Policy and Communications. The Department of Revenue collects all taxes in Iowa that are required by law. The Department also provides taxpayers with information that supports tax filing and payments.

**Funding History:** The Department receives \$1,305,775 from the Motor Vehicle Fuel Tax Fund (MVFT) for administration, and the remaining appropriations come from the General Fund. The Department's General Fund appropriation has remained steady with the exception of a decrease in FY 2012, which was primarily the result of the introduction of the State Employee Retirement Incentive Program (SERIP) in FY 2011.

### Governor's Recommendations

**FY 2016:** The Governor is recommending an FY 2016 General Fund appropriation of \$17,880,839. This is no change compared to estimated FY 2015. The Governor is recommending FY 2016 other fund appropriations totaling \$1,305,775. This is no change compared to estimated FY 2015.



### FY 2013 Quick Facts – Revenue

**\$3,566,657,342**

Net Individual Income Tax

**\$427,355,765**

Net Corporate Income Tax

**\$2,878,013,137**

Net Sales and Use Tax

**General Fund Recommendations**

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Revenue, Dept. of</b>				
Revenue, Dept. of				
Revenue, Department of	\$ 17,880,839	\$ 17,880,839	\$ 17,880,839	\$ 0
<b>Total Revenue, Dept. of</b>	\$ 17,880,839	\$ 17,880,839	\$ 17,880,839	\$ 0

**Other Fund Recommendations**

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Revenue, Dept. of</b>				
Revenue, Dept. of				
Motor Fuel Tax Admin - MVFT	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 0
<b>Total Revenue, Dept. of</b>	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 0

**Discussion Items**

**Tax Management Division Consolidation** – At the beginning of FY 2014, the Department restructured their tax functions into one division with three sections: Receipts, Enforcement, and Collections. The Subcommittee may want to inquire into the efficiency gains.

**Taxpayer Education and Compliance** – The Department addresses taxpayer compliance through education and outreach. The Department has recently modified their website, <https://tax.iowa.gov>, to better assist Iowans with questions regarding the filing and paying of individual and corporate taxes. The Subcommittee may want to inquire into the effectiveness and gains of this new tool.

**Upgrade of Computer Systems** – The Department continues to work toward short-term stabilization projects and long-term development of a fully integrated tax system. The system processes checks and cash, deposits the money in the bank, and balances the bank deposit with the I/3 system and the tax return. The hardware and software for this system was approximately 15 years old and antiquated. Beginning January 14, 2014, the Department switched to a virtual check processing function that is compliant with federal Check 21 requirements. Checks are imaged and a digital facsimile will be sent to the bank for deposit. The paper checks remain at the Department and are eventually destroyed. The imaging function captures relevant data and provides data reconciliation and an audit trail. The Subcommittee may be interested in the Department's current technology situation and the effectiveness and efficiency of the system in assisting Iowa's taxpayers.

## SECRETARY OF STATE

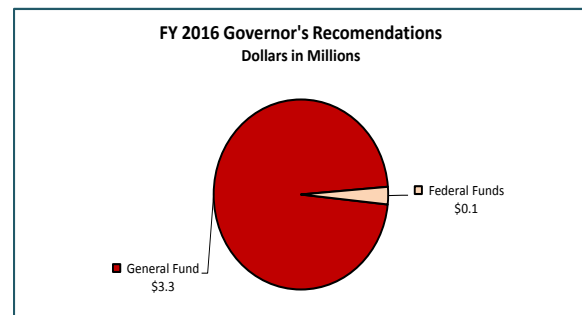
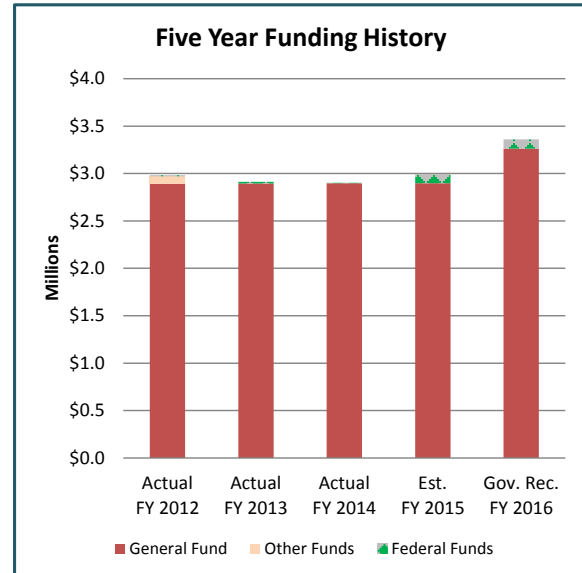
### Overview and Funding History

**Agency Overview:** The Office of [Secretary of State](#) was created in 1857 in [Article IV, Section 22](#), of the Iowa Constitution. The duties of the Office are spelled out in Iowa Code chapter [9](#). The Office also coordinates and supervises elections and maintains and operates the Voter Registration Program.

**Funding History:** The Secretary of State receives an annual appropriation from the General Fund for the majority of the operational cost of the Office. In FY 2012, the Secretary of State received \$75,000 from the Iowa Access Revolving Fund.

### Governor's Recommendations

**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$3,261,699. This is an increase of \$365,000 compared to estimated FY 2015. The Governor is also recommending an FY 2016 Other Fund increase of \$450,000 from the Technology Reinvestment Fund (TRF) to update the Voter Registration and Business Services Systems. This Other Fund recommendation will be presented to the Transportation, Infrastructure, and Capitals Committee.



### FY 2013 Quick Facts – Secretary of State

**2,144,612**

Registered Iowa voters in the 2012 General Election.

**1,572,198**

Total Iowa votes cast in the 2012 General Election.

**679,118**

Absentee Iowa voters in the 2012 General Election.

## General Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b>Secretary of State</b>				
Secretary of State				
Secretary of State - Operations	\$ 2,896,699	\$ 2,896,699	\$ 3,261,699	\$ 365,000
<b>Total Secretary of State</b>	<b>\$ 2,896,699</b>	<b>\$ 2,896,699</b>	<b>\$ 3,261,699</b>	<b>\$ 365,000</b>

## Governor's Recommendations – Significant Changes

<b>Secretary of State</b>	
An increase to fill the annual shortfall for conducting elections and voter registration.	\$ 365,000

## Discussion Items

**Elections and Voter Registration** – The Governor is recommending a General Fund increase of \$365,000 to fill the annual shortfall for conducting elections and voter registration. The General Fund appropriation is currently supported with one-time moneys from the State Election Fund. Money in the Fund is from interest earned on the Help American Vote Act (HAVA) funds for conducting election and voter registrations that are federally and State mandated. The following includes a breakdown of ongoing expenses that are offset by approximately \$280,000 in county maintenance fees (13.5 cents per registered voter) used to maintain the system:

- \$236,000 annual vendor contract costs for maintenance of the IVoter System (Statewide Voter Registration System) (\$19,700 per month).
- \$170,000 annual cost of the IVoter software licenses.
- \$234,000 Statewide Election results reporting for vendor costs and maintenance of the IVoter System (Statewide Voter Registration System).

**Phase 1 Upgrade of the Voter Registration System** – The following information is a recommendation for the Transportation, Infrastructure, and Capitals Committee and is provided here for informational purposes only. The Governor is recommending \$450,000 from the Technology Reinvestment Fund (TRF) to begin Phase I for updating and upgrading the capabilities of the aging voter registration system and business services data systems to assist with open and transparent elections and business services information. This may include voter verification systems, electronic poll book applications, collection of data from existing data sources including the Department of Transportation (DOT) and county treasurers offices, moving to cloud-based storage applications, and implementing disaster recovery redundancy. Phase II of the project is set to begin in FY 2017 to update and/or replace the aging voter registration and business services information systems.

## TREASURER OF STATE

### Overview and Funding History

**Agency Overview:** The position of [Treasurer of State](#) was created in 1857 by [Article IV, Section 22](#), of the Iowa Constitution. The Treasurer is elected by a statewide popular vote and serves a four-year term. The duties and responsibilities of the Office are specified in Iowa Code chapter [12](#). The Treasurer of State provides financial services to the State of Iowa by maintaining records of the receipts and disbursements in the State treasury. The Treasurer is responsible for reporting the bonding activities of all political subdivisions and agencies and makes recommendations to the General Assembly and the Governor on modifications to the bonding authority.

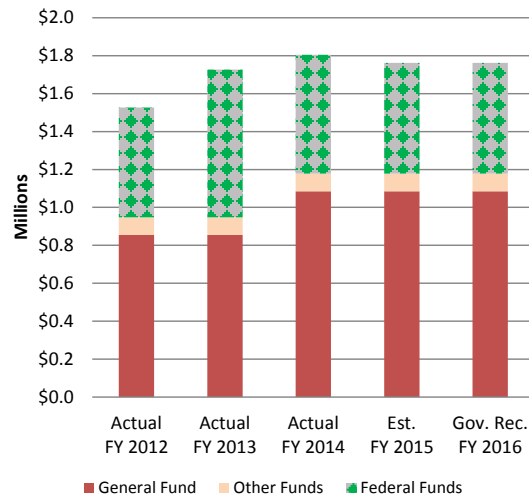
**Funding History:** The Treasurer of State's Office receives an annual appropriation from the General Fund to fund the majority of the operational cost of the Office related to State finance and accounting activities. In addition to the General Fund appropriation, the Treasurer's Office receives an annual appropriation from the Road Use Tax Fund that is used to reimburse the DAS for providing information technology services related to the administration of the Road Use Tax Fund. The Office also receives operating revenues through reimbursements from other funding sources for providing staff support for various programs including: Unclaimed Property, Iowa Educational Savings Plan Trust, Protection of Public Fund Deposits, IPERS Fund, Peace Officers Retirement System, Judicial Retirement System, Tobacco Settlement Authority, and Cash Management. The Office received an FY 2014 General Fund appropriation increase of \$230,103 due to an I/3 distribution.

### Governor's Recommendations

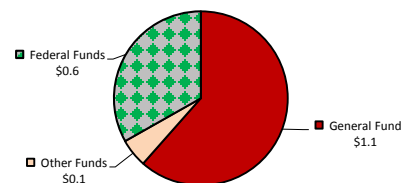
**FY 2016:** The Governor is recommending FY 2016 General Fund appropriations of \$1,084,392. This represents no change compared to estimated FY 2015.

The Governor is also recommending a Road Use Tax Fund appropriation of \$93,148 for FY 2016 to fund a portion of I/3 budget system expenses. This represents no change compared to estimated FY 2015.

**Five Year Funding History**



**FY 2016 Governor's Recommendations**  
Dollars in Millions



### FY 2014 Quick Facts – Treasurer of State

**\$25,756,376,125**

June 30, 2014, Total Treasury Balance.

**\$21,496,520,988**

Fiscal Year 2014 Total Treasury Receipts.

**\$20,553,079,342**

Fiscal Year 2014 Total Treasury Disbursements.

Source: Treasurer of State

## General Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b><u>Treasurer of State</u></b>				
<b>Treasurer of State</b>				
Treasurer - General Office	\$ 1,084,392	\$ 1,084,392	\$ 1,084,392	\$ 0
<b>Total Treasurer of State</b>	<b>\$ 1,084,392</b>	<b>\$ 1,084,392</b>	<b>\$ 1,084,392</b>	<b>\$ 0</b>

## Other Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<b><u>Treasurer of State</u></b>				
<b>Treasurer of State</b>				
I-3 Expenses - RUTF	\$ 93,148	\$ 93,148	\$ 93,148	\$ 0
<b>Total Treasurer of State</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 0</b>

## IOWA PUBLIC EMPLOYEES RETIREMENT SYSTEM

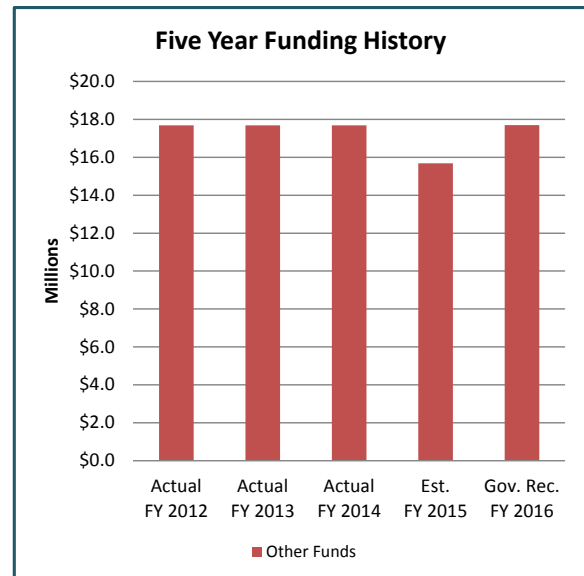
### Overview and Funding History

**Agency Overview:** The [Iowa Public Employees' Retirement System \(IPERS\)](#) administers the retirement benefits for many of Iowa's public employees. Iowa's public employers use IPERS benefits to attract and retain qualified public personnel in public service. The benefits help public employees care for themselves during retirement.

**Funding History:** Funding for IPERS comes from the IPERS' Trust Fund. The revenue reduction in FY 2014 is due to the completion of the I-Que computer system implementation.

### Governor's Recommendations

**FY 2015:** The Governor is recommending an appropriation of \$17,686,968 from the IPERS Trust Fund for the administration of the Fund. This is an increase of \$2,000,000 compared to estimated FY 2015.



### FY 2014 Quick Facts – IPERS

**108,233**

Number of retired IPERS members.

**165,913**

Number of active IPERS members.

**\$28,038,549,893**

Total net assets.

### Other Fund Recommendations

	Estimated FY 2015 (1)	Dept Request FY 2016 (2)	Gov Rec FY 2016 (3)	Gov Rec vs Est FY 2015 (4)
<u>IPERS Administration</u>				
IPERS Administration	\$ 15,686,968	\$ 17,686,968	\$ 17,686,968	\$ 2,000,000
<b>Total IPERS Administration</b>	<b>\$ 15,686,968</b>	<b>\$ 17,686,968</b>	<b>\$ 17,686,968</b>	<b>\$ 2,000,000</b>

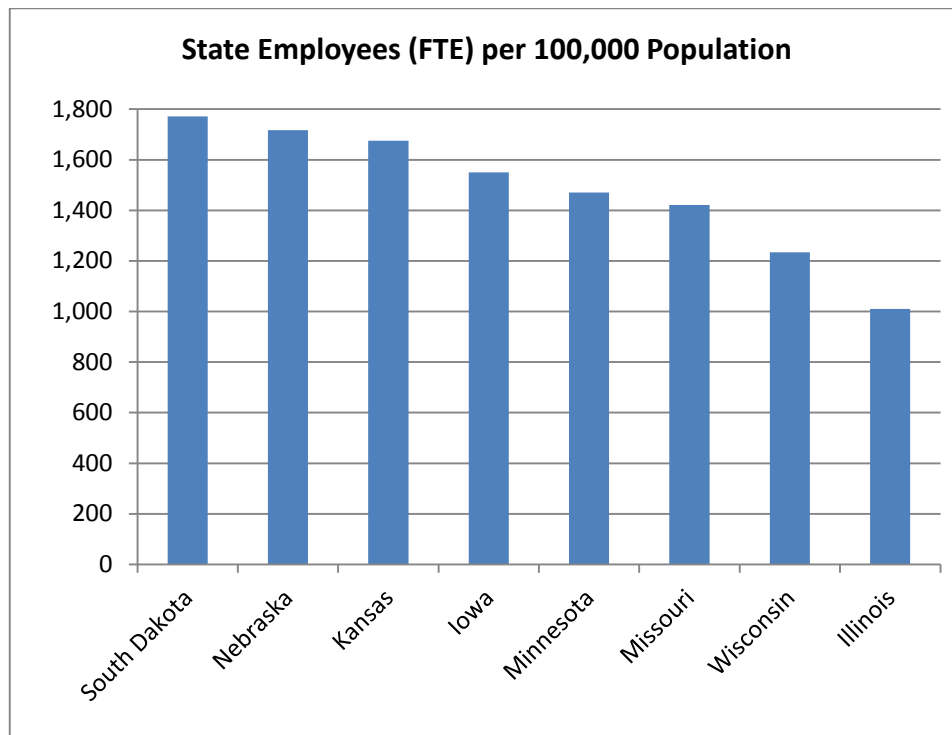
### Governor's Recommendations – Significant Other Fund Changes

<b>Iowa Public Employees Retirement System</b>	
An increase for technology upgrade for the I-Que computer system.	\$ 2,000,000

## Comparison to Other States

### Full-Time-Equivalent (FTE) State Government Employees

The [Book of the States](#) reports the number of full-time-equivalent (FTE) state government employees for all states. The following chart shows the number of FY 2013 employee FTEs per 100,000 state residents based on the 2013 Census estimate. Using the number of FTEs per 100,000 population creates a ratio that can be used to compare different states. Compared to the surrounding states, South Dakota has the most state employees relative to the population served, and Illinois has the fewest. Iowa ranks fourth.



### LSA Publications

The following *Issue Reviews* and *Fiscal One-On-One Audios* have been issued by the LSA that relate to the Administration and Regulation Appropriations Subcommittee:

- *Issue Reviews:*
  - [Department of Administrative Services Construction Management Services](#)
  - [State Collective Bargaining in Iowa](#)
  - [Expenditures by the Department of Administrative Services: 2009-2013](#)
  - [State of Iowa FY 2014 FTE Positions and Personnel Costs](#)
  - [State Employee Sick Leave Benefits at Retirement](#)
  - [Trends in General Fund Appropriations](#)
  - [Iowa's Expenditure Limitation Process](#)
  - [Overview of Iowa Public Pensions](#)

The following reports of general interest have been issued by the LSA:

- *Fiscal One-On-One Audio Interviews:*  
[State Budget Process](#)  
[Legislative Bill Drafting](#)  
[Revenue Estimating Conference \(REC\)](#)

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# **Appendix A**

## **General Fund Tracking**

# Administration and Regulation

## General Fund

	Actual FY 2014 (1)	Estimated FY 2015 (2)	Gov Rec FY 2016 (3)	Gov Rec FY16 vs Est FY 2015 (4)	Gov Rec YR2 FY 2017 (5)	Gov Rec FY17 vs Gov Rec FY 16 (6)
<b><u>Administrative Services, Dept. of</u></b>						
Administrative Services						
<a href="#">Administrative Services, Dept.</a>	\$ 4,067,924	\$ 4,067,924	\$ 4,067,924	\$ 0	\$ 4,067,924	\$ 0
<a href="#">Utilities</a>	2,658,909	2,568,909	3,178,948	610,039	3,178,948	0
<a href="#">Terrace Hill Operations</a>	405,914	405,914	527,914	122,000	527,914	0
<b>Total Administrative Services, Dept. of</b>	<b>\$ 7,132,747</b>	<b>\$ 7,042,747</b>	<b>\$ 7,774,786</b>	<b>\$ 732,039</b>	<b>\$ 7,774,786</b>	<b>\$ 0</b>
<b><u>Auditor of State</u></b>						
Auditor Of State						
<a href="#">Auditor of State - General Office</a>	\$ 914,506	\$ 944,506	\$ 991,731	\$ 47,225	\$ 1,041,317	\$ 49,586
<b>Total Auditor of State</b>	<b>\$ 914,506</b>	<b>\$ 944,506</b>	<b>\$ 991,731</b>	<b>\$ 47,225</b>	<b>\$ 1,041,317</b>	<b>\$ 49,586</b>
<b><u>Ethics and Campaign Disclosure</u></b>						
Campaign Finance Disclosure						
<a href="#">Ethics &amp; Campaign Disclosure Board</a>	\$ 490,335	\$ 550,335	\$ 550,335	\$ 0	\$ 550,335	\$ 0
<b>Total Ethics and Campaign Disclosure</b>	<b>\$ 490,335</b>	<b>\$ 550,335</b>	<b>\$ 550,335</b>	<b>\$ 0</b>	<b>\$ 550,335</b>	<b>\$ 0</b>
<b><u>Commerce, Dept. of</u></b>						
Alcoholic Beverages						
<a href="#">Alcoholic Beverages Operations</a>	\$ 1,220,391	\$ 1,220,391	\$ 1,220,391	\$ 0	\$ 1,220,391	\$ 0
Professional Licensing and Reg.						
<a href="#">Professional Licensing Bureau</a>	\$ 601,537	\$ 601,537	\$ 601,537	\$ 0	\$ 601,537	\$ 0
<b>Total Commerce, Dept. of</b>	<b>\$ 1,821,928</b>	<b>\$ 1,821,928</b>	<b>\$ 1,821,928</b>	<b>\$ 0</b>	<b>\$ 1,821,928</b>	<b>\$ 0</b>
<b><u>Iowa Tele &amp; Tech Commission</u></b>						
Iowa Communications Network						
<a href="#">Regional Telecom Councils</a>	\$ 992,913	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
<b>Total Iowa Tele &amp; Tech Commission</b>	<b>\$ 992,913</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>

# Administration and Regulation

## General Fund

	Actual FY 2014 (1)	Estimated FY 2015 (2)	Gov Rec FY 2016 (3)	Gov Rec FY16 vs Est FY 2015 (4)	Gov Rec YR2 FY 2017 (5)	Gov Rec FY17 vs Gov Rec FY 16 (6)
<b>Governor</b>						
<b>Governor's Office</b>						
<a href="#">Governor/Lt. Governor's Office</a>	\$ 2,196,455	\$ 2,196,455	\$ 2,396,455	\$ 200,000	\$ 2,396,455	\$ 0
<a href="#">Terrace Hill Quarters</a>	93,111	93,111	0	-93,111	0	0
<b>Total Governor</b>	<u>\$ 2,289,566</u>	<u>\$ 2,289,566</u>	<u>\$ 2,396,455</u>	<u>\$ 106,889</u>	<u>\$ 2,396,455</u>	<u>\$ 0</u>
<b>Governor's Office of Drug Control Policy</b>						
<b>Office of Drug Control Policy</b>						
<a href="#">Drug Policy Coordinator</a>	\$ 241,134	\$ 241,134	\$ 241,134	\$ 0	\$ 241,134	\$ 0
<b>Total Governor's Office of Drug Control Policy</b>	<u>\$ 241,134</u>	<u>\$ 241,134</u>	<u>\$ 241,134</u>	<u>\$ 0</u>	<u>\$ 241,134</u>	<u>\$ 0</u>
<b>Human Rights, Dept. of</b>						
<b>Human Rights, Department of</b>						
<a href="#">Central Administration</a>	\$ 224,184	\$ 224,184	\$ 254,184	\$ 30,000	\$ 254,184	\$ 0
<a href="#">Community Advocacy and Services</a>	1,028,077	1,028,077	1,028,077	0	1,028,077	0
<b>Total Human Rights, Dept. of</b>	<u>\$ 1,252,261</u>	<u>\$ 1,252,261</u>	<u>\$ 1,282,261</u>	<u>\$ 30,000</u>	<u>\$ 1,282,261</u>	<u>\$ 0</u>
<b>Inspections &amp; Appeals, Dept. of</b>						
<b>Inspections and Appeals, Dept. of</b>						
<a href="#">Administration Division</a>	\$ 545,242	\$ 545,242	\$ 545,242	\$ 0	\$ 545,242	\$ 0
<a href="#">Administrative Hearings Division</a>	678,942	678,942	678,942	0	678,942	0
<a href="#">Investigations Division</a>	2,573,089	2,573,089	2,573,089	0	2,573,089	0
<a href="#">Health Facilities Division</a>	5,092,033	5,092,033	5,092,033	0	5,092,033	0
<a href="#">Employment Appeal Board</a>	42,215	42,215	42,215	0	42,215	0
<a href="#">Child Advocacy Board</a>	2,680,290	2,680,290	2,680,290	0	2,680,290	0
<a href="#">Food and Consumer Safety</a>	1,279,331	1,279,331	1,279,331	0	1,279,331	0
<b>Total Inspections &amp; Appeals, Dept. of</b>	<u>\$ 12,891,142</u>	<u>\$ 12,891,142</u>	<u>\$ 12,891,142</u>	<u>\$ 0</u>	<u>\$ 12,891,142</u>	<u>\$ 0</u>
<b>Management, Dept. of</b>						
<b>Management, Dept. of</b>						
<a href="#">Department Operations</a>	\$ 2,550,220	\$ 2,550,220	\$ 2,650,220	\$ 100,000	\$ 2,650,220	\$ 0
<b>Total Management, Dept. of</b>	<u>\$ 2,550,220</u>	<u>\$ 2,550,220</u>	<u>\$ 2,650,220</u>	<u>\$ 100,000</u>	<u>\$ 2,650,220</u>	<u>\$ 0</u>

# Administration and Regulation

## General Fund

	Actual FY 2014 (1)	Estimated FY 2015 (2)	Gov Rec FY 2016 (3)	Gov Rec FY16 vs Est FY 2015 (4)	Gov Rec YR2 FY 2017 (5)	Gov Rec FY17 vs Gov Rec FY 16 (6)
<b><u>Public Information Board</u></b>						
Public Information Board <a href="#">Iowa Public Information Board</a>	\$ 350,000	\$ 350,000	\$ 350,000	\$ 0	\$ 350,000	\$ 0
<b>Total Public Information Board</b>	<b>\$ 350,000</b>	<b>\$ 350,000</b>	<b>\$ 350,000</b>	<b>\$ 0</b>	<b>\$ 350,000</b>	<b>\$ 0</b>
<b><u>Revenue, Dept. of</u></b>						
Revenue, Dept. of <a href="#">Revenue, Department of</a>	\$ 17,880,839	\$ 17,880,839	\$ 17,880,839	\$ 0	\$ 17,880,839	\$ 0
<b>Total Revenue, Dept. of</b>	<b>\$ 17,880,839</b>	<b>\$ 17,880,839</b>	<b>\$ 17,880,839</b>	<b>\$ 0</b>	<b>\$ 17,880,839</b>	<b>\$ 0</b>
<b><u>Secretary of State</u></b>						
Secretary of State <a href="#">Secretary of State - Operations</a>	\$ 2,896,699	\$ 2,896,699	\$ 3,261,699	\$ 365,000	\$ 3,261,699	\$ 0
<b>Total Secretary of State</b>	<b>\$ 2,896,699</b>	<b>\$ 2,896,699</b>	<b>\$ 3,261,699</b>	<b>\$ 365,000</b>	<b>\$ 3,261,699</b>	<b>\$ 0</b>
<b><u>Treasurer of State</u></b>						
Treasurer of State <a href="#">Treasurer - General Office</a>	\$ 1,084,392	\$ 1,084,392	\$ 1,084,392	\$ 0	\$ 1,084,392	\$ 0
<b>Total Treasurer of State</b>	<b>\$ 1,084,392</b>	<b>\$ 1,084,392</b>	<b>\$ 1,084,392</b>	<b>\$ 0</b>	<b>\$ 1,084,392</b>	<b>\$ 0</b>
<b>Total Administration and Regulation</b>	<b>\$ 52,788,682</b>	<b>\$ 51,795,769</b>	<b>\$ 53,176,922</b>	<b>\$ 1,381,153</b>	<b>\$ 53,226,508</b>	<b>\$ 49,586</b>

# Administration and Regulation

## Other Funds

	Actual FY 2014 (1)	Estimated FY 2015 (2)	Gov Rec FY 2016 (3)	Gov Rec FY16 vs Est FY 2015 (4)	Gov Rec YR2 FY 2017 (5)	Gov Rec FY17 vs Gov Rec FY 16 (6)
<b>Commerce, Dept. of</b>						
Banking Division						
<a href="#">Banking Division - CMRF</a>	\$ 9,167,235	\$ 9,317,235	\$ 9,667,235	\$ 350,000	\$ 9,767,235	\$ 100,000
Credit Union Division						
<a href="#">Credit Union Division - CMRF</a>	\$ 1,794,256	\$ 1,794,256	\$ 1,869,256	\$ 75,000	\$ 1,869,256	\$ 0
Insurance Division						
<a href="#">Insurance Division - CMRF</a>	\$ 5,032,989	\$ 5,099,989	\$ 5,325,889	\$ 225,900	\$ 5,325,889	\$ 0
Utilities Division						
<a href="#">Utilities Division - CMRF</a>	\$ 8,179,405	\$ 8,329,405	\$ 8,560,405	\$ 231,000	\$ 8,560,405	\$ 0
Professional Licensing and Reg.						
Field Auditor - Housing Impr. Fund	\$ 62,317	\$ 62,317	\$ 62,317	\$ 0	\$ 62,317	\$ 0
<b>Total Commerce, Dept. of</b>	<b>\$ 24,236,202</b>	<b>\$ 24,603,202</b>	<b>\$ 25,485,102</b>	<b>\$ 881,900</b>	<b>\$ 25,585,102</b>	<b>\$ 100,000</b>
<b>Inspections &amp; Appeals, Dept. of</b>						
Inspections and Appeals, Dept. of						
DIA - RUTF	\$ 1,623,897	\$ 1,623,897	\$ 1,623,897	\$ 0	\$ 1,623,897	\$ 0
Medicaid Fraud Annual Conference - MFF	6,500	0	0	0	0	0
<b>Total Inspections and Appeals, Dept. of</b>	<b>\$ 1,630,397</b>	<b>\$ 1,623,897</b>	<b>\$ 1,623,897</b>	<b>\$ 0</b>	<b>\$ 1,623,897</b>	<b>\$ 0</b>
Racing Commission						
<a href="#">Pari-Mutuel Regulation GRF</a>	\$ 3,068,492	\$ 3,068,492	\$ 0	\$ -3,068,492	\$ 0	\$ 0
<a href="#">Gaming Regulation (Riverboat) - GRF</a>	3,045,719	3,045,719	6,114,211	3,068,492	6,114,211	0
Socioeconomic Gambling Study - GRF	125,000	0	0	0	0	0
<b>Total Racing Commission</b>	<b>\$ 6,239,211</b>	<b>\$ 6,114,211</b>	<b>\$ 6,114,211</b>	<b>\$ 0</b>	<b>\$ 6,114,211</b>	<b>\$ 0</b>
<b>Total Inspections &amp; Appeals, Dept. of</b>	<b>\$ 7,869,608</b>	<b>\$ 7,738,108</b>	<b>\$ 7,738,108</b>	<b>\$ 0</b>	<b>\$ 7,738,108</b>	<b>\$ 0</b>
<b>Management, Dept. of</b>						
Management, Dept. of						
DOM Operations - RUTF	\$ 56,000	\$ 56,000	\$ 56,000	\$ 0	\$ 56,000	\$ 0
<b>Total Management, Dept. of</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 0</b>	<b>\$ 56,000</b>	<b>\$ 0</b>

# Administration and Regulation

## Other Funds

	Actual FY 2014 (1)	Estimated FY 2015 (2)	Gov Rec FY 2016 (3)	Gov Rec FY16 vs Est FY 2015 (4)	Gov Rec YR2 FY 2017 (5)	Gov Rec FY17 vs Gov Rec FY 16 (6)
<b><u>Revenue, Dept. of</u></b>						
Revenue, Dept. of						
Motor Fuel Tax Admin - MVFT	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 0	\$ 1,305,775	\$ 0
<b>Total Revenue, Dept. of</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 0</b>	<b>\$ 1,305,775</b>	<b>\$ 0</b>
<b><u>Treasurer of State</u></b>						
Treasurer of State						
I-3 Expenses - RUTF	\$ 93,148	\$ 93,148	\$ 93,148	\$ 0	\$ 93,148	\$ 0
<b>Total Treasurer of State</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 0</b>	<b>\$ 93,148</b>	<b>\$ 0</b>
<b><u>IPERS Administration</u></b>						
IPERS Administration						
IPERS Administration	\$ 17,686,968	\$ 15,686,968	\$ 17,686,968	\$ 2,000,000	\$ 17,686,968	\$ 0
<b>Total IPERS Administration</b>	<b>\$ 17,686,968</b>	<b>\$ 15,686,968</b>	<b>\$ 17,686,968</b>	<b>\$ 2,000,000</b>	<b>\$ 17,686,968</b>	<b>\$ 0</b>
<b>Total Administration and Regulation</b>	<b>\$ 51,247,701</b>	<b>\$ 49,483,201</b>	<b>\$ 52,365,101</b>	<b>\$ 2,881,900</b>	<b>\$ 52,465,101</b>	<b>\$ 100,000</b>

# **Appendix B**

## **Other Funds Tracking**

# Administration and Regulation

## Other Funds

	Actual FY 2014 (1)	Estimated FY 2015 (2)	Gov Rec FY 2016 (3)	Gov Rec FY16 vs Est FY 2015 (4)	Gov Rec YR2 FY 2017 (5)	Gov Rec FY17 vs Gov Rec FY 16 (6)
<b>Commerce, Dept. of</b>						
Banking Division						
<a href="#">Banking Division - CMRF</a>	\$ 9,167,235	\$ 9,317,235	\$ 9,667,235	\$ 350,000	\$ 9,767,235	\$ 100,000
Credit Union Division						
<a href="#">Credit Union Division - CMRF</a>	\$ 1,794,256	\$ 1,794,256	\$ 1,869,256	\$ 75,000	\$ 1,869,256	\$ 0
Insurance Division						
<a href="#">Insurance Division - CMRF</a>	\$ 5,032,989	\$ 5,099,989	\$ 5,325,889	\$ 225,900	\$ 5,325,889	\$ 0
Utilities Division						
<a href="#">Utilities Division - CMRF</a>	\$ 8,179,405	\$ 8,329,405	\$ 8,560,405	\$ 231,000	\$ 8,560,405	\$ 0
Professional Licensing and Reg.						
Field Auditor - Housing Impr. Fund	\$ 62,317	\$ 62,317	\$ 62,317	\$ 0	\$ 62,317	\$ 0
<b>Total Commerce, Dept. of</b>	<b>\$ 24,236,202</b>	<b>\$ 24,603,202</b>	<b>\$ 25,485,102</b>	<b>\$ 881,900</b>	<b>\$ 25,585,102</b>	<b>\$ 100,000</b>
<b>Inspections &amp; Appeals, Dept. of</b>						
Inspections and Appeals, Dept. of						
DIA - RUTF	\$ 1,623,897	\$ 1,623,897	\$ 1,623,897	\$ 0	\$ 1,623,897	\$ 0
Medicaid Fraud Annual Conference - MFF	6,500	0	0	0	0	0
<b>Total Inspections and Appeals, Dept. of</b>	<b>\$ 1,630,397</b>	<b>\$ 1,623,897</b>	<b>\$ 1,623,897</b>	<b>\$ 0</b>	<b>\$ 1,623,897</b>	<b>\$ 0</b>
Racing Commission						
<a href="#">Pari-Mutuel Regulation GRF</a>	\$ 3,068,492	\$ 3,068,492	\$ 0	\$ -3,068,492	\$ 0	\$ 0
<a href="#">Gaming Regulation (Riverboat) - GRF</a>	3,045,719	3,045,719	6,114,211	3,068,492	6,114,211	0
Socioeconomic Gambling Study - GRF	125,000	0	0	0	0	0
<b>Total Racing Commission</b>	<b>\$ 6,239,211</b>	<b>\$ 6,114,211</b>	<b>\$ 6,114,211</b>	<b>\$ 0</b>	<b>\$ 6,114,211</b>	<b>\$ 0</b>
<b>Total Inspections &amp; Appeals, Dept. of</b>	<b>\$ 7,869,608</b>	<b>\$ 7,738,108</b>	<b>\$ 7,738,108</b>	<b>\$ 0</b>	<b>\$ 7,738,108</b>	<b>\$ 0</b>
<b>Management, Dept. of</b>						
Management, Dept. of						
DOM Operations - RUTF	\$ 56,000	\$ 56,000	\$ 56,000	\$ 0	\$ 56,000	\$ 0
<b>Total Management, Dept. of</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 0</b>	<b>\$ 56,000</b>	<b>\$ 0</b>

# Administration and Regulation

## Other Funds

	Actual FY 2014 (1)	Estimated FY 2015 (2)	Gov Rec FY 2016 (3)	Gov Rec FY16 vs Est FY 2015 (4)	Gov Rec YR2 FY 2017 (5)	Gov Rec FY17 vs Gov Rec FY 16 (6)
<b><u>Revenue, Dept. of</u></b>						
Revenue, Dept. of						
Motor Fuel Tax Admin - MVFT	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 0	\$ 1,305,775	\$ 0
<b>Total Revenue, Dept. of</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 0</b>	<b>\$ 1,305,775</b>	<b>\$ 0</b>
<b><u>Treasurer of State</u></b>						
Treasurer of State						
I-3 Expenses - RUTF	\$ 93,148	\$ 93,148	\$ 93,148	\$ 0	\$ 93,148	\$ 0
<b>Total Treasurer of State</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 0</b>	<b>\$ 93,148</b>	<b>\$ 0</b>
<b><u>IPERS Administration</u></b>						
IPERS Administration						
IPERS Administration	\$ 17,686,968	\$ 15,686,968	\$ 17,686,968	\$ 2,000,000	\$ 17,686,968	\$ 0
<b>Total IPERS Administration</b>	<b>\$ 17,686,968</b>	<b>\$ 15,686,968</b>	<b>\$ 17,686,968</b>	<b>\$ 2,000,000</b>	<b>\$ 17,686,968</b>	<b>\$ 0</b>
<b>Total Administration and Regulation</b>	<b>\$ 51,247,701</b>	<b>\$ 49,483,201</b>	<b>\$ 52,365,101</b>	<b>\$ 2,881,900</b>	<b>\$ 52,465,101</b>	<b>\$ 100,000</b>



# **Appendix C**

## **FTE Position Tracking**

## Explanation of FTE Position Data

The following is an explanation of the Full-Time Equivalent (FTE) position information provided on the following tables. The columns of FTE data represent different points in time that the numbers were compiled. For additional information on the State's FTE positions, see the *Issue Review* entitled [State of Iowa FY 2014 FTE positions and Personnel Costs](#).

**Final Action FY 2014:** This information represents the number of FTE positions that were appropriated in session law during the 2013 Legislative Session.

**Actual FY 2014:** This data represents the actual FTE utilization calculated at the close of the fiscal year. The FTE usage is calculated by taking the actual hours worked during the fiscal year and dividing the number by 2,080 hours. For example, if a department has budgeted a full-time position (equating to 1.0 FTE) and this position is vacant for six months of the fiscal year, at the close of the fiscal year, the calculation of the actual FTE would be 0.5 ( $1,040 \div 2,080 = 0.5$ ). The calculation of the actual FTE factors out the portion of the FTE that was vacant during the fiscal year.

**Actual vs Final Act FY 2014:** This shows the difference between the estimates being used at the close of the 2013 Legislative Session and the actual FTE utilization calculated at the close of FY 2014.

**Final Action FY 2015:** This information represents the number of FTE positions that were appropriated in session law during the 2014 Legislative Session.

**Estimated FY 2015:** This data represents the estimated FTE positions that were budgeted by the departments at the beginning of FY 2015 and incorporates any revisions that would have been made to the budget by the departments through (approximately) December of 2013. Changes to the estimates can occur for a variety of reasons. For example, if departments are not provided funding for salary adjustment to cover the costs of funding collective bargaining contracts, the departments will often reduce the number of FTE positions in order to cover costs.

**Estimated vs Final Act FY 2015:** This column shows the difference between the estimates provided at the beginning of FY 2015 and the FTE positions enacted for FY 2015 during the 2014 Legislative Session.

**Gov Rec FY 2016:** This is the Governor's recommendation for FY 2016.

**Gov Rec FY 2016 vs Est FY 2015:** Represents the difference between the Governor's recommended FTE positions and the most recent estimates for FY 2015.

**Gov Rec YR2 FY 2017:** This is the Governor's recommendation for FY 2017.

**Gov Rec FY 2016 vs Est FY 2015:** Represents the difference between the Governor's recommended FTE positions for FY 2017 and the Governor's recommendation for FY 2016.

# Administration and Regulation

## FTE Positions

	Final Action FY 2014 (1)	Actual FY 2014 (2)	Actual vs Final FY 2014 (3)	Final Action FY 2015 (4)	Estimated FY 2015 (5)	Estimated vs Final FY 2015 (6)	Gov Rec FY 2016 (7)	Gov FY 2016 vs Est FY 2015 (8)	Gov Rec YR2 FY 2017 (9)	Gov FY 2017 vs Gov FY 2016 (10)
<b><u>Administrative Services, Dept. of</u></b>										
Administrative Services										
Administrative Services, Dept.	73.49	59.08	-14.41	65.79	56.56	-9.23	53.76	-2.80	53.76	0.00
Utilities	1.00	1.00	0.00	1.00	1.00	0.00	1.00	0.00	1.00	0.00
Terrace Hill Operations	5.00	3.93	-1.07	5.00	5.00	0.00	6.93	1.93	6.93	0.00
<b>Total Administrative Services, Dept. of</b>	<b>79.49</b>	<b>64.02</b>	<b>-15.47</b>	<b>71.79</b>	<b>62.56</b>	<b>-9.23</b>	<b>61.69</b>	<b>-0.87</b>	<b>61.69</b>	<b>0.00</b>
<b><u>Auditor of State</u></b>										
Auditor Of State										
Auditor of State - General Office	103.00	100.50	-2.50	103.00	96.75	-6.25	95.75	-1.00	95.75	0.00
<b>Total Auditor of State</b>	<b>103.00</b>	<b>100.50</b>	<b>-2.50</b>	<b>103.00</b>	<b>96.75</b>	<b>-6.25</b>	<b>95.75</b>	<b>-1.00</b>	<b>95.75</b>	<b>0.00</b>
<b><u>Ethics and Campaign Disclosure</u></b>										
Campaign Finance Disclosure										
Ethics & Campaign Disclosure Board	5.00	4.97	-0.03	6.00	6.00	0.00	6.00	0.00	6.00	0.00
<b>Total Ethics and Campaign Disclosure</b>	<b>5.00</b>	<b>4.97</b>	<b>-0.03</b>	<b>6.00</b>	<b>6.00</b>	<b>0.00</b>	<b>6.00</b>	<b>0.00</b>	<b>6.00</b>	<b>0.00</b>
<b><u>Commerce, Dept. of</u></b>										
Alcoholic Beverages										
Alcoholic Beverages Operations	18.50	16.31	-2.19	18.50	17.90	-0.60	15.56	-2.34	15.56	0.00
Professional Licensing and Reg.										
Professional Licensing Bureau	12.50	10.22	-2.28	12.50	12.51	0.01	12.51	0.00	12.51	0.00
Banking Division										
Fund Only	0.00	0.00	0.00	0.00	1.00	1.00	0.00	-1.00	0.00	0.00
Banking Division - CMRF	74.50	65.23	-9.27	74.50	93.23	18.73	71.00	-22.23	73.00	2.00
<b>Total Banking Division</b>	<b>74.50</b>	<b>65.23</b>	<b>-9.27</b>	<b>74.50</b>	<b>94.23</b>	<b>19.73</b>	<b>71.00</b>	<b>-23.23</b>	<b>73.00</b>	<b>2.00</b>
Credit Union Division										
Credit Union Division - CMRF	15.00	12.80	-2.20	15.00	15.00	0.00	16.00	1.00	16.00	0.00
Insurance Division										
Insurance Division - CMRF	100.15	94.52	-5.63	100.15	103.15	3.00	100.15	-3.00	100.15	0.00
Utilities Division										
Utilities Division - CMRF	79.00	62.17	-16.83	79.00	79.00	0.00	79.00	0.00	79.00	0.00
<b>Total Commerce, Dept. of</b>	<b>299.65</b>	<b>261.25</b>	<b>-38.40</b>	<b>299.65</b>	<b>321.79</b>	<b>22.14</b>	<b>294.22</b>	<b>-27.57</b>	<b>296.22</b>	<b>2.00</b>
<b><u>Governor</u></b>										
Governor's Office										
Governor/Lt. Governor's Office	23.00	21.76	-1.24	23.00	23.00	0.00	23.00	0.00	23.00	0.00
Terrace Hill Quarters	2.00	1.82	-0.18	2.00	1.93	-0.07	0.00	-1.93	0.00	0.00
<b>Total Governor</b>	<b>25.00</b>	<b>23.58</b>	<b>-1.42</b>	<b>25.00</b>	<b>24.93</b>	<b>-0.07</b>	<b>23.00</b>	<b>-1.93</b>	<b>23.00</b>	<b>0.00</b>

# Administration and Regulation

## FTE Positions

	Final Action FY 2014 (1)	Actual FY 2014 (2)	Actual vs Final FY 2014 (3)	Final Action FY 2015 (4)	Estimated FY 2015 (5)	Estimated vs Final FY 2015 (6)	Gov Rec FY 2016 (7)	Gov FY 2016 vs Est FY 2015 (8)	Gov Rec YR2 FY 2017 (9)	Gov FY 2017 vs Gov FY 2016 (10)
<b><u>Governor's Office of Drug Control Policy</u></b>										
Office of Drug Control Policy										
Drug Policy Coordinator	4.00	4.01	0.01	4.00	4.00	0.00	4.00	0.00	4.00	0.00
<b>Total Governor's Office of Drug Control Policy</b>	<b>4.00</b>	<b>4.01</b>	<b>0.01</b>	<b>4.00</b>	<b>4.00</b>	<b>0.00</b>	<b>4.00</b>	<b>0.00</b>	<b>4.00</b>	<b>0.00</b>
<b><u>Human Rights, Dept. of</u></b>										
Human Rights, Department of										
Central Administration	5.65	5.31	-0.34	5.65	5.65	0.00	5.55	-0.10	5.55	0.00
Community Advocacy and Services	9.62	8.68	-0.94	9.45	9.15	-0.30	8.72	-0.43	8.72	0.00
<b>Total Human Rights, Dept. of</b>	<b>15.27</b>	<b>13.99</b>	<b>-1.28</b>	<b>15.10</b>	<b>14.80</b>	<b>-0.30</b>	<b>14.27</b>	<b>-0.53</b>	<b>14.27</b>	<b>0.00</b>
<b><u>Inspections &amp; Appeals, Dept. of</u></b>										
Inspections and Appeals, Dept. of										
Administration Division	13.65	13.37	-0.28	13.65	13.65	0.00	13.65	0.00	13.65	0.00
Administrative Hearings Division	23.00	21.84	-1.16	23.00	23.00	0.00	23.00	0.00	23.00	0.00
Investigations Division	61.50	54.03	-7.47	55.00	55.00	0.00	55.00	0.00	55.00	0.00
Health Facilities Division	113.00	103.24	-9.76	111.50	114.00	2.50	116.00	2.00	116.00	0.00
Employment Appeal Board	11.00	10.62	-0.38	11.00	11.00	0.00	11.00	0.00	11.00	0.00
Child Advocacy Board	32.25	31.21	-1.04	32.25	32.25	0.00	32.25	0.00	32.25	0.00
Food and Consumer Safety	23.25	22.95	-0.30	23.65	23.65	0.00	25.65	2.00	25.65	0.00
<b>Total Inspections and Appeals, Dept. of</b>	<b>277.65</b>	<b>257.25</b>	<b>-20.40</b>	<b>270.05</b>	<b>272.55</b>	<b>2.50</b>	<b>276.55</b>	<b>4.00</b>	<b>276.55</b>	<b>0.00</b>
Racing Commission										
Pari-Mutuel Regulation GRF	32.03	22.83	-9.20	32.03	32.03	0.00	0.00	-32.03	0.00	0.00
Gaming Regulation (Riverboat) - GRF	40.72	32.24	-8.48	40.72	40.72	0.00	72.75	32.03	72.75	0.00
<b>Total Racing Commission</b>	<b>72.75</b>	<b>55.07</b>	<b>-17.68</b>	<b>72.75</b>	<b>72.75</b>	<b>0.00</b>	<b>72.75</b>	<b>0.00</b>	<b>72.75</b>	<b>0.00</b>
<b>Total Inspections &amp; Appeals, Dept. of</b>	<b>350.40</b>	<b>312.32</b>	<b>-38.08</b>	<b>342.80</b>	<b>345.30</b>	<b>2.50</b>	<b>349.30</b>	<b>4.00</b>	<b>349.30</b>	<b>0.00</b>
<b><u>Management, Dept. of</u></b>										
Management, Dept. of										
Department Operations	22.00	22.08	0.08	20.58	20.58	0.00	20.58	0.00	20.58	0.00
<b>Total Management, Dept. of</b>	<b>22.00</b>	<b>22.08</b>	<b>0.08</b>	<b>20.58</b>	<b>20.58</b>	<b>0.00</b>	<b>20.58</b>	<b>0.00</b>	<b>20.58</b>	<b>0.00</b>
<b><u>Public Information Board</u></b>										
Public Information Board										
Iowa Public Information Board	3.00	2.87	-0.13	3.00	3.00	0.00	3.00	0.00	3.00	0.00
<b>Total Public Information Board</b>	<b>3.00</b>	<b>2.87</b>	<b>-0.13</b>	<b>3.00</b>	<b>3.00</b>	<b>0.00</b>	<b>3.00</b>	<b>0.00</b>	<b>3.00</b>	<b>0.00</b>

# Administration and Regulation

## FTE Positions

	Final Action FY 2014 (1)	Actual FY 2014 (2)	Actual vs Final FY 2014 (3)	Final Action FY 2015 (4)	Estimated FY 2015 (5)	Estimated vs Final FY 2015 (6)	Gov Rec FY 2016 (7)	Gov FY 2016 vs Est FY 2015 (8)	Gov Rec YR2 FY 2017 (9)	Gov FY 2017 vs Gov FY 2016 (10)
<u>Revenue, Dept. of</u>										
Revenue, Dept. of Revenue, Department of	245.24	203.73	-41.51	228.50	228.55	0.05	232.85	4.30	232.85	0.00
<b>Total Revenue, Dept. of</b>	<b>245.24</b>	<b>203.73</b>	<b>-41.51</b>	<b>228.50</b>	<b>228.55</b>	<b>0.05</b>	<b>232.85</b>	<b>4.30</b>	<b>232.85</b>	<b>0.00</b>
<u>Secretary of State</u>										
Secretary of State Secretary of State - Operations	29.00	25.85	-3.15	29.00	32.00	3.00	30.00	-2.00	30.00	0.00
<b>Total Secretary of State</b>	<b>29.00</b>	<b>25.85</b>	<b>-3.15</b>	<b>29.00</b>	<b>32.00</b>	<b>3.00</b>	<b>30.00</b>	<b>-2.00</b>	<b>30.00</b>	<b>0.00</b>
<u>Treasurer of State</u>										
Treasurer of State Treasurer - General Office	28.80	26.47	-2.33	28.80	28.80	0.00	28.80	0.00	28.80	0.00
<b>Total Treasurer of State</b>	<b>28.80</b>	<b>26.47</b>	<b>-2.33</b>	<b>28.80</b>	<b>28.80</b>	<b>0.00</b>	<b>28.80</b>	<b>0.00</b>	<b>28.80</b>	<b>0.00</b>
<u>IPERS Administration</u>										
IPERS Administration IPERS Administration	90.13	75.31	-14.82	88.13	88.00	-0.13	88.00	0.00	88.00	0.00
<b>Total IPERS Administration</b>	<b>90.13</b>	<b>75.31</b>	<b>-14.82</b>	<b>88.13</b>	<b>88.00</b>	<b>-0.13</b>	<b>88.00</b>	<b>0.00</b>	<b>88.00</b>	<b>0.00</b>
<b>Total Administration and Regulation</b>	<b>1,299.98</b>	<b>1,140.95</b>	<b>-159.03</b>	<b>1,265.35</b>	<b>1,277.06</b>	<b>11.71</b>	<b>1,251.46</b>	<b>-25.60</b>	<b>1,253.46</b>	<b>2.00</b>



# **Appendix D**

## **Historical Appropriations FY 2008 – Gov. Rec. FY 2017**

**Note: The historical FTE report contains both appropriated and nonappropriated FTE positions to show total FTE usage.**

# Administration and Regulation

## General Fund

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b><u>Administrative Services, Dept. of</u></b>										
<b>Administrative Services</b>										
Administrative Services, Dept.	\$ 6,469,186	\$ 6,316,905	\$ 4,814,309	\$ 4,467,583	\$ 4,020,344	\$ 4,020,344	\$ 4,067,924	\$ 4,067,924	\$ 4,067,924	\$ 4,067,924
Utilities	3,824,800	3,643,197	3,127,085	3,126,547	2,626,460	2,676,460	2,658,909	2,568,909	3,178,948	3,178,948
Terrace Hill Operations	0	0	0	263,329	405,914	405,914	405,914	405,914	527,914	527,914
I3 Distribution	0	0	0	0	3,277,946	3,277,946	0	0	0	0
Iowa Building Operations	0	0	0	0	995,535	995,535	0	0	0	0
Technology Procurement	0	0	0	2,113,169	0	0	0	0	0	0
Shuttle Service	120,000	0	0	0	0	0	0	0	0	0
<b>Total Administrative Services, Dept. of</b>	<b>\$ 10,413,986</b>	<b>\$ 9,960,102</b>	<b>\$ 7,941,394</b>	<b>\$ 9,970,628</b>	<b>\$ 11,326,199</b>	<b>\$ 11,376,199</b>	<b>\$ 7,132,747</b>	<b>\$ 7,042,747</b>	<b>\$ 7,774,786</b>	<b>\$ 7,774,786</b>
<b><u>Auditor of State</u></b>										
<b>Auditor Of State</b>										
Auditor of State - General Office	\$ 1,249,178	\$ 1,233,691	\$ 814,921	\$ 904,193	\$ 905,468	\$ 905,468	\$ 914,506	\$ 944,506	\$ 991,731	\$ 1,041,317
<b>Total Auditor of State</b>	<b>\$ 1,249,178</b>	<b>\$ 1,233,691</b>	<b>\$ 814,921</b>	<b>\$ 904,193</b>	<b>\$ 905,468</b>	<b>\$ 905,468</b>	<b>\$ 914,506</b>	<b>\$ 944,506</b>	<b>\$ 991,731</b>	<b>\$ 1,041,317</b>
<b><u>Ethics and Campaign Disclosure</u></b>										
<b>Campaign Finance Disclosure</b>										
Ethics & Campaign Disclosure Board	\$ 532,122	\$ 537,256	\$ 470,700	\$ 371,910	\$ 475,000	\$ 490,000	\$ 490,335	\$ 550,335	\$ 550,335	\$ 550,335
<b>Total Ethics and Campaign Disclosure</b>	<b>\$ 532,122</b>	<b>\$ 537,256</b>	<b>\$ 470,700</b>	<b>\$ 371,910</b>	<b>\$ 475,000</b>	<b>\$ 490,000</b>	<b>\$ 490,335</b>	<b>\$ 550,335</b>	<b>\$ 550,335</b>	<b>\$ 550,335</b>
<b><u>Commerce, Dept. of</u></b>										
<b>Alcoholic Beverages</b>										
Alcoholic Beverages Operations	\$ 2,079,509	\$ 2,080,358	\$ 1,806,444	\$ 1,449,887	\$ 1,220,391	\$ 1,220,391	\$ 1,220,391	\$ 1,220,391	\$ 1,220,391	\$ 1,220,391
<b>Banking Division</b>										
Banking Division	\$ 8,200,316	\$ 8,662,670	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
Financial Literacy	0	0	0	0	0	100,000	0	0	0	0
<b>Total Banking Division</b>	<b>\$ 8,200,316</b>	<b>\$ 8,662,670</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 100,000</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b>Credit Union Division</b>										
Credit Union Division	\$ 1,671,740	\$ 1,727,995	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0

## Administration and Regulation

### General Fund

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b>Insurance Division</b>										
Senior Health Insurance Information Program	\$ 0	\$ 59,100	\$ 47,028	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
Health Insurance Oversight	0	78,800	0	0	0	0	0	0	0	0
Insurance Division	4,857,123	4,881,216	0	0	0	0	0	0	0	0
<b>Total Insurance Division</b>	<b>\$ 4,857,123</b>	<b>\$ 5,019,116</b>	<b>\$ 47,028</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b>Utilities Division</b>										
Utilities Division	\$ 7,573,402	\$ 7,795,527	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
<b>Professional Licensing and Reg.</b>										
Professional Licensing Bureau	\$ 945,982	\$ 933,521	\$ 810,498	\$ 644,825	\$ 600,353	\$ 600,353	\$ 601,537	\$ 601,537	\$ 601,537	\$ 601,537
<b>Total Commerce, Dept. of</b>	<b>\$ 25,328,072</b>	<b>\$ 26,219,187</b>	<b>\$ 2,663,970</b>	<b>\$ 2,094,712</b>	<b>\$ 1,820,744</b>	<b>\$ 1,920,744</b>	<b>\$ 1,821,928</b>	<b>\$ 1,821,928</b>	<b>\$ 1,821,928</b>	<b>\$ 1,821,928</b>
<b><u>Iowa Tele &amp; Tech Commission</u></b>										
<b>Iowa Communications Network</b>										
Regional Telecom Councils	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 992,913	\$ 992,913	\$ 0	\$ 0	\$ 0
<b>Total Iowa Tele &amp; Tech Commission</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 992,913</b>	<b>\$ 992,913</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b><u>Governor</u></b>										
<b>Governor's Office</b>										
Governor/Lt. Governor's Office	\$ 2,224,462	\$ 2,534,982	\$ 2,064,471	\$ 1,972,752	\$ 2,288,025	\$ 2,194,914	\$ 2,196,455	\$ 2,196,455	\$ 2,396,455	\$ 2,396,455
Terrace Hill Quarters	492,593	515,367	394,291	127,075	0	93,111	93,111	93,111	0	0
Administrative Rules Coordinator	158,873	175,552	127,167	122,829	0	0	0	0	0	0
National Governor's Association	80,600	80,600	70,783	70,783	0	0	0	0	0	0
State-Federal Relations	131,222	141,235	41,958	40,832	0	0	0	0	0	0
<b>Total Governor's Office</b>	<b>\$ 3,087,750</b>	<b>\$ 3,447,736</b>	<b>\$ 2,698,670</b>	<b>\$ 2,334,271</b>	<b>\$ 2,288,025</b>	<b>\$ 2,288,025</b>	<b>\$ 2,289,566</b>	<b>\$ 2,289,566</b>	<b>\$ 2,396,455</b>	<b>\$ 2,396,455</b>
<b>Governor Elect Expenses</b>										
Governor Elect Expenses	\$ 0	\$ 0	\$ 0	\$ 10,000	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
<b>Total Governor</b>	<b>\$ 3,087,750</b>	<b>\$ 3,447,736</b>	<b>\$ 2,698,670</b>	<b>\$ 2,344,271</b>	<b>\$ 2,288,025</b>	<b>\$ 2,288,025</b>	<b>\$ 2,289,566</b>	<b>\$ 2,289,566</b>	<b>\$ 2,396,455</b>	<b>\$ 2,396,455</b>
<b><u>Governor's Office of Drug Control Policy</u></b>										
<b>Office of Drug Control Policy</b>										
Drug Policy Coordinator	\$ 346,731	\$ 357,866	\$ 313,531	\$ 346,213	\$ 290,000	\$ 240,000	\$ 241,134	\$ 241,134	\$ 241,134	\$ 241,134
Drug Task Forces	1,400,000	1,729,812	0	0	0	0	0	0	0	0
<b>Total Governor's Office of Drug Control Policy</b>	<b>\$ 1,746,731</b>	<b>\$ 2,087,678</b>	<b>\$ 313,531</b>	<b>\$ 346,213</b>	<b>\$ 290,000</b>	<b>\$ 240,000</b>	<b>\$ 241,134</b>	<b>\$ 241,134</b>	<b>\$ 241,134</b>	<b>\$ 241,134</b>

# Administration and Regulation

## General Fund

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b><u>Human Rights, Dept. of</u></b>										
Human Rights, Department of										
Central Administration	\$ 356,535	\$ 359,087	\$ 274,773	\$ 205,636	\$ 206,103	\$ 206,103	\$ 224,184	\$ 224,184	\$ 254,184	\$ 254,184
Community Advocacy and Services	0	0	0	1,120,915	1,028,077	1,028,077	1,028,077	1,028,077	1,028,077	1,028,077
Individual Development Accounts	0	0	0	0	0	100,000	0	0	0	0
Asian and Pacific Islanders	127,093	149,658	120,087	0	0	0	0	0	0	0
Deaf Services	413,700	424,859	340,913	0	0	0	0	0	0	0
Persons with Disabilities	206,221	233,555	187,408	0	0	0	0	0	0	0
Latino Affairs	191,035	199,759	160,290	0	0	0	0	0	0	0
Status of Women	353,203	354,299	284,295	0	0	0	0	0	0	0
Status of African Americans	372,066	187,080	150,116	0	0	0	0	0	0	0
Dev., Assess. & Resolution Prog.	0	9,850	0	0	0	0	0	0	0	0
Status of Native Americans	0	5,910	4,817	0	0	0	0	0	0	0
<b>Total Human Rights, Dept. of</b>	<b>\$ 2,019,853</b>	<b>\$ 1,924,057</b>	<b>\$ 1,522,699</b>	<b>\$ 1,326,551</b>	<b>\$ 1,234,180</b>	<b>\$ 1,334,180</b>	<b>\$ 1,252,261</b>	<b>\$ 1,252,261</b>	<b>\$ 1,282,261</b>	<b>\$ 1,282,261</b>
<b><u>Inspections &amp; Appeals, Dept. of</u></b>										
Inspections and Appeals, Dept. of										
Administration Division	\$ 2,209,075	\$ 2,248,855	\$ 1,804,510	\$ 1,629,656	\$ 1,527,740	\$ 248,409	\$ 545,242	\$ 545,242	\$ 545,242	\$ 545,242
Administrative Hearings Division	708,962	759,690	609,585	587,493	528,753	528,753	678,942	678,942	678,942	678,942
Investigations Division	1,599,591	1,629,666	1,307,666	1,240,626	1,168,639	1,168,639	2,573,089	2,573,089	2,573,089	2,573,089
Health Facilities Division	2,498,437	2,507,242	2,011,845	3,787,852	3,555,328	3,917,666	5,092,033	5,092,033	5,092,033	5,092,033
Employment Appeal Board	58,117	57,724	46,318	44,746	42,215	42,215	42,215	42,215	42,215	42,215
Child Advocacy Board	2,751,058	2,860,637	2,628,330	2,678,008	2,680,290	2,680,290	2,680,290	2,680,290	2,680,290	2,680,290
Food and Consumer Safety	0	0	0	0	0	1,279,331	1,279,331	1,279,331	1,279,331	1,279,331
<b>Total Inspections and Appeals, Dept. of</b>	<b>\$ 9,825,240</b>	<b>\$ 10,063,814</b>	<b>\$ 8,408,254</b>	<b>\$ 9,968,381</b>	<b>\$ 9,502,965</b>	<b>\$ 9,865,303</b>	<b>\$ 12,891,142</b>	<b>\$ 12,891,142</b>	<b>\$ 12,891,142</b>	<b>\$ 12,891,142</b>
<b><u>Racing Commission</u></b>										
Pari-Mutuel Regulation	\$ 2,790,551	\$ 2,930,682	\$ 2,637,614	\$ 2,495,376	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
Riverboat Regulation	3,207,944	3,372,069	3,034,862	3,078,100	0	0	0	0	0	0
<b>Total Racing Commission</b>	<b>\$ 5,998,495</b>	<b>\$ 6,302,751</b>	<b>\$ 5,672,476</b>	<b>\$ 5,573,476</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b>Total Inspections &amp; Appeals, Dept. of</b>	<b>\$ 15,823,735</b>	<b>\$ 16,366,565</b>	<b>\$ 14,080,730</b>	<b>\$ 15,541,857</b>	<b>\$ 9,502,965</b>	<b>\$ 9,865,303</b>	<b>\$ 12,891,142</b>	<b>\$ 12,891,142</b>	<b>\$ 12,891,142</b>	<b>\$ 12,891,142</b>

## Administration and Regulation

### General Fund

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b><u>Management, Dept. of</u></b>										
Management, Dept. of										
Department Operations	\$ 3,178,337	\$ 3,253,620	\$ 2,730,360	\$ 1,993,328	\$ 2,393,998	\$ 2,393,998	\$ 2,550,220	\$ 2,550,220	\$ 2,650,220	\$ 2,650,220
Local Government Innovation Fund	300,000	0	0	0	0	0	0	0	0	0
Grants Enterprise Management	0	0	0	170,670	0	0	0	0	0	0
<b>Total Management, Dept. of</b>	<b>\$ 3,478,337</b>	<b>\$ 3,253,620</b>	<b>\$ 2,730,360</b>	<b>\$ 2,163,998</b>	<b>\$ 2,393,998</b>	<b>\$ 2,393,998</b>	<b>\$ 2,550,220</b>	<b>\$ 2,550,220</b>	<b>\$ 2,650,220</b>	<b>\$ 2,650,220</b>
<b><u>Public Information Board</u></b>										
Public Information Board										
Iowa Public Information Board	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 350,000	\$ 350,000	\$ 350,000	\$ 350,000
<b>Total Public Information Board</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 350,000</b>	<b>\$ 350,000</b>	<b>\$ 350,000</b>	<b>\$ 350,000</b>
<b><u>Rebuild Iowa Office</u></b>										
Rebuild Iowa Office										
Rebuild Iowa Office	\$ 0	\$ 0	\$ 178,449	\$ 472,361	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
<b>Total Rebuild Iowa Office</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 178,449</b>	<b>\$ 472,361</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b><u>Revenue, Dept. of</u></b>										
Revenue, Dept. of										
Revenue, Department of	\$ 26,472,699	\$ 26,332,296	\$ 22,729,219	\$ 18,625,258	\$ 17,659,484	\$ 17,659,484	\$ 17,880,839	\$ 17,880,839	\$ 17,880,839	\$ 17,880,839
Tax Amnesty-Auditing and Enforcement	150,000	0	0	0	0	0	0	0	0	0
Revenue Examiners	0	0	0	315,801	0	0	0	0	0	0
State Debt Coordinator	0	0	300,000	0	0	0	0	0	0	0
<b>Total Revenue, Dept. of</b>	<b>\$ 26,622,699</b>	<b>\$ 26,332,296</b>	<b>\$ 23,029,219</b>	<b>\$ 18,941,059</b>	<b>\$ 17,659,484</b>	<b>\$ 17,659,484</b>	<b>\$ 17,880,839</b>	<b>\$ 17,880,839</b>	<b>\$ 17,880,839</b>	<b>\$ 17,880,839</b>
<b><u>Secretary of State</u></b>										
Secretary of State										
Admin/Elections/Voter Registration	\$ 1,370,063	\$ 1,515,404	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
Secretary of State - Operations	2,012,018	1,986,241	2,895,585	2,892,261	2,895,585	2,895,585	2,896,699	2,896,699	3,261,699	3,261,699
<b>Total Secretary of State</b>	<b>\$ 3,382,081</b>	<b>\$ 3,501,645</b>	<b>\$ 2,895,585</b>	<b>\$ 2,892,261</b>	<b>\$ 2,895,585</b>	<b>\$ 2,895,585</b>	<b>\$ 2,896,699</b>	<b>\$ 2,896,699</b>	<b>\$ 3,261,699</b>	<b>\$ 3,261,699</b>
<b><u>Treasurer of State</u></b>										
Treasurer of State										
Treasurer - General Office	\$ 1,027,970	\$ 1,064,651	\$ 854,289	\$ 854,265	\$ 854,289	\$ 854,289	\$ 1,084,392	\$ 1,084,392	\$ 1,084,392	\$ 1,084,392
<b>Total Treasurer of State</b>	<b>\$ 1,027,970</b>	<b>\$ 1,064,651</b>	<b>\$ 854,289</b>	<b>\$ 854,265</b>	<b>\$ 854,289</b>	<b>\$ 854,289</b>	<b>\$ 1,084,392</b>	<b>\$ 1,084,392</b>	<b>\$ 1,084,392</b>	<b>\$ 1,084,392</b>
<b>Total Administration and Regulation</b>	<b>\$ 94,712,514</b>	<b>\$ 95,928,484</b>	<b>\$ 60,194,517</b>	<b>\$ 58,224,279</b>	<b>\$ 51,645,937</b>	<b>\$ 53,216,188</b>	<b>\$ 52,788,682</b>	<b>\$ 51,795,769</b>	<b>\$ 53,176,922</b>	<b>\$ 53,226,508</b>

# Administration and Regulation

## Other Funds

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b><u>Administrative Services, Dept. of</u></b>										
Administrative Services										
DAS Operations - FRRF	\$ 0	\$ 0	\$ 100,000	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
Terrace Hill Operations - CRF	0	0	0	168,494	0	0	0	0	0	0
Autism Coverage - UST	0	0	0	140,000	0	0	0	0	0	0
Medication Therapy Management - UST	0	0	0	543,000	0	0	0	0	0	0
<b>Total Administrative Services, Dept. of</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 100,000</b>	<b>\$ 851,494</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b><u>Commerce, Dept. of</u></b>										
Banking Division										
Banking Division - CMRF	\$ 0	\$ 0	\$ 8,662,670	\$ 8,814,932	\$ 8,851,670	\$ 9,098,170	\$ 9,167,235	\$ 9,317,235	\$ 9,667,235	\$ 9,767,235
Credit Union Division										
Credit Union Division - CMRF	\$ 0	\$ 0	\$ 1,727,995	\$ 1,722,097	\$ 1,727,995	\$ 1,792,995	\$ 1,794,256	\$ 1,794,256	\$ 1,869,256	\$ 1,869,256
Insurance Division										
Insurance Division - CMRF	\$ 0	\$ 0	\$ 4,881,216	\$ 4,914,534	\$ 4,983,244	\$ 4,983,244	\$ 5,032,989	\$ 5,099,989	\$ 5,325,889	\$ 5,325,889
Insurance Division Operations - CMRF	0	0	0	54,999	0	0	0	0	0	0
Insurance Information Exchange - UST	0	0	0	147,000	0	0	0	0	0	0
<b>Total Insurance Division</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 4,881,216</b>	<b>\$ 5,116,533</b>	<b>\$ 4,983,244</b>	<b>\$ 4,983,244</b>	<b>\$ 5,032,989</b>	<b>\$ 5,099,989</b>	<b>\$ 5,325,889</b>	<b>\$ 5,325,889</b>
Utilities Division										
Utilities Division - CMRF	\$ 0	\$ 0	\$ 8,256,654	\$ 8,149,457	\$ 8,173,069	\$ 8,173,069	\$ 8,179,405	\$ 8,329,405	\$ 8,560,405	\$ 8,560,405
Professional Licensing and Reg.										
Field Auditor - Housing Impr. Fund	\$ 0	\$ 62,317	\$ 62,317	\$ 62,317	\$ 62,317	\$ 62,317	\$ 62,317	\$ 62,317	\$ 62,317	\$ 62,317
Real Estate Trust Account Audit	62,317	0	0	0	0	0	0	0	0	0
<b>Total Professional Licensing and Reg.</b>	<b>\$ 62,317</b>	<b>\$ 62,317</b>	<b>\$ 62,317</b>	<b>\$ 62,317</b>	<b>\$ 62,317</b>	<b>\$ 62,317</b>	<b>\$ 62,317</b>	<b>\$ 62,317</b>	<b>\$ 62,317</b>	<b>\$ 62,317</b>
<b>Total Commerce, Dept. of</b>	<b>\$ 62,317</b>	<b>\$ 62,317</b>	<b>\$ 23,590,852</b>	<b>\$ 23,865,336</b>	<b>\$ 23,798,295</b>	<b>\$ 24,109,795</b>	<b>\$ 24,236,202</b>	<b>\$ 24,603,202</b>	<b>\$ 25,485,102</b>	<b>\$ 25,585,102</b>
<b><u>Human Rights, Dept. of</u></b>										
Human Rights, Department of										
Individual Development Accounts	\$ 0	\$ 150,000	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
Public Safety Advisory Board - UST	0	0	0	140,000	0	0	0	0	0	0
<b>Total Human Rights, Dept. of</b>	<b>\$ 0</b>	<b>\$ 150,000</b>	<b>\$ 0</b>	<b>\$ 140,000</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>

# Administration and Regulation

## Other Funds

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b><u>Inspections &amp; Appeals, Dept. of</u></b>										
Inspections and Appeals, Dept. of										
DIA - RUTF	\$ 0	\$ 1,623,897	\$ 1,623,897	\$ 1,623,897	\$ 1,623,897	\$ 1,623,897	\$ 1,623,897	\$ 1,623,897	\$ 1,623,897	\$ 1,623,897
Medicaid Fraud Annual Conference - MFF	0	0	0	0	0	0	6,500	0	0	0
Health Facilities - MFF	0	0	0	0	650,000	286,661	0	0	0	0
EBT Investigations - MFF	0	0	0	119,070	119,070	119,070	0	0	0	0
Dependent Adult - MFF	0	0	0	885,262	885,262	885,262	0	0	0	0
Boarding Homes - MFF	0	0	0	119,480	119,480	119,480	0	0	0	0
Dependent Adult Abuse - MFF	0	0	0	250,000	250,000	250,000	0	0	0	0
Assisted Living - MFF	0	0	0	1,339,527	1,339,527	1,339,527	0	0	0	0
DIA Asst Living/Adult Day Care - SLTF	1,183,303	1,339,527	1,339,527	0	0	0	0	0	0	0
DIA Health Facility - FRRF	0	0	400,000	0	0	0	0	0	0	0
DIA-Use Tax/RUTF	1,623,897	0	0	0	0	0	0	0	0	0
<b>Total Inspections and Appeals, Dept. of</b>	<b>\$ 2,807,200</b>	<b>\$ 2,963,424</b>	<b>\$ 3,363,424</b>	<b>\$ 4,337,236</b>	<b>\$ 4,987,236</b>	<b>\$ 4,623,897</b>	<b>\$ 1,630,397</b>	<b>\$ 1,623,897</b>	<b>\$ 1,623,897</b>	<b>\$ 1,623,897</b>
<b><u>Racing Commission</u></b>										
Pari-Mutuel Regulation GRF	\$ 0	\$ 0	\$ 0	\$ 0	\$ 2,628,519	\$ 3,062,765	\$ 3,068,492	\$ 3,068,492	\$ 0	\$ 0
Gaming Regulation (Riverboat) - GRF	0	0	0	0	3,194,244	3,045,719	3,045,719	3,045,719	6,114,211	6,114,211
Socioeconomic Gambling Study - GRF	0	0	0	0	0	0	125,000	0	0	0
<b>Total Racing Commission</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 5,822,763</b>	<b>\$ 6,108,484</b>	<b>\$ 6,239,211</b>	<b>\$ 6,114,211</b>	<b>\$ 6,114,211</b>	<b>\$ 6,114,211</b>
<b>Total Inspections &amp; Appeals, Dept. of</b>	<b>\$ 2,807,200</b>	<b>\$ 2,963,424</b>	<b>\$ 3,363,424</b>	<b>\$ 4,337,236</b>	<b>\$ 10,809,999</b>	<b>\$ 10,732,381</b>	<b>\$ 7,869,608</b>	<b>\$ 7,738,108</b>	<b>\$ 7,738,108</b>	<b>\$ 7,738,108</b>
<b><u>Management, Dept. of</u></b>										
Management, Dept. of										
DOM Operations - RUTF	\$ 56,000	\$ 56,000	\$ 56,000	\$ 56,000	\$ 56,000	\$ 56,000	\$ 56,000	\$ 56,000	\$ 56,000	\$ 56,000
DOM Operations - FRRF	0	0	200,000	0	0	0	0	0	0	0
DOM Operations - CRF	0	0	0	260,000	0	0	0	0	0	0
<b>Total Management, Dept. of</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 256,000</b>	<b>\$ 316,000</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>	<b>\$ 56,000</b>
<b><u>Revenue, Dept. of</u></b>										
Revenue, Dept. of										
Motor Fuel Tax Admin - MVFT	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775	\$ 1,305,775
<b>Total Revenue, Dept. of</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>	<b>\$ 1,305,775</b>

# Administration and Regulation

## Other Funds

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b><u>Rebuild Iowa Office</u></b>										
Rebuild Iowa Office										
RIO - Distribution to Affected Areas - EEF	\$ 0	\$ 1,150,000	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
RIO- Long-Term Recovery Committees - EEF	0	1,000,000	0	0	0	0	0	0	0	0
<b>Total Rebuild Iowa Office</b>	<b>\$ 0</b>	<b>\$ 2,150,000</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b><u>Secretary of State</u></b>										
Secretary of State										
Redistricting - lowAccess	\$ 0	\$ 0	\$ 0	\$ 0	\$ 75,000	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
<b>Total Secretary of State</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 75,000</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>
<b><u>Treasurer of State</u></b>										
Treasurer of State										
I-3 Expenses - RUTF	\$ 93,148	\$ 93,148	\$ 93,148	\$ 93,148	\$ 93,148	\$ 93,148	\$ 93,148	\$ 93,148	\$ 93,148	\$ 93,148
<b>Total Treasurer of State</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>	<b>\$ 93,148</b>
<b><u>IPERS Administration</u></b>										
IPERS Administration										
IPERS Administration	\$ 17,285,466	\$ 17,844,663	\$ 18,001,480	\$ 17,606,229	\$ 17,686,968	\$ 17,686,968	\$ 17,686,968	\$ 15,686,968	\$ 17,686,968	\$ 17,686,968
<b>Total IPERS Administration</b>	<b>\$ 17,285,466</b>	<b>\$ 17,844,663</b>	<b>\$ 18,001,480</b>	<b>\$ 17,606,229</b>	<b>\$ 17,686,968</b>	<b>\$ 17,686,968</b>	<b>\$ 17,686,968</b>	<b>\$ 15,686,968</b>	<b>\$ 17,686,968</b>	<b>\$ 17,686,968</b>
<b>Total Administration and Regulation</b>	<b>\$ 21,609,906</b>	<b>\$ 24,625,327</b>	<b>\$ 46,710,679</b>	<b>\$ 48,515,218</b>	<b>\$ 53,825,185</b>	<b>\$ 53,984,067</b>	<b>\$ 51,247,701</b>	<b>\$ 49,483,201</b>	<b>\$ 52,365,101</b>	<b>\$ 52,465,101</b>

# Administration and Regulation

## FTE Positions

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b><u>Administrative Services, Dept. of</u></b>										
<b>Administrative Services</b>										
Administrative Services, Dept.	101.44	100.23	87.33	73.80	71.30	65.47	59.08	56.56	53.76	53.76
Utilities	1.58	2.45	0.96	0.99	1.00	1.00	1.00	1.00	1.00	1.00
Terrace Hill Operations	0.00	0.00	0.00	0.00	3.96	4.06	3.93	5.00	6.93	6.93
Terrace Hill Operations - CRF	0.00	0.00	0.10	5.38	0.08	0.00	0.00	0.00	0.00	0.00
Iowa Building Operations	0.00	0.00	0.00	0.01	6.65	5.71	0.00	0.00	0.00	0.00
Personnel Development Seminars	3.09	4.56	3.32	1.27	1.28	1.50	1.34	2.50	2.50	2.50
IT Operations Revolving Fund	108.61	109.22	108.20	98.64	100.39	99.65	105.63	0.00	0.00	0.00
Employee Assistance Program	0.00	0.00	0.00	0.00	0.00	0.00	0.05	0.23	0.00	0.00
I/3	12.87	14.95	15.20	16.29	18.44	17.64	17.78	19.75	19.75	19.75
Centralized Purchasing - Administration	13.50	14.36	12.91	10.99	12.01	13.88	16.85	18.00	18.00	18.00
Vehicle Dispatcher Revolving Fund	7.52	8.71	9.13	8.41	6.41	9.29	10.12	11.91	12.91	12.91
Motor Pool Revolving Fund	1.82	2.11	2.63	3.11	2.43	2.27	3.18	2.06	2.73	2.73
Self Insurance/Risk Management	2.06	2.21	1.97	0.70	0.77	0.44	0.20	0.20	0.20	0.20
Mail Services Revolving Fund	9.16	10.86	9.21	8.15	8.39	9.15	9.17	10.15	10.15	10.15
Human Resources Revolving Fund	48.07	49.36	47.00	42.29	44.29	46.74	53.79	55.07	55.10	55.10
Facility & Support Revolving Fund	80.72	94.79	92.86	85.60	73.00	66.74	62.40	76.04	66.44	66.44
Building Energy Mgmt Fund	0.00	0.00	0.00	0.00	0.03	1.54	0.00	0.00	0.00	0.00
Iowa Power Fund	0.00	0.00	0.00	0.00	2.62	2.15	0.00	0.00	0.00	0.00
<b>Total Administrative Services</b>	<b>390.43</b>	<b>413.80</b>	<b>390.82</b>	<b>355.62</b>	<b>353.05</b>	<b>347.23</b>	<b>344.53</b>	<b>258.47</b>	<b>249.47</b>	<b>249.47</b>
<b>State Accounting Trust Accounts</b>										
DNR/SPOC Insurance Trust	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00
<b>Total Administrative Services, Dept. of</b>	<b>390.43</b>	<b>413.80</b>	<b>390.82</b>	<b>355.62</b>	<b>353.05</b>	<b>347.23</b>	<b>344.53</b>	<b>259.47</b>	<b>249.47</b>	<b>249.47</b>
<b><u>Auditor of State</u></b>										
<b>Auditor Of State</b>										
Auditor of State - General Office	102.10	106.33	103.70	99.64	102.22	100.61	100.50	96.75	95.75	95.75
<b>Total Auditor of State</b>	<b>102.10</b>	<b>106.33</b>	<b>103.70</b>	<b>99.64</b>	<b>102.22</b>	<b>100.61</b>	<b>100.50</b>	<b>96.75</b>	<b>95.75</b>	<b>95.75</b>
<b><u>Ethics and Campaign Disclosure</u></b>										
<b>Campaign Finance Disclosure</b>										
Ethics & Campaign Disclosure Board	5.51	6.02	5.36	3.68	4.87	4.96	4.97	6.00	6.00	6.00
<b>Total Ethics and Campaign Disclosure</b>	<b>5.51</b>	<b>6.02</b>	<b>5.36</b>	<b>3.68</b>	<b>4.87</b>	<b>4.96</b>	<b>4.97</b>	<b>6.00</b>	<b>6.00</b>	<b>6.00</b>

# Administration and Regulation

## FTE Positions

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b>Chief Information Officer, Office of the</b>										
Chief Information Officer, Office of the Office of Chief Information Officer	0.00	0.00	0.00	0.00	0.00	0.00	2.76	121.25	118.15	118.15
<b>Total Chief Information Officer, Office of the</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>2.76</b>	<b>121.25</b>	<b>118.15</b>	<b>118.15</b>
<b>Commerce, Dept. of</b>										
<b>Alcoholic Beverages</b>										
Alcoholic Beverages Operations	26.49	26.53	23.35	20.06	16.05	16.12	16.31	17.90	15.56	15.56
Tobacco Compliance Employee Tr	0.00	0.00	0.00	0.00	0.00	0.09	3.90	4.10	4.04	4.04
Liquor Control Act Fund	33.15	35.57	40.78	49.46	58.99	63.41	62.07	69.00	64.40	64.40
<b>Total Alcoholic Beverages</b>	<b>59.63</b>	<b>62.10</b>	<b>64.13</b>	<b>69.52</b>	<b>75.05</b>	<b>79.63</b>	<b>82.28</b>	<b>91.00</b>	<b>84.00</b>	<b>84.00</b>
<b>Professional Licensing and Reg.</b>										
Professional Licensing Bureau	12.78	13.30	11.60	11.17	9.64	9.25	10.22	12.51	12.51	12.51
Real Estate Education Fund	0.94	0.33	0.81	0.75	1.60	1.30	0.31	0.00	0.00	0.00
<b>Total Professional Licensing and Reg.</b>	<b>13.73</b>	<b>13.63</b>	<b>12.41</b>	<b>11.92</b>	<b>11.24</b>	<b>10.55</b>	<b>10.53</b>	<b>12.51</b>	<b>12.51</b>	<b>12.51</b>
<b>Banking Division</b>										
Mortgage Ser Settlement Fund	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00
Banking Division	66.32	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Banking Division - CMRF	0.00	67.35	67.87	70.53	68.48	66.98	65.23	93.23	71.00	73.00
<b>Total Banking Division</b>	<b>66.32</b>	<b>67.35</b>	<b>67.87</b>	<b>70.53</b>	<b>68.48</b>	<b>66.98</b>	<b>65.23</b>	<b>94.23</b>	<b>71.00</b>	<b>73.00</b>
<b>Credit Union Division</b>										
Credit Union Division	16.61	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Credit Union Division - CMRF	0.00	14.98	14.05	14.03	13.25	13.97	12.80	15.00	16.00	16.00
<b>Total Credit Union Division</b>	<b>16.61</b>	<b>14.98</b>	<b>14.05</b>	<b>14.03</b>	<b>13.25</b>	<b>13.97</b>	<b>12.80</b>	<b>15.00</b>	<b>16.00</b>	<b>16.00</b>
<b>Insurance Division</b>										
Insurance Division - CMRF	0.00	95.11	94.23	92.62	96.37	92.50	94.52	103.15	100.15	100.15
Insurance Division Education Fund	0.00	0.00	0.00	0.00	0.17	0.69	0.70	0.70	0.70	0.70
Insurance Division Regulatory	0.00	0.00	0.00	0.00	0.44	1.63	0.84	1.65	1.65	1.65
Insurance Division	90.09	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Insurance Division</b>	<b>90.09</b>	<b>95.11</b>	<b>94.23</b>	<b>92.62</b>	<b>96.98</b>	<b>94.82</b>	<b>96.06</b>	<b>105.50</b>	<b>102.50</b>	<b>102.50</b>

# Administration and Regulation

## FTE Positions

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b>Utilities Division</b>										
Utilities Division	69.96	0.00	0.03	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Utilities Division - CMRF	0.00	68.15	63.82	64.78	63.23	62.08	62.17	79.00	79.00	79.00
<b>Total Utilities Division</b>	<b>69.96</b>	<b>68.15</b>	<b>63.85</b>	<b>64.78</b>	<b>63.23</b>	<b>62.08</b>	<b>62.17</b>	<b>79.00</b>	<b>79.00</b>	<b>79.00</b>
<b>Total Commerce, Dept. of</b>	<b>316.33</b>	<b>321.32</b>	<b>316.54</b>	<b>323.39</b>	<b>328.22</b>	<b>328.04</b>	<b>329.07</b>	<b>397.24</b>	<b>365.01</b>	<b>367.01</b>
<b><u>Governor</u></b>										
<b>Governor's Office</b>										
Governor/Lt. Governor's Office	20.33	21.41	20.19	19.39	24.07	22.80	21.76	23.00	23.00	23.00
Terrace Hill Quarters	9.54	9.81	8.62	1.79	0.11	1.79	1.82	1.93	0.00	0.00
Statewide Volunteer Program	1.99	2.01	1.95	0.74	0.00	0.00	0.00	0.00	0.00	0.00
Administrative Rules Coordinator	3.01	2.42	1.83	1.77	0.12	0.00	0.00	0.00	0.00	0.00
State-Federal Relations	2.01	2.94	2.26	1.46	0.12	0.00	0.00	0.00	0.00	0.00
<b>Total Governor</b>	<b>36.87</b>	<b>38.59</b>	<b>34.85</b>	<b>25.17</b>	<b>24.41</b>	<b>24.59</b>	<b>23.58</b>	<b>24.93</b>	<b>23.00</b>	<b>23.00</b>
<b><u>Governor's Office of Drug Control Policy</u></b>										
<b>Office of Drug Control Policy</b>										
Drug Policy Coordinator	6.73	5.76	7.74	8.03	7.52	4.27	4.01	4.00	4.00	4.00
Drug Task Forces	1.07	2.27	0.10	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Governor's Office of Drug Control Policy</b>	<b>7.80</b>	<b>8.03</b>	<b>7.84</b>	<b>8.03</b>	<b>7.52</b>	<b>4.27</b>	<b>4.01</b>	<b>4.00</b>	<b>4.00</b>	<b>4.00</b>

# Administration and Regulation

## FTE Positions

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b>Human Rights, Dept. of</b>										
Human Rights, Department of										
Central Administration	6.84	6.91	6.57	4.86	5.28	5.43	5.31	5.65	5.55	5.55
Community Advocacy and Services	0.00	0.00	0.16	10.32	7.14	8.98	8.68	9.15	8.72	8.72
Public Safety Advisory Board - UST	0.00	0.00	0.00	1.31	0.00	0.00	0.00	0.00	0.00	0.00
Weatherization - D.O.E.	5.66	5.80	7.51	7.54	7.79	7.39	6.28	7.41	7.41	7.41
Justice Assistance Grants	6.27	4.58	4.86	2.23	3.29	3.48	3.66	3.90	3.63	3.63
Juvenile Accountability Block	0.65	0.83	0.00	0.67	0.31	1.27	1.28	0.69	0.46	0.46
Community Grant Fund	0.03	0.00	0.00	0.02	0.04	0.00	0.03	0.00	0.00	0.00
Status of Women Federal Grants	1.00	1.00	0.98	1.03	0.97	0.49	0.00	0.00	0.00	0.00
Juvenile Justice Action Grants	0.01	0.00	0.00	0.00	0.00	0.00	0.13	0.58	0.61	0.61
Low Income Energy Assistance	2.99	2.93	2.79	3.01	3.00	2.63	2.68	2.67	2.67	2.67
Weatherization - HHS (LEAP)	0.37	0.26	0.00	0.00	0.00	0.00	1.15	0.00	0.00	0.00
Juvenile Accountability	0.34	0.69	0.43	0.12	1.00	0.00	0.00	0.00	0.00	0.00
CSBG - Community Action Agency	4.02	4.06	4.63	4.71	4.26	4.00	4.47	4.92	4.92	4.92
Disability Donations & Grants	1.07	1.02	1.41	1.41	1.31	0.87	0.85	1.08	1.08	1.08
Asian and Pacific Islanders	1.40	1.54	0.97	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Deaf Services	4.47	4.48	4.21	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Persons with Disabilities	2.89	2.99	2.93	0.21	0.00	0.00	0.00	0.00	0.00	0.00
Latino Affairs	2.97	2.09	0.97	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Status of Women	2.54	3.00	2.37	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Status of African Americans	2.67	1.98	1.90	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Human Rights, Dept. of</b>	<b>46.23</b>	<b>44.16</b>	<b>42.69</b>	<b>37.44</b>	<b>34.38</b>	<b>34.54</b>	<b>34.53</b>	<b>36.05</b>	<b>35.05</b>	<b>35.05</b>
<b>Inspections &amp; Appeals, Dept. of</b>										
Inspections and Appeals, Dept. of										
Administration Division	39.03	38.60	34.59	35.73	33.76	11.89	13.37	13.65	13.65	13.65
Administrative Hearings Division	23.26	23.57	21.79	22.51	22.96	21.88	21.84	23.00	23.00	23.00
Investigations Division	48.02	49.19	45.79	52.17	53.57	53.29	54.03	55.00	55.00	55.00
Health Facilities Division	127.47	133.13	129.01	121.92	118.95	111.28	103.24	114.00	116.00	116.00
Employment Appeal Board	13.98	14.04	13.42	13.67	13.93	11.03	10.62	11.00	11.00	11.00
Child Advocacy Board	39.71	40.21	39.30	37.05	31.75	31.58	31.21	32.25	32.25	32.25
Indian Gaming Monitoring Fund	0.00	0.00	0.68	0.66	1.05	1.05	1.05	1.05	1.05	1.05
Amusement Devices Special Fund	0.00	0.00	0.00	0.00	0.45	2.55	2.65	2.65	2.65	2.65
Food and Consumer Safety	0.00	0.00	0.00	0.00	0.48	21.28	22.95	23.65	25.65	25.65
<b>Total Inspections and Appeals, Dept. of</b>	<b>291.46</b>	<b>298.74</b>	<b>284.58</b>	<b>283.71</b>	<b>276.89</b>	<b>265.83</b>	<b>260.96</b>	<b>276.25</b>	<b>280.25</b>	<b>280.25</b>

# Administration and Regulation

## FTE Positions

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b>Racing Commission</b>										
Pari-Mutuel Regulation GRF	0.00	0.00	0.00	0.00	22.76	23.83	22.83	32.03	0.00	0.00
Pari-Mutuel Regulation	25.93	26.00	24.14	23.40	0.00	0.00	0.00	0.00	0.00	0.00
Gaming Regulation (Riverboat) - GRF	0.00	0.00	0.00	0.00	37.52	32.58	32.24	40.72	72.75	72.75
Riverboat Regulation	37.59	36.97	36.46	36.92	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Racing Commission</b>	<b>63.51</b>	<b>62.97</b>	<b>60.59</b>	<b>60.32</b>	<b>60.27</b>	<b>56.41</b>	<b>55.07</b>	<b>72.75</b>	<b>72.75</b>	<b>72.75</b>
<b>Total Inspections &amp; Appeals, Dept. of</b>	<b>354.97</b>	<b>361.70</b>	<b>345.17</b>	<b>344.03</b>	<b>337.17</b>	<b>322.25</b>	<b>316.03</b>	<b>349.00</b>	<b>353.00</b>	<b>353.00</b>
<b>Management, Dept. of</b>										
Management, Dept. of Department Operations	30.63	30.56	26.36	21.13	21.04	21.06	22.08	20.58	20.58	20.58
<b>Total Management, Dept. of</b>	<b>30.63</b>	<b>30.56</b>	<b>26.36</b>	<b>21.13</b>	<b>21.04</b>	<b>21.06</b>	<b>22.08</b>	<b>20.58</b>	<b>20.58</b>	<b>20.58</b>
<b>Public Information Board</b>										
Public Information Board Iowa Public Information Board	0.00	0.00	0.00	0.00	0.00	0.00	2.87	3.00	3.00	3.00
<b>Total Public Information Board</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>2.87</b>	<b>3.00</b>	<b>3.00</b>	<b>3.00</b>
<b>Revenue, Dept. of</b>										
Revenue, Dept. of Tax Gap Collections	26.97	26.80	38.39	43.81	60.19	59.15	73.63	80.45	81.15	81.15
Revenue, Department of Revenue Examiners	365.68	369.01	322.98	262.97	240.80	231.23	203.73	228.55	232.85	232.85
	0.00	0.00	0.00	3.50	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Revenue, Dept. of</b>	<b>392.65</b>	<b>395.81</b>	<b>361.37</b>	<b>310.28</b>	<b>301.00</b>	<b>290.38</b>	<b>277.36</b>	<b>309.00</b>	<b>314.00</b>	<b>314.00</b>
<b>Rebuild Iowa Office</b>										
Rebuild Iowa Office Rebuild Iowa Office	0.00	0.05	9.95	10.86	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Rebuild Iowa Office</b>	<b>0.00</b>	<b>0.05</b>	<b>9.95</b>	<b>10.86</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

# Administration and Regulation

## FTE Positions

	Actual FY 2008 (1)	Actual FY 2009 (2)	Actual FY 2010 (3)	Actual FY 2011 (4)	Actual FY 2012 (5)	Actual FY 2013 (6)	Actual FY 2014 (7)	Estimated FY 2015 (8)	Gov Rec FY 2016 (9)	Gov Rec YR2 FY 2017 (10)
<b><u>Iowa Lottery Authority</u></b>										
Lottery Authority										
Lottery Fund	111.54	110.05	106.57	102.61	107.36	109.15	107.24	110.00	110.00	110.00
<b>Total Iowa Lottery Authority</b>	<b>111.54</b>	<b>110.05</b>	<b>106.57</b>	<b>102.61</b>	<b>107.36</b>	<b>109.15</b>	<b>107.24</b>	<b>110.00</b>	<b>110.00</b>	<b>110.00</b>
<b><u>Secretary of State</u></b>										
Secretary of State										
Admin/Elections/Voter Registration	13.50	13.78	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Secretary of State - Operations	22.77	23.39	35.05	31.22	30.47	25.32	25.85	32.00	30.00	30.00
<b>Total Secretary of State</b>	<b>36.27</b>	<b>37.16</b>	<b>35.05</b>	<b>31.22</b>	<b>30.47</b>	<b>25.32</b>	<b>25.85</b>	<b>32.00</b>	<b>30.00</b>	<b>30.00</b>
<b><u>Treasurer of State</u></b>										
Treasurer of State										
Treasurer - General Office	24.50	25.36	26.13	26.79	28.13	27.13	26.47	28.80	28.80	28.80
<b>Total Treasurer of State</b>	<b>24.50</b>	<b>25.36</b>	<b>26.13</b>	<b>26.79</b>	<b>28.13</b>	<b>27.13</b>	<b>26.47</b>	<b>28.80</b>	<b>28.80</b>	<b>28.80</b>
<b><u>IPERS Administration</u></b>										
IPERS Administration										
IPERS Fund	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.13	0.13	0.13
IPERS Administration	81.93	78.67	79.18	82.11	80.73	77.58	75.31	88.00	88.00	88.00
<b>Total IPERS Administration</b>	<b>81.93</b>	<b>78.67</b>	<b>79.18</b>	<b>82.11</b>	<b>80.73</b>	<b>77.58</b>	<b>75.31</b>	<b>88.13</b>	<b>88.13</b>	<b>88.13</b>
<b>Total Administration and Regulation</b>	<b>1,937.75</b>	<b>1,977.63</b>	<b>1,891.58</b>	<b>1,782.00</b>	<b>1,760.55</b>	<b>1,717.11</b>	<b>1,697.17</b>	<b>1,886.20</b>	<b>1,843.94</b>	<b>1,845.94</b>

# **Appendix E**

## **Sample of Budget Schedules 1 and 6**

The Schedule 1 shows the “decision packages” used by the Executive Branch to arrive at the Department’s annual budget request (dollars and FTE positions) and the Governor’s recommendations for a particular budget unit.

## Schedule 1 Example

**STATE OF IOWA**  
Fiscal Year 2016 Annual Budget  
SPECIAL DEPARTMENT: (040) Agriculture and Land Stewardship  
Budget Unit: (009G410001) GF-Administrative Division  
Schedule 1

Department name & budget unit

Rank	Description	Funding Source	Fiscal Year 2016 Department Request	Fiscal Year 2016 Governor's Recommendations
Base	Provides level funding for the Iowa Department of Agriculture to provide services to the citizens of Iowa.	Appropriation FTE	17,655,492 313.50	17,655,492 313.50
<b>Total Budget Unit Funding</b>		Fiscal Year 2015 Estimated	Fiscal Year 2016 Department Request	Fiscal Year 2016 Governor's Recommendations
Appropriation		\$ 17,655,492	\$ 17,655,492	\$ 17,655,492
Total FTE		313.50	313.50	313.50

Fiscal Year

Base budget and Full Time  
Equivalent Positions (FTEs)

Total appropriation and FTEs

A Schedule 1 provides a summary of funding available for a Department. The Schedule shows both General Fund and total funds plus FTE positions. The Schedule shows, by priority, any changes to current law (or budget).

The Schedule 6 shows all of the resources for a particular budget unit, including appropriations, federal funds, etc.

## Schedule 6 Example

**STATE OF IOWA**  
Fiscal Year 2016 Annual Budget  
SPECIAL DEPARTMENT: (660) Natural Resources, Department of  
Budget Unit: (542G720001) GF-Natural Resources Operations  
Schedule 6

	Fiscal Year 2014 Actual	Fiscal Year 2015 Estimated	Fiscal Year 2016 Department Request	Fiscal Year 2016 Governor's Recomm	
<b>Resources</b>					
<b>Appropriations</b>					
Appropriation	\$ 12,766,700	\$ 12,862,307	\$ 12,862,307	\$ 12,862,307	
DAS Distribution	95,607	0	0	0	
	<u>12,862,307</u>	<u>12,862,307</u>	<u>12,862,307</u>	<u>12,862,307</u>	
<b>Receipts</b>					
Federal Support	23,894,015	25,696,891	25,696,891	25,696,891	
Intra State Receipts	83,057,139	87,734,809	87,734,809	87,734,809	
Gov Fund Type Transfers - Other Agencies	16,458	0	0	0	
Refunds & Reimbursements	4,440,252	4,301,093	4,301,093	4,301,093	
Other Sales & Services	1,198	0	0	0	
Unearned Receipts	<u>432,992</u>	<u>403,667</u>	<u>403,667</u>	<u>403,667</u>	
	<u>111,842,054</u>	<u>118,136,460</u>	<u>118,136,460</u>	<u>118,136,460</u>	
<b>Total Resources</b>	<u>\$ 124,704,361</u>	<u>\$ 130,998,767</u>	<u>\$ 130,998,767</u>	<u>\$ 130,998,767</u>	
<b>FTE</b>	<u>1,006.99</u>	<u>1,107.95</u>	<u>1,107.95</u>	<u>1,107.95</u>	
<b>Disposition of Resources</b>					
Personal Services-Salaries	\$ 87,122,570	\$ 88,764,590	\$ 88,315,228	\$ 88,315,228	
Personal Travel In State	725,097	841,141	841,141	841,141	
State Vehicle Operation	2,598,383	2,513,596	2,513,596	2,513,596	
Depreciation	1,307,521	2,143,134	2,143,134	2,143,134	
Personal Travel Out of State	260,392	332,030	332,030	332,030	
Office Supplies	431,298	487,653	487,653	487,653	
Facility Maintenance Supplies	1,106,885	1,460,507	1,460,507	1,460,507	
Equipment Maintenance Supplies	1,745,077	1,612,100	1,612,100	1,612,100	
Professional & Scientific Supplies	30,521	12,000	12,000	12,000	

A Schedule 6 provides a detailed budget for all appropriated accounts or Funds under the control of the Department. Receipts includes the appropriation, the salary adjustment (if applicable), across-the-board reductions, supplemental appropriations, intra-state receipts from other agencies, receipts from local governments, and other receipts such as fees. Expenditures include all expenses related to the operating budget, such as salary, travel, contracts, etc. Expenditures also include the reversion or balance brought forward.

Budget schedules are available at: <https://www.legis.iowa.gov/LSAReports/relateddocSchedules.aspx>



# **Appendix F**

## **FY 2014 Year-End Appropriations**

# GENERAL FUND APPROPRIATIONS

FY 2014 General Fund Appropriation Activity Department of Administrative Services										
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended	
Iowa Building Operations	\$ 0	\$ 0	\$ 0	\$ 191,003	\$ 0	\$ 0	\$ 0	\$ -27,820	\$ 163,183	
Administrative Services, Dept.	4,020,322	47,602	4,067,924	19,123	0	0	-109,238	-109,238	3,868,570	
Utilities	2,658,909	0	2,658,909	335,330	0	0	-249,858	0	2,744,381	
Terrace Hill Operations	405,914	0	405,914	756	0	0	-7,751	-7,751	391,168	
Total	<u>\$ 7,085,145</u>	<u>\$ 47,602</u>	<u>\$ 7,132,747</u>	<u>\$ 546,212</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ -366,847</u>	<u>\$ -144,809</u>	<u>\$ 7,167,303</u>	

FY 2014 General Fund Appropriation Activity Auditor of State										
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended	
Auditor of State - General Office	\$ 905,468	\$ 9,038	\$ 914,506	\$ 305	\$ 0	\$ 0	\$ -271	\$ -271	\$ 914,269	
Total	<u>\$ 905,468</u>	<u>\$ 9,038</u>	<u>\$ 914,506</u>	<u>\$ 305</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ -271</u>	<u>\$ -271</u>	<u>\$ 914,269</u>	

FY 2014 General Fund Appropriation Activity Iowa Ethics and Campaign Disclosure										
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended	
Iowa Ethics & Campaign Disclosure Board	\$ 490,000	\$ 335	\$ 490,335	\$ 268	\$ 0	\$ 0	\$ 0	\$ -17	\$ 490,586	
Total	<u>\$ 490,000</u>	<u>\$ 335</u>	<u>\$ 490,335</u>	<u>\$ 268</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ -17</u>	<u>\$ 490,586</u>	

# GENERAL FUND APPROPRIATIONS

FY 2014 General Fund Appropriation Activity Department of Commerce									
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended
Alcoholic Beverages Operations	\$ 1,220,391	\$ 0	\$ 1,220,391	\$ 0	\$ 0	\$ 0	\$ 0	\$ -44,417	\$ 1,175,974
Professional Licensing Bureau	600,353	1,184	601,537	120	0	0	0	0	601,657
Financial Literacy	0	0	0	100,000	0	0	-99,000	0	1,000
Total	<u>\$ 1,820,744</u>	<u>\$ 1,184</u>	<u>\$ 1,821,928</u>	<u>\$ 100,120</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ -99,000</u>	<u>\$ -44,417</u>	<u>\$ 1,778,631</u>

FY 2014 General Fund Appropriation Activity Office of the Governor and Lt. Governor									
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended
Governor/Lt. Governor's Office	\$ 2,194,914	\$ 1,541	\$ 2,196,455	\$ 39,888	\$ 0	\$ -24,203	\$ -49,504	\$ -57,602	\$ 2,105,034
Terrace Hill Quarters	93,111	0	93,111	0	24,203	0	0	-1	117,313
Total	<u>\$ 2,288,025</u>	<u>\$ 1,541</u>	<u>\$ 2,289,566</u>	<u>\$ 39,888</u>	<u>\$ 24,203</u>	<u>\$ -24,203</u>	<u>\$ -49,504</u>	<u>\$ -57,603</u>	<u>\$ 2,222,347</u>

FY 2014 General Fund Appropriation Activity Office of Drug Control Policy									
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended
Drug Policy Coordinator	\$ 240,000	\$ 1,134	\$ 241,134	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 241,134
Total	<u>\$ 240,000</u>	<u>\$ 1,134</u>	<u>\$ 241,134</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 241,134</u>

# GENERAL FUND APPROPRIATIONS

FY 2014 General Fund Appropriation Activity Department of Human Rights										
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended	
Individual Development Accounts	\$ 0	\$ 0	\$ 0	\$ 100,000	\$ 0	\$ 0	\$ -100,000	\$ 0	\$ 0	
Human Rights Administration	206,103	18,081	224,184	0	0	0	-2,068	-2,068	220,048	
Community Advocacy and Services	1,028,077	0	1,028,077	19,160	0	0	-52,049	-62,228	932,959	
Total	\$ 1,234,180	\$ 18,081	\$ 1,252,261	\$ 119,160	\$ 0	\$ 0	\$ -154,117	\$ -64,296	\$ 1,153,007	

FY 2014 General Fund Appropriation Activity Department of Inspections and Appeals										
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended	
Child Advocacy Board	\$ 2,680,290	\$ 0	\$ 2,680,290	\$ 24,098	\$ 0	\$ 0	\$ -29,855	\$ -29,856	\$ 2,644,677	
Employment Appeal Board	42,215	0	42,215	0	0	0	-2,115	-2,115	37,984	
Administration Division	519,403	25,839	545,242	10,664	0	0	-39,486	-39,597	476,824	
Administrative Hearings Divisio	678,942	0	678,942	111,477	0	0	-15,613	-112,077	662,729	
Investigations Division	2,573,089	0	2,573,089	11,749	0	0	-69,374	-69,374	2,446,091	
Health Facilities Division	5,092,033	0	5,092,033	177,117	0	0	-179,872	-268,050	4,821,229	
Food and Consumer Safety	1,279,331	0	1,279,331	47,693	0	0	-7,985	-7,985	1,311,054	
Total	\$ 12,865,303	\$ 25,839	\$ 12,891,142	\$ 382,798	\$ 0	\$ 0	\$ -344,301	\$ -529,053	\$ 12,400,587	

# GENERAL FUND APPROPRIATIONS

FY 2014 General Fund Appropriation Activity Department of Management									
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended
Management Departmental Oper.	\$ 2,498,998	\$ 51,222	\$ 2,550,220	\$ 12,171	\$ 0	\$ 0	\$ -655	\$ -655	\$ 2,561,081
Total	<u>\$ 2,498,998</u>	<u>\$ 51,222</u>	<u>\$ 2,550,220</u>	<u>\$ 12,171</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ -655</u>	<u>\$ -655</u>	<u>\$ 2,561,081</u>

FY 2014 General Fund Appropriation Activity Department of Revenue									
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended
Revenue, Department of	\$ 17,659,484	\$ 221,355	\$ 17,880,839	\$ 130,561	\$ 0	\$ 0	\$ -272,450	\$ -272,450	\$ 17,466,500
Total	<u>\$ 17,659,484</u>	<u>\$ 221,355</u>	<u>\$ 17,880,839</u>	<u>\$ 130,561</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ -272,450</u>	<u>\$ -272,450</u>	<u>\$ 17,466,500</u>

FY 2014 General Fund Appropriation Activity Secretary of State									
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended
Secretary of State	\$ 2,895,585	\$ 1,114	\$ 2,896,699	\$ 0	\$ 0	\$ 0	\$ 0	\$ -251,400	\$ 2,645,299
Total	<u>\$ 2,895,585</u>	<u>\$ 1,114</u>	<u>\$ 2,896,699</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ -251,400</u>	<u>\$ 2,645,299</u>

# GENERAL FUND APPROPRIATIONS

FY 2014 General Fund Appropriation Activity									
Treasurer of State									
Appropriation Name	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended
Treasurer - General Office	\$ 854,289	\$ 230,103	\$ 1,084,392	\$ 11,670	\$ 0	\$ 0	\$ -16,246	\$ -16,246	\$ 1,063,571
Total	\$ 854,289	\$ 230,103	\$ 1,084,392	\$ 11,670	\$ 0	\$ 0	\$ -16,246	\$ -16,246	\$ 1,063,571

## OTHER FUNDS APPROPRIATIONS

FY 2014 Other Funds Appropriation Activity Department of Commerce								
Appropriation Name	Funding Source	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Bal Forward to FY 2015	Reversions	Approp Expended
Banking Division	Commerce Revolving Fund	\$ 9,160,198	\$ 7,037	\$ 9,167,235	\$ 0	\$ 0	\$ -2,130	\$ 9,165,105
Credit Union Division	Commerce Revolving Fund	1,792,995	1,261	1,794,256	0	0	-206,960	1,587,296
Insurance Division	Commerce Revolving Fund	5,023,244	9,745	5,032,989	0	0	-5,866,070	-833,081
Housing Improvement Fund Field Auditor	State Housing Trust Fund	62,317	0	62,317	0	0	0	62,317
Utilities Division	Commerce Revolving Fund	8,173,069	6,336	8,179,405	0	0	-361,333	7,818,072
Total		<u>\$ 24,211,823</u>	<u>\$ 24,379</u>	<u>\$ 24,236,202</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ -6,436,493</u>	<u>\$ 17,799,709</u>

FY 2014 Other Funds Appropriation Activity Department of Inspections and Appeals										
Appropriation Name	Funding Source	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended
Medicaid Fraud Annual Conference	Medicaid Fraud Account Fund	\$ 6,500	\$ 0	\$ 6,500	\$ 0	\$ 0	\$ 0	\$ 0	\$ -1,350	\$ 5,150
Iowa Greyhound Pari-mutuel Fund	Racing and Gaming Revolving Fund	3,062,765	5,727	3,068,492	0	0	0	0	-35,744	3,032,748
Racing and Gaming Regulatory	Racing and Gaming Revolving Fund	3,045,719	0	3,045,719	0	0	0	0	-42,897	3,002,822
Socioeconomic Gambling Study	Racing and Gaming Revolving Fund	125,000	0	125,000	0	0	0	0	0	125,000
Total		<u>\$ 6,239,984</u>	<u>\$ 5,727</u>	<u>\$ 6,245,711</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ -79,992</u>	<u>\$ 6,165,719</u>

FY 2014 Other Funds Appropriation Activity Department of Revenue										
Appropriation Name	Funding Source	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Transfers In	Transfers Out	Bal Forward to FY 2015	Reversions	Approp Expended
Motor Veh Fuel Tx-Admin Approp 0867	MVFT-Unapportioned	\$ 1,305,775	\$ 0	\$ 1,305,775	\$ 0	\$ 0	\$ 0	\$ 0	\$ -572,365	\$ 733,410
Total		<u>\$ 1,305,775</u>	<u>\$ 0</u>	<u>\$ 1,305,775</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ -572,365</u>	<u>\$ 733,410</u>

## OTHER FUNDS APPROPRIATIONS

FY 2014 Other Funds Appropriation Activity Department of Management								
Appropriation Name	Funding Source	Original Approp	DAS Distribution	Net Approp	Bal Forward from FY 2013	Bal Forward to FY 2015	Reversions	Approp Expended
DOM Road Use Tax Fund Appropriation	0810 Road Use Tax Fund	56,000	0	56,000	0	0	0	56,000
Total		\$ 56,000	\$ 0	\$ 56,000	\$ 0	\$ 0	\$ 0	\$ 56,000

FY 2014 Other Funds Appropriation Activity Iowa Public Employees Retirement System										
Appropriation Name	Funding Source	Original Approp	DAS Distribution	Salary Adjust	Supp/ Deapprop	Net Approp	Bal Forward from FY 2013	Bal Forward to FY 2015	Reversions	Approp Expended
IPERS Administration	IPERS Fund	\$ 17,686,968	\$ 0			\$ 17,686,968	\$ 0	\$ 0	\$ -2,572,085	\$ 15,114,883
Total		\$ 17,686,968	\$ 0	\$ 0	\$ 0	\$ 17,686,968	\$ 0	\$ 0	\$ -2,572,085	\$ 15,114,883

FY 2014 Other Funds Appropriation Activity Treasurer of State										
Appropriation Name	Funding Source	Original Approp	DAS Distribution	Salary Adjust	Supp/ Deapprop	Net Approp	Bal Forward from FY 2013	Bal Forward to FY 2015	Reversions	Approp Expended
Funds for I3 Expenses - Road Use Tax	Road Use Tax Fund	\$ 93,148	\$ 0			\$ 93,148	\$ 0	\$ 0	\$ 0	\$ 93,148
Total		\$ 93,148	\$ 0	\$ 0	\$ 0	\$ 93,148	\$ 0	\$ 0	\$ 0	\$ 93,148

# **Appendix G**

## **Federal Funds**

## REPORT ON FEDERAL GRANTS

NOTE: This information was provided by the Depart. of Management and includes information submitted by Executive Branch agencies to the Grants Enterprise Management System (GEM\$).

### Noncompetitive Federal Grants

State Agency	Title of Grant	Amount Awarded	Match Amount	MOE?	Funding Start Date	Funding End Date	FTE Positions Associated
Commerce	Senior Health Insurance Information Program	\$730,010	\$0	Yes	4/1/2014	3/31/2015	0.00
Commerce	State Health Insurance Assistance Program	\$648,168	\$0		4/1/2013	3/31/2013	0.00
Human Rights	Weatherization Assistance Program	\$3,951,444	\$0		4/1/2014	3/31/2015	3.00
Human Rights	Low Income Home Energy Assistance-Reallocation of FFY2013	\$201,790	\$0		10/1/2013	9/30/2015	0.00
Human Rights	Rehabilitation Services Client Assistance Program	\$24,012	\$0	No	10/1/2014	9/30/2015	1.00
Human Rights	Community Services Block Grant	\$1,816,892	\$0	No	10/1/2014	9/30/2016	3.00
DIA	Youth Advocacy State	\$30,000	\$0	No	6/1/2013	5/31/2014	0.00
ODCP	2014 Byrne JAG Formula Grant	\$1,882,224	\$0	No	10/1/2014	9/30/2017	2.50
ODCP	2014 Forensic Science Improvement Program	\$69,211	\$0	No	10/1/2014	9/30/2015	0.00
ODCP	2014 Byrne JAG - SORNA Setback	\$112,571	\$0	No	7/30/2014	7/31/2014	0.00
ODCP	2014 Byrne JAG - PREA Setback	\$56,285	\$0	No	10/1/2014	9/30/2015	0.00
ODCP	2014 Residential Substance Abuse Treatment	\$78,985	\$26,328	No	10/1/2014	9/30/2017	0.00

### Competitive Federal Grants

State Agency	Title of Application	Amount Awarded	Match Amount	MOE?	Funding Start Date	Funding End Date	FTE Positions Associated
DAS	Iowa Historical Records Advisory Board	\$0	\$7,143	No			0.00
DHR	OJJDP FY 2014 Second Chance Act Comprehensive Statewide Juvenile Reentry Systems Reform Planning Program	\$100,000	\$0	No	10/1/2014	9/30/2015	0.00
DHR	Enhancing Iowa's Incident-Based Reporting Capability	\$83,808	\$0	No	10/1/2014	9/30/2015	0.39
DHR	Iowa PREA - Juvenile Compliance Initiative	\$8,001	\$0	No	10/1/2014	9/30/2015	0.00
DHR	Competitive	\$8,001	\$8,001	No	10/1/2014	9/30/2015	0.00
ODCP	DHS - SAMHSA - Drug-Free Communities (DFC) Support Program - Request for Applications (RFA) No. SP-14-002	\$0	\$0	No	9/30/2014	9/30/2015	0.00
ODCP	Crime Scene Enhancements - Laser Scanner	\$0	\$0	No			0.00
ODCP	Policy Academy on Reducing Prescription Drug Abuse	\$0	\$0	No			0.00
ODCP	Second Chance Act-Iowa Recidivism Reduction Program	\$1,000,000	\$450,000	No	10/1/2014	9/30/2015	3.00

# **Appendix H**

## **Budget Unit Fiscal Topics**

## Budget Unit: Department of Administrative Services

BU Number: 0050C850001

### Overview

In 2001, the Governor initiated a review of Executive Branch agencies with the goal of combining four existing service agencies. The Iowa Department of Administrative Services (DAS) was created on July 1, 2003, to manage and coordinate the central support functions of state government with an entrepreneurial, customer-focused approach. In 2014, the Information Technology Enterprise (ITE) that provides technology services for state government was moved from DAS to the Office of the Chief Information Officer (OCIO). A new enterprise was created for Central Procurement and Fleet Services from the General Services Enterprise (GSE) due to the large size of the GSE.

The Department is organized into five areas:

- **Core/Finance** – The DAS Core is responsible for internal and administrative operations within the department including: budgeting, accounts payable, accounts receivable, mail service, customer service center, legal counsel, legislative liaison, marketing, communications, customer council support, and the director's office. Collectively, these functions are known as "shared services" — services that were consolidated at the formation of DAS.
- **Human Resources Enterprise (HRE)** – Human Resources provides personnel services to Iowa state government including qualification of applicants for state jobs, classification, compensation, selection assistance, Affirmative Action (Equal Employment Opportunity/Diversity Program), workforce planning, performance evaluation, workforce data gathering, reporting and analysis, labor relations, benefits, risk management and leave administration, safety, workers' compensation and Return to Work, wellness, training and development, and consultation with and advice to State agencies on human resource matters. The Regents, Community-Based Corrections, and the State Fair Authority use HRE services on a limited basis.
- **General Services Enterprise (GSE)** – The GSE maintains all Capitol Complex and Ankeny Laboratory buildings, grounds, and monuments and provides statewide architectural and engineering project management services for construction projects, and provides mail services to state agencies.
- **Central Procurement and Fleet Services Enterprise (CPFSE)** – The CPFSE manages procurement activities for most Executive branch agencies and operates the State's vehicle fleet and service garage.
- **State Accounting Enterprise (SAE)** – The SAE collects and reports financial information and processes financial transactions for all branches of government.

### Funding

The DAS receives a General Fund appropriation to support its own operations, but this is only a small part of the DAS total budget. Enterprise services are supported by billings to other State agencies for services received, and those billings account for the bulk of the revenues in the DAS total budget.

### Related Statutes

Iowa Code chapter [8A](#)

Iowa Administrative Code chapter [11](#)

### More Information

Department of Administrative Services: <http://das.iowa.gov/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

LSA Staff Contact: Jennifer Acton (515-281-7846) [jennifer.acton@legis.iowa.gov](mailto:jennifer.acton@legis.iowa.gov)

## Budget Unit: Department of Administrative Services – Utilities

**BU Number: 005C860001**

The Utilities appropriation to the Department of Administrative Services (DAS) pays for all utility costs (natural gas, electricity, water, and sewer services) for the buildings on the Capital Complex, the Iowa Utilities Board Building, Terrace Hill, and the Ankeny Laboratory Facility. The Iowa Building (formerly known as Mercy Capitol) is funded separately from this budget unit.

### Funding

The utilities budget unit receives a General Fund appropriation of approximately \$2.7 million annually. In addition to the appropriation, the budget unit has receipts from Iowa Workforce Development, the Mid-American Energy Curtailment Program, and for staff time charged to other projects that total approximately \$350,000 annually. The Administration and Regulation Appropriations Act contains language permitting the DAS to carry forward unspent balances for use in future years as a way to address expense fluctuations caused by weather variability. The amounts carried forward typically range from about \$380,000 to \$600,000. In total, the utilities budget unit has resources of approximately \$3.5 million each year.

The DAS participates in energy efficiency projects on the Capitol Complex that are funded by lease-purchases and Energy Bank loans that are repaid from energy savings for this budget unit. Between FY 2008 and FY 2013, the projects have reduced energy usage by approximately 20.0% partially offsetting rising energy costs.

### Related Statutes

Iowa Code chapter [8A](#)

Iowa Administrative Code Chapter [11](#)

### More Information

Department of Administrative Services: <http://das.iowa.gov/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

LSA Staff Contact: Dwayne Ferguson (515-281-6561) [dwayne.ferguson@legis.iowa.gov](mailto:dwayne.ferguson@legis.iowa.gov)

## Budget Unit: Department of Administrative Services – Terrace Hill Operations

BU Number: 0050C870001

Terrace Hill Operations is the appropriation to the Department of Administrative Services to support normal upkeep and routine maintenance of Terrace Hill buildings and grounds. Terrace Hill serves as the Governor's mansion and is also an historical landmark that is open to the public for tours and specials events. (The Governor's Office receives an appropriation for Terrace Hill Quarters that provides for other services for the Governor.) The appropriation supports:

- Grounds maintenance – There are 9.5 acres of lawn, trees, plantings, and a garden that staff and a crew of volunteers maintain. This includes snow removal during winter months. Other responsibilities include decorating for special events and holidays at Terrace Hill and assisting with the heavy lifting for the staff funded through the Governor's Office and helping with the deep cleaning within Terrace Hill during January.
- Exhibition maintenance – There are a number of historical items that are part of Terrace Hill, or on display, that must be maintained and preserved. Staff works with the State Preservation Office for National Landmarks to appropriately maintain the artifacts, oversee fundraising for the capital campaign, and review the status for all structures to ensure that repairs and restoration projects are addressed.
- Volunteer coordination – The Terrace Hill gift shop is manned by volunteers, and volunteers provide tours of the facility. The DAS staff coordinates the schedules and work of volunteers.
- Events and promotion – Staff assists the First Lady's Office in planning events and activities and promotes the Terrace Hill facility by coordinating the efforts of the Terrace Hill Commission, overseeing rental events, maintaining relations with key people in the involved organizations, and serving as contact for statewide and local media.

### Funding

Terrace Hill Operations receives an annual appropriation of approximately \$400,000 and 5.00 FTE positions. In addition, revenues from tours, events, and reimbursements from the Terrace Hill Foundation add approximately \$45,000 to \$50,000 annually to the operating funds.

### Related Statutes

Iowa Code chapter [8A](#)

Iowa Administrative Code Chapter [11](#)

### More Information

Department of Administrative Services: <http://das.iowa.gov/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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# Fiscal TOPICS

Published October 2012



## Budget Unit - Auditor of State

BU Number: 126P010001

### Purpose and History

The position of [Auditor of State](#) was created in 1857 with [Article IV, Section 22](#), of the Iowa Constitution. The Auditor is elected by popular vote and serves a four-year term. The duties of the Office are spelled out in Iowa Code chapter [11](#). The mission of the Office of the Auditor of State is to benefit all citizens of Iowa by providing independent audit, review, and other technical services to State and local governments to ensure the effective, economical businesslike conduct of public activities in a prudent, accountable manner to achieve the intended purposes.

The Auditor is required to annually make a complete audit of the books, records, and accounts of every department of State government. The Iowa Comprehensive Annual Financial Report (CAFR) and Single Audit Report are audited by the Auditor of State.

The Office has the following three divisions:

- **Administration** – Provides management and support services that include fiscal management, data processing, personnel training, recruiting, audit report production, and quality control.
- **Financial Audit** – Prepares annual audits of all State agencies, departments, and certain governmental subdivisions. Provides technical assistance to these entities, private individuals, Certified Public Accounting firms, and other governmental agencies. Performs report and working paper reviews of Certified Public Accountant audits of governmental subdivisions, and conducts readits as needed.
- **Performance Investigation** – Conducts performance audits of State agencies and the programs administered. The Division also investigates suspected embezzlement and conducts special studies assigned by the State Auditor or requested by the General Assembly.

### Funding – State General Fund

The Auditor of State Office receives an annual appropriation from the General Fund to fund costs of conducting audits of State departments that are not statutorily required to reimburse the Office for annual audit costs. The appropriation is used to perform the following audits:

Iowa State Fair Attorney General Auditor of State* Department for the Blind Ethics and Campaign Disclosure Board Civil Rights Commission Department of Corrections Department of Cultural Affairs Economic Development Authority College Student Aid Commission Iowa Public Television Department on Aging	Iowa Communications Network Governor's Office Department of Human Rights Department of Inspections and Appeals Judicial Department Judicial Retirement System Law Enforcement Academy Legislature Department of Management Parole Board Peace Officers' Retirement System Public Employment Relations Board Department of Public Defense	Department of Public Safety Department of Revenue Secretary of State Office of State/Federal Relations Office of Drug Control Policy State Appeal Board State Executive Council Treasurer of State Underground Storage Tank Board Uniform State Laws Commission Judicial Districts Iowa Centennial Memorial Foundation
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\*The annual audit of the Auditor of State is completed by an independent accounting firm.

### More Information

Budget Schedules and Related Documents

National Association of State Auditors, Comptrollers and Treasurers: <http://nasact.org/>

Iowa General Assembly: <http://www.legis.iowa.gov/index.aspx>

LSA Staff Contact: Ron Robinson (515-281-6256) [ron.robinson@legis.state.ia.us](mailto:ron.robinson@legis.state.ia.us)

**Other Sources of Revenue**

In addition to the General Fund appropriation, the Office receives fees for conducting audits and reviews of certain State agencies and governmental subdivisions (see Iowa Code sections [11.20](#) and [11.21](#) for subdivision fees). Iowa Code section [11.5B](#) allows the Auditor to be reimbursed for costs of conducting audits of the following State agencies and entities:

Department of Commerce Department of Human Services Department of Transportation Department of Public Health Department of Agriculture and Land Stewardship	Iowa Veterans Home Department of Education Department of Workforce Development Department of Natural Resources Offices of the Clerks of the District Court (Judicial Branch)	Iowa Public Employees' Retirement System Federal financial assistance received by all other departments Department of Administrative Services Board of Regents
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Iowa Code section [11.6](#) requires the finances of specified local governmental subdivisions to be audited annually. Governmental subdivisions have the option to use a Certified Public Accountant (certified by the State of Iowa) or the Auditor of State to conduct the audit. If a government subdivision chooses to use the Auditor of State, the Auditor will bill the entity to cover the cost of the audit. The Auditor of State is also authorized to charge governmental subdivisions a filing fee for costs associated with filing audits. The filing fee ranges from \$100 to \$850 depending on the size of the governmental subdivision budget.

**Related Statutes and Administrative Rules**

Iowa Code chapter [11](#)

Iowa Administrative Code: [81 IAC](#)

## Budget Unit: Iowa Ethics and Campaign Finance Disclosure Board

BU Number: 1400P210001

### Overview

The Iowa Campaign Finance Disclosure Commission was established in 1973 by the General Assembly in SF 583 (Campaign Disclosure Act). The Act created a five-member Commission, appointed by the Governor, to approve the forms developed by the State Commissioner of Elections, review reports and statements filed by candidates, hold hearings regarding grievances filed, and report violations to the Attorney General and county attorneys in the case of county, city, or school election violations. In the early years, the Commission educated the public regarding what information candidates for office and political committees were required to file and where. County auditors and commissioners of election were part of the educational process. In 1982, civil penalty authority was enacted by the General Assembly and fines were assessed to candidates for late filings. In 1993, the Commission's name was changed to the Iowa Ethics and Campaign Disclosure Board, and the Board was expanded to six members appointed by the Governor and confirmed by the Senate for staggered six-year terms.

### Responsibilities

The Board's current responsibilities include:

- Administering State laws regarding:
  - Campaign laws that apply to candidates for state and local office, state and local ballot issues, permissible and impermissible financing of campaigns, use of campaign funds, paid for by attributions, and campaign signage.
  - Ethics laws that apply to candidates for statewide office and officials and employees of the Executive Branch.
  - Codes of ethics adopted by the political subdivisions if the Board has entered into agreements with the political subdivisions.
  - Lobbying laws that apply to persons that lobby the Executive Branch, including receiving registrations from lobbyists, reports from clients, and Legislative Session function registrations and reports.
  - Complaint investigations from the State Commissioner of Elections about whether a county redistricting plan was drawn for improper political reasons.
- Providing advice to political candidates and governmental agencies on:
  - Campaign laws and the Board's rules on campaigning.
  - Ethics laws. The Board investigates complaints and the county attorney handles the prosecution. The Board's advice, if followed, constitutes a defense to a complaint.
  - Gift law, conflicts of interest, poststate employment, and use of state resources along with enforcement.
  - State lobbying laws and the Board's rules on Executive Branch lobbying.

### More Information

Iowa Ethics and Campaign Finance Disclosure Board: <http://www.iowa.gov/ethics/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## **Budget Unit: Iowa Ethics and Campaign Finance Disclosure Board**

- Receiving reports and making them available through the Board's website including:
  - Reports regarding dual compensation, consent for sales/leases by regulatory agencies and the Governor's Office, personal financial disclosure statements, and Legislative Session function registrations and reports.
  - Copies of personal disclosure forms filed by Iowa federal elected officials posted on the Board's website through a link to the Federal Election Commission's website where the federal reports are posted.
  - Reports on all gifts and bequests received by an executive branch agency (other than a Regents University) and filing a summary report with the Legislative Services Agency on the gifts and bequests.
  - Reports filed with the federal Internal Revenue Service by 527 committees that engage in certain campaign activities in Iowa.

### **Staffing**

The Board has a staff of five persons:

- Director and legal counsel
- Three field auditors
- One administrative assistant

### **Funding**

The agency is funded by a General Fund appropriation that has averaged approximately \$500,000 annually for the last several years.

### **Related Statutes and Administrative Rules**

Iowa Code chapters [68A](#), [68B](#), and sections [714.16](#) and [331.210A](#)

Iowa Administrative Code: Chapter [351](#)

## Budget Unit: Alcoholic Beverages Division

BU Number: 2120P420001

### Overview

The Iowa Alcoholic Beverages Division (ABD) is part of the Department of Commerce and is responsible for the regulation and control of alcohol in the State of Iowa. Iowa is one of nineteen control states that, since the repeal of prohibition, directly controls the sale and distribution of alcoholic beverages. In addition, the Division is responsible for the enforcement of state and federal laws and regulations regarding the sale and use of alcohol and tobacco products.

The ABD generates revenue for state and local governments from the net profit from the direct sale of alcohol, liquor license fees, excise tax on beer and wine, and civil penalties levied through administrative sanctions. The ABD transfers all profits to the State General Fund, Executive Branch agencies, and cities and counties to support city, county and state programs. In recent years, the Division typically generates over \$100.0 million to support state and local programs. The funds are used for substance abuse treatment programs and local programs at the city and county level. The Division transfers additional funds to support Iowa beer and wine promotion.

### Iowa Alcoholic Beverages Commission

The Commission has five members appointed by the Governor and confirmed by the Senate. Commissioners are appointed for five-year staggered terms and are chosen on the basis of managerial ability and experience as business executives. They are eligible for one five-year reappointment. The Commission acts as a policy-making body and serves in an advisory capacity to the Division administrator. Commissioners may review, affirm, reverse, or amend all actions of the administrator in the wholesale liquor sales operation and in the licensing and regulating of the alcoholic beverages industry.

### Facility

The facility housing the ABD is located in Ankeny and provides workspace for administration, alcohol ordering and regulation, licensing, tobacco enforcement, accounting, information technology, communications, and liquor distribution. The State Liquor warehouse is part of the facility and stocks more than 1,500 liquor products for distribution to the state's 900-plus Class E licensees. Weekly liquor orders are filled at the warehouse, loaded onto tractor-trailers, and delivered by state truck drivers to retailers across Iowa.

### Funding

The Division receives a General Fund appropriation that in the last couple years has funded about two-thirds of the Divisions operating budget. The remainder comes from receipts, refunds, and reimbursements.

In FY 2011, the ABD produced \$108.6 million in profits: \$89.5 million was transferred to the General Fund (\$15.3 million was earmarked for substance abuse treatment), \$14.3 million was transferred to the Treasurer as beer and wine tax collections, \$3.5 million was remitted to cities and counties, \$842,000 was transferred directly to substance abuse programs, and \$264,000 went to native wine and beer economic development.

### Related Statutes

Iowa Code chapter [123](#)

Iowa Administrative Code chapter [185](#)

### More Information

Alcoholic Beverages Division, Department of Commerce: <http://www.iowaabd.com/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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# Fiscal TOPICS

Published September 2013



## Budget Unit: Professional Licensing Bureau

BU Number: 2170P480001

The Professional Licensing Bureau is part of the Banking Division of the Department of Commerce. The agency was created in 1986 by state reorganization. In July, 2006, it became a bureau of the Division of Banking. The Bureau oversees:

- Accountants
- Architects
- Engineers and land surveyors
- Landscape architects
- Real estate brokers and agents
- Real estate appraisers
- Interior designers

The Bureau provides support for the boards and commissions that govern each profession. The requirements for examination, licensing and regulation, review and investigation of complaints, licensee discipline, peer review committees, renewal requirements and the continuing education necessary for renewal are set by the boards and commission with assistance from the bureau. There are approximately 40,000 in-state and out-of-state licensees under the bureau's purview.

### Funding

The Bureau receives an annual General Fund appropriation of approximately \$600,000 and has additional revenues from licenses, fees, permits, and other sources of approximately \$1.0 million. A staff of 12.5 FTE positions provides administrative support.

### Related Statutes

Iowa Code chapter [542](#)

Iowa Administrative Code Chapters [193](#) through [193G](#)

### More Information

Professional Licensing Bureau, Banking Division, Department of Commerce:

<http://www.state.ia.us/government/com/prof/home.html>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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# *Fiscal* TOPICS

Published August 2013



## **Budget Unit: Regional Telecommunications Councils**

**BU Number: 336C490001**

The Iowa Telecommunications and Technology Commission (ITTC) was established in 1994 to supervise the Iowa Communications Network (ICN). The Commission provides for the centralized, coordinated use and control of the ICN. Educational applications are given the highest priority for use of the ICN by the ITTC. The ITTC was authorized to develop advisory committees.

Regional Telecommunications Councils (RTCs) were established in each of the 15 community college merged areas. Each council has nine members with one member appointed by each of the following: State Board of Regents, Iowa Association of Community College Trustees, Area Education Agency Board, Iowa Association of School Boards, School Administrators of Iowa, Iowa Association of Independent Colleges and Universities, Iowa State Education Association, the Director of the Department of Education, and the Administrator of the Public Broadcasting Division of the Department of Education. Additional ex officio, nonvoting members may also be appointed to the RTCs. The RTCs provide advice on the assessment of local educational needs and coordinate program activities including technical assistance for network classrooms, planning and troubleshooting for local area networks, scheduling of video sites, and other related support activities. The community college located in the merged area of an RTC provides staff and facilitates the activities of the Council. The community college and the RTC may enter into an Iowa Code chapter 28E agreement for these arrangements.

### **Funding**

Funding is appropriated from the General Fund to the ITTC for distribution to the Regional Telecommunications Councils based on usage by the region. The total funding is approximately \$993,000 annually.

### **Related Statutes**

Iowa Code section [8D.5](#)

Iowa Administrative Code Chapters [751](#)

### **More Information**

Regional Telecommunication Councils, Iowa Telecommunications and Technology Commission:  
<http://icn.iowa.gov/about-icn/commission/rtc-appropriation/rtc-history>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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# Fiscal TOPICS

Published October 2012



## Budget Unit – Governor/Lt Governor's Office

BU Number: 350C710001

### Purpose and History

The position of [State Governor](#) was created in 1857 by [Article IV, Section 1](#), of the Iowa Constitution. The Governor is elected by a statewide popular vote and serves a four-year term. The duties and responsibilities of the Office are specified in Iowa Code chapter [7](#).

The functions of the Governor's Office consist of the following:

- Managing the Executive Branch and implementing policies and programs in accordance with State law.
- Preparing and submitting the Governor's annual legislative program and budget.
- Reviewing bills presented to the Governor for signature following final legislative action.
- Making required appointments to boards and commissions and the Judiciary.
- Working with State departments to provide direction on the desired course of State government.
- Responding to and resolving constituent requests for assistance and information.
- Fulfilling statutory obligations in the area of executive clemency.
- Writing and producing Governor's proclamations for Iowa citizens and associations.
- Supervises the administrative rules promulgation process, coordinates rules review with the Legislative Branch, and assists in the publication of the Iowa Administrative Code.
- Promoting the interests of State Government before Congress, federal agencies, national associations, and other organizations. The Office influences the development of national policies affecting State Government, business and industry, and citizens. The Office also monitors federal budget policies and promotes initiatives for State Government.

### Funding – State General Fund

The Governor's Office receives an annual appropriation from the General Fund to fund the majority of the operational cost of the Office.

### Related Statutes and Administrative Rules

Iowa Code chapter [7](#)

### More Information

Budget Schedules and Related Documents

National Governors Association: <http://www.nga.org/cms/home.html>

Iowa General Assembly: <http://www.legis.iowa.gov/index.aspx>

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## Budget Unit – Terrace Hill Quarters

**BU Number: 350C730001**

### **Purpose**

The functions funded by the Terrace Hill Quarters appropriation consist of the following:

- Provides for staffing and expenses of the overall operation of Terrace Hill National Historic Landmark and Iowa Governor's Residence.
- Provides daily food preparation and housekeeping services for the Governor and the Governor's family.
- The grounds are maintained by the Department of Administrative Services.

### **Funding – State General Fund**

The Governor's Office receives an annual appropriation from the General Fund to fund the staffing needs.

### **More Information**

Budget Schedules and Related Documents

Terrace Hill Commission: <https://openup.iowa.gov/board/Terrace+Hill+Commission/133/>

Iowa General Assembly: <http://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Governor's Office of Drug Control Policy

BU Number: 6420C050001

The Governor's Alliance on Substance Abuse (GASA), the predecessor agency to the Governor's Office of Drug Control Policy (ODCP), was established in 1987, as part of the Department of Public Health. In 1990, legislative action made GASA an independent agency called the Office of the Drug Enforcement and Abuse Prevention Coordinator with an overall mission of facilitating coordination among State agencies and resources within the criminal justice/law enforcement system. The Governor's Office of Drug Control Policy (ODCP) officially came into existence on July 1, 2000, when legislation took effect changing its name and changing the title of the Drug Enforcement and Abuse Prevention Coordinator to the Drug Policy Coordinator. The legislation also combined three previous councils under the purview of the agency to create the Drug Policy Advisory Council.

The responsibilities of the Office include:

- **Facilitating Coordination:** The Governor's Office of Drug Control Policy coordinates and monitors programs involved with drug enforcement and substance abuse treatment and prevention. At the state level, the ODCP works with a core group of departments that include the Departments of Corrections, Public Health, Human Services, Public Safety, Education, Human Rights' Division of Criminal and Juvenile Justice Planning, the Iowa National Guard, and the Iowa Attorney General's Office. In addition, the ODCP finds and works with other state agencies and nongovernmental organizations that have, or are interested in developing, specific programs or policy dealing with drug use and related crime.
- **Statewide Strategy Development:** The Drug Policy Advisory Council is chaired by the Drug Policy Coordinator and staffed by ODCP. The Council, in cooperation with state-level and local stakeholders, establishes priorities in developing Iowa's Drug Control Strategy. The strategy serves as the state's blueprint for dealing with drug trafficking and substance abuse.
- **Policy Guidance:** The Office promotes evidence-based programming practices and innovations and works with members of the Iowa General Assembly and the Governor's Office on developing and researching drug-related policy proposals. The ODCP also works with members of Iowa's congressional delegation on timely federal issues of importance to Iowa.
- **Federal Grant Administration:** The Office administers federal grant programs including the Edward Byrne Memorial Justice Assistance Grant, Residential Substance Abuse Treatment Grant, Project Safe Neighborhoods, Coverdell Forensic Science Improvement, Mental Health/Drug Court Enhancement, COPS Meth Enforcement, and Drug Endangered Children. These grants come from the U.S. Department of Justice, Office of Justice Programs and Community Oriented Policing Services. The Byrne Justice Assistance Grant (JAG) is the largest grant and has multiple purpose areas for grantees to receive funds. The ODCP supports offender treatment and community drug/crime prevention efforts through grants and works to locate and apply for other drug/crime control grants.
- **Multi-Jurisdictional Drug Task Forces:** The ODCP plays a role in drug law enforcement by supporting multi-jurisdictional drug task forces throughout the state with funds from the JAG grant. The ODCP monitors these grants and coordinates task force organizational activity.

### Funding

The ODCP is funded by a combination of State General Fund and federal grant moneys and has 4.0 FTE positions authorized. The office receives a General Fund appropriation of approximately \$240,000 and approximately \$450,000 in administrative support from federal grants and federal grant interest. In FY 2013, staffing for the office was reduced from 8.0 FTE positions to 4.0 FTE positions. The office was directed by the General Assembly to co-locate with the Department of Public Safety (DPS) and permitted ODCP to receive administrative support from the DPS.

### Related Statutes

Iowa Code chapter [80E](#)

### More Information

Governor's Office of Drug Control Policy: <http://www.iowa.gov/odcp/index.html>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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# Fiscal TOPICS

Published August 2014



## Budget Unit: Department of Human Rights (DHR) - Central Administration

BU Number: 3790J710001

### Purpose and History

The Department of Human Rights (DHR) receives a General Fund appropriation for Central Administration in the Administration and Regulation Appropriations Act each year. This appropriation funds the centralized administrative operations of the Department. Duties of the Division include:

- promoting the services of other DHR divisions/programs among their respective clientele and the general public.
- maintaining fiscal accountability for all funds received by the Department.
- approving and processing personnel transactions and payroll.
- coordinating purchasing activities.
- providing administrative and clerical support.
- promoting cooperative efforts among staff and programs.
- supporting the various divisions in the development of their respective administrative rules.
- assisting in the development, compilation, and dissemination of information to and from the DHR divisions on issues regarding their operations, activities and special populations they serve.

The Iowa Department of Human Rights includes the following divisions and offices:

- [Division of Central Administration](#)
- [Division of Criminal and Juvenile Justice Planning \(CJJP\)](#)
- [Division of Community Action Agencies](#)
- [Division of Community Advocacy and Services \(CAS\)](#)
- [Office of Asian and Pacific Islanders](#)
- [Office for Deaf Services](#)
- [Office for Latino Affairs](#)
- [Office for Native American](#)
- [Office for Persons with Disabilities](#)
- [Office on Status of African-Americans](#)
- [Office on the Status of Women](#)

### Funding

For the four years ending with FY 2014, total funding has averaged \$24.0 million annually, with \$23.7 million contributed from federal funds and \$0.3 million from the General Fund.

### Related Statutes and Administrative Rules

Iowa Code [216A](#), [2.56](#), [7E.5](#), [16.100A](#), [48A.19](#), [80E.2](#), [84A.6](#), [101C.3](#), [135.109](#), [225B.4](#), [225C.23](#), [232.147](#), [237.3](#), [241.3](#), [303.3C](#), [356.37](#), [476.20](#), [476.51](#), [476.66](#), [477.5](#), [541A.1](#), [622A.7](#), [622B.1](#), [622B.4](#), [692.15](#), [804.31](#), and [901B.1](#)

Iowa Administrative Code: [421](#), [427](#), [428](#), [429](#), [431](#), [433](#), [434](#), [435](#), and [436](#)

### More Information

Department of Human Rights: <http://www.humanrights.iowa.gov/index.html>

Iowa General Assembly: <https://www.legis.iowa.gov/>

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## Budget Unit: Community Advocacy and Services Division, Department of Human Rights

BU Number: 3790J720001

### Overview

The Division of Community Advocacy and Services (CAS) is a division within the Department of Human Rights. The CAS promotes diversity and links underserved and underrepresented persons with government support and/or services. For example, the CAS staff offer individualized services that help non-English-speaking persons access interpreting services so they can receive health care, educate private sector employers about the value of hiring persons with disabilities, and promote laws and policies to eliminate discrimination and create equity.

The CAS houses seven offices that work together to study issues affecting groups that have a history of being marginalized. Each office administers programs and advocates for policies that support greater success for its customer populations. In addition, each office is responsible for collecting and analyzing data about customer populations. The data assists in determining programming and helps to expand culturally affirmative services throughout state government. The groups served by these offices are:

- Asian and Pacific Islanders
- Deaf and Hearing Impaired
- Latinos
- Native Americans
- Persons with Disabilities
- African Americans
- Women

### Funding

The Division is funded by a General Fund appropriation through the Administration and Regulation Appropriations Subcommittee.

### Related Statutes

Iowa Code chapter [216A](#)

Iowa Administrative Code chapter [429](#) through [436](#)

### More Information

Department of Human Rights: <http://www.humanrights.iowa.gov/index.html>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Department of Inspections and Appeals - Administration Division

BU Number: 427Q610001

### Description

The Administration Division of the Department of Inspections and Appeals (DIA) provides centralized support services and coordination for the Department. The Director's Office staff oversee all strategic planning, legislative affairs, administrative rulemaking, personnel, and public information activities for the Department. The Division also includes the Food and Consumer Safety Bureau, Social and Charitable Gambling Unit, and the Targeted Small Business (TSB) Certification Program.

- **Food and Consumer Safety Bureau.** The Bureau is responsible for administering and enforcing the Iowa Food Code (Iowa Code chapter 137F) by conducting food safety inspections to prevent foodborne illnesses at grocery stores, restaurants, convenience stores, and food processing plants. The Iowa Food Code is based on food safety recommendations developed by the Food and Drug Administration (FDA), in consultation with representatives from the food industry and regulators. The DIA also contracts with local health agencies to conduct inspections.
- **Social and Charitable Gambling Program.** This Program administers Iowa Code [chapter 99B](#), to regulate games of skill or chance, raffles, bingo, social gambling, and amusement devices. Qualified organizations may obtain a social or charitable gambling license to conduct fundraising activities benefiting educational, civic, public, charitable, patriotic, or religious purposes. Gambling receipts are subject to Iowa sales tax, including nonprofit organizations. A Social Gambling License authorizes small stakes card and parlor games (such as cribbage, euchre, hearts, checkers, chess, dominoes, etc.) between individuals. When held by a beer or liquor establishment, it also permits sports-betting pools.
- **Targeted Small Business (TSB) Certification Program.** The TSB Certification Program certifies businesses owned, operated, and actively managed by women, minority group members, or persons with disabilities. Certified TSBs are eligible to apply for low-interest loans and equity grants through the Iowa Economic Development Authority (IEDA). Also, State purchasing officers consider TSBs when seeking bids for State-purchased goods and services.
- **Indian gaming compacts.** The DIA serves as Iowa's lead contact for Indian gaming compacts. The Director is authorized to enter into and implement agreements or compacts between the State of Iowa and Native American tribes located in the state as per the authority of the Indian Gaming Regulatory Act (25 U.S.C section 2701 et seq.). This insures that the agreements or compacts contain provisions intended to implement the policies and objectives of the Indian Gaming Regulatory Act. Iowa has three tribal gaming compacts that were first negotiated in 1992 and authorize casino-type gaming in the State. Iowa has compacts with the Winnebago and Omaha Tribes of Nebraska and the Sac and Fox Tribe of the Mississippi in Iowa.

### Funding

The Administration Division has a budget of approximately \$1.5 million annually. The Division receives a General Fund appropriation of approximately \$550,000 and about one-third of the remainder is from federal support and the other two-thirds is from governmental transfers.

### Related Statutes

Iowa Code chapter [10A](#), [137F](#), and [99B](#)  
Iowa Administrative Code chapter [481](#)

### More Information

Department of Inspections and Appeals, Administration Division: [https://dia-hfd.iowa.gov/DIA\\_HFD/Process.do](https://dia-hfd.iowa.gov/DIA_HFD/Process.do)

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Administrative Hearings Division, Department of Inspection and Appeals

BU Number: 4270Q630001

### Overview

The Administrative Hearings Division is one of four divisions within the Department of Inspections and Appeals. The Division holds contested case hearings involving individuals objecting to an adverse action taken by a state department or agency. During a contested case hearing, individuals may present evidence and testimony to refute the department's action. An Administrative Law Judge (ALJ) is assigned to conduct the case and hears the facts for the issue in question. At the conclusion of the hearing, the ALJ issues a proposed decision based on the evidence provided. The proposed decision may sustain, reject, or modify the initial action taken by the department or agency. Any party can appeal the proposed decision to the state agency that initiated the action, and the agency can also review a proposed decision on its own motion. The agency has the authority to sustain, reject, or modify the proposed decision. Iowa law and the Department's administrative rules specify how contested case hearings are conducted.

Nearly two-thirds of all the Division's contested case hearings involve suspensions or revocations of driver licenses by the Iowa Department of Transportation (DOT). Of the remaining cases, the majority involve individuals contesting suspension or termination of entitlements by the Iowa Department of Human Services (DHS). In addition to the DOT and the DHS cases, the Division conducts administrative hearings for nearly all state departments and licensing boards. Beginning January 1, 2011, as a result of statutory changes, the Department began handling appeals by lowans that have been denied a permit to acquire firearms or carry weapons or cases where a permit has been suspended or revoked by the sheriff or the Commissioner of Public Safety.

### Staffing and Funding

The Division has a staff of 23, including 18 administrative law judges. The Division has an annual budget of more than \$3.0 million with just under one-fifth coming from General Fund appropriations and most of the remainder from intrastate receipts and reimbursements from other state agencies.

### Related Statutes

Iowa Code chapter [10A](#)

Iowa Administrative Code chapter [481](#)

### More Information

Administrative Hearings Division, Department of Inspections and Appeals: <http://www.dia.iowa.gov/page10.html>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Investigations Division, Department of Inspections and Appeals

BU Number: 4270Q640001

### Overview

The Investigations Division is one of four divisions in the Department of Inspections and Appeals (DIA). The Division investigates alleged fraud in the State's public assistance programs including the theft of warrants and Medicaid fraud by health care providers and conducts professional practice investigations on behalf of state licensing boards. The Division also reviews applications for public assistance to prevent the issuance of funds to ineligible individuals, and initiates recovery actions to recoup overpayments when individuals fraudulently receive public assistance.

The Division performs expenditure audits of local Department of Human Services (DHS) offices to determine eligibility for federal fund reimbursement for operating expenses. These DHS audits ensure compliance with applicable State and federal funding requirements. The Division also conducts health care audits at residential care facilities, nursing facilities, and residential and intermediate care facilities for the mentally retarded. Audit findings are used to assist in determining whether Medicaid reimbursement procedures meet participation requirements.

Staff in the Medicaid Fraud Control Unit conducts investigations of alleged abuse and neglect of residents in long-term care facilities that receive Medicaid reimbursements from the federal government. Investigators also look into allegations that residents have been defrauded of personal funds or possessions.

When abuse or fraud is substantiated, the Division works with local law enforcement officials to bring the offenders to trial. When Medicaid fraud is suspected, the DIA often works side-by-side with investigators from the Federal Bureau of Investigation, the U.S. Postal Service, and other State and federal law enforcement agencies.

### Funding and Staffing

The Investigations Division has an annual budget of over \$5.0 million. A little less than a quarter of the funding is provided from General Fund appropriations; more than one-tenth comes from federal funding; and the remainder comes primarily from intrastate receipts. The Investigations Division has a staff of 54 persons, including 41 investigators and auditors.

### Related Statutes

Iowa Code chapter [10A](#)

Iowa Administrative Code chapter [481](#)

### More Information

Investigations Division, Department of Inspections and Appeals: <http://www.dia.iowa.gov/page15.html>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Department of Inspections and Appeals - Health Facilities Division

BU Number: 4270Q650001

The [Health Facilities Division](#) of the Iowa Department of Inspections and Appeals is the designated State survey and certification agency responsible for inspecting and licensing or certifying various health care entities, health care providers, and health care suppliers operating in the State of Iowa. Entities subject to the Department's oversight and regulation include nursing facilities, skilled nursing facilities, residential care facilities, intermediate care facilities for the intellectually disabled, hospitals, hospices, home health agencies, programs and facilities caring for children, assisted living programs, and elder group homes.

Health Facilities Division personnel also investigate complaints alleging improper care or treatment of patients, residents, and tenants in licensed and certified entities. By law the Division has the authority to investigate complaints of a health care entity alleging a violation of licensing rules under Iowa Administrative Rules or the applicable federal regulations. Complaints alleging improper care in assisted living programs, elder group homes, and adult day care are investigated by the Adult Services Bureau within the Division. Complaints are investigated onsite by survey staff. Depending on the nature of the allegation the complaint investigation process includes observations, resident interviews, and/or records review.

The Division also:

- Investigates complaints of hospitals violating licensing rules under Iowa Code chapter [135B](#). If the hospital is accredited by the Joint Commission on the Accreditation of Healthcare Organizations (JCAHO) or the American Osteopathic Association (AOA), the Division must obtain the approval of the Centers for Medicare and Medicaid Services before initiating a complaint investigation or the investigation of an accredited hospital cannot be initiated.
- Operates the Best Practices Program to encourage long-term care nursing facilities to share new and innovative approaches to resident care. The Program makes available to health care providers a variety of identified practices that have been shown to be effective in long-term care settings. The highlighted practices are posted to the Health Facilities Division website.
- Provides a Direct Care Worker (DCW) webpage. The webpage provides certified nursing assistants access to the Iowa Direct Care Worker Registry to apply for registration and to edit and update registration information. It also provides access to the administrative rules with the training requirements for certified nursing assistants, certified medication aides, and nutritional assistants.
- Maintains a list of certified nursing assistants (CNAs) qualified by education, training, and testing to work in federally certified long-term care facilities. The list is used by health care facilities to recruit workers. Federal regulations require Medicare and Medicaid-certified facilities to check the Direct Care Worker Registry to verify that certified nursing assistants are eligible to work in those facilities.
- Maintains inspection reports and final findings of complaint investigations for a wide variety of Iowa health care entities. Reports for nursing facilities, residential care facilities, intermediate care facilities, and assisted living programs are available online.

### Funding

The Division has an annual budget of just over \$14.0 million. Approximately \$5.0 million comes from State General Fund appropriations, and most of the remainder is federal funding.

### Related Statutes

Iowa Code chapter [10A](#)

Iowa Administrative Code chapter [481.50](#)

### More Information

Department of Inspections and Appeals, Health Facilities Division: [https://dia-hfd.iowa.gov/DIA\\_HFD/Process.do](https://dia-hfd.iowa.gov/DIA_HFD/Process.do)

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Employment Appeal Board - Department of Inspections and Appeals

BU Number: 4270Q510001

### Description

The Employment Appeal Board authority and duties are specified in Iowa Code [section 10A.601](#). The Board is administratively attached to the Department of Inspections and Appeals (DIA). It is a three-member board that serves as the final administrative law forum for appeals. The three members of the Board are appointed by the Governor and confirmed by the Senate. They are selected to represent employers, employees, and the general public. The Board has authority to hear appeals for the following:

- Personnel actions under [Iowa Code chapter 8A](#).
- Peace officer and Capitol Security discharges under [Iowa Code chapter 80](#).
- Occupational Safety and Health Act citations under [Iowa Code chapter 88](#).
- Construction contractor registration citations under [Iowa Code chapter 91C](#).
- Unemployment insurance appeals under [Iowa Code chapter 96](#).
- Iowa Public Employees Retirement System (IPERS) appeals under [Iowa Code chapter 97B](#).

### Funding

The Board has an annual budget of approximately \$1.1 million. Approximately \$42,000 comes from a General Fund appropriation and the remainder is from the federal government based on the number of appeals heard and the time taken to render a decision.

### Related Statutes and Administrative Rules

Iowa Code [7E.6](#), [10A.104](#), [10A.403](#), [10A.601](#), [68B.35](#), [80.15](#), [88.1](#), [88.3](#), [88.6](#), [88.8](#), [89.13](#), [91C.8](#), [96.6](#), [96.11](#), [96.19](#), [97B.20B](#), [97B.27](#)

Iowa Administrative Code [486](#)

### More Information

Department of Inspections and Appeals, Employment Appeal Board: <http://dia.iowa.gov/page17.html>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Child Advocacy Board - Department of Inspection and Appeals

BU Number: 4270Q500001

### Background

The Iowa Child Advocacy Board (ICAB) is administratively attached to the Department of Inspections and Appeals (DIA) but is an independent Board that provides for citizen involvement in child welfare issues. The Board is composed of nine members appointed by the Governor of Iowa and confirmed by the Iowa Senate. The Board is responsible for establishing policies and procedures for two volunteer child advocacy programs: the Court Appointed Special Advocate (CASA) program and the Foster Care Review Boards (FCRB) program. Citizen volunteers for these two programs work with abused and neglected children. The ICAB annually reports on issues affecting children in the Iowa child welfare system and offers recommendations for improvements.

**Iowa Court Appointed Special Advocate Program:** The Iowa Court Appointed Special Advocate Program recruits, trains, and supports community volunteers to serve as a voice in court for abused and neglected children and works to ensure that each child is living in a safe, permanent and nurturing home. The CASA volunteers must be able to think independently, use good judgment in difficult situations, and communicate effectively, both verbally and in writing. Volunteers are expected to serve at least a one-year commitment unless the child's case is closed by the Court earlier. Applicants go through an intensive screening process, have a criminal history check, and provide references.

**Iowa Foster Care Review Board Program:** During the 1970s, the nation became aware that the child welfare system was struggling to keep up with the growing numbers of children entering out-of-home placements and the lack of continuity and planning. Children moved from placement to placement, without specific plans to establish permanency and stability. In 1980, a federal law was enacted that required every state to provide individually written case permanency plans for every foster child. Progress was to be reviewed by a court or administrative review panel at least every six months. In response, the Iowa Citizen Foster Care Review Board (FCRB) Program was established in 1984. The Program began with pilot projects in certain counties in cooperation with the Juvenile Court system and the DHS. The Program expanded as funding permitted. The new law required that trained citizen volunteers provide oversight to help assure the welfare of abused and neglected children. The FCRB was placed under the auspices of the Iowa Child Advocacy Board in July 2002.

The Iowa Foster Care Review Board Program recruits, trains, and supports community volunteers to serve on local community boards with the goal of providing permanency for children placed in foster care. Persons age 21 and older can apply to serve on the Board. Volunteers commit to a two-year term and go through a criminal and background check. There are local boards in 50 counties with some counties having more than one active board. The boards meet monthly to review the status of children that have been removed from their parents. Advisory recommendations in the best interest of the child are provided by the boards to the Court and other system officials.

### Funding

The ICAB receives an annual General Fund appropriation of approximately \$2.7 million and a little less than \$500,000 from other sources bringing the total annual budget to just over \$3.1 million.

### Related Statutes and Administrative Rules

Iowa Code Chapter [10A](#) and Iowa Code section [237.16](#)

Iowa Administrative Code chapter [489](#)

### More Information

Department of Inspections and Appeals, Iowa Child Advocacy Board: <https://childadvocacy.iowa.gov/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Food and Consumer Safety Bureau, Department of Inspections and Appeals

BU Number: 4270Q750001

### Overview

The Food and Consumer Safety Bureau is located in the Administration Division, Department of Inspections and Appeals. The Bureau is responsible for administering and enforcing the Iowa Food Code (Iowa Code chapter [137F](#)) by conducting food safety inspections at food establishments (grocery stores, restaurants, and convenience stores) and food processing plants. The purpose of the Iowa Food Code is to "safeguard the public health and provide to consumers, food that is safe, unadulterated and honestly prepared." In addition to the grocery stores, restaurants, and convenience stores, the Bureau deals with bed and breakfast homes and inns, farmers markets and temporary food establishments, egg handlers, and home food establishments.

All food establishments in Iowa are inspected according to the Iowa Food Code. The Food Code is based on food safety recommendations developed by the federal Food and Drug Administration, in consultation with representatives from the food industry and regulators. The Food Code is based on scientifically developed factors focusing on public health and the prevention of foodborne illness.

### Funding and Staffing

The Food and Consumer Safety Bureau appropriation was separated from the Administration Division in the FY 2013 budget. The Bureau received an appropriation of \$1.3 million and has 21 staff members.

### Related Statutes

Iowa Code chapters [10A](#) and [137F](#)  
Iowa Administrative Code chapter [481](#)

### More Information

Food and Consumer Safety Bureau, Department of Inspections and Appeals: <http://www.dia.iowa.gov/page3.html>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Department of Management

BU Number: 5320D010001

### Overview

The Department of Management (DOM), sometimes referred to as the Governor's Budget Office, was created to integrate budgeting with planning for decision-making within the Executive Branch. The mission of the Department is to lead enterprise planning and coordinate enterprise governance systems through strategic planning, to operate as a finance and accountability center, and to promote and coordinate the implementation of the Governor's agenda. The Department's key services, products, and activities include:

- Budget development and oversight.
- Governance system development and oversight for the Accountable Government Act (AGA), including strategic and performance planning and performance auditing.
- Policy development and analysis.
- Revenue estimating and economic forecasting.
- Community empowerment coordination for early childhood.
- Continuous improvement/Lean implementation.
- Enterprise project management.
- State Appeal Board administration.
- Local government budget support.
- Utility tax replacement administration.
- Collective bargaining support.

### Funding

The DOM receives about half of its funding for operations from a General Fund appropriation and the other half from reimbursements from other agencies.

### Related Statutes

Iowa Code chapter [8](#)

Iowa Administrative Code chapter [541](#)

### More Information

Department of Management: <http://www.dom.state.ia.us/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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# Fiscal TOPICS

Published August 2013



## Budget Unit: Iowa Public Information Board

BU Number: 592P220001

The [Iowa Public Information Board](#) (IPIB) was created by [SF 430 \(Public Information Board Act\)](#) during the 2012 Legislative Session. The Board is an independent agency created to deal with open government concerns, to bring consistency in the application of open meetings and public record laws, and to provide an alternative for enforcement of these laws. The Board consists of nine members appointed by the Governor and confirmed by the Senate. Prior to the establishment of the Board, complaints relating to the open meetings and public records laws were handled by different agencies in the state. The Office of Citizens' Aide/Ombudsman handled many of these cases but lacked enforcement powers; the Attorney General's Office dealt with some cases when there was no conflict of interest; and other complaints sometimes were handled internally by local entities when time permitted and there was no conflict of interest. The Governor made the Board appointments in late FY 2012, and the Board began meeting in July 2012 to organize, develop administrative rules, and generally prepare to begin operations at the start of FY 2014. The Board participated in the budgeting process during the 2013 Legislative Session.

The Board has the authority to issue both informal advice and declaratory orders with the force of law regarding the state's open meetings and records laws, to offer training and disseminate information, to investigate complaints and subpoena information, to seek resolution of disputes, and to impose civil penalties and other appropriate remedies in order to enforce the open meetings and public records laws.

The Board has three employees – a director, deputy director, and an administrative assistant. When contested cases come before the IPIB, the executive director typically serves as counsel to the Board, and the deputy director prosecutes contested cases. In a case where the executive director and the deputy director cannot serve as counsel to the Board, the Board relies on the Attorney General's staff for consultation and advice. The Attorney General's staff will defend the Board in court if necessary.

### Funding

The Board received General Fund appropriations totaling \$350,000 and 3.0 FTE positions for its first year of operation (FY 2014). Parties requesting a record of a hearing may be charged for the cost of copying or transcribing the record and for staff time if searching and copying exceeds three hours.

### Related Statutes

Iowa Code chapter [23](#)

Iowa Administrative Code Chapter [497](#)

### More Information

Iowa Public Information Board: <https://governor.iowa.gov/news/iowa-public-information-board/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Department of Revenue

UB Number: 6250T010001

The Department of Revenue (IDR) is responsible for the administration of the major sources of state and local tax revenue. The Department is structured along functional lines and divided into six divisions. The responsibilities for tax administration include the collection of various revenue sources totaling in excess of \$8.0 billion annually. The IDR is also responsible for administration of various property tax-related functions performed by local government officials.

The major divisions of the Department include:

- The **Compliance Division** helps ensure compliance with tax laws and regulations by reviewing tax returns and obligations. The Division has two sections:
  - The Examination Section performs office examinations of returns for most tax types and related activities. In a typical year, the Section performs approximately 39,000 audits, including refunds and assessments, examining corporate and individual income tax, sales and use taxes, motor vehicle fuel and franchise taxes, and taxes on estates and trusts.
  - The Field Audit Section performs on-site audits of businesses located throughout Iowa.
- The **Internal Services Division** is responsible for general management of the Department. The Division administers the Department's budget, provides centralized accounting services within the Department, performs personnel, payroll, and training functions, and assists with strategic planning and program measurement.
- The **Property Tax Division** assists local governments in making property tax assessments fair and consistent. The Division provides technical assistance and educational programs for assessors and county board of review members, including the administration of assessor certification examinations. The Division issues equalization orders to county auditors every two years based on comparisons of sales and department appraisals to assessed values. In addition, the Division assesses all railroads, utilities, and pipelines in the State, and advises local government officials and taxpayers on property tax issues, including credits and exemptions and appraisal methodology. Division personnel support local government by managing distributions for several mandated reimbursement programs, and the Division distributes local option sales tax collections to cities, counties, and school districts.
- The **Revenue Operations Division** has three sections:
  - The Collections Section operates the accounts receivable system for the Department, contacts taxpayers that do not pay their accounts by the expiration of the appeal period, issues bills for the Department, coordinates the Department's collection activities, and provides collection services to other state agencies.
  - The Customer Accounts Section maintains the business registration system for sales, withholding, and motor fuel licensing and permits, and processes individual income, sales, and withholding tax returns.
  - The Document Processing Section receives and routes mail, validates tax payments and returns, enters tax information onto the computer system, and processes payments.

### More Information

Department of Revenue: <http://iowa.gov/tax/index.html>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Department of Revenue

- The **Tax Policy and Communications Division** has four sections and operates with the philosophy that a knowledgeable taxpayer voluntarily complies with the tax laws and this, in turn, increases revenue collections.
  - The Taxpayer Services Section is made up of Taxpayer Service Specialists that assist taxpayers by telephone, e-mail, mail, Internet, or in person and assist with business and income tax electronic filings.
  - The Policy and Audit Services Section writes administrative rules, prepares formal rulings, compiles topical papers, responds to complex written and oral inquiries related to tax law and policy, drafts legislation, and monitors the legislative process. In addition, section personnel resolve protests through informal settlement or through formal proceedings that include appeals to the Director, the State Board of Tax Review, and the Iowa District Court. Staff works with the Attorney General's office to review protests, obtains information on each case, and represents the Department.
  - The Tax Research and Program Analysis Section tracks, analyzes, and forecasts tax receipts and refunds. Section staff provides support to members of the State Revenue Estimating Conference, estimates the fiscal impacts of proposed state and federal tax legislation, tracks and verifies tax credit claims and transfers, completes evaluation studies of state tax credit programs, prepares quarterly and annual sales and use tax statistical reports and annual individual income tax statistical reports, monitors and analyzes state tax expenditures, conducts special studies related to the State's tax structure, and provides support to other state government departments and to the legislature in the analysis of federal, State, and local tax issues.
  - The Communications and Education Section researches, writes, and produces educational materials in a variety of media. Section staff provides training for taxpayers and preparers, and manage the Department's website.
- The **Technology and Information Management Division** develops and maintains computerized systems, including the design and implementation of the Integrated Revenue Information System (IRIS), plans and provides technical support of the wide area network and related automated systems, and manages forms for external and internal customers. The Division cooperates with the Department of Administrative Services in the integration of the Executive Branch information technology infrastructure.

### Funding

The Department of Revenue operations budget unit has an annual budget of approximately \$38.0 million and a staff of approximately 260.0 appropriated FTE positions. About half of the annual budget comes from General Fund appropriations and most of the remainder consists of intrastate receipts and reimbursements from other agencies.

### Related Statutes

Iowa Code chapter 421 through 453D

Iowa Administrative Code Chapter 701

## Budget Unit – Secretary of State

BU Number: 635D730001

### Purpose and History

The Office of [Secretary of State](#) was created in 1857 in [Article IV, Section 22](#), of the Iowa Constitution. The duties of the Office are spelled out in Iowa Code chapter [9](#). The mission of the Office of the Secretary of State is to provide access to information about businesses in Iowa conveniently and economically, ensure election integrity and access to voting for Iowa citizens, and encourage Iowans to become civically engaged.

### Structure

The Office of the Secretary of State is comprised of two basic functions:

**Business Services Division** – The appropriation allows the Secretary of State to: review, process, approve, and file, on a limited basis, statutory documents relating to domestic and foreign business entities operating within Iowa; handle fictitious names and trademarks, process annual and biennial reports, and administer the [Corporate and Partnership Farming Act](#); examine, process, file, and provide information to the public concerning recorded documents, relating to [Revised Article 9 of the Uniform Commercial Code](#); issue and renew notary commissions and revoke commissions when warranted; accept legal service of original notices; perform accounting, budgeting, purchasing, data processing, and personnel functions, for the Office; and image or otherwise preserve all permanent records and provide certified copies upon request. The Division also manages the State Land Office, preserves the Official Acts of the General Assembly and the Iowa Constitution; and files oaths of office for appointed and elected officials. The Office serves as the repository for records relating to city records concerning incorporations, boundaries, and other filings. The Secretary of State also oversees travel agencies, transient merchants, postsecondary schools, and instructional schools. In the past, the Office also published the Iowa Official Register; however, that duty was transferred to the Legislative Services Agency in FY 2004.

The Secretary is the principal filing officer for over 75,000 corporations, limited partnerships, family farm corporations, and trademarks. As a central filing agency for corporations, the Office registers corporations to legitimize their status as legal entities within the State. The Office also maintains the official record of Uniform Commercial Code (UCC) liens. The Office serves the business community by providing information needed by investors and persons conducting business with corporations operating in Iowa.

**Elections and Voter Registration Division** – The primary functions of the Division are to coordinate and supervise all elections in the State, promote voter education, and provide training to local election officials. As the supervisor of elections, the Office canvasses the votes and certifies election results. The Office also promotes voter registration and participation. The Division also supervises the activities of county commissioners of elections, prescribes uniform election practices and procedures, prescribes the necessary forms required for the conduct of elections, and assigns a number to each proposed constitutional amendment and statewide public measure for identification purposes. The Division is also responsible for coordination of State responsibilities under the federal [National Voter Registration Act of 1993](#). The Secretary of State serves as the State Commissioner of Elections in Iowa.

The Office is responsible for voter registration throughout the State and assists the counties with the maintenance of voter registration records. The Office has been charged with implementing federal election reform as prescribed in the federal Help America Vote Act (HAVA). Under HAVA, the Office will be required to maintain a centralized, statewide voter registration database.

The Division also administers and directs the overall operation of and policies for the Office.

### More Information

#### Budget Schedules and Related Documents

Secretary of State Offices of All U.S. States & Territories: <http://entrepreneurs.about.com/od/generalresources/a/secretarystate.htm>

Iowa State Association of County Auditors: <http://www.iowaauditors.org/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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**Funding – State General Fund**

The Secretary of State receives an annual appropriation from the General Fund for the majority of the operational cost of the Office.

**Other Sources of Revenue**

In addition to the General Fund appropriation, the Office receives operating revenues from certain fees that are charged for various services and publications. These revenues include filing fees for various entities conducting business in Iowa including: cooperative associations, limited liability companies and partnerships, for-profit corporations, and nonprofit corporations. The Office also collects fees for related to liens, registering notaries public and trademarks, and providing copies of various certified documents.

**Related Statutes and Administrative Rules**

Iowa Code chapter 9

Iowa Administrative Code: 721 IAC

## Budget Unit – Treasurer of State

BU Number: 655D860001

### Purpose and History

The position of [Treasurer of State](#) was created in 1857 by [Article IV, Section 22](#), of the Iowa Constitution. The Treasurer is elected by a statewide popular vote and serves a four-year term. The duties and responsibilities of the Office are specified in Iowa Code chapter [12](#). In general, the responsibilities of the Treasurer include the following:

- Receives all revenues from State agencies and the federal government for depositing the proceeds in financial institutions. The Treasurer accounts for funds on a cash basis and redeems warrants of the State.
- Takes custody of and invests the State's funds. All State funds are pooled and invested together. The Treasurer also serves as trustee and custodian of the [Iowa Public Employees' Retirement \(IPERS\) Fund](#) and the [Peace Officer's Retirement Fund](#).
- Coordinates State bonding activity and prepares an annual report of bonded indebtedness of the State and local governments in Iowa.
- Receives and deposits into the General Fund proceeds of unclaimed property that is reported to the State by companies and banks. The Treasurer also operates the [Great Iowa Treasure Hunt](#) to locate owners of unclaimed property. These duties are done in accordance with Iowa Code chapter [556](#).
- Meets with the Superintendent of Banking and the Auditor of State on a monthly basis to set interest rates to be paid on public funds held in depositories. This group also sets guidelines and rates for the debt obligations of public bodies in Iowa.
- Acts as the trustee of the Iowa Educational Savings Plan Trust and also administers the funds in accordance with Iowa Code chapter [12D](#). Also known as the [College Savings Iowa Program](#), it was created to encourage people to save for future educational expenses. Participants receive tax breaks and competitive investment returns.
- Sponsors [Save for America](#) – In 1995, Iowa's Treasurer became the first state treasurer to sponsor the Save For America Program. This Program is designed to teach elementary-school-age children the importance of saving for their future.
- Implements the [Small Business Linked Investments for Tomorrow \(LIFT\) Program](#). Under the LIFT Program, the Treasurer can invest up to \$108.0 million of the State pooled money fund in certificates of deposit with a lending institution at 3.0% below the one-year U.S. Treasury bill rate. In turn, the lending institution loans the amount invested to a qualified small business at a higher rate of interest not to exceed 4.0% above the rate paid to the State. One half of this amount is available for qualifying small businesses that are 51.0% or more owned by women, minorities, or persons with disabilities, and provides below market financing.

### Funding – State General Fund

The Treasurer of State's Office receives an annual appropriation from the General Fund to fund the majority of the operational cost of the Office related to State finance and accounting activities.

### Other Sources of Revenue

In addition to the General Fund appropriation, the Treasurer's Office receives an annual appropriation from the Road Use Tax Fund that is used to reimburse the Department of Administrative Services for providing information technology services related to the administration of the Road Use Tax Fund. The Office also receives operating revenues through reimbursements from other funding sources for providing staff support for various programs including: Unclaimed Property, Iowa Educational Savings Plan Trust, Protection of Public Fund Deposits, IPERS Fund, Peace Officers Retirement System, Judicial Retirement System, Tobacco Settlement Authority, and Cash Management.

### Related Statutes and Administrative Rules

Iowa Code chapter [12](#)

Iowa Administrative Code: [781 IAC](#)

### More Information

Budget Schedules and Related Documents

National Association of State Auditors, Comptrollers and Treasurers: <http://nasact.org/>

Iowa State County Treasurers Association: <http://www.iowatreasurers.org/iscta/access/home.do>

Iowa General Assembly: <http://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Banking Division – Department of Commerce

BU Number: 2130P550019

The Iowa Department of Banking was established in 1917 and was reorganized as the Division of Banking within the Department of Commerce in 1986. The Superintendent of Banking is appointed by the Governor for a four year term. The six-member State Banking Council is also appointed by the Governor and serves in an advisory capacity. The Division supervises and regulates all state-chartered commercial banks and other regulated entities. It is the responsibility of the Superintendent and Division staff to protect the interests and rights of borrowers, depositors, creditors and shareholders of the regulated entities. The Division of Banking is comprised of three bureaus: Bank, Finance, and Professional Licensing.

- The Bank Bureau employs bank examiners and regulates state-chartered banks, bank holding companies, and a trust company.
- The Finance Bureau oversees regulated loan licensees, industrial loan company licensees, debt management companies, mortgage bankers/brokers/registrants, delayed deposit services businesses, money service businesses, and mortgage loan originators.
- The Professional Licensing Bureau joined the Banking Division in FY 2007 and oversees accountants, architects, engineers and land surveyors, landscape architects, real estate brokers and agents, real estate appraisers, and interior designers. (A separate Fiscal Topic describes the Professional Licensing Bureau.)

### Funding

The Banking Division receives an annual appropriation of approximately \$9.2 million and 74.5 FTE positions from the Commerce Revolving Fund. (The Professional Licensing Bureau is funded separately.)

The Commerce Revolving Fund consists of moneys collected by the Banking Division, Credit Union Division, Utilities Division, including moneys collected on behalf of the Office of Consumer Advocate (Office of the Attorney General), and the Insurance Division of the Commerce Department. All costs for operating the Commerce Department Divisions and the Office of Consumer Advocate are billed to the respective industries and payments are deposited in the appropriation Division account within the Fund. These moneys are then appropriated by the General Assembly through the normal appropriations process. The Insurance Division administers the Fund in cooperation with other divisions.

### Related Statutes

Iowa Code chapter [524](#)

Iowa Administrative Code Chapter [187](#)

### More Information

Banking Division - Department of Commerce: <http://www.idob.state.ia.us/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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## Budget Unit: Credit Union Division – Department of Commerce

**BU Number: 214P560019**

The Iowa Credit Union Act was enacted by the Iowa Legislature in 1925 and defined a credit union as “an institution for savings [that] shall be subject to taxation only as to its real estate, moneys and credits. The shares shall not be taxed.” The supervision and regulation of credit unions was placed under the Superintendent of Banking. The Department of Credit Unions was established January 1, 1979, and the Superintendent of Credit Unions assumed the supervision and regulation of credit unions. The department was reorganized as the Division of Credit Unions within the Department of Commerce on July 1, 1986.

The Superintendent of Credit Unions and a seven-member Review Board are appointed by the Governor and confirmed by the Iowa Senate. The Superintendent of Credit Unions is charged with the supervision, control, and enforcement of the laws, bylaws, rules, and regulations pertaining to the organization and operation of credit unions operating under a state charter in order to protect the interests and corporate rights of the members of Iowa credit unions. The division performs regular examination and analysis of the operation of each credit union. In addition, the division provides for the chartering, merger, conversion, and liquidation of state credit unions. It advises governmental bodies and agencies and individuals concerning credit unions; provides technical assistance to credit unions; and provides state liaison with member account insurers.

### Funding

The Credit Union Division receives an annual appropriation of approximately \$1.8 million and 15.0 FTE positions from the Commerce Revolving Fund.

The Commerce Revolving Fund consists of moneys collected by the Banking Division, Credit Union Division, and Utilities Division, including moneys collected on behalf of the Office of Consumer Advocate (Office of the Attorney General), and the Insurance Division of the Commerce Department. All costs for operating the Commerce Department Divisions and the Office of Consumer Advocate are billed to the respective industries and payments are deposited in the respective Division Account within the Fund. These moneys are then appropriated by the General Assembly through the normal appropriations process. The Insurance Division administers the Fund in cooperation with other divisions.

### Related Statutes

Iowa Code chapter [533](#)

Iowa Administrative Code Chapter [189](#)

### More Information

Credit Union Division, Department of Commerce: <https://creditunions.iowa.gov/iacudiv/public/rates/index.asp>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

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# Fiscal TOPICS

Published August 2013



## Budget Unit: Insurance Division – Department of Commerce

**BU Number: 216P570019**

The Iowa Insurance Division is one of five divisions within the Department of Commerce. The Insurance Division regulates the insurance business transacted in Iowa, oversees companies and individuals in the sale of insurance in Iowa, and has general control over all aspects of the insurance industry from the forms used to the rates charged. The Insurance Division also has statutory authority over activities related to the sale of securities and other regulated products in the state.

The Insurance Division consists of six bureaus:

- The **Market Regulation Bureau** assists consumers in understanding insurance by answering questions, providing search capabilities for insurance companies and agents, offering consumer alerts, and receiving complaints about the handling of claims by insurance companies. When necessary, the bureau conducts investigations and brings disciplinary action against insurance companies and agents. The bureau also offers an education program to combat securities investment fraud.
- The **Company Regulation Bureau** licenses insurers that conduct business in Iowa. The bureau monitors the financial condition of all companies authorized to do business in Iowa for compliance with Iowa statutes and regulations on a quarterly basis. On-site examinations are completed at least once every five years. The bureau also regulates workers' compensation self-insureds and workers' compensation group self-insureds and collects premium taxes.
- The **Product and Producer Regulation Bureau** is responsible for insurance agent licensing, approval of the policy forms that must be filed by insurance companies, and approval of rate filings.
- The **Enforcement Bureau** consists of a bureau chief, attorneys, and investigators that prosecute administrative actions for the Insurance Division. The bureau receives cases from the Market Regulation Bureau and the Securities and Regulated Industries Bureau and decides the appropriate action to be taken on the case through the administrative forums. Typical results include fines, suspension or revocation of licenses, and cease and desist orders. The bureau represents the Division when the cases are heard by an administrative law judge and appealed to the Commissioner. The bureau is responsible to the Insurance Commissioner but operates on its own discretion to separate the Commissioner from issues that could be appealed to the Commissioner.
- The **Securities and Regulated Industries Bureau** provides investor protection through the administration and enforcement of the Iowa Uniform Securities Act. The bureau enforces antifraud laws and administrative rules, securities registration and broker-dealer and agent licensing laws, and the full disclosure and substantive investor protection sections of the Iowa Code. The bureau administers the licensing of brokers-dealers and agents including a review of disciplinary history to determine whether to deny or revoke licenses of broker-dealers and agents, provides broker-dealer and investment adviser examinations, and offers investor education and public information distribution. In addition, the bureau administers motor vehicle service contracts, prearranged funeral services and merchandise, residential service contracts, congregate care and continuing care retirement facilities, cemetery merchandise, and cemeteries.
- The **Insurance Fraud Investigation Bureau** investigates and prosecutes fraudulent insurance acts in an effort to reduce the amount of premium dollars used to pay fraudulent claims. The Fraud Bureau receives insurance fraud and medical identity theft referrals from insurance companies, law enforcement agencies, and the public.

### More Information

Insurance Division, Department of Commerce: <http://www.iid.state.ia.us/>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

LSA Staff Contact: Dwayne Ferguson (515-281-6561) [dwayne.ferguson@legis.iowa.gov](mailto:dwayne.ferguson@legis.iowa.gov)

## Budget Unit: Insurance Division, Department of Commerce

In addition to the five bureaus, the Division includes:

- The **Iowa Insurance Consumer Advocate** to assist consumers in the areas of insurance, securities, and regulated industries. The Consumer Advocate works in conjunction with the other areas of the Division to advocate for the best interest of consumers and support consumers through policy, outreach, complaint assistance, and administrative actions.
- The **Senior Health Insurance Information Program (SHIIP)** is a free, confidential service housed within the Insurance Division that helps lowans make informed decisions about Medicare and other health coverage. The program trains volunteer insurance counselors to answer questions about Medicare and insurance. The volunteers assist seniors in classroom settings and by one-on-one counseling to evaluate options and help seniors make informed insurance decisions.

### Funding

The Insurance Division operations budget unit has an annual budget of approximately \$5.0 million and a staff of approximately 100.0 appropriated FTE positions. The Division is funded entirely from the Department of Commerce Revolving Fund (Iowa Code section [546.12](#)).

The Commerce Revolving Fund consists of moneys collected by the Banking Division, Credit Union Division, and Utilities Division, including moneys collected on behalf of the Office of Consumer Advocate (Office of the Attorney General), and the Insurance Division of the Commerce Department. All costs for operating the Commerce Department Divisions and the Office of Consumer Advocate are billed to the respective industries and payments are deposited in the respective Division Account within the Fund. These moneys are then appropriated by the General Assembly through the normal appropriations process. The Insurance Division administers the Fund in cooperation with other divisions.

The fees and charges to insurance companies and agents exceed the Insurance Division's operating budget and approximately \$14.0 million is typically deposited in the State General Fund.

### Related Statutes

Iowa Code chapters [502](#), [502A](#), and [505](#) through [523](#)  
Iowa Administrative Code Chapter [191](#)

## Budget Unit: Iowa Utilities Board

BU Number: 2190P580019

The Iowa Utilities Board was originally established in 1878 as the Iowa Board of Railroad Commissioners. Over the years, the agency has evolved from one that regulates freight and railroads, grain elevators, passenger and freight truck transportation to one that regulates public utilities. The Utilities Board regulates electric, natural gas, and water utilities, the services of communications utilities, and generally supervises all pipelines and the transmission, sale, and distribution of electrical current.

- **Electricity** – The Board regulates the rates and services of two investor-owned utilities: MidAmerican Energy Company (MEC) and Interstate Power and Light Company (IPL), a subsidiary of Alliant Energy Company. Municipal electric utilities are regulated for safety and disconnection. Rural electric cooperatives (RECs) are regulated for service, safety, and disconnection and have the option of being regulated for rates. Linn County REC is the only REC that has opted to have the Board set its rates. The Board also has jurisdiction over certification of electric power generators and grants franchises for electric transmission lines.
- **Natural Gas** – The Board has general jurisdiction over gas utilities furnishing natural gas by piped distribution; it does not regulate propane gas. The Board regulates the rates, service, and safety of investor-owned gas utilities including: MEC, IPL, Black Hills Energy, and Liberty Energy. The Board also regulates the safety of gas service provided by municipal utilities and natural gas pipelines owned by industrial end-users. The Board conducts safety inspections and issues permits for intrastate transmission pipelines, and also inspects interstate natural gas pipelines on behalf of the federal government. The Board does not regulate the safety of hazardous liquid pipelines, but issues permits for construction to protect landowners and tenants from environmental or economic damages.
- **Telecommunications** – The Board has general regulatory authority over two-way, landline telecommunications. It does not regulate cellular service or cable television service, but it has the authority to issue cable or video service franchises. The Board regulates only the service, and not the rates, of local Iowa service providers. Federal law grants the Board the authority to resolve inter-utility disputes. Finally, the Board has jurisdiction to hear all complaints regarding any unauthorized change to a telecommunications customer's account (i.e., slamming and cramming), even if the service in question is deregulated.
- **Water** – The Board regulates the rates and service of one investor-owned water utility, Iowa-American Water Company that serves about 60,000 water customers in Davenport and Clinton. The board does not regulate small or municipally owned waterworks.
- **Other** – The Board has the authority to resolve customer complaints, enforce safety and engineering standards, approve plans for energy efficiency programs, approve plans for recovery of costs to control emissions from generating facilities, oversee affiliate transactions, and review proposals for reorganization. The Board conducts public comment hearings on rate filings. It also administers a dual party relay service to allow communication-impaired persons to use the telephone and an equipment distribution program to provide telecommunications devices for the deaf to eligible persons.

The Utilities Board has five sections staffed by accountants, engineers, economists, lawyers, and other professional and administrative staff. These sections are:

- **Customer Service** – Customer Service staff handles customer inquiries and complaints, while providing a variety of communications to increase public awareness of energy, telecommunications and other utility-related issues, and the regulatory role of the Iowa Utilities Board. Customer Service staff also produce the agency annual report, arrange rate case public comment meetings for the Board, and conduct annual outreach meetings for utility and Community Action Agency representatives on topics related to energy service, low-income energy assistance and weatherization, and the winter heating disconnection moratorium.
- **Energy** – The Energy Section reviews and processes monthly, recurring, and periodic filings, including the purchased gas adjustments (PGA) for natural gas costs and energy adjustment clause (EAC) for electricity costs. Filings are reviewed for

### More Information

Iowa Utilities Board, Department of Commerce: <http://www.state.ia.us/government/com/util/index.html>

Iowa General Assembly: <https://www.legis.iowa.gov/index.aspx>

LSA Staff Contact: Dwayne Ferguson (515-281-6561) [dwayne.ferguson@legis.iowa.gov](mailto:dwayne.ferguson@legis.iowa.gov)

## Budget Unit: Iowa Utilities Board, Department of Commerce

accuracy, impact, and trends. Energy Section staff also processes tariffs, service territory changes, waivers, and other filings. In addition, Energy Section staff participates in many agency inter-disciplinary teams addressing policy issues, rate increase requests, formal complaints, and rule makings.

- Policy Development – The Policy Development Section works on a variety of issues for the Board. Examples of these issues are analysis and review of energy efficiency programs; processing eligibility applications for, and answering questions about, the wind and renewable energy tax credit programs; electric generation certificate proceedings; master metering, electric transmission development/operation and energy market issues in collaboration with regional organizations; and stakeholder workshops on finance issues focusing on the double leverage issue.
- Safety and Engineering – The Safety and Engineering Section is responsible for the regulation of safety, construction, and operation and maintenance of facilities of gas and electric service providers and pipeline and electric transmission and distribution companies. The responsibilities include reviewing and processing all petitions for electric transmission line franchises and for pipeline permits, as well as conducting inspections of natural gas and electric utilities for compliance with safety standards. The section also acts as an interstate agent for the Federal Department of Transportation in pipeline safety matters.
- Telecommunications – The Telecommunications Section processes telephone filings and deals with issues such as telecommunications relay services that allow persons who are deaf, hard of hearing, deaf-blind, or have difficulty speaking to use the telephone system on a functionally equivalent basis to persons without communications impairments, conserving telephone numbering resources, and intercarrier compensation where telecommunications carriers pay each other for the exchange of traffic across their networks.

### Funding

The Utilities Board has an annual appropriation of approximately \$8.2 million and is authorized for 79.0 FTE positions. The Board is funded entirely from the Department of Commerce Revolving Fund (Iowa Code section [546.12](#)).

The Commerce Revolving Fund consists of moneys collected by the Banking Division, Credit Union Division, Utilities Division, including moneys collected on behalf of the Office of Consumer Advocate (Office of the Attorney General), and the Insurance Division of the Commerce Department. All costs for operating the Commerce Department Divisions and the Office of Consumer Advocate are billed to the respective industries and payments are deposited in the appropriate Division account within the Fund. These moneys are then appropriated by the General Assembly through the normal appropriations process. The Insurance Division administers the Fund in cooperation with other divisions.

### Related Statutes

Iowa Code chapters [474](#) and [476](#) through [480A](#)  
Iowa Administrative Code Chapter [199](#)

## Budget Unit - Racing and Gaming: Pari-Mutuel Regulation

BU Number: 429Q580035

### Purpose

This appropriation provides administration of the pari-mutuel wagering laws under Iowa Code chapter [99D](#) and associated [administrative rules](#). The Iowa Racing and Gaming Commission (IRGC) approves the regulatory fees at the June meeting each year in order to have the regulatory fees established at the beginning of the fiscal year. The regulatory costs include the IRGC appropriation and the Division of Criminal Investigation (DCI) costs for both pari-mutuel and excursion gambling. A memo is then sent from the IRGC to the general managers of all gaming entities to inform them of the regulatory fees for the following fiscal year.

The Racing and Gaming Commission's services are categorized into four main areas:

**Licensing** – The Commission licenses gaming facilities, all persons working and participating at the facilities, and all manufacturers and distributors participating in business with the facilities prior to conducting business or working for a facility. Licensure involves completing an application and undergoing a background check.

**Racing Animal Welfare** – Rules are in place for drug testing of the greyhounds and horses racing at the pari-mutuel racetracks. The Commission employs qualified veterinarians to oversee the animals. The veterinarians are responsible for pre- and post-race examinations of the animals, obtaining specimens for drug testing, and performing stable/kennel inspections, among other responsibilities.

**Compliance** – The Commission ensures compliance with all rules and statutes governing racing and gaming. From the first step of approving electronic gaming devices to the final administrative action, the Commission monitors all aspects of racing and gaming in Iowa. The Commission verifies all revenues that are due to the State from racing and gaming to ensure that the government entities are receiving tax revenues authorized by law. The Commission ensures compliance by licensed facilities with the Iowa laws prohibiting underage gambling and gambling while intoxicated.

**Information Services** – Multiple financial reports are available on the [Commission website](#), including racing and gaming revenue reports, pari-mutuel handle reports, and annual reports.

### Funding – State General Fund

The Commission does not receive a General Fund appropriation.

### Other Sources of Revenue

Funds received pursuant to Iowa Code section [99D.14](#) is deposited in the Gaming Regulatory Revolving Fund created in Iowa Code section [99F.20](#). These funds are used to the extent appropriated by the General Assembly. The IGRC is subject to the budget requirements of Iowa Code [chapter 8](#) and the applicable auditing requirements and procedures of Iowa Code [chapter 11](#). The racetracks and excursion gambling boats are assessed all appropriated expenditures of the Commission through regulatory fees.

### Related Statutes and Administrative Rules

Iowa Code chapter [99D](#)

Iowa Administrative Code: [491 IAC](#)

### More Information

Budget Schedules and Related Documents

Iowa Racing and Gaming Commission: <http://www.iowa.gov/irgc/>

Iowa General Assembly: <http://www.legis.iowa.gov/index.aspx>

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## Budget Unit – Racing and Gaming: Riverboat Regulation

BU Number: 429Q590035

### Purpose

This appropriation provides administration of excursion gambling boat laws under Iowa Code chapter [99F](#) and associated [administrative rules](#). The Iowa Racing and Gaming Commission (IRGC) approves the regulatory fees at the June meeting each year in order to have the regulatory fees established at the beginning of the fiscal year. The regulatory costs include the IRGC appropriation and the Division of Criminal Investigation (DCI) costs for both pari-mutuel and excursion gambling. A memo is then sent from the IRGC to the general managers of all gaming entities to inform them of the regulatory fees for the following fiscal year.

The Racing and Gaming Commission's non-racing services are categorized into three main areas:

**Licensing** – The Commission licenses gaming facilities, all persons working and participating at the facilities, and all manufacturers and distributors participating in business with the facilities prior to conducting business or working for a facility. Licensure involves completing an application and undergoing a background check.

**Compliance** – The Commission ensures compliance with all rules and statutes governing racing and gaming. From the first step of approving electronic gaming devices to the final administrative action, the Commission monitors all aspects of racing and gaming in Iowa. The Commission verifies all revenues that are due to the State from racing and gaming to ensure that the government entities are receiving tax revenues authorized by law. The Commission ensures compliance by licensed facilities with the Iowa laws prohibiting underage gambling and gambling while intoxicated.

**Information Services** – Multiple financial reports are available on the [Commission website](#), including racing and gaming revenue reports, pari-mutuel handle reports, and annual reports.

### Funding – State General Fund

The Commission does not receive a General Fund appropriation.

### Other Sources of Revenue

Funds received pursuant to Iowa Code chapter [99F](#) are deposited in the Gaming Regulatory Revolving Fund created in Iowa Code section [99F.20](#). These funds are used to the extent appropriated by the General Assembly. The Racing and Gaming Commission is subject to the budget requirements of Iowa Code [chapter 8](#) and the applicable auditing requirements and procedures of Iowa Code [chapter 11](#). The excursion gambling boats are assessed all appropriated expenditures of the Commission through regulatory fees.

### Related Statutes and Administrative Rules

Iowa Code chapter [99F](#)

Iowa Administrative Code: [491 IAC](#)

### More Information

Budget Schedules and Related Documents

Iowa Racing and Gaming Commission: <http://www.iowa.gov/irgc/>

Iowa General Assembly: <http://www.legis.iowa.gov/index.aspx>

LSA Staff Contact: Ron Robinson (515-281-6256) [ron.robinson@legis.state.ia.us](mailto:ron.robinson@legis.state.ia.us)

## **Budget Unit – I-3 Expense – Road Use Tax Fund (RUTF)**

**BU Number: 655D970810**

### **Purpose**

The Treasurer's Office receives an annual appropriation from the RUTF that is used to reimburse the Department of Administrative Services (DAS) for providing information technology services related to the administration of the RUTF.

### **Funding – State General Fund**

The Treasurer of State's Office receives General Fund support, in addition to the RUTF appropriation, to cover the DAS billings that exceed the RUTF appropriation.

### **Related Statutes and Administrative Rules**

Iowa Code chapter [12](#)

Iowa Administrative Code: [781 IAC](#)

### **More Information**

Budget Schedules and Related Documents

National Association of State Auditors, Comptrollers and Treasurers: <http://nasact.org/>

Iowa State County Treasurers Association: <http://www.iowatreasurers.org/iscta/access/home.do>

Iowa General Assembly: <http://www.legis.iowa.gov/index.aspx>

LSA Staff Contact: Ron Robinson (515-281-6256) [ron.robinson@legis.state.ia.us](mailto:ron.robinson@legis.state.ia.us)



# **Appendix I**

## **Miscellaneous Documents**

## Department of Administrative Services Utility Rate Increases - FY 2016 and FY 2017

The Department of Administrative Services (DAS) has three funding streams. These include:

**Leadership** - Appropriations from the General Assembly.

**Marketplace Rates** - Services that are offered by DAS, that agencies can choose to have DAS perform or purchase the services from any other vendor.

**Utility Rates** - Rates charged by the DAS to provide the service.

The following is a list of utility rate increases approved by the Customer Council for FY 2016 and selected services for FY 2017. The Customer Council is made up of members from large, medium, and small State government agencies.

### **FY 2016**

**Benefits (HRE)** - An increase from \$32.11 per FTE to \$37.72 per FTE (17.5%). The increase is to fund a benefits study and the remaining half a wellness position. The increase from FY 2014 to FY 2015 covered partial year funding for the Wellness Specialist FTE position. Other items included under Benefits are the Deferred Compensation Program and Group Insurance for health, dental, basic life, supplemental life, and long term disability coverage. This program provides resources to aid employees in identifying health risks and making positive lifestyle changes.

**Family Medical Leave Act (FMLA) (HRE)** - This is a new fee of \$19.20 per FTE position and will be used to fund the new program. The DAS has hired a third party administrator to handle FMLA claims administration which is heavily regulated by the federal government. Services will include intake, certification, designation, administration, and reporting as well as communication with employees and internal agency contacts and supervisors.

**Blanket Bond (CPE)** - An increase from \$0.536/FTE position to \$0.66/FTE position (23.1%). Provides protection to the State against employee embezzlement and theft. The increase is driven by claims experience.

**Capitol Complex Association Rate (GSE)** - An increase from \$3.46/sq. ft. to \$4.96/sq. ft. (43.4%) with an additional increase to \$6.46/sq.ft. (30.2%) for FY 2017. The increase is to fund deferred and routine maintenance such as new carpet, paint, roof repair, elevator repair, HVAC repair, etc. The rate increase will generate an additional \$2.0 million for FY 2016 and an additional \$1.9 million for FY 2017.

**Risk Management (Vehicle Self Insurance) (GSE)** - An increase from \$284.76/vehicle to \$327.41/vehicle (15.0%) with an additional increase to \$405.09/vehicle (23.7%) for FY 2017. The increase is to cover an increase in claims.

**New Lease Creation Services (GSE)** - An increase from \$80/hour to \$85/hour (6.3%) to cover an increase in leasing services. This service is used by agencies when negotiating a new lease outside the Capitol Complex.

### **FY 2017**

**Training (HRE)** - This is a new fee of \$19.57 per FTE position and will be used to fund the new program. Training will be provided by the DAS and there will be a total of 2.45 FTE positions for this program.

**Ankeny Lab Association Rate (GSE)** - An increase from \$5.47/sq. ft. to \$6.46/sq. ft. (18.1%) for FY 2017. The increase will be used to fund deferred and routine maintenance. The rate increase will generate an additional \$168,000 for FY 2017.

# DEPARTMENT OF ADMINSTRATIVE SERVICES UTILITY RATES FY13, FY14, FY15, NEW FY16 & SELECTED FY17 RATES

DAS FY16 UTILITIES	SERVICE NUMBER	FY13 APPROVED ANNUAL / MONTHLY RATES	FY14 APPROVED ANNUAL/ MONTHLY RATES	FY15 APPROVED ANNUAL / MONTHLY RATES	FY16 APPROVED ANNUAL / MONTHLY RATES	SELECTED FY17 APPROVED ANNUAL / MONTHLY RATES	METHODOLOGY	FY16 AGENCY IMPACT STATEMENTS & IF APPLICABLE FY17
State Accounting Enterprise (SAE)								
Integrated Information for Iowa (I/3)	3999	N/A	N/A	N/A	N/A		Allocation - <i>Defined below</i>	<a href="#">I3 Agency Impact.xls</a>
Office of the Chief Information Officer (OCIO)								
Directory Service	0767	\$6.75 / FTE	\$6.75 / FTE	\$8.22 / FTE	\$8.22 / FTE		FTE count for the 3 <sup>rd</sup> qtr. out of FY14 – FTE 5 qtr. average (point in time).	<a href="#">Directory Service Agency Impact.xls</a>
Information Security Office (ISO)	4171	\$21.528 / FTE	\$25.849 / FTE	\$32.335 / FTE	\$32.335 / FTE		FTE count for the 3 <sup>rd</sup> qtr. out of FY14 – FTE 5 qtr. average (point in time).	<a href="#">ISO Agency Impact.xls</a>
Service-Oriented Architecture (SOA)	4452	\$4.27 / FTE	\$4.27 / FTE	\$4.358 / FTE	\$4.358 / FTE		FTE count for the 3 <sup>rd</sup> qtr. out of FY14– FTE 5 qtr. average (point in time).	<a href="#">SOA Agency Impact.xls</a>
Authentication & Authorization (A&A)	4453 & 0746	\$5.25 / FTE + usage of \$0.02 / transaction	\$5.25 / FTE + usage of \$0.02 / transaction	\$5.34 / FTE + usage of \$0.02 / transaction	\$5.34 / FTE + usage of \$0.02 / transaction		FTE count for the 3 <sup>rd</sup> qtr. out of FY14 – FTE 5 qtr. average (point in time), plus usage based upon number of transactions	<a href="#">A &amp; A Agency Impact.xls</a>
E-Mail Suite	4465	\$78.48 /E-Mail account	\$78.48 /E-Mail account	\$78.48 /E-Mail account	\$78.48 /E-Mail account		Number of E-Mail accounts	<a href="#">e-Mail Suite Agency Impact.xls</a>
Server Farm Rack	4206	\$226.53 /Rack	\$226.53 /Rack	\$226.53 /Rack	\$226.53 /Rack		Rack or Unit Usage	<a href="#">Server Farm Rack Agency Impact.xls</a>
Virtual Server Hosting	4226	\$1,573.33 / Partition or Standalone Server	\$1,573.33 / Partition or Standalone Server	\$1,573.33 / Partition or Standalone Server	\$1,573.33 / Partition or Standalone Server		Partition or Standalone Server Usage	<a href="#">Virtual Server Hosting Agency Impacts.xls</a>
Mainframe Usage / Batch	'0001	\$436.47/CPU hour	\$436.47/CPU hour	\$436.47/CPU hour	\$436.47/CPU hour		Annual rate is NA, this is a per CPU Hour used rate	<a href="#">MF Usage Batch Agency Impact.xls</a>
Mainframe Usage / On-line Transactions	1752	\$0.82/ CPU sec.	\$0.82/ CPU sec.	\$0.82/ CPU sec.	\$0.82/ CPU sec.		Annual rate is NA, this is a per CPU Sec used rate	<a href="#">MF Usage Online Transactions Agency Impact.xls</a>
Mainframe Usage / Database	1753	\$0.45 / CPU sec	\$0.45 / CPU sec	\$0.45 / CPU sec	\$0.45 / CPU sec		Annual rate is NA, this is a per CPU Sec used rate	<a href="#">MF Usage Batch Database Agency Impact.xls</a>
Data Storage High Performance	4142	\$0.73 /GB	\$0.73 /GB	\$0.73 /GB	\$0.73 /GB		Annual rate is NA, this is a per GB used rate	<a href="#">Data Storage High Performance Agency Impact.xls</a>

# DEPARTMENT OF ADMINSTRATIVE SERVICES UTILITY RATES FY13, FY14, FY15, NEW FY16 & SELECTED FY17 RATES

DAS FY16 UTILITIES	SERVICE NUMBER	FY13 APPROVED ANNUAL / MONTHLY RATES	FY14 APPROVED ANNUAL/ MONTHLY RATES	FY15 APPROVED ANNUAL / MONTHLY RATES	FY16 APPROVED ANNUAL / MONTHLY RATES	SELECTED FY17 APPROVED ANNUAL / MONTHLY RATES	METHODOLOGY	FY16 AGENCY IMPACT STATEMENTS & IF APPLICABLE FY17
Data Storage High Volume	4143	\$0.35 / GB	\$0.35 / GB	\$0.35 / GB	\$0.35 / GB		Annual rate is NA, this is a per GB used rate	<a href="#">Data Storage High Volume.xls</a>
Data Storage Area Backup	4427	\$0.20 /GB	\$0.20 /GB	\$0.20 /GB	\$0.20 /GB		Annual rate is NA, this is a per GB used rate	<a href="#">Data Storage Area Backup Agency Impact.xls</a>
ePayment	1003	\$.08 / transaction	\$.08 / transaction	\$.10 / transaction	\$.10 / transaction		Annual rate is NA this is a per Transaction used rate + credit card processing fees	<a href="#">ePayment Agency Impact.xls</a>
Managed Desktop (includes File / Print)	0713	\$348.38 / Device	\$348.38 / Device	\$418.08 / Device	\$418.08 / Device		Device	<a href="#">Managed Desktop Support Agency Impact.xls</a>
Mobile Device Support	2511	\$130.816 / Device	\$130.816 / Device	\$130.816 / Device	\$130.816 / Device		Per device	<a href="#">Mobile Device Support Agency Impact.xls</a>
Network – Client Access to Mainframe	0550	N/A	\$65.55 / session	\$66.24 / session	\$66.24 / session		Per session	<a href="#">Client Access to MF Agency Impact.xls</a>
Network – Remote Access VPN	0570	N/A	\$212.39 / account	\$212.39 / account	\$212.39 / account		Per account	<a href="#">Remote Access VPN Agency Impact.xls</a>
Network – Edge Data Port	4244	N/A	\$3,207.48 / port	\$4,407.48 / port	\$4,407.48 / port		Per port	<a href="#">Edge Data Port Agency Impact.xls</a>
Network – Server Farm Data Port	4245	N/A	\$1,626.59 / port	\$1,626.59 / port	\$1,626.59 / port		Per port	<a href="#">Server Farm Data Port Agency Impact.xls</a>
Network – User Data Port	4249	N/A	\$109.08 / port	\$109.08 / port	\$109.08 / port		Per port	<a href="#">User Data Port Agency Impact.xls</a>
<b>Human Resources Enterprise (HRE)</b>								
Benefits	3961	\$29.40 / FTE	\$29.40 / FTE	\$32.11 / FTE	\$37.72 / FTE <sup>1</sup>		FY14 – FTE 5 qtr. average.	<a href="#">Benefits Agency Impact.xls</a>
Personnel Officers	3970	\$63.31 / FTE	\$74.65 / FTE	\$85.34 / FTE	\$85.34 / FTE		FY14 – FTE 5 qtr. average	<a href="#">Personnel Officers Agency Impact.xls</a>
Labor Relations	3965	\$23.93 / FTE	\$29.45 / FTE	\$41.61 / FTE	\$41.61 / FTE		FY14 – FTE 5 qtr. average	<a href="#">Labor Relations Agency Impact.xls</a>
Merit Only Employment Services	3963	\$20.51 / FTE	\$20.51 / FTE	\$23.68 / FTE	\$23.68 / FTE		FY14 – FTE 5 qtr. average	<a href="#">Employment Services Merit Only Agency Impact.xls</a>
Merit and Non-Merit Employment Services	3964	\$56.51 / FTE	\$56.51 / FTE	\$65.41 / FTE	\$65.41 / FTE		FY14 – FTE 5 qtr. average	<a href="#">Employment Services Merit &amp; Non Merit Agency Impact.xls</a>

<sup>1</sup> This increase funds benefits study/ half of wellness position

# DEPARTMENT OF ADMINISTRATIVE SERVICES UTILITY RATES FY13, FY14, FY15, NEW FY16 & SELECTED FY17 RATES

DAS FY16 UTILITIES	SERVICE NUMBER	FY13 APPROVED ANNUAL / MONTHLY RATES	FY14 APPROVED ANNUAL / MONTHLY RATES	FY15 APPROVED ANNUAL / MONTHLY RATES	FY16 APPROVED ANNUAL / MONTHLY RATES	SELECTED FY17 APPROVED ANNUAL / MONTHLY RATES	METHODOLOGY	FY16 AGENCY IMPACT STATEMENTS & IF APPLICABLE FY17
Health Insurance Surcharge	3958	\$24.00 / participant	\$24.00 / participant	\$24.00 / participant	\$24.00 / participant		Legislatively set rate based upon centralized PR + mthly \$s from non-centralized PR agencies.	<a href="#">Health Insurance Surcharge Agency Impact.xls</a>
Unemployment	3960	\$1.00 / head count	\$0.95 / head count	\$0.95 / head count	\$0.95 / head count		FY14 – FTE 5 qtr. average	<a href="#">Unemployment Claims Agency Impact.xls</a>
Flexible Spending	3955, 3956, 3957	\$36.000 / participant	\$36.000 / participant	\$36.000 / participant	\$36.000 / participant		Charge for participants signed up for Health Care and/or Dependent Care	<a href="#">Flex Spending Agency Impact.xls</a>
Workers' Compensation	3859	N/A	N/A	N/A	N/A		Allocation - Defined below	NA
Employee Assistance Program (EAP)	4474	\$6.000 / FTE	\$6.000 / FTE	\$6.00 / FTE	\$6.00 / FTE		FY14 – FTE 5 qtr. average	<a href="#">EAP Agency Impact.xls</a>
Family Medical Leave Act (FMLA)	TBD				\$19.20 / FTE <sup>2</sup>		FY14 – FTE 5 qtr. average	<a href="#">FMLA Agency Impact.xls</a>
Training	TBD					\$19.57 / FTE <sup>3</sup>		<a href="#">FY17 Training Agency Impact.xls</a>
<b>Central Procurement Enterprise (CPE)</b>								
Purchasing	3905	N/A	N/A	N/A	N/A		Allocation - Defined below	<a href="#">Central Purchasing Agency Impact.xls</a>
Blanket Bond (Methodology)	3903	\$0.63 / FTE	\$0.558 / FTE	\$0.536 / FTE	\$0.66 / FTE <sup>4</sup>		FTE count for the 3 <sup>rd</sup> qtr. out of FY14 – FTE 5 qtr. average (point in time).	<a href="#">Blanket Bond Agency Impact.xls</a>
<b>General Services Enterprise (GSE)</b>								
Association Rate - Complex	3897	\$3.46 / sq. ft.	\$3.46 / sq. ft.	\$3.46 / sq. ft.	\$4.96 / sq. ft. <sup>5</sup>	\$6.46 / sq. ft. <sup>6</sup>	Square footage of space occupied.	<a href="#">FY16 Association Agency Impact.xls</a> <a href="#">FY17 Association Agency Impact.xls</a>

<sup>2</sup> This funds the new FMLA program.

<sup>3</sup> Proposed utility rate for training; proposal includes an additional modest fee for each course depending on course length

<sup>4</sup> Pass thru of Insurance Premium for the Blanket Bond - allocated based on employee count/driven by claims experience

<sup>5</sup> First of 2 year increase to address deferred and routine maintenance needs/rate has not been increased since FY12

<sup>6</sup> 2<sup>nd</sup> year increase to address deferred and routine maintenance needs

# DEPARTMENT OF ADMINISTRATIVE SERVICES UTILITY RATES FY13, FY14, FY15, NEW FY16 & SELECTED FY17 RATES

DAS FY16 UTILITIES	SERVICE NUMBER	FY13 APPROVED ANNUAL / MONTHLY RATES	FY14 APPROVED ANNUAL / MONTHLY RATES	FY15 APPROVED ANNUAL / MONTHLY RATES	FY16 APPROVED ANNUAL / MONTHLY RATES	SELECTED FY17 APPROVED ANNUAL / MONTHLY RATES	METHODOLOGY	FY16 AGENCY IMPACT STATEMENTS & IF APPLICABLE FY17
Association Rate - Ankeny Labs	3820	\$5.47 / sq. f.	\$5.47 / sq. ft.	\$5.47 / sq. ft.	\$5.47 / sq. ft.	\$6.46 / sq. ft. <sup>7</sup>	Square footage of space occupied.	<a href="#">FY16 Ankeny Lab Agency Impact.xls</a> <a href="#">FY17 Ankeny Lab Agency Impact.xls</a>
Non Association - Moves / Adds / Changes (MAC)	3889	\$65.00 / hr.	\$65.00 / hr.	\$85.00 / hr.	\$85.00 / hr.		Hourly rate	NA
Mail Administration	3835	N/A	N/A	N/A	N/A		Allocation - Defined below	<a href="#">Mail Administration Agency Impact.xls</a>
Fleet Management	3890	\$253.56 / vehicle	\$253.08 / vehicle	\$256.83 / vehicle	\$256.83 / vehicle		Number of vehicles assigned to each agency as of 5/30/2014	<a href="#">Fleet Management Agency Impact.xls</a>
Fleet Purchase / Depreciation(Methodology)	3891	N/A	N/A	N/A	N/A		Rate based on class of vehicle and est. months of service	NA
Architectural & Engineering Services	4095	\$83.84 / hr.	\$83.84 / hr.	\$85.00 / hr.	\$85.00 / hr.		Hourly rate	NA
Leasing Management Statewide	3900	\$0.12 / sq. ft.	\$0.12 / sq. ft.	\$0.12 / sq. ft.	\$0.12 / sq. ft.		Based upon total current leased square footage	<a href="#">Leasing Management Statewide.xls</a>
State Surplus	4451	\$80.00 / hr.	\$80.00 / hr.	\$85.00 / hr.	\$85.00 / hr.		Cost is paid by surplus property sales proceeds	NA
Energy Management Consulting	4449	\$65.07 / hr.	\$65.07 / hr.	\$80.00 / hr.	\$80.00 / hr.		Hourly rate	NA
State Garage	3870	\$64.00 / hr.	\$64.00 / hr.	\$64.00 / hr.	\$64.00 / hr.		Hourly rate	NA
Risk Management (Vehicle Self Insurance)	3892	\$284.76 / vehicle	\$265.08 / vehicle (to be \$284.76)	\$284.76 / vehicle	\$327.41 / vehicle <sup>8</sup>	\$405.09 / vehicle <sup>9</sup>	Number of vehicles assigned to each agency as of 5/30/2014	<a href="#">FY16 Risk Management Agency Impact.xls</a> <a href="#">FY17 Risk Management Agency Impact.xls</a>
New Lease Creation Services	3901	\$80.00 / hr.	\$80.00 / hr.	\$80.00 / hr.	\$85.00 / hr. <sup>10</sup>		Hourly rate	NA
Motor Pool (Methodology)	3866	N/A	N/A	N/A	N/A		Daily or Per Mile Methodology by Class of Vehicle	NA

<sup>7</sup> Increase for Ankeny Lab

<sup>8</sup> First of 2-year increase to build pool of funds (\$125k) for minor claims / reserve is being depleted

<sup>9</sup> Second year increase to build pool of funds (\$125k)

<sup>10</sup> Increase to cover costs for leasing services

## DEPARTMENT OF ADMINSTRATIVE SERVICES UTILITY RATES FY13, FY14, FY15, NEW FY16 & SELECTED FY17 RATES

**Rate Methodology** refers to how a utility rate is calculated or billed. Many services use the 5-quarter average of FTEs, while others may use one quarter of the 5 quarter average. The FY14 – 5 qtr. average” refers to FY14 quarters 1, 2, & 3 plus FY13 quarters 3, & 4. Other methodologies are square footage, number of vehicles, hourly rate, head count, participant or an allocation.

**Service Methodology** – refers to requesting customer council review of the methodology for how the service rate or allocation is computed. Because of situations unique to that particular service we will use the methodology identified and apply current information to compute the rates at the start of the fiscal year, in this instance FY16. An example is Motor Pool, and the daily or per mile rate. Using current vehicle statistics and fuel rates will at the start of FY16 will provide an accurate rate for the service provided.

**An allocation** is a *collection of several different cost components*, each with a unique allocation methodology, several examples are:

- Integrated Information for Iowa (I/3) which contains 3 cost components; Finance, Procurement & Budget, and Human Resources
- Mail Administration - based upon % of mail volume for each mail account
- Purchasing - based upon % of usage (\$s) of Master Agreements

**NA** indicates that information is not available, in the majority of cases this is related to providing an agency impact. For some services this is possible to predict usage of a service. An example would be State Garage and the hourly rate charged for vehicle maintenance. There is no way to predict which cars and agencies will require car repairs during fiscal year

**ITE** information only reflects updated agency impact for ITE services that use the FTE 5 quarter average. There will be no rate changes made to the "other" ITE utility services for FY16; therefore no changes were made to agency impacts for FY16. If usage for these "other" services has materially changed over the past several years, for budgeting purposes, you should take that usage change into consideration for FY16 and apply the status quo rate noted above, to adequately budget for these types of expenses.

Total By Agency of FY15 & FY16 Agency Impact Statements, Difference and Percentage Change with selected FY17 information

[FY15 and FY16 DAS Utility  
Totals By Agency & selected  
FY17 information.xlsx](#)

Department of Administrative Services FY15 & FY16 DAS Utility Totals by Agency					
Agency Number	Agency Name	FY 2015	FY 2016	Difference (FY16-FY15)	Percent Change
615 / 616	BOARD OF REGENTS	\$45,733	\$47,051	\$1,318	2.9%
617	SCHOOL FOR THE BLIND	\$1,632	\$2,461	\$829	50.8%
618	SCHOOL FOR THE DEAF	\$3,780	\$3,272	(\$507)	-13.4%
619	UNIVERSITY OF IOWA	\$493,841	\$501,788	\$7,947	1.6%
620	IOWA STATE UNIVERSITY	\$97,308	\$98,387	\$1,079	1.1%
621	UNIVERSITY OF NORTHERN IOWA	\$35,238	\$35,775	\$537	1.5%
221	COMMUNITY BASED CORRECTIONS--1	\$34,672	\$37,789	\$3,117	9.0%
222	COMMUNITY BASED CORRECTIONS--2	\$28,422	\$29,278	\$856	3.0%
223	COMMUNITY BASED CORRECTIONS--3	\$13,799	\$15,586	\$1,787	12.9%
224	COMMUNITY BASED CORRECTIONS--4	\$11,485	\$12,615	\$1,130	9.8%
225	COMMUNITY BASED CORRECTIONS--5	\$49,710	\$53,119	\$3,409	6.9%
226	COMMUNITY BASED CORRECTIONS--6	\$38,369	\$38,403	\$35	0.1%
227	COMMUNITY BASED CORRECTIONS--7	\$16,696	\$18,548	\$1,852	11.1%
228	COMMUNITY BASED CORRECTIONS--8	\$19,011	\$21,211	\$2,200	11.6%
229	COMMUNITY BASED CORRECTIONS STATEWIDE	\$0	\$0	\$0	0.0%
005 / 006 / 335 / 339	ADMINISTRATIVE SERVICES / SAE / INFRASTRUCTURE / PRINT	\$6,259,341	\$6,238,525	(\$20,816)	-0.3%
009/012/016/018/020/021	AGRICULTURE & LAND STEWARDSHIP	\$541,250	\$619,043	\$77,792	14.4%
034 / 035	STATE FAIR / CAPITALS	\$15,939	\$17,178	\$1,239	7.8%
014	AG DEVELOPMENT AUTHORITY - <b>TREASURER</b>	\$2,715	\$1,530	(\$1,185)	-43.7%
112	ATTORNEY GENERAL'S OFFICE	\$317,682	\$397,787	\$80,104	25.2%
114	ATTORNEY GENERAL - CONSUMER ADVOCATE	\$47,976	\$61,935	\$13,959	29.1%
126	AUDITOR'S OFFICE	\$137,282	\$172,448	\$35,166	25.6%
131 / 133	DEPARTMENT OF THE BLIND / CAPITALS	\$83,639	\$96,594	\$12,955	15.5%
140	ETHICS & CAMPAIGN FINANCE DISCLOSURE BOARD	\$20,846	\$26,511	\$5,665	27.2%
167	CIVIL RIGHTS	\$69,275	\$83,314	\$14,039	20.3%
185	OFFICE OF CHIEF INFORMATION OFFICER	\$26,449	\$272,180	\$245,731	929.1%
210 / 211	COMMERCE - CAPITALS / DEPARTMENT	\$0	\$0	\$0	
212	COMMERCE - ALCOHOLIC BEVERAGE DIVISION	\$134,718	\$137,843	\$3,125	2.3%
213	COMMERCE - BANKING DIVISION	\$68,002	\$70,322	\$2,321	3.4%
214	COMMERCE - CREDIT UNION DIVISION	\$21,483	\$21,334	(\$149)	-0.7%
216	COMMERCE - INSURANCE DIVISION	\$77,147	\$81,479	\$4,332	5.6%
217	COMMERCE - PROFESSIONAL LICENSING DIVISION	\$18,396	\$19,004	\$608	3.3%
219	COMMERCE - UTILITIES DIVISION	\$233,005	\$283,619	\$50,614	21.7%
238 / 255	CORRECTIONS - CENTRAL OFFICE / CAPITALS	\$515,627	\$523,610	\$7,984	1.5%
242	CORRECTIONS - FORT MADISON	\$238,274	\$250,937	\$12,663	5.3%
243	CORRECTIONS - ANAMOSA	\$182,429	\$195,199	\$12,769	7.0%
244	CORRECTIONS - OAKDALE	\$293,857	\$398,581	\$104,724	35.6%
245	CORRECTIONS - NEWTON	\$160,486	\$166,861	\$6,375	4.0%
246	CORRECTIONS - MT PLEASANT	\$163,807	\$164,568	\$762	0.5%
247	CORRECTIONS - ROCKWELL CITY	\$61,955	\$64,055	\$2,101	3.4%
248	CORRECTIONS - CLARINDA	\$145,617	\$150,583	\$4,966	3.4%
249	CORRECTIONS - MITCHELLVILLE	\$96,638	\$109,353	\$12,715	13.2%
250	CORRECTIONS - INDUSTRIES	\$68,593	\$71,618	\$3,024	4.4%
251	CORRECTIONS - FARM ACCOUNT	\$8,489	\$9,116	\$627	7.4%
252	CORRECTIONS - FORT DODGE	\$166,345	\$173,811	\$7,466	4.5%
259 / 265	CULTURAL AFFAIRS / CAPITALS	\$254,869	\$312,314	\$57,445	22.5%
269 / 275	ECONOMIC DEVELOPMENT / CAPITALS	\$192,963	\$190,396	(\$2,567)	-1.3%
270	FINANCE AUTHORITY	\$86,435	\$86,612	\$177	0.2%
282 / 280	EDUCATION / CAPITALS	\$843,117	\$867,002	\$23,884	2.8%
283	EDUCATION - VOCATIONAL REHABILITATION	\$520,645	\$603,789	\$83,144	16.0%
284/ 063	COLLEGE STUDENT AID / INCOME OFFSET	\$116,884	\$97,087	(\$19,797)	-16.9%
285	IOWA PUBLIC TELEVISION	\$69,196	\$66,219	(\$2,977)	-4.3%
297	IOWA DEPT OF AGING	\$122,009	\$139,139	\$17,130	14.0%
309 / 310	IOWA WORKFORCE DEVELOPMENT / CAPITALS	\$2,288,800	\$2,436,314	\$147,514	6.4%
336	IOWA COMMUNICATIONS NETWORK	\$221,610	\$276,557	\$54,947	24.8%
350	GOVERNOR	\$69,786	\$81,544	\$11,758	16.8%
379	HUMAN RIGHTS	\$180,739	\$199,215	\$18,476	10.2%
401 / 415	HUMAN SERVICES ADMINISTRATION / CAPITALS	\$5,199,432	\$5,183,703	(\$15,729)	-0.3%
402	HUMAN SERVICES - COMMUNITY SERVICES	\$1,333,593	\$1,360,707	\$27,114	2.0%
405	HUMAN SERVICES - ELDORA	\$88,208	\$97,052	\$8,844	10.0%
406	HUMAN SERVICES - CIVIL COMMITMENT SEXUAL OFFENDERS	\$44,424	\$49,459	\$5,035	11.3%
407	HUMAN SERVICES - MHI - CHEROKEE	\$95,892	\$101,897	\$6,005	6.3%
408	HUMAN SERVICES - MHI - CLARINDA	\$41,670	\$45,249	\$3,579	8.6%
409	HUMAN SERVICES - MHI - INDEPENDENCE	\$124,926	\$141,050	\$16,124	12.9%
410	HUMAN SERVICES - MHI - MT PLEASANT	\$44,469	\$47,713	\$3,244	7.3%
411	HUMAN SERVICES - GLENWOOD RESOURCE CENTER	\$512,260	\$541,064	\$28,804	5.6%
412	HUMAN SERVICES - WOODWARD RESOURCE CENTER	\$514,068	\$449,404	(\$64,664)	-12.6%

Department of Administrative Services FY15 & FY16 DAS Utility Totals by Agency					
Agency Number	Agency Name	FY 2015	FY 2016	Difference (FY16-FY15)	Percent Change
413	HUMAN SERVICES - ASSISTANCE PAYMENTS	\$1,300,649	\$1,282,451	(\$18,198)	-1.4%
427	INSPECTIONS & APPEALS	\$646,743	\$749,208	\$102,465	15.8%
428	INSPECTIONS & APPEALS - STATE PUBLIC DEFENDER	\$130,009	\$137,540	\$7,532	5.8%
429	INSPECTIONS & APPEALS - RACING COMMISSION	\$45,924	\$44,794	(\$1,130)	-2.5%
444 / 446	JUDICIAL BRANCH / CAPITALS	\$589,447	\$631,859	\$42,412	7.2%
467	IOWA LAW ENFORCEMENT ACADEMY	\$26,803	\$28,441	\$1,638	6.1%
500	LEGISLATIVE - HOUSE	\$35,178	\$37,114	\$1,936	5.5%
501	LEGISLATIVE - SENATE	\$22,115	\$23,585	\$1,470	6.6%
502 / 510	LEGISLATIVE - JOINT EXPENSE / CAPITALS	\$3,967	\$4,262	\$295	7.4%
503	LEGISLATIVE - OFFICE OF OMBUDSMAN	\$4,045	\$4,317	\$272	6.7%
504	LEGISLATIVE SERVICES AGENCY	\$28,707	\$29,867	\$1,160	4.0%
532	MANAGEMENT	\$116,605	\$131,945	\$15,340	13.2%
542 / 543	NATURAL RESOURCES / CAPITALS	\$1,478,854	\$1,732,574	\$253,721	17.2%
547	PAROLE BOARD	\$48,989	\$68,132	\$19,144	39.1%
553	IOWA PUBLIC EMPLOYMENT RETIREMENT SYSTEM	\$498,416	\$539,352	\$40,935	8.2%
572	PUBLIC EMPLOYMENT RELATIONS BOARD	\$31,026	\$41,834	\$10,808	34.8%
582 / 584	PUBLIC DEFENSE / CAPITALS	\$200,275	\$198,687	(\$1,588)	-0.8%
583	HOMELAND SECURITY - EMERGENCY MANAGEMENT	\$125,198	\$127,981	\$2,783	2.2%
588	PUBLIC HEALTH	\$1,029,751	\$1,186,682	\$156,932	15.2%
592	IOWA PUBLIC INFORMATION BOARD	\$0	\$6,762	\$6,762	
595 / 596	PUBLIC SAFETY / CAPITALS	\$1,686,662	\$1,911,473	\$224,810	13.3%
625	REVENUE	\$2,362,995	\$2,512,635	\$149,640	6.3%
627	LOTTERY	\$146,166	\$154,350	\$8,184	5.6%
635	SECRETARY OF STATE	\$110,560	\$111,302	\$742	0.7%
642	GOVERNOR'S OFFICE OF DRUG CONTROL POLICY	\$18,761	\$20,683	\$1,922	10.2%
645 / 646	TRANSPORTATION	\$1,758,430	\$1,796,178	\$37,747	2.1%
654	EXECUTIVE COUNCIL - <b>TREASURER</b>	\$1,946	\$8,661	\$6,716	345.2%
655/656/657	TREASURER	\$410,023	\$418,126	\$8,103	2.0%
LIB	STATE LIBRARY	\$0	\$128,755	\$128,755	
670 / 673	VETERANS' AFFAIRS / CAPITALS	\$10,825	\$10,796	(\$29)	-0.3%
671 / 672	VETERANS' HOME / CAPITALS	\$525,368	\$537,002	\$11,633	2.2%
NONGOV	TAHLER - CAFETERIA (treat america FY15)	\$27,850	\$39,923	\$12,074	43.4%
	TOTAL	\$37,455,235	\$39,824,975	\$2,369,740	6.3%

**NOTE:**

Due to the nature of the service, the following are not included in the comparative information; Workers Compensation, Moves, Adds & Changes, Depreciation, New Leasing, A & E Services, State Surplus, Motor Pool, Energy Management, and State Garage.

The Office of the Chief Information Officer expended their office for FY 2016.

The Executive Council is considered part of the Treasurer of the State in the past but has been broken out as a separate line in FY 2016.

The State Library is part of the Department of Education in the past but has been broken out as a separate line in FY 2016.

The Cafeteria increase is due to the association fee increase for FY 2016.

## **A Synopsis of the State Employee Retirement Incentives Program**

The State Employee Retirement Incentives Program (SERIP) was enacted by the second session of the Eighty-Third General Assembly and signed by the Governor on February 10, 2010. 2010 Iowa Acts, Senate File 2062, established the state employee retirement incentives program for eligible executive branch employees. The Legislative Council and the Supreme Court extended the program providing coverage for employees of the Legislative and Judicial Branches.

To qualify for the program a State employee had to be employed in a permanent full-time or part-time position on February 10, 2010 and be age 55 or older by July 31, 2010. In addition, employees were required to be covered by IPERS and not eligible for the peace officers sick leave bank program authorized by Iowa Code Section 70A.23, subsection 4. Application for retirement had to be made no later than April 15, 2010 and the participant was required to separate from State employment no later than June 24, 2010. State agencies were prohibited from offering a SERIP participant permanent full-time, part-time or temporary employment, or retention as an independent contractor.

The program included two incentives, a state group health insurance contribution benefit and a years-of-service benefit.

### **Health Insurance**

The health insurance contribution benefit entitled the participant to receive the employer's share of the monthly health insurance costs for the group insurance plan held at the time of retirement. The health insurance benefit was available for a period of up to five years from the date of retirement, beginning with the month immediately following the participant's separation from employment. If the participant predeceased a spouse, the health insurance contribution benefit was available to the surviving spouse for the purpose of health insurance contribution assistance for the remainder of the five-year period. Payments for this benefit will continue through June 2015.

### **Years of Service**

The years-of-service incentive was made available to employees with at least ten years of service as defined in Iowa Code Section 97B.1A. This benefit was inclusive of all State employment years of service whether continuous, or not. The years of service benefit provided a cash payment of \$1,000 for every year of eligible service, up to a maximum of 25 years, and was payable in equal installments over a five-year period, beginning in September 2010 and ending September 2014. Payments for this benefit have now concluded.

Just over 6,100 employees were eligible to participate in SERIP. A total of 2,067 of those eligible took advantage of the benefits of the program, a participation rate of 33.8%, and the positions of 807 of those incumbents were ultimately eliminated under the program.

As of November 20, 2014, a total of \$55.7 million had been paid for the health insurance contribution benefit. With participants eligible to receive these benefits through June 2015, it is anticipated that an additional \$5.2 million will be expended on the benefit before the program's end. The total cost of the years of service benefit has been \$34.1 million in payments made directly to the participants, plus an additional \$2.6 million for the employer share of Social Security and Medicare tax on those payments to the participants. The total of year-to-date actual and projected expenditures for the SERIP program will be approximately \$97.7 million from all funding sources by the conclusion of the program.

The savings attributable to the SERIP program cannot be reliably determined because some agencies were successful in trading positions vacated by participants for other positions; some of the positions eliminated were eventually added back to the table of authorized positions; the funding sources for

positions eliminated were not identified; and because budget information for positions eliminated is simply not available, or is difficult to obtain. Adding to the difficulty of determining savings is that the actual savings were captured in a broader budget reduction effort that did not identify the estimated savings attributed to SERIP alone. Additionally, agencies were required to cover the costs associated with the program without any additional funding.

A fiscal note was prepared for the Act that estimated the savings of the program would be \$57.4 million from all funding sources. However, the assumptions made in the fiscal note do not mirror the actual outcomes of the program as enacted.

### **Issue Review**

For more information regarding SERIP and other early retirement incentive programs over the last 30 years, as well as the Sick Leave Insurance Program (SLIP) please see the *Issue Review* titled [“State Employee Sick Leave Benefits at Retirement”](#), published December 30, 2014. The *Issue Review* provides information regarding the number of eligible employees for different programs, the participation rates and a fiscal analysis of costs, and where available, estimated savings. The *Issue Review* also includes a comparison to the other 49 states with respect to the treatment of sick leave balances and health insurance at retirement in each state.