ACCOUNTABLE PROCESS BUDGET
DEPARTMENT OF HUMAN SERVICES

SOCIAL SERVICES APPROPRIATIONS SUBCOMMITTEE
STAFF: CLARE TOBIN LENCE

ISSUE BRIEF

During the 2019 Interim, in accordance with H.J.R. 18 (2019 General Session), the Social Services Appropriations Subcommittee conducted the first of five accountable process budget reviews. The Subcommittee took the actions listed below. **The Department of Human Services has completed all of these items except #4 below**. The following pages provide additional detail.

Subcommittee Interim Actions:

1. Add a new accounting unit (not appropriation unit) for juvenile competency.
2. Clarify the fee schedule.
3. Create an email address or online form for internal audit tip line submissions. Promote the internal audit tip lines (phone number and email address/online form) to employees and the public, such as by: posting the tip lines prominently on the website homepage; including the tip line in employee training procedures and implementing policies about reporting to internal audit; creating a website for the internal audit office, if one does not yet exist.
4. **Add to the annual risk assessment: surveying of a subset of employees, in addition to directors.**
5. Move the fatality review process from the Bureau of Internal Review and Audit to the Office of Quality and Design.
6. Develop and/or add performance measures for the following programs: Bureau of Internal Review and Audit, System of Care, Juvenile Competency, Office of Licensing, Utah Marriage Commission, Utah Developmental Disabilities Council, and Office of Public Guardian.
7. Determine what 3 measures should be included as line item measures for Executive Director Operations and Office of Public Guardian.
8. Transition part of the Office of Licensing's budget from General Fund to dedicated credits for fees already collected:
    a. General Fund (550,000)
    b. General Fund, One-Time 550,000
    c. Dedicated Credits 550,000
    d. Dedicated Credits, One-Time (550,000)
9. Report on the following intent language: The Legislature intends that the Department of Human Services - Office of Licensing provide a report to the Office of the Legislative Fiscal Analyst by September 1, 2020 describing: 1) the feasibility of funding the office directly through fee collections, 2) the pros and cons of a dedicated credit model versus a restricted account model, 3) fees that should be exempted from matching the cost to provide the service and why, 4) estimated changes to current fees to align them more closely with costs, 5) an estimate of how much General Fund would still be required, and 6) any other concerns or considerations.
10. Report on the advantages and disadvantages and the possibility of General Fund savings: a) Whether certain routine audits, such as for the Office of Public Guardian, could be billed directly to the requisite division; b) If there are any grants for which indirect is not being maximized; and c) If there is a better model for allocating indirect costs than based on personnel, given that audits often involve contractors.

Ref. #	Program - Program Description (What Does it do? Who Does it Benefit?)	Mandate Status - Mandate Citation	FY 2020 State Funds[1]	FY 2020 Total Funds	Staff Recommendations, NOT Adopted by Subcommittee	Actions Taken by Subcommittee
38	**Human Services Client Trust Fund Total**		**-**	**$5,082,500**		
39	**Human Services Client Trust Fund Total**		**-**	**$5,082,500**		
40	DHS CLIENT TRUST FUND - Fund reporting involving OPG, DCFS, and JJS client funds.	State & Federal - S: 51-5, 62A-1-111, 62A-14-105; F: Social Security, Representative Payee requirements -- https://www.ssa.gov/payee/	-	$5,082,500		
41	**Office of Public Guardian Line Item Total**		**$695,700**	**$1,200,500**		1) Consider: What 3 measures should be included as line item measures? 2) Develop and/or add performance measures to COBI.
42	**Office of Public Guardian Program Total**		**$695,700**	**$1,200,500**		
43	DHS OFFICE OF PUBLIC GUARDIAN - Provides guardianship and conservatorship services to incapacitated adults who have no resources, no appropriate family to serve in this role and who are in a critical situation. OPG also educates the public about the role and function of guardians and conservators.	State - S: 62A-14-105	$695,700	$1,200,500		

Ref. #	Program - Program Description (What Does it do? Who Does it Benefit?)	Mandate Status - Mandate Citation	FY 2020 State Funds[1]	FY 2020 Total Funds	Staff Recommendations, NOT Adopted by Subcommittee	Actions Taken by Subcommittee
44	**Exeuctive Director Operations Line Item Total**		**$12,501,900**	**$25,600,500**		1) Direct DHS to report on the advantages and disadvantages and the possibility of General Fund savings: a) Whether certain routine audits, such as for the Office of Public Guardian, could be billed directly to the requisite division; b) If there are any grants for which indirect is not being maximized; and c) If there is a better model for allocating indirect costs than based on personnel, given that audits often involve contractors. 2) Consider: What 3 measures should be included as line item measures?
45	**DHS Executive Director's Office Program Total**		**$3,172,500**	**$8,435,500**		
46	DHS EDO EXEC DIR OFFICE - Responsible for the overall direction and supervision of the Department of Human Services.	State - S: 62A-1-110	$1,428,100	$1,857,800		
47	DHS EDO INTERNAL REVIEW (Bureau of Internal Review and Audit) - Responsible for internal review in the Department under the supervision of EDO.	State & Federal - S: 63I-5-201(1)(a); F: 2 CFR 200	$468,100	$568,100		1) Consider: Is the number of FTEs and amount of resources sufficient to ensure "adequate internal audit coverage"? (UCA 63I-5-201(1)(c)) 2) Direct DHS to create an email address or online form for internal audit tip line submissions. 3) Direct DHS to promote their internal audit tip lines to employees and the public. 4) Direct DHS to include a survey of employees (not only directors) for annual risk assessment. 5) Develop and/or add performance measures to COBI.

Ref. #	Program - Program Description (What Does it do? Who Does it Benefit?)	Mandate Status - Mandate Citation	FY 2020 State Funds[1]	FY 2020 Total Funds	Staff Recommendations, NOT Adopted by Subcommittee	Actions Taken by Subcommittee
48	DHS EDO FEDERAL SYSTEM OF CARE GRANT - System of Care was created so the Department could serve the most behaviorally and emotionally complex youth.	State - S: 62A-1-111	-	$3,610,600		1) Develop and/or add performance measures to COBI.
49	DHS EDO TANF SYSTEM OF CARE - System of Care was created so the Department could serve the most behaviorally and emotionally complex youth.	State - S: 62A-1-111	-	-		
50	DHS EDO PROGRAMS - Administration of small federal programs and provide juvenile competency services across the state. Small federal programs aimed to help vulnerable youth successfully transition to adulthood. Juvenile competency helps youth receive the needed services to restore competency or complete attainment. Small federal programs are fully federal funded and ending the first quarter of FY20.	State - S: 78A-6-1301-1303	$786,100	$964,100	1) Consider: Should juvenile competency evaluations be organized in the Executive Director's Office or in the Division of Substance Abuse and Mental Health? 2) Consider: What are the challenges with juvenile competency evaluation quality and workforce? How can they be mitigated?	1) Designate a "Juvenile Competency" accounting unit for budget tracking. 2) Develop and/or add performance measures to COBI.
51	DHS EDO ADMINISTRATIVE SUPPORT - Provides services to DHS including emergency preparedness, risk management, and building and grounds maintenance.	State - S: 62A-1-110(2)	$395,100	$487,600		
52	DHS EDO GENERAL SERVICES - Provide support services for DHS, including mail, motor pool, and fleet.	State - S: 62A-1-110(2)	$95,100	$214,600		

Ref. #	Program - Program Description (What Does it do? Who Does it Benefit?)	Mandate Status - Mandate Citation	FY 2020 State Funds[1]	FY 2020 Total Funds	Staff Recommendations, NOT Adopted by Subcommittee	Actions Taken by Subcommittee
53	**Fiscal Operations Program Total**		**$2,075,500**	**$2,597,100**		
54	DHS EDO OFO DIRECTOR - Provides overall direction and supervision of finance for DHS	State - S: 62A-1-110; 62A-1-111; 62A-1-112; 62A-1-113; 62A-1-114; F: 2 CFR 200; Utah Exec. Order No. 2017-1	$332,600	$350,000		
55	DHS EDO FINANCE - Responsible for finance, accounting and budgeting, data analysis, rule coordination, and research studies.	State & Federal - S: 62A-1-110; 62A-1-112; 62A-1-113; 62A-1-114; F: 2 CFR 200 Utah Exec. Order No. 2017-1	$831,900	$1,261,000		
56	DHS EDO BUREAU OF CONTRACT MANAGEMENT - Responsible for procuring client services including reviewing Scopes of Work and other procurement documents for publication; issuing DHS contracts and maintaining procurement and contract records in compliance with approved record retention schedules; establishing and managing contracted service rates; collecting and reviewing contractor financial reports for compliance with federal, state, and/or DHS financial reporting requirements.	State & Federal - S: 62A-1-110(2); 62A-1-111(3); 62A-1-111(22)(b)(ii); F: 2 CFR 200	$911,000	$986,100		
57			**$34,400**	**$34,400**		
58	DHS EDO HUMAN RESOURCE ADMIN - Rent for HR staff housed in MASOB Building.	State - S: 67-19-6; 67-19-11	$34,400	$34,400		

Ref. #	Program - Program Description (What Does it do? Who Does it Benefit?)	Mandate Status - Mandate Citation	FY 2020 State Funds[1]	FY 2020 Total Funds	Staff Recommendations, NOT Adopted by Subcommittee	Actions Taken by Subcommittee
59	**KAL Office of Licensing Program Total**		**$3,103,200**	**$4,840,300**	1) Should administration of Interstate Compacts on the Placements of Children (ICPC) be moved from the Division of Child and Family Services to the Office of Licensing? Should the office institute a fee on providers when administering an ICPC?	1) Update how fees are listed in the annual appropriations act for clarity. 2) Approve the following intent language: *The Legislature intends that the Department of Human Services - Office of Licensing provide a report to the Office of the Legislative Fiscal Analyst by September 1, 2020 describing: 1) the feasibility of funding the office directly through fee collections, 2) the pros and cons of a dedicated credit model versus a restricted account model, 3) fees that should be exempted from matching the cost to provide the service and why, 4) estimated changes to current fees to align them more closely with costs, 5) an estimate of how much General Fund would still be required, and 6) any other concerns or considerations.* 3) Approve the following budget changes to align with #1: General Fund (550,000) General Fund, One-Time 550,000 Dedicated Credits 550,000 Dedicated Credits, One-Time (550,000) 4) Develop and/or add performance measures to COBI.
60	DHS EDO CENTRAL LICENSING - Licensing services for Department providers of residential and other services according to statutory scope.	State - S: 62A-2-106	$3,053,700	$4,581,900		
61	DHS EDO LICENSING PROJECTS - Provide maintenence and support of licensing's system.	State - S: 62A-2-106	$49,500	$258,400		

Ref. #	Program - Program Description (What Does it do? Who Does it Benefit?)	Mandate Status - Mandate Citation	FY 2020 State Funds[1]	FY 2020 Total Funds	Staff Recommendations, NOT Adopted by Subcommittee	Actions Taken by Subcommittee
62	**Office of Quality and Design Program Total**		**$2,277,300**	**$4,860,600**		1) Recommend that DHS move the fatality review process from The Bureau of Internal Review and Audit to the Office of Quality and Design.
63	OQD ADMINISTRATION - Provides administration of the Office of Quality and Design and assists in the design and evaluation of services.	State - S: 62A-1-105 S: 62A-18	$121,000	$245,000		
64	DHS EDO SERVICES REVIEW - Conducts internal (case management, etc.) quality control evaluations of DCFS and DJJS, operates the office of child ombudsman, conducts fatality reviews and conducts related party child-protective services investigations.	State & Federal - S: 62A-4a-117 S: 62A-4a-118 S: 62A-16 S: 62A-4a-208 S: 62A-4a-202.6 F: 45 CFR Parts 1355, 1356, 1357	$292,900	$1,570,100		
65	CONTRACT & QUALITY MANAGEMENT - Designs and implements a comprehensive continuum of services, develops and writes contract specifications, monitors contract performance, provides technical assistance to contractors, executes action on contract noncompliance, evaluates quality of services by contractors, establishes standards for the use of contracted services, coordinates the service provider network.	State & Federal - S: 62A-18-105 S: 63G-6a-103(18) S: 63M-7-208(1) F: 42 CFR Part 441.302 F: Medicaid HCBS IDRC and ABI Waivers	$1,604,000	$2,472,400		
66	MANAGEMENT INFORMATION CENTER (MIC) - Provides actionable intelligence for Executive- and Division-level leaders from combined internal and external data sources to support the development of an integrated human services system. Integrates, analyzes, and applies department-wide research to monitor the quality, effectiveness, and outcomes of services.	State - S: 62A-18-105	$259,400	$728,200		

Ref. #	Program - Program Description (What Does it do? Who Does it Benefit?)	Mandate Status - Mandate Citation	FY 2020 State Funds[1]	FY 2020 Total Funds	Staff Recommendations, NOT Adopted by Subcommittee	Actions Taken by Subcommittee
67	**Utah Marriage Commission Program Total**		**-**	**$300,000**		1) Develop and/or add performance measures to COBI.
68	DHS EDO UTAH MARRIAGE COMMISSION - Promotes a culture of strong and lasting marriages and stable families through a variety of programs and collaboration. Funds and monitors evidence-based relationship education programs in communities throughout the state by contracting with Utah State University, Weber State University, Salt Lake Community College, and Utah Valley University to deliver these services. Maintains StrongerMarriage.org, an online resource for information about forming and sustaining healthy and long-lasting marriages. Markets and tracks participation in the new Utah Marriage Education Discount program which provides engaged couples with extra incentives for participating in premarital education or counseling.	State - S: 62A-1-120	-	$300,000		
69	**Legal Affairs Program Total**		**$1,062,100**	**$1,241,200**		
70	DHS EDO ADMINISTRATIVE HEARING - Conducts adjudicative proceedings related to Divisions and Offices within DHS. Also, the OAH Director is delegated the role of Chief Administrative Officer for all Divisions/Offices/Institutions other than the Office of Recovery Services for the purpose of addressing appeals of records access determinations under the Government Records Access Management Act.	State - S: 63G-4-102; 62A-1-106; 62A-1-111(4); 62A-2-111; 62A-3-311.5(4) and (5); 62A-4a-1009(4)(b);62A-11-105; and 63G-2-401.	$338,600	$790,900		
71	DHS EDO OFFICE OF LEGAL AFFAIR - Provides legal services for DHS	State - S: 67-5-5	$723,500	$450,300		
72	**Information Technology Program Total**		**$776,900**	**$1,523,300**		
73	DHS EDO INFO TECH ADMIN - Technology Administration	State - S: 62A-1-110(2)	$60,028	$126,700		
74	DHS EDO PRODUCT SUPPORT - Purchase and Maintenance of Technology to support DHS.	State - S: 62A-1-110(2)	$186,431	$393,500		

Ref. #	Program - Program Description (What Does it do? Who Does it Benefit?)	Mandate Status - Mandate Citation	FY 2020 State Funds[1]	FY 2020 Total Funds	Staff Recommendations, NOT Adopted by Subcommittee	Actions Taken by Subcommittee
75	DHS EDO OT TRAINING - Maintenance of Training room and Technology	State - S: 62A-1-110(2)	$9,333	$19,700		
76	DHS EDO SUPPORT TECHNOLOGIES - Datawarehouse	State - S: 62A-1-1-110(2)	$281,708	$594,600		
77	DHS EDO USSDS SYSTEM - CAPS Payment System Maintenance	State & Federal - S: 62A-1-1-111(3)(19); F: 2 CFR 200	$239,400	$388,800		
78	**Developmental Disabilities Council Program Total**		-	**$627,400**		1) Develop and/or add performance measures to COBI.
79	DHS EDO UDDC ADMIN - Promotes opportunities for intellectually disabled citizens.	Federal - F: The Developmental Disabilities Assistance and Bill of Rights Act of 2000	-	$211,700		
80	DHS EDO UDDC EMPLOYMENT - Promotes opportunities for intellectually disabled citizens.	Federal - F: The Developmental Disabilities Assistance and Bill of Rights Act of 2000	-	$26,900		
81	DHS EDO UDDC HEALTH - Promotes opportunities for intellectually disabled citizens.	Federal - F: The Developmental Disabilities Assistance and Bill of Rights Act of 2000	-	$95,800		
82	DHS EDO UDDC LEADERSHIP - Promotes opportunities for intellectually disabled citizens.	Federal - F: The Developmental Disabilities Assistance and Bill of Rights Act of 2000	-	$293,000		

Ref. #	Program - Program Description (What Does it do? Who Does it Benefit?)	Mandate Status - Mandate Citation	FY 2020 State Funds[1]	FY 2020 Total Funds	Staff Recommendations, NOT Adopted by Subcommittee	Actions Taken by Subcommittee
83	**Local Discretionary Program Total**		**-**	**$1,140,700**		
84	DHS EDO LOCAL DISCRETIONARY - The Social Services Block Grant (SSBG) is distributed to counties or associations of government for social services.	State & Federal - S: 62A-1-114, R495-861	-	$1,140,700		
	(1) State Funds = General Fund and General Fund Restricted.					