



## **BUSINESS PLAN**

Fiscal Year 2009

3-19-09 Version  
Previously reviewed by  
Customer Council

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### **Vision**

**To be a world-class organization that is customer-focused, innovative and efficient.**

### **Mission**

**To provide high quality, affordable infrastructure products and services to Iowa state government customers in a manner that empowers them to provide better service to the citizens of Iowa and support the State of Iowa in achieving economic growth.**



*West Capitol Terrace Perspective Sketch, March 2006, Brian Clark + Associates*

## INTRODUCTION

### **Department Created**

The Department of Administrative Services (DAS) was established on July 1, 2003 by consolidating the Department of General Services, the Iowa Department of Personnel, the Information Technology Department, and the “corporate” state accounting function from the Department of Revenue and Finance. The responsibilities of those entities were merged into four enterprises – the Human Resources Enterprise (HRE), the General Services Enterprise (GSE), the Information Technology Enterprise (ITE), and the State Accounting Enterprise (SAE).

### **Business Concept**

As part of the consolidation strategy, DAS implemented a new business model known as *entrepreneurial management* – a customer-focused approach to delivering services in a competitive marketplace.

The creation of the four enterprises within a single department and the implementation of “entrepreneurial management” are intended to give employees greater incentives to improve services, lower costs and be more flexible in meeting customer needs – the needs of state agencies providing critical services to Iowans. As a result of this structure, business decisions made by DAS enterprises are primarily based upon the desire to meet customer needs in a cost effective manner. Additionally, under this structure DAS customers have greater input regarding the goods and services that are provided by DAS.

Basic changes for DAS enterprises and DAS customers resulting from the creation of DAS include:

- The removal of many of the mandatory requirements that agencies use internal administrative services, other than utility services.
- A change in the way that the agencies receive funding and pay for services. Initially, General Fund monies previously appropriated to DAS entities were transferred to the budgets of customer agencies to be used for the purchase of goods and services provided by DAS. This was a one-time distribution, and now customer agencies must request these monies on an annual basis. Accordingly, agencies have greater control over how their funds are spent when purchasing products and services from DAS.
- The creation of a Customer Council to guide the establishment of rates for DAS utility services.
- Implementation of key business principles including accrual accounting, competitive pricing and customer input.

### **Classification of Services**

Services provided by DAS have been categorized into three areas: utility services, marketplace services and leadership services.

1. **Utility services** are those most efficiently provided through a single service provider (DAS) in order to maximize efficiency and/or capture economies of scale. Examples of utility services include space management, employee benefits administration and collective bargaining negotiations. Customer agencies are required to purchase utility services from DAS. Funding for DAS utility services is provided via customer payments.

Customer agencies have a voice in setting utility rates through the Customer Council which reviews proposed rates and the basis for those rates.

2. **Marketplace services** are those where customer agencies may select a vendor (either DAS or some other entity inside or outside of state government) to provide the service. Such services include personnel training, conference planning, vehicle rentals and repairs, printing, graphic design, and a variety of technology services. Funding for DAS marketplace services is provided via customer payments. DAS determines what marketplace services will be offered consistent with its statutory authority. These services may be discontinued at any time if DAS determines that the costs of providing the service are not competitive or cannot be recovered through the prices charged for the service.
3. **Leadership services** are those “central office” services related to agency policy and standards development/implementation and corporate financial administration. Funding for DAS leadership services is provided by appropriation.

Pursuant to Iowa Code section 8.6, subsection 16, the Department of Management provides a forum for determining whether or not a service is categorized as a utility service. DOM administrative rules provide that utility services are services “for which a monopoly structure makes sense due to economies of scale.” Consideration of economic factors and input from the Customer Council are among the factors to be considered when this determination is made.

### **Level of Service**

The levels of service provided by DAS to its customers with regard to utility services are established based upon the level of funding provided in support of these services. DAS continually seeks to identify more efficient and cost effective means to provide services to our customers. The level of service to be provided is a key determinant of the fees that are charged to our customers and is an issue for discussion by the Customer Council in its deliberations. Please see Appendix B for current service level descriptions.

### **Rates Adjustments**

1. **Utility Services** rates are reviewed by the Customer Council. A majority of all voting council members must approve the rate methodology and the resulting rates for utility services. Rates must be established no later than September 1 of the year preceding the rate change. Established rates may be amended after September 1 upon recommendation by the Department of Management in consultation with DAS and with the approval of the Customer Council. Any reduction in a utility service rate may result in a corresponding reduction in the level of service related to the utility.
2. **Marketplace services** rates are established by DAS and are set at a level to cover the total cost incurred in providing the service. Market place service rates may be changed by DAS, in its discretion, at anytime to reflect a change in the cost to provide the associated service.

### **Customers Served**

Currently, DAS is authorized to provide goods and services to all of the following:

1. State Executive Branch Agencies
2. Legislative Branch

3. Judicial Branch
4. Regents Institutions
5. Political Subdivisions
6. State/Public Employees – Active and Retired

**Customer Service/Support**

DAS understands that providing service and support to our customers is critical to our success. DAS currently provides several customer service contact points for use in making contact with the Department. Specific customer contact information is as follows:

Directors Office

Ray Walton, Interim Director .....281-5360

GSE

Customer Service Center –242-5120

Service[center@iowa.gov](mailto:servicecenter@iowa.gov)

HRE

Mary Ann Hills – [maryann.hills@iowa.gov](mailto:maryann.hills@iowa.gov)

Jeff Panknen, DAS Personnel Officer – [jeff.panknen@iowa.gov](mailto:jeff.panknen@iowa.gov)

ITE

There are a number of communication channels for customers to use in contacting the Information Technology Enterprise. The contact person used is highly dependent upon the nature of the communication. Customers needing to contact ITE about issues associated with an application under development typically contact (by phone or e-mail) the project manager or other assigned ITE personnel as designated in the project plan. Customers needing to contact ITE about issues associated with an existing application supported by ITE have designated points of contact for that particular application.

Customers with questions or concerns about cost estimates, billings for specific work completed by ITE, scheduling issues or other issues may use the aforementioned contacts or may contact the ITE administrators / managers responsible for the subdivisions and work units within ITE. They are:

Lorrie Tritch.....Operations .....	242-5898	.....	<a href="mailto:lorrie.tritch@iowa.gov">lorrie.tritch@iowa.gov</a>
Ruzz Rozinek .....Data Center .....	281-4836	.....	<a href="mailto:russ.rozinek@iowa.gov">russ.rozinek@iowa.gov</a>
Matt Behrens .....Servers.....	281-0768	.....	<a href="mailto:matt.behrens@iowa.gov">matt.behrens@iowa.gov</a>
Pat Clark.....LAN / Help Desk .....	281-7649	.....	<a href="mailto:pat.clark@iowa.gov">pat.clark@iowa.gov</a>
Mark Uhrin.....Applications and e-Government	281-5818	.....	<a href="mailto:mark.uhrin@iowa.gov">mark.uhrin@iowa.gov</a>
Bob Pals .....Applications and e-Government	281-6138	.....	<a href="mailto:bob.pals@iowa.gov">bob.pals@iowa.gov</a>
Steven Larson.....I/3 .....	725-2086	.....	<a href="mailto:steven.larson@iowa.gov">steven.larson@iowa.gov</a>
Lise Melton .....Printing.....	281-5050	.....	<a href="mailto:lise.melton@iowa.gov">lise.melton@iowa.gov</a>
Alison Radl .....Security .....	725-2019	.....	<a href="mailto:alison.radl@iowa.gov">alison.radl@iowa.gov</a>

General customer information technology inquiries, questions about system outages, requests for reset of certain passwords, and general information technology support issues should contact the ITE Help Desk:

ITE Help Desk .....General Number..... 281-5703 .....[ITE.Servicedesk@iowa.gov](mailto:ITE.Servicedesk@iowa.gov)

Requests for ITE general information or administrative inquiries should be directed to:

Patsy Tallman.....ITE Receptionist..... 281-5503 ...[patsy.tallman@iowa.gov](mailto:patsy.tallman@iowa.gov)

SAE

Steven Larson.....I/3 .....725-2086 .....[steven.larson@iowa.gov](mailto:steven.larson@iowa.gov)

### **Complaint Resolution Process**

As approved by the Customer Council on November 18, 2008:

## **DAS CUSTOMER COUNCIL COMPLAINT RESOLUTION PROCESS**

Customers are encouraged to fully participate during the established customer comment period each year when proposed rates for the next fiscal year are being considered. The Council shall strive to solicit and receive comments from customers.

The Department of Administrative Services Director's Office is the point of contact for general customer questions and complaints.

#### **Purpose:**

The purpose of the Customer Council Complaint Resolution Process is to resolve issues raised by customers concerning the following:

- A. Rates or the process for establishing rates; and
- B. Whether or not a particular DAS service should be designated as a "utility" service. This includes the types or kinds of utility services provided by DAS.

#### **Process:**

If a customer raises an issue concerning rates, the process for establishing rates, or the designation of a service as a "utility" after the established customer comment period, the following complaint resolution procedure applies:

1. The customer shall submit in writing a summary of the issue, including any applicable materials or information. The customer shall submit this information to the Council Chair and the DAS Director.
2. A submission that is received at least 5 business days in advance of the next regularly scheduled Council meeting shall be considered at that meeting. Submissions that are received 4 business days or less before the next regularly scheduled meeting shall not be considered until the next meeting following. The Council Chair shall make the final determination on when a submission is "received."
3. The initial Council consideration of a submission shall be a determination of whether or not the submission shall be governed by the Customer Council Complaint Resolution Process, referred to DAS for handling, or subject to other action as deemed appropriate.
4. The Council's determination shall be communicated in writing to the customer within 10 business days. If the Council votes to handle the submission by the Customer Council Complaint Resolution Process, both the customer and DAS shall have a designated representative appear at the next Council meeting to discuss the issue.

### **General Questions and Complaints**

General questions and complaints related to DAS services and goods may arise which are not subject to the jurisdiction of the Customer Council or the Customer Council Complaint Resolution Process. Any such questions and complaints may be made to the Director's Office or to the appropriate Enterprise using the contact information located in the "Customer Service/Support" section.

### **Marketing and Communications**

Several communications methods are in place to foster effective business practices including:

1. **DAS Customer Satisfaction Surveys** are taken on a regular basis and the results are distributed and placed on the DAS website.
2. **Customer Focus Newsletter** is produced bi-monthly and sent electronically to customers. This newsletter provides information concerning new products, services, announcements, and important customer information.
3. **eDAS**. The **eDAS** Service Request and Billing System went into production July 1, 2005. **eDAS** allows customers to view DAS service billing information. It provides a brief description of the service, the cost of the service, and the service contact. Customers can view services by Enterprise, by category of service or by searching for a key word about the service. **eDAS** makes it easy for customers to become acquainted with DAS services.
4. **DAS Difference** is the employee newsletter produced bi-monthly. It provides information and news regarding employees, programs and important announcements.
5. **Over the Top and the Wall of Fame** are two DAS employee programs designed to recognize outstanding accomplishments of employees.
6. Additionally, DAS endeavors to determine customer needs in a variety of ways including:
  - a. Customer surveys
  - b. Focus groups
  - c. Regular feedback from customers by e-mail, phone, or in-person

In the past, DAS has retained an individual on a part-time basis as a Project Consultant to stay in contact with customers in an effort to increase the use of DAS products and services. This position is not currently filled and may or may not be utilized in the future.

### **Current Situation**

Consistent with entrepreneurial management, DAS offers services to its customers on a fee-for-service basis. In FY08, 86.4% of the DAS total budget was dependent upon customer spending decisions. DAS is continually looking for ways to hold down the costs associated with the goods and services provided to its customers. DAS is also expanding its customer base by actively marketing goods and services to political subdivisions consistent with its statutory authority. Increasing its customer base provides an opportunity to spread fixed costs associated with a good or service over a larger customer base, thereby benefiting all customers purchasing the particular good or service.

### **Key Success Factors**

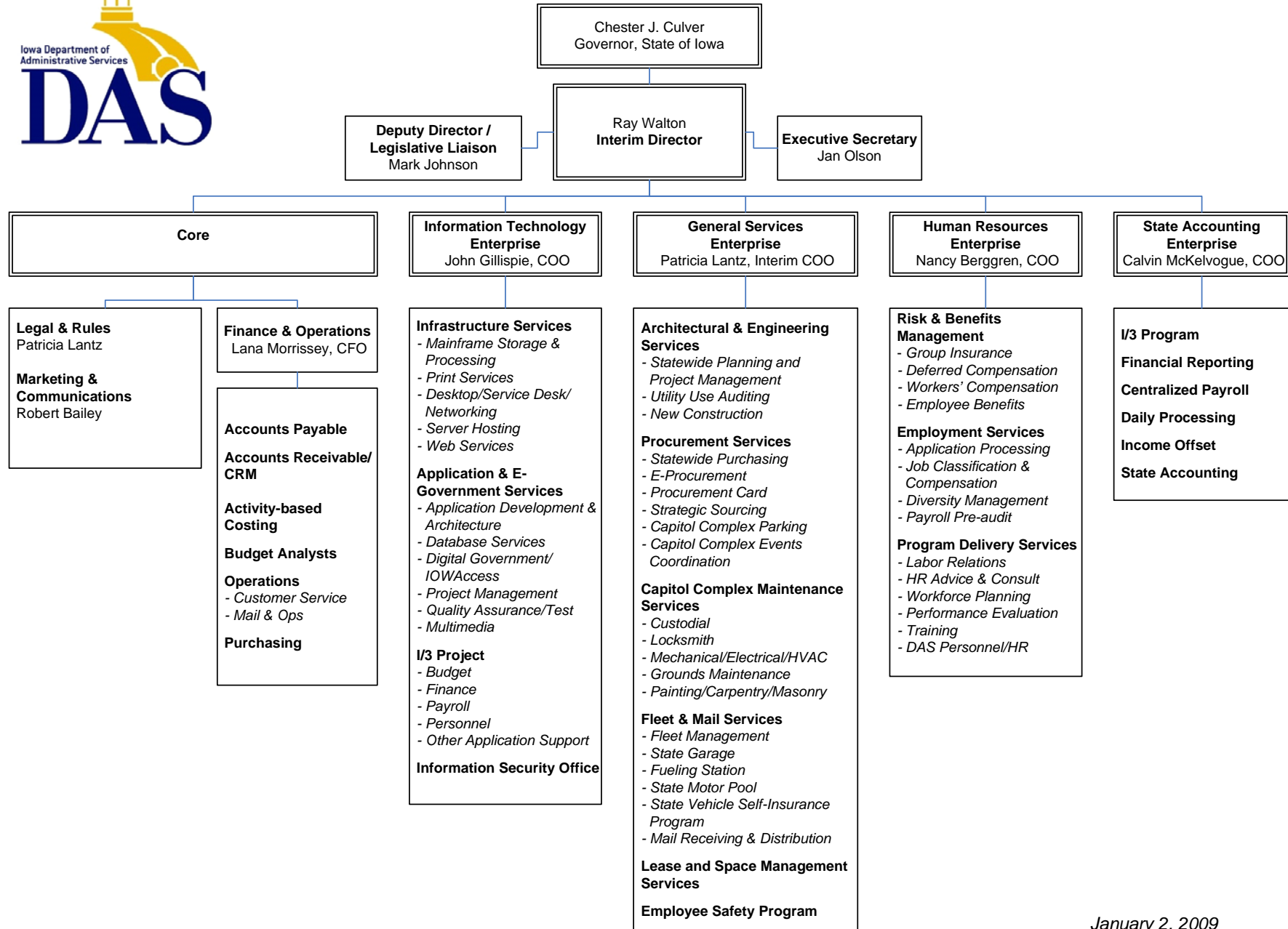
The success of DAS depends on a number of factors including the following:

1. DAS provides necessary goods and services at a reasonable and competitive cost.
2. DAS customers are provided with sufficient financial resources to pay needed goods and services.

3. DAS provides goods and services provided at the level of quality required by its customers.
4. DAS is able to maintain the necessary workforce – FTEs and necessary job skill sets – to provide necessary goods and services.
5. DAS continually seeks meaningful customer input regarding the goods and services it provides via customer service surveys and by maintaining open channels of communication, and makes necessary operational adjustments based upon this input to meet customer needs.



# Iowa Department of Administrative Services



## OPERATIONS

### GENERAL SERVICES ENTERPRISE (GSE)

*(Patricia Lantz, Interim Chief Operating Officer)*

The General Services Enterprise (GSE) maintains the buildings and grounds on the Capitol Complex and at the Ankeny Laboratories, manages the operation of the state fleet of vehicles, provides leasing and space management services for agencies at the Seat of Government, provides leasing consulting services for agencies outside the Seat of Government, provides mail services to state agencies, provides statewide architectural and engineering project management services for construction projects, provides staff support to the Capitol Planning Commission, the Vertical Infrastructure Advisory Committee, the ADA Advisory Committee, manages the Capitol Complex employee safety program, and manages the procurement function for most executive branch agencies. Additionally, GSE is responsible for Capitol Complex monument maintenance and upkeep. The General Services Enterprise is comprised of the following:

1. Capitol Complex Custodial and Grounds (*Tim Ryburn, Administrator*)
2. Capitol Complex Operations (*Ken Thornton, Administrator*)
3. Vertical Infrastructure Program (*Dean Ibsen, Administrator*)
4. Fleet and Mail (*Dale Schroeder, Administrator*)
5. Procurement Services (*Debbie O'Leary, Administrator*)
6. Architectural and Engineering Services (*Paul Carlson, Administrator*)
7. Space Management and Leasing Services (*Barbara Bendon, Administrator*)

### CAPITOL COMPLEX CUSTODIAL AND GROUNDS

Staff provides custodial and grounds services to the Capitol Complex, Ankeny Laboratories, agencies located off of the Capitol Complex, and Capitol Complex monuments to provide a safe, healthy, cost effective, and aesthetically pleasing environment for elected officials, employees, and visitors. Regular meetings are held with customer representatives from various buildings to improve service delivery.

### CAPITOL COMPLEX OPERATIONS

Staff provides various heating, ventilation, and air conditioning (HVAC) services to the Capitol Complex, Ankeny Laboratories, and agencies located off of the Capitol Complex. Staff also provides utility use oversight and management of various projects related to restoration of the state Capitol Building.

### VERTICAL INFRASTRUCTURE PROGRAM

Staff provides direct support to the Capitol Planning Commission (advisory to the legislature), to the Vertical Infrastructure Advisory Committee (reports to the Governor), and to the department's ADA Advisory Committee, which provides recommendations on building and grounds accessibility issues specific to the Americans With Disabilities Act. The staff also provides support to the Department of Administrative Services and 11 other agencies and

divisions around the state regarding building repair and maintenance projects and makes recommendations on and monitors the allocation of major maintenance and routine maintenance funds. In this capacity, the staff provides support to almost 21% of the state's real estate assets—more than 900 buildings and 11 million square feet of facilities. The Vertical Infrastructure Advisory Committee presented its ninth annual report to the Governor in December 2007.

## **FLEET AND MAIL**

**State Garage** – located at 301 E. 7<sup>th</sup> St. on the Capitol Complex. The State Garage staff maintains the state vehicle fleet, receives and prepares new vehicles for issue, and prepares vehicles for auction.

**Motor Pool** – the Motor Pool provides short-term and long-term transportation to state agencies. The Motor Pool has been providing quality vehicles for over fifty years.

**Fueling Station** – in February 1991, the state fueling station was the first station in Iowa to offer E85 fuel for state vehicles. The station is located at the corner of E. 7<sup>th</sup> and Walnut Streets. The link for all E85 fueling stations in Iowa can be found at: [http://das.gse.iowa.gov/org\\_info/Fleet & Mail/Iowa E85 Fueling Sites Color.pdf](http://das.gse.iowa.gov/org_info/Fleet%20&%20Mail/Iowa%20E85%20Fueling%20Sites%20Color.pdf)

**Fleet Management** purchases and disposes of fleet vehicles, manages the fleet fueling credit card, responds to statutory reporting requirements and legislative inquiries, assigns fleet vehicles to state agencies, insures the registration and licensure of fleet vehicles, maintains an inventory of fleet vehicles by active and inactive status, and conducts vehicle auctions.

**Risk Management** – the state is self-insured for state fleet vehicles under the management of DAS. Risk Management evaluates all accident claims, settles tort claims or recommends settlement to the Attorney General's Office, and recovers accident costs that were the fault of a third party. Risk Management is a cost-effective alternative to paying vehicle insurance premiums.

**Mail Processing** – The Mail Center receives and delivers all incoming United States Postal Service and interoffice mail to approximately 90 Capitol Complex delivery stops twice daily and once daily to 13 off-complex sites. The Mail Center receives and processes most Capitol Complex outgoing mail within eight (8) hours of receipt. .

## **PROCUREMENT SERVICES**

DAS Procurement Services procures goods and services for most State of Iowa executive branch agencies. Its mission is to facilitate a process that provides timely, cost-effective, and high quality goods and services through cooperative and proactive procurement practices. The focus of DAS Procurement Services is to:

1. Improve the value of services to our customers, and
2. Reduce the rate (user fee) our customers pay for our services.

DAS Procurement Services, a centralized purchasing function, is designed to provide the best value through an open, fair, and competitive bidding process. Procurement Services serves an important role as a neutral third party in the competitive bidding process. DAS Procurement Services has a proven record of saving money and reducing the cost of government by utilizing economies of scale. Procurement Services focuses on providing professional procurement services to its customers so they can focus on accomplishing their core mission.

To fund a centralized purchasing operation, a prorated user fee based upon the amount of goods purchased by an agency was established. The fee has ranged from as high as 2 percent to 1 percent of goods and services purchased by agency customers. In 2004, the 1 percent fee was eliminated and a subscription fee (allowing unlimited purchases by state agencies) was adopted by the GSE Customer Council. DAS Procurement Services does not receive a general fund appropriation.

### **ARCHITECTURAL AND ENGINEERING SERVICES**

Architectural and Engineering Services (A&E) provides project management, planning, architectural and engineering services for construction, repair, maintenance and renovation projects statewide.

### **SPACE AND LEASE MANAGEMENT SERVICES**

Staff provides: office design services and project management oversight related to office moves and office configuration, assignment of office space on the Capitol Complex and at the Ankeny Laboratories, lease negotiations/contracts for off-Complex leased facilities, oversight and administration of the State Surplus Property Program, and contract management related to the Capitol/Lucas cafeterias.

### **HUMAN RESOURCES ENTERPRISE (HRE)**

*Nancy Berggren, Chief Operating Officer*

When the Department of Personnel (IDOP) became part of the Iowa Department of Administrative Services as the Human Resources Enterprise (HRE) in 2003, it continued to provide the same human resource (HR) services that it had been offering to state agencies as an independent department. However, as explained further, a major change in service delivery occurred in the change of funding streams from an appropriation to a fee-for-service basis. The original HRE customer council determined that all of HRE's rates should be based on the number of employees in each department of state government. As the number of employees increases or decreases, demand for services does the same and HRE's financial resources would follow. With the exception of training and development, a marketplace function overseen by the Performance and Development Solutions (PDS) unit, the remaining HR functions are utility services.

HRE provides the full range of human resource services to Iowa state government. These include:

- classification,
- compensation,
- employment selection assistance,
- Affirmative Action (Equal Employment Opportunity/Diversity Program),
- workforce planning,
- performance evaluation,
- workforce data gathering,
- reporting and analysis,
- labor relations,
- **group insurance** 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.

Personnel Officers, who serve as the primary point of contact for departments, **provide advice and consultation, and monitor their unique needs in all areas of human resource management.**

The major emphasis of HRE program staff is to deliver **a comprehensive package of human resource services to state agencies.** However, HRE, like its sister enterprises within DAS, constantly seeks ways to enhance, improve or increase customer service, streamline operations, and save money. HRE is positioned to build on past successes for the following reasons:

- In Iowa, all human resource functions are centralized into one department instead of fragmented throughout state government. This allows HRE to look at the effects that changing one program would have on another and make program decisions with an understanding of the total impact.
- HRE's purchasing power for all of state government is significantly greater than if each agency were buying certain human resource services separately. This economy of scale method increases HRE's ability to reduce costs; this was particularly true in benefit programs.
- With the implementation of entrepreneurial principles, HRE has direct and ongoing customer involvement through the DAS Customer Council. This relationship ensures that HRE's programs are on target to meet departments' needs and that rates are reasonable to customers.

HRE as enhanced customer service by:

1. **Assisting departments in preparing workforce plans and succession plans in anticipation of a changing workforce due to retirements and organizational restructuring. The Department of Administrative Services has partnered with the Departments of Management and Natural Resources to develop a consistent approach to workforce planning for all departments. This initiative is based on best practices already in place in Iowa state agencies as well as in other states.**

2. Improving deferred compensation offerings by using a competitive bid process for selecting vendors and investment options. Doing this saves state employees money and ensure that more of what is deferred goes to retirement savings and less to administrative fees.
3. Negotiating with the state labor unions a state paid deferred compensation match, and as a result 61% of employees are participating in the program. Prior to the match there was only a 10%-15% participation rate.
4. Increasing benefits information available to employees through the Internet, publications, webinars, and other media. In 2007, the “Enrollment & Change Presentation” was offered five (5) times with an attendance of 603 individuals. In 2008, there was an explosion in the number of sessions offered and in attendance. Ten (10) different webinar sessions were presented 98 times in 2008. The attendance at the 98 sessions was 2,992 individuals. This was a five-time increase in the number of attendees in 2008 compared to 2007. The reason for the significant increase in attendance was due to the 403b presentations for school districts employees.
5. Subsidizing bus ridership on the Des Moines Area Regional Transit system allows employees to ride the bus in the Des Moines area at no cost.
6. Subsidizing bus ridership on the Des Moines Area Regional Transit system allows employees to ride the bus in the Des Moines area at no cost.
7. Providing an on-line health benefits system that eliminates paper from the enrollment process.
8. Participating in a Kaizen process on the state’s alternative resolution process known as GRIP. Doing this enhanced the resolution process and resulted in a new training course for state managers and supervisors entitled *Preparing & Presenting Grievance/GRIP Information*. This course is designed to help agencies prepare their defense in grievance meetings, GRIP, and arbitrations.
9. Hiring a statewide recruitment coordinator who is working to coordinate targeted recruitment throughout state government and develop programs that market state government as an employer. This is important to avoid agencies duplicating their recruitment efforts and to target hard to fill positions.
10. Processing an average of 79,976 employment applications over the last three years (59,841 in FY 2006, 80,623 in FY 2007, and 99,466 in FY 2008, for a total of 239,930 over the three-year period). An average of 1,527 merit covered hires per year were made over the three-year period (1,306 in FY 2006, 1,547 in FY 2007, and 1,728 in FY 2008) for a total of 5,146 merit-covered hires during the period).

11. Providing organizational development and consulting services to agencies and individuals through strategic planning, business coaching, and the development of new programs that align with goals, team and leadership development, and enhanced process improvement.
12. Developing business relationships with local governments and nonprofit agencies to expand training and development services beyond the State of Iowa, thus enhancing local government and overall performance by government employees to better meet citizens' needs.
13. Implementing provisions of Executive Order Number 4 concerning diversity in state government. Activities including conducting hiring reviews of each department to identify strengths and challenges in the hiring process, and developing annual diversity plans to help focus on practices that will increase the diversity of state government.
14. Providing full-day diversity awareness training for all managers and supervisors in calendar year 2008 (86 sessions), and continued to make course available through Performance and Development Solutions.

### **INFORMATION TECHNOLOGY ENTERPRISE (ITE)**

*John Gillispie, Chief Operating Officer*

The core function of the Information Technology Enterprise (ITE) is to provide high-quality, customer-focused information technology services and business solutions to government and to citizens. Pursuant to Iowa Code Section 8A.202(3), ITE is to:

- a. Coordinate the activities of the department in promoting, integrating, and supporting information technology in all business aspects of state government.
- b. Provide for server systems, including mainframe and other server operations, desktop support, and applications integration.
- c. Provide applications development, support, and training, and advice and assistance in developing and supporting business applications throughout state government.

As DAS formulates tactical and strategic plans and conducts business, ITE operates under the following assumptions:

- Technology is a tool and, like any tool, can be used effectively to achieve a public organization's mission and goals.
- Service and information will be the primary focus for users; the perception of government is measured by its ability to deliver service. At the same time, the need for security, privacy, and accessibility will continue to be a priority for users.
- Mobile computing will accelerate dramatically through the use of integrated computing devices; Web technology is the primary delivery mechanism for mobile devices.

- The continued shift from legacy systems/client servers to an e-Government network-centric computing environment will allow state government to be proactive rather than reactive, service aware instead of environment aware, and, most importantly, customer-focused rather than IT-focused.
- The costs of computing resources will continue to decline, while human resources costs will continue to escalate.
- The availability of network bandwidth will continue to increase, thus allowing Internet-based services and information to be provided in a timelier and more convenient manner to government's constituents.

#### The Information Technology Enterprise:

- **Provides** ongoing support for the development, implementation, and operation of "Integrated Information for Iowa" (I/3), Iowa's new web-based financial management and enterprise resource planning system. I/3 includes modules for Budgeting, Financial Management, Human Resources, and Purchasing. I/3 has many new features designed to reduce the burden and improve the accuracy of managing agency budgets. I/3 replaces several existing mainframe systems, most notably the Iowa Financial Accounting System (IFAS) and the Human Resource Information System (HRIS), both of which were designed and implemented over 20 years ago.
- **Supports** approximately 3,900 e-mail mailboxes for 34 state agencies, boards and commissions.
- **Directly supports** more than 1,000 desktop computer systems in 38 state agencies, boards and commissions with on-call support for the remaining 18,000 executive branch desktop computers.
- **Manages** the official State of Iowa web portal, processing 2.5 million Internet hits per month.
- **Supports** the Judicial Branch Iowa Court Information Systems (ICIS) electronic public access to the online court application which averages 6.5 million page views per month.
- **Operates** the ITE mainframe data center which processes in excess of 3.6 million online business transactions each business day, prints over 3.8 million lines of print (licenses, permits, and reports) and an average of 8,000 state warrants each business day (two million state warrants annually).
- **Manages** numerous security measures to protect data and critical computer systems, including an intrusion detection system monitoring shared state networks for malicious traffic, a spam filter to block 3-5 million unwanted e-mail messages per day, an authorization program ensuring only authorized individuals access data, antivirus software to keep malicious programs off state computers, sophisticated assessment tools to identify where systems are vulnerable and much more.
- **Maintains** a project office to oversee and coordinate the implementation of the federal Health Insurance Portability and Accountability Act (HIPAA) for state government. The HIPAA Project Office has provided a point of coordination for HIPAA policy and procedures for the healthcare industry in Iowa and has provided extensive assistance to county governments through the Iowa State Association of Counties.

## **ITE Service Management**

Service management is organized along the lines of ITE's functional divisions. Each division involved with our service offerings has specific roles and responsibilities; however, the operational management of core ITE services is placed within the Infrastructure Services Division. The Applications and e-Government Services Division manages computer application and programming services.

In managing ITE's budget, costs are identified as Direct, Indirect, or General and Administrative. ITE's budget is aligned with its service offerings to provide better financial results management. To cost and price services, ITE uses the standardized DAS categorization as follows:

### ***Direct Costs***

- Personnel
- Support

### ***Indirect Costs***

- Personnel
- Support

### ***General & Administrative Costs***

- Leadership
- Shared Services

Direct costs are those directly attributable to a product or service. Indirect costs are those necessary to maintain ITE's ability to offer and support services in addition to administrative management costs. General and Administrative costs include ITE's leadership costs along with ITE's costs associated with centralized shared services provided by DAS Core (e.g., purchasing, financial reporting).

In addition to this financial management model, ITE uses a detailed pricing model to better delineate specific line item services (e.g., Java application, web application server hosting) cost, price and infrastructure scaling based on volume. This enables ITE to specifically model line item services based on specific customer requirements and make a valid comparison of quality, service and price with external service providers.

### **Serving Our Stakeholders**

With demands for government effectiveness and spending efficiency, here are examples of the need for alignment between state agencies and ITE:

- Compliance regulations (e.g., HIPAA Privacy and Security, Sarbanes-Oxley, Graham-Leach-Bliley).
- State mandates (e.g., Accountable Government Act, Purchasing for Results).
- Internal accountability frameworks (e.g. ITE Business Review).
- Internal risk management initiatives.
- Federal initiatives for results-based government tied to federally funded state programs.

## **STATE ACCOUNTING ENTERPRISE (SAE)**

*Calvin McKelvogue, Chief Operating Officer*

Stewardship in government means managing resources that have been entrusted by others so that the services returned maintain the well-being of citizens. SAE is committed to promoting the well-being of Iowans by providing efficient and effective services and resources to all State departments that serve our citizens. These services and resources, which revolve around both the collection and reporting of financial information and the processing of financial transactions, are critical elements needed by the Executive, Legislative, and Judicial branches to sustain the quality of life that Iowans enjoy.

### **Centralized Financial System**

The State's primary system for collecting, processing and reporting financial transactions and information to decision makers and other stakeholders is the *Integrated Information for Iowa*, also known as "I/3." I/3 is a computerized financial resource planning system managed and maintained by SAE that is used to record and classify over 18 million financially related transactions and economic events each year. Furthermore, the system provides current, real-time information about State resources and obligations.

Since stewardship requires planning and enacting fiscal strategies which ultimately culminate in allocation and disbursement of monetary resources, I/3 is the most useful fiscal tool available to decision makers. Additionally, more than 1,300 State employees use I/3 to record and process approximately \$19.5 billion in revenues and \$19 billion in expenditures. SAE provides Help-Desk support, training, and resources to develop new functionality to and for these end-users.

### **Warrant Processing & Disbursement**

The majority of financial transactions and events processed by the I/3 system involves interdepartmental transfer and external disbursement of State funds. In order for beneficiaries, vendors, local governments, and others to receive accurate and timely payments, the disbursement process must occur within a system that assures both integrity and efficiency. SAE ensures that the 7 million payments it issues annually are supported by approved claims from the paying departments. Additionally, SAE validates each of the 200,000 claims submitted to ensure that the information recorded in I/3 is accurate. Pre-audited claims submitted to SAE for payment are approved the day they are received.

To help ensure the disbursement process remains efficient and effective, SAE provides ongoing training to departments regarding procedures, guidelines, and regulations and monitors their compliance. Reports including information about warrant transactions and status, bank transfer activity, and internal documents processed are provided to departments to help them maintain quality assurance and efficiency in their operations.

### **General Fund Cash Flow Estimates**

Revenues used to fund State-managed programs, projects and operations are received inconsistently during the year, while expenditures occur on a daily basis. This mismatch in cash flow timing can impair the State's ability to meet its ongoing financial obligations. The Treasurer's Office manages these fluctuations in revenue inflows by various methods including issuing short-term debt instruments that provide proceeds to be used as needed in the remainder of that fiscal year. In order for these instruments to be tax-exempt to investors, Federal tax laws require justification of the State's cash needs prior to their issuance. SAE helps the State Treasurer meet this requirement by providing a month-to-month cash flow estimate identifying cash shortfalls. Once the instruments have been sold to an underwriter and the proceeds have been received, the Treasurer invests the funds to earn interest and draws upon them as needed. This fund management technique requires a continual monitoring of cash needs in order to maximize interest return while maintaining access to the funds to meet daily obligations. Again, SAE provides a valuable service to the Treasurer by projecting revenue and expenditure timing and amounts.

### **Cash Management Improvement Act**

The Federal Cash Management Improvement Act (CMIA) was enacted in 1990 to improve the transfer of Federal funds between the federal government and the states. The Act is intended to ensure equity between the governments and improve efficiency of fund transfers by assessing a financial liability against states for retaining interest income generated from the early withdrawal of Federal assistance as well as assessing a similar liability against the Federal Government when grantee funds are not available timely. CMIA requires a formal Treasury-State Agreement (TSA) between the Federal Treasury Department and Iowa to implement the Act and its regulations. SAE is responsible for negotiating this agreement annually and maintaining compliance with the agreed upon procedures, including the annual calculation and payment of interest liability resulting from Federal cash balances being held by the State.

### **Statewide Central Service Cost Allocation**

In order to provide and maintain effective services to Iowans, the State must fund its programs in the most efficient manner possible. Efficient funding means that Federal dollars available for an equitable share of program costs must be identified and recovered. The Statewide Cost Allocation Plan (SWCAP), administered by SAE, seeks to achieve these objectives. SWCAP is an annual process that identifies central services provided to operating departments where Federal programs are administered and ensures those services are funded equitably between Federal and State resources. Central services are common services that are provided by various State departments to other departments so that programs can be administered to Iowans. Examples of central services include printing, mailing, purchasing, accounting, technology support, motor pools, and buildings and grounds maintenance.

A SWCAP is necessary to recover central service costs from Federal programs. The Plan identifies operating departments responsible for performance or administration of Federal awards, identifies and quantifies their billed and non-billed (allocated) central services, provides a description and justification for each service billed and allocated to them, and provides financial records as supporting documentation.

The SWCAP process is ultimately a negotiation of what is deemed equitable funding between the Federal Government and the State. The Plan is submitted annually to the U.S. Department of Health and Human Service for review, adjustment and approval. During the review window, the Federal negotiator studies the Plan and discusses questions and concerns with SAE. In the adjustment process, SAE researches questionable items and prepares explanations and responses in defense of Plan content and methodology. Once negotiations are complete, billings and allocations are approved and appropriate reimbursements are made to either HHS or the State.

### **Comprehensive Annual Financial Report**

The State of Iowa Comprehensive Annual Financial Report (CAFR) is a publication of the SAE which presents the State's financial position and results of operations, as well as certain demographic and statistical information. It helps elected officials to both understand the financial condition of the State at the end of each fiscal year and make reasoned economic decisions concerning the use of limited financial resources in the coming fiscal year. Other Stakeholders who rely on the CAFR include rating companies such as Moody's Investors Services and Standard & Poors Corporation, who analyze the State's financial integrity and set bond ratings for capital borrowing, and special interest groups who hold elected officials accountable for their stewardship.

In order to help ensure that reported information is useful, valid, and relevant to decision-makers and readers, standards for financial accounting and reporting have been established. The Governmental Accounting Standards Board (GASB) is the organization empowered to establish and maintain these standards for governmental entities. To accomplish its mission, the GASB keeps standards current to reflect changes in the governmental sector, considers significant areas of accounting and reporting that can be improved through the standard-setting process, and improves the common understanding of the nature and purposes of information contained in financial reports by providing guidance on implementation of the standards.

SAE consistently achieves compliance with GASB standards and maintains excellence in financial reporting. For 13 consecutive years SAE has been awarded the *Certificate of Achievement* for its Comprehensive Annual Financial Reports from the Government Finance Officers Association (GFOA) of the United States and Canada. This award is the highest form of recognition in the area of governmental accounting and financial reporting, and its attainment represents a significant accomplishment by a government and its management. To receive the Certificate, the State of Iowa must also receive an unqualified (clean) audit opinion. The GFOA is a non-profit, professional association serving approximately 14,000 finance professionals.

### **Income Offset**

When State departments are unable to collect delinquent receivables for their services, judgments, or as agents for their program beneficiaries, they may submit claims to SAE for collection assistance. SAE matches these claims against pending payments such as tax refunds, accounts payable, lottery payouts, and unclaimed property settlements and offers these payments to the appropriate departments as satisfaction of the outstanding debts. Over the past three years, SAE has collected approximately \$52 million in delinquent taxes, student loans, judicial restitution, human service assistance overpayments, back child support and miscellaneous other debt. The service has been so successful that SAE has extended its customer base beyond State departments to include local governments such as cities, counties and colleges.

### **Federal Tax Reporting**

Taxes are the largest source of revenue available to governments. Therefore, it is critical for governments to maintain effective methods to capture, process, and report information about taxable events and transactions. The IRS partners with state and local governments, non-profit organizations and the private sector to implement an effective monitoring and collection system.

SAE provides certain income tax reporting services to the IRS. These services include capturing financial disbursement data through the central financial system, processing the data to meet IRS guidelines, and ensuring that approximately 14,000 IRS 1099-Miscellaneous forms are sent timely to vendors across the country. Additionally, SAE partners with Iowa Department of Revenue to provide ongoing taxpayer support to its vendors through an internet website. Finally, the Enterprise assists the IRS by helping to correct erroneous taxpayer information.

### **Centralized Payroll**

Many State employees look to SAE each pay period to provide them with a timely and accurate payment for their hard work and efforts. The Central Payroll staff is committed to meeting these expectations, and it processes approximately 480,000 payroll warrants and direct deposits every year for personnel in all branches of State government. Employees in over 60 departments, receive over \$1.2 billion annually in pay and benefits. The Enterprise also assists State employees with interpretation of rules, regulations, and guidelines as well as payroll calculations and estimates. Furthermore, SAE is committed to helping the State cut costs and improve efficiency. It provides an alternative to paper warrants by offering direct deposit services and a web-based Online Payroll Warrant as well as an online time reporting system.

In addition to processing payroll, Central Payroll is responsible for the accounting and reporting for three State post-retirement benefit programs:

- The SPOC Insurance Trust Fund receives converted sick leave dollars of the retirees of the Department of Natural Resources under the Peace Officers collective bargaining agreement. Those funds are used to pay retiree premiums for health, dental and life insurance benefits.
- Three Early-Out Incentive Programs provide for employees to be paid the full or partial value of their leave balances, at the time of termination for four subsequent years.

- The Sick Leave Insurance Program (SLIP) provides for the payment of retirees' employer shares of health insurance premiums from a "bank" of dollars calculated based on their sick balance at the time of retirement.

Other duties of Central Payroll include the pre-audit and processing of back pay, taxable benefits, Military Pay differential, settlement agreements, and supplemental Worker's Compensation benefits. Additionally, Central Payroll provides support services to the unemployment compensation program by providing reports to other departments that assist them in filing mandatory Iowa Workforce Development unemployment returns, processing quarterly payments to the Iowa Workforce Development to reimburse that department for unemployment claims, and recovering those non-General Fund reimbursements from other State departments.

Serving State employees is Central Payroll's primary responsibility. However, they also perform quality assurance activities that help ensure integrity within the payroll function. Review and reconciliation of health, dental, life, and long-term disability transactions and reports help ensure that accurate premiums are submitted to insurance carriers. Additionally, W-2 and 1099-R information is prepared and submitted in compliance with Federal and State tax laws.

SAE understands the importance of timeliness of service, and Central Payroll is committed to meeting strict time requirements for all payroll related distributions and reports. Wages, salaries, withholdings, State matches, and Federal and State tax payments have, between them, various due dates that must be adhered to. Central Payroll has a proud tradition of continually meeting all such deadlines.

## PRODUCTS AND SERVICES

### DAS Program/Service Categories

**This chart shows the location of current agency services within one of the three categories within DAS for FY2007/08, as well as the categorization for FY2009. The categories are:**

- **Leadership functions** are those services related to policy and standards development that will be funded through a general appropriation. It is appropriate where standardization is required and the ultimate customer is the taxpayer.
- **Utilities** are those services for which a monopoly structure makes sense due to economies of scale. Customers choose the amount of service purchased but must buy from a single source. Utilities will be funded by an internal service revolving fund.
- **Marketplace services** are those services that may be purchased in a competitive environment. Customers may choose to buy these services from any available vendor. These services are funded through enterprise revolving funds.

PROGRAM/SERVICE	CATEGORY FOR FY07 & FY08			CATEGORY FOR FY2009		
	Leadership	Utility	Marketplace	Leadership	Utility	Marketplace
<b>INFORMATION TECHNOLOGY ENTERPRISE</b>						
<i>Infrastructure</i>						
Desktop/Workstation			X			X
Service Desk			X			X
Networking/Communications			X			X
Server Hosting			X			X
Mainframe Services			X			X
E-mail			X			X
Common Calendar and Directory		X			X	
<i>Application and e-Government Services</i>						
Mainframe Development Services			X			X
Database Services			X			X
Web Services			X			X
<i>Planning and Consultation</i>						
Consultation			X			X
<i>Printing Services</i>						
Consulting			X			X
Graphic Design and Layout			X			X
1- and 2-Color Offset and Digital Printing			X			X
Digital Color Printing			X			X
On-site Copier Services			X			X
Letter Shop Services			X			X
<i>Information Security</i>						
Information Security Services		X			X	
Portable Device Encryption*		N/A			*	

PROGRAM/SERVICE	CATEGORY FOR FY07 & FY08			CATEGORY FOR FY2009		
	Leadership	Utility	Marketplace	Leadership	Utility	Marketplace
<i>* A Portable Device Encryption service is being considered for addition in FY09; category has not been determined.</i>						
<b>STATE ACCOUNTING ENTERPRISE</b>						
Comprehensive Annual Financial Report (CAFR)	X			X		
Centralized Payroll	X			X		
Centralized pre-audit/post-audit	X			X		
Iowa Income Offset Program	X			X		
Cash Management Improvement Act of 1990	X			X		
Statewide Indirect Cost Allocation Plans	X			X		
Integrated Information for Iowa (I/3)		X			X	
<b>GENERAL SERVICES ENTERPRISE</b>						
<b><i>Architectural &amp; Engineering</i></b>						
Architectural & Engineering Services (formerly "Design & Construction) – includes Vertical Infrastructure Program and Project Management		X			X	
<b><i>Capitol Complex Maintenance</i></b>						
Association Fee – includes Mechanical, Custodial, Grounds, Lock Shop, Facility Maintenance, Space Management services and Employee Safety Program (50%)		X			X	
Ceremonial Space Maintenance – includes Employee Safety Program (50%)	X			X		
Utility Usage Oversight	X			X		
<b><i>Fleet &amp; Mail</i></b>						
Fleet – Depreciation – includes Purchasing, Replacement and Disposal of Vehicles		X			X	
Fleet – Management		X			X	
Fleet – Risk Management		X			X	
Motor Pool/Fueling Station			X			X
State Garage			X			X
Gas Station			X			X
Mail Services – includes Mail Processing and Delivery		X			X	
<b><i>Procurement Services</i></b>						
Purchasing – includes Bidding and Contracting		X			X	
Blanket Bond		X			X	
<b><i>Support</i></b>						
Leasing (Fee at Seat of Govt. and		X			X	

PROGRAM/SERVICE	CATEGORY FOR FY07 & FY08			CATEGORY FOR FY2009		
	Leadership	Utility	Marketplace	Leadership	Utility	Marketplace
Fee Outside Seat of Govt.)						
Events Coordination	X			X		
<b>HUMAN RESOURCES ENTERPRISE</b>						
<b><i>Organizational Development</i></b>						
General Training			X			X
Conference Planning			X			X
Special Consultation Services (development and implementation of studies aimed at developing staff or the organization such as organizational climate studies, training needs assessments or customized exit surveys)			X			X
Labor/Management Committee Facilitation			X			X
<b><i>Employment Services</i></b>						
Employment Services (Merit Only and Merit and Non-Merit) – includes Application Intake and Referral, Workforce Planning, Classification and Compensation Studies, Data Management (publications like the Iowa Almanac), Diversity Program Management, Performance Appraisal Management, Payroll Audit, and Contingent Workforce Contract Management		X			X	
Golden Dome Awards		X			X	
<b><i>Benefits</i></b>						
Benefits – includes Deferred Compensation, Group Insurance Programs, Employee Wellness Program, Employee Assistance Program, and Leave Management		X			X	
Health Insurance Surcharge (for health insurance administration)		X			X	
Unemployment Contract		X			X	
Workers' Compensation		X			X	
<b><i>HR Consultation &amp; Program Delivery Services</i></b>						
Labor Relations – includes Contract Negotiations, Collective Bargaining Agreement Interpretation, Federal Law Interpretation and Grievance Processing,		X			X	
Personnel Officers – includes Individual Classifications, Classification Appeal Hearings, DAS-HRE Rules Interpretation, Investigations, 19B Investigations and Reviews and Appeals		X			X	

## Utility Services Descriptions

### DAS – SAE

**Service Id : 3999**

[I/3 Administration](#)

Provides accounting processing, payroll and time processing, budget processing and related data storage through central linked systems for state agencies.

Category: **Accounting/Payroll/Budget**

Contact: [Calvin.McKelvogue@iowa.gov](mailto:Calvin.McKelvogue@iowa.gov)

### DAS – ITE

**Service Id : 767**

[Directory Services](#)

Provides a directory lookup of basic information on state employees via a “directory synchronization” process of participating State of Iowa government entities. Information, such as e-mail address and telephone number, can be queried using a “global address list”, LDAP lookup, or email queries.

Category: **Common Directory**

Contact: [Darwin.TenHaken@iowa.gov](mailto:Darwin.TenHaken@iowa.gov)

**Service Id : 4171**

[Information Security Office](#)

Provides enterprise-wide Information Security services including development and enforcement of enterprise standards, policies and best practices, assessment and monitoring of risks and threats and the effectiveness of measures to reduce risk, development and delivery of security awareness and other security training, information security incident response services and resources and consultation to assist departments in protecting critical resources and data.

Category: **Information Security**

Contact: [alison.radl@iowa.gov](mailto:alison.radl@iowa.gov)

Service Oriented Architecture – *New DAS – ITE Utility in FY2010*

[SOA Infrastructure](#)

Service-Oriented Architecture (SOA) is a methodology for exchanging information between software systems. The SOA Infrastructure handles common requirements for exchanges such as security, authentication/authorization, service-level tracking and alerting. The SOA Infrastructure also provides a single point of entry and network access control for service consumers and providers.

Metric Description: A service call is a request from a consumer that includes a response from the provider. The response may be an exception raised by the provider, a refusal of data (based on authorization settings), or a successful transaction.

Extended Services: Setup time needed to implement and test the connectivity will be billed separately under service 153.

Category: **Development Services – Enterprise S**

Contact: [Michael.Tutty@iowa.gov](mailto:Michael.Tutty@iowa.gov)

**Service Id : 0746**

[Enterprise Authentication and Authorization](#)

Enterprise Authentication and Authorization (A & A) is a web service that provides single sign-on user authentication and authorization for client applications utilizing Web, client/server and

even mainframe platforms.

Metric Description: An authorization is a validation of a user's credentials.

Extended Services: Setup time needed to implement and test the connectivity will be billed separately under service 153.

Category: **Development Services – Enterprise S**

Contact: [Michael.Tutty@iowa.gov](mailto:Michael.Tutty@iowa.gov)

## DAS – HRE

### **Service Id : 3961**

#### [Benefits and Pre-tax Utility](#)

Three Deferred compensation Programs are offered to state employees as methods to save for retirement. Group Insurance Program provides for employee health, dental, basic life, supplemental life and long term disability coverage's. Wellness Program provides resources to aid employees in identifying health risks and making positive lifestyle changes. Leave Management governs employee leave.

Category: **Benefits**

Contact: [Ed.Holland@iowa.gov](mailto:Ed.Holland@iowa.gov)

### **Service Id : 3970**

#### [Personnel Officers](#)

The Personnel Officers Utility Package includes: advice and assistance on HRE programs and services, Investigations; Classification Reviews; Collective Bargaining Agreement Interpretation; Administrative Rules Interpretation; Federal Law Interpretation; Reviews and Appeals; Grievance Processing; 19B Investigations; and Classification Appeal Hearings.

Category: **Program Delivery Services**

Contact: [MaryAnn.Hills@iowa.gov](mailto:MaryAnn.Hills@iowa.gov)

### **Service Id : 3965**

#### [Labor Relations](#)

Advice and consultation in all areas of labor relations including the administration and interpretation of the State's Collective Bargaining Contracts, the Iowa Code and Federal law and DAS-HRE Administrative Rules: Grievance and Arbitration processing; Investigations and negotiation of the state's Collective Bargaining agreements with AFSCME, SPOC and IUP.

Category: **Program Delivery Services**

Contact: [MaryAnn.Hills@iowa.gov](mailto:MaryAnn.Hills@iowa.gov)

### **Service Id : 3963**

#### [Employment Services – Merit](#)

Employment Services for filling Merit covered positions.

Category: **Employment Services**

Contact: [Bill.West@iowa.gov](mailto:Bill.West@iowa.gov)

### **Service Id : 3964**

#### [Employment Services Utility Package](#)

Employment Services Utility Package will include recruitment; application intake, qualification and certification; evaluation and maintenance of the compensation/classification/selective systems, including special studies; pre-audit of pay actions; management of recall/outplacement and exclusion programs; affirmative action compliance and program management; applicant and workforce data collection and analysis; consultation with staff. Some major classification or

compensation studies may require additional fees billed to the requesting agency for consultation work...

Category: **Employment Services**

Contact: [Bill.West@iowa.gov](mailto:Bill.West@iowa.gov)

**Service Id : 3958**

[Health Insurance Program Administration](#)

Provides for the oversight of the Health insurance program by assisting agency customers with any questions they may have about the health insurance program based on the applicable rules, laws, vendor contracts and collective bargaining agreements and supply adequate educational and informational materials to employees and departmental customers. Also provides for the competitive bidding of vendor contracts for the health insurance program administration and the monitoring of vendor's contract compliance.

Category: **Benefits**

Contact: [Ed.Holland@iowa.gov](mailto:Ed.Holland@iowa.gov)

**Service Id : 3971**

[Golden Dome Awards Program](#)

Highest form of employee recognition for state employees based on accomplishments during the previous calendar year.

Category: **Program Delivery Services**

Contact: [judy.akre@iowa.gov](mailto:judy.akre@iowa.gov)

**Service Id : 3960**

[Unemployment Claims Management](#)

Provides for State's unemployment insurance program administration through an administrative services only vendor.

Category: **Benefits**

Contact: [Ed.Holland@iowa.gov](mailto:Ed.Holland@iowa.gov)

**Service Id : 3956**

[Flexible Spending Program](#)

Allows employees to pay for employer-sponsored insurance with pretax dollars.

Category: **Benefits**

Contact: [Ed.Holland@iowa.gov](mailto:Ed.Holland@iowa.gov)

**Service Id : 3959**

[Worker's Compensation Program Administration](#)

Manage financial and administrative aspects of the state employee workers compensation including acquisition and management of the State's arrangement with a third party administrator, management of financing for the program, and development of policy related to timely access of injured employees to appropriate services.

Category: **Benefits**

Contact: [Ed.Holland@iowa.gov](mailto:Ed.Holland@iowa.gov)

## DAS – GSE

**Service Id : 3897**

[Capitol Complex Association Fee](#)

Covers mechanical systems (heating, ventilation, air conditioning; except for computer rooms), Grounds (mowing, regular trimming, nursery, landscaping, snow removal), Life, Health and Safety Systems (fire alarms, sprinklers, automation), Lock Shop (key security, maintenance,

internal recordkeeping, regular maintenance), and Custodial Services (cleaning of restrooms, vacuuming, hard floor care, trash/recycling, general cleaning). The fee is based upon the number of square foot utilized (pro-ration).

Category: **Property-Space**

Contact: [tim.ryburn@iowa.gov](mailto:tim.ryburn@iowa.gov), [ken.thornton@iowa.gov](mailto:ken.thornton@iowa.gov),

**Service Id: 3820**

[Ankeny Laboratories Association Fee](#)

Includes the same items identified for the Capitol Complex Association Fee plus additional expenses specific to the laboratories. The fee is based upon the number of square feet utilized (pro-ration).

Category: **Property-Space**

Contact: [tim.ryburn@iowa.gov](mailto:tim.ryburn@iowa.gov), [ken.thornton@iowa.gov](mailto:ken.thornton@iowa.gov),

**Service Id : 3905**

[Procurement Services Fee](#)

Facilitates the procurement of goods and services for general use for and on behalf of state agencies. The fee is based upon agency purchase volume (pro-ration)

Category: **Purchasing**

Contact: [debbie.oleary@iowa.gov](mailto:debbie.oleary@iowa.gov)

**Service Id : 3835**

[Mail Services Fee](#)

Provides mail pick up, delivery, and processing for local and outgoing mail. Provides certified mail pick up and delivery. The fee is based upon mail volume (pro-ration).

Category: **Mail**

Contact: [dale.schroeder@iowa.gov](mailto:dale.schroeder@iowa.gov)

**Service Id : 3903**

[Blanket Bond Fee](#)

Provides protection to the state against employee embezzlement. The fee is based upon the number of agency FTE's (pro-ration).

Category: **Purchasing**

Contact: [debbie.oleary@iowa.gov](mailto:debbie.oleary@iowa.gov)

**Service Id : 3892**

[Vehicle Self Insurance \(Risk Management\) Fee](#)

Provides driver insurability assessment, state vehicle collision coverage, and accident liability coverage, mediation services to minimize state liability, and recovery for damages when the state is not at fault. The fee is based upon the number of active vehicles per agency (pro-ration).

Category: **Fleet**

Contact: [mark.blazek@iowa.gov](mailto:mark.blazek@iowa.gov)

**Service Id : 3901**

[Space and Lease Management \(Seat of Government\) Fee](#)

Locates, negotiates, and manages leases at the Seat of Government (defined as Des Moines, Polk County and all contiguous counties to Polk). Assigns space and manages office resets / moves. The fee is based upon the amount of square footage utilized (pro-ration).

Category: **Property-Space**

Contact: [barbara.bendon@iowa.gov](mailto:barbara.bendon@iowa.gov)

**Service Id : 3890**

### Fleet Management Fee

Includes credit cards for fuel and maintenance, oversight of customer vehicle repairs and billings, state and federal statutory compliance for alternative fuels and Corporate Average Fuel Economy requirements, timely managed information and recalls/technical advisories. Rate varies based upon the budget divided by the # of vehicles divided by 12. The fee is based upon the number of active vehicles per agency (pro-ration).

Category: **Fleet**

Contact: [dale.schroeder@iowa.gov](mailto:dale.schroeder@iowa.gov)

**Service Id : 3891**

### Vehicle Replacement Depreciation Fee

Provides funding for systematic vehicle purchases and maintenance of vehicle replacement depreciation allowances. The fee varies by vehicle and is based upon the current model year vehicle cost, less previous model year sales prices, divided by a 48 – 60 month vehicle life cycle. The fee is also based upon the number of active vehicles per agency not fully utilized.

Category: **Fleet**

Contact: [dale.schroeder@iowa.gov](mailto:dale.schroeder@iowa.gov)

**Service Id : 4095**

### Architectural and Engineering Services Fee

Provides for statewide project management related to construction planning, construction design, new construction, and infrastructure repair, maintenance, and renovation, exclusive of Capitol Complex construction projects. The fee is based upon projected billable hours.

Category: **Construction**

Contact: [paul.carlson@iowa.gov](mailto:paul.carlson@iowa.gov)

**Service Id : 4195**

### Architectural and Engineering Services Fee

Provides for project management related to construction planning, construction design, new construction, and infrastructure repair, maintenance, and renovation, for Capitol Complex construction projects. The fee is based upon projected billable hours.

Category: **Construction**

Contact: [paul.carlson@iowa.gov](mailto:paul.carlson@iowa.gov), [ken.thornton@iowa.gov](mailto:ken.thornton@iowa.gov)

**Service Id : 3900**

### Lease Management (Outside Seat of Government) Fee

Reviews leases and amendments to ensure legal sufficiency and ADA compliance. Consolidate, maintain, and provide master lease data costs to agencies. Maintains standard State of Iowa lease agreements: provides location, negotiation and other leasing assistance when required. In collocation facilities, provides same assistance noted under Seat of Government leases. The fee is based upon projected billable hours.

Category: **Property-Space**

Contact: [barbara.bendon@iowa.gov](mailto:barbara.bendon@iowa.gov)

### Future Products and Services

DAS regularly examines its list of products and services and compares it to the needs of our customers in an effort to determine if new services are appropriate, or if existing services should be eliminated. Additionally, DAS customers are encouraged to suggest new products and services based upon the customers needs. The process of determining whether a new product

and service shall be offered shall include opportunities for DAS customers to provide input as to the proposed product or service. Such input should be solicited as an initial step in the product or service evaluation and as the evaluation progresses to a final decision. DAS will consider the use of focus groups, targeted interviews, or other means to solicit this input.

Proposed new products and services shall be referred to the Director for an initial review. The Director shall make an initial determination as to whether DAS should make a further evaluation of the proposed service or product. If the Director determines that additional evaluation should occur, the director shall refer the proposal to the appropriate enterprise for recommendation. The enterprise shall develop a recommendation after consideration of all the following:

- Cost to provide the product or service.
- Potential customer demand.
- Alternative providers.
- Justification for DAS to be provider.
- Potential customer benefits.

After completing this evaluation, the enterprise shall make a recommendation to the Director. The Director shall report the recommendation to the Department of Management and the Customer Council.

If a determination is made to provide a new service, the Director shall provide all necessary information, including any input from the Customer Council, to the Department of Management for a determination of whether the service shall be funded by an appropriation or by the governmental entities receiving the service as provided in Code section 8.6, subsection 16.

## PERFORMANCE MEASURES

### General Services Enterprise

- A&E – Incorporation of Executive Order 6 principles and criteria for new construction and construction renovation projects.
  - o FY09 Target – Establish process to measure incorporation of these principles and criteria by June 30, 2009. Principles include, but are not limited to, use of energy efficient lighting and lighting systems, modernizing physical plants and HVAC systems, continue life-cycle cost estimating in agency decision making, etc. GSE will be tracking long-term cost savings and environmental impacts.
  - o FY10 Target – EO6 principles and criteria are incorporated and measured into all new construction and construction renovation projects on and after July 1, 2009.
  - o FY10 – FY14 Target – Reduce electricity, natural gas, fuel oil and water in all state office buildings by at least 15 percent overall in the next five (5) years. Processes, principles and criteria are to be based on the goals and measures established by the Energy Excellent Building Task Force.
- Association – Occupancy of space on Capitol Complex. Currently we maintain a 99 % leased space rate on complex. In November 2009 we anticipate that we will acquire Mercy Hospital, increasing owned space by an additional 289,450 gross square feet.
  - o FY10 Target – 5 % of gross square feet in Mercy renovated and leased by June 30, 2010.
  - o FY 10 Target – Schedule and attend Association (Capitol Complex, Ankeny Labs.) facility meetings three times per year. In writing, address customer concerns/complaints expressed at the meetings within five (5) business days.
- Mail – Percent of first class mail processed at the discounted postage rates as measured by the Hasler Mail Management System
  - o FY09 Target – 95 %
- Mail – Percent of mail received for outgoing processing is completed within 8 business hours of receipt
  - o FY09 Target – 100 %
- Fleet – Increase number of E85 and hybrid electric vehicles – measured as a percentage of the total number of fleet vehicles classified under 8500 lbs. GVWR.
  - o FY09 Target – 55 %
- Procurement – Certification of purchasing agents.
  - o FY11 Target – 50 %
- Procurement – Vendor appeals
  - o FY10 Target – 100% unsuccessful as determine by DIA administrative law judge
- Procurement – Training for State Agencies’ staff on procurement process.
  - o FY10 Target – Increase training for all state agency staff by 25%

### Human Resources Enterprise

- Group Insurance – Difference between budgeted health insurance increase and final negotiated health insurance renewal. Measure indicates costs avoidance with DAS oversight of the plan.
  - o PY09 Estimated cost avoidance – \$31.3 million less than budgeted amount

- Workers' Compensation – Difference between initial demand and settled amount for mediated Workers' Compensation claims. Measure indicates cost avoidance associated with DAS oversight of program.
  - o FY08 Benchmark – \$5.8 million (Actual settlements paid out at only 39% of initial demand amount.
- Employment – Customers satisfied with the quality of applicants and the administrative processes for hiring as measured by the hiring survey
  - o FY09 Target – 90 %
- Program Delivery – Program delivery services (Personnel Officers and Labor Relations Services) are good or excellent as rated by customers
  - o FY09 Target – 90 % – DAS-HRE is in the process of developing feedback tools specific to these services. Projected implementation – July 2009. Customers currently rate DAS-HRE customer service at 8.00 on a 10.00 scale.
- Classification reviews processed by DAS-HRE Personnel Officers within 60 days or less.
  - o FY09 Target – 98 %

#### Information Technology Enterprise

- Uptime of ADAM (A&A) Production Server
  - o FY09 Target – 99.9 % uptime
- Risk Reduction – Assessments conducted at state agencies to determine compliance with enterprise security standards and to reduce risk
  - o FY09 Target – Minimum of 40 agencies completing risk/compliance assessments
- Percentage of time that the A&A application is available
  - o FY09 Target – 99.9 %
- Percentage of time the service oriented architecture bus is available for use
  - o FY09 Target – 99.9 %

#### State Accounting Enterprise

- Availability of Finance Application during finance business hours
  - o FY09 Target – 97 %
- Availability of Data Warehouse during data warehouse business hours
  - o FY09 Target – 97 %

**Additional background on the above measures is available upon request to the Department.**

### UTILITY RATE HISTORY<sup>1</sup>

	DAS UTILITIES	BASIS FOR RATE CALCULATION	Notes	FY05	FY06	FY07	FY08	FY09	FY10
	<b>State Accounting Enterprise (SAE)</b>								
	Integrated Information for Iowa (I/3)	Annual allocation starting in FY07	2	\$106.44	\$103.68	N/A	N/A	N/A	N/A
	<b>Information Technology Enterprise (ITE)</b>								
	Directory Services	FT & PT Perm Employee	3	\$9.48	\$9.00	\$9.40	\$8.26	\$7.88	\$6.75
	Information Security Office (ISO)	FT & PT Perm Employee	3	N/A	N/A	\$10.41	\$12.76	\$16.58	\$14.45
	Service-Oriented Architecture (SOA)	64% = FTE; 36% = agency usage							\$4.27
	Authentication & Authorization (A&A)	64% = FTE; 36% = agency usage							\$4.67
	<b>Human Resources Enterprise (HRE)</b>								
	Benefits	FT & PT Perm Employee *		\$27.24	\$32.88	\$28.80	\$34.80	\$34.80	\$29.40
	Personnel Officers ("Program Delivery" in FY05)	FT & PT Perm Employee *		\$60.24	\$60.96	\$65.88	\$71.28	\$71.28	\$77.28
	Labor Relations	FT & PT Perm Employee *		\$29.28	\$25.32	\$31.56	\$21.84	\$21.84	\$20.04
	Employment Services		4	\$68.04	N/A	N/A	N/A	N/A	N/A
	Employment Services - Merit Only	FT & PT Perm Employee *	4	N/A	\$17.76	\$19.68	\$18.48	\$18.48	\$24.60
	Employment Services - Merit and Non-Merit	FT & PT Perm Employee *	4	N/A	\$58.08	\$60.12	\$58.92	\$58.92	\$59.28
	Health Insurance Surcharge	Per participant		\$24.00	\$24.00	\$24.00	\$24.00	\$24.00	\$24.00
	Golden Dome		5	\$2.00	\$2.00	\$2.00	\$2.00	\$2.00	\$2.00
	Unemployment	Annual allocation	6	N/A	N/A	N/A	N/A	N/A	N/A
	Workers' Compensation	Annual allocation	6	N/A	N/A	N/A	N/A	N/A	N/A
	<b>General Services Enterprise (GSE)</b>								
	Association Fees - Office & Storage combined	Per square foot	7	N/A	N/A	\$3.43	\$3.10	\$3.10	\$3.29
	Association Fees - Office Space	Per square foot	7	\$3.15	\$3.51	N/A	N/A	N/A	N/A
	Association Fees - Storage Space	Per square foot	7	\$2.20	\$2.72	N/A	N/A	N/A	N/A
	Association Fees - Ankeny Lab	Per square foot		N/A	\$5.69	\$5.57	\$5.26	\$5.26	\$5.26
	Purchasing	Annual allocation	6	N/A	N/A	N/A	N/A	N/A	N/A
	Mail Services	Annual allocation	6	\$0.04	\$0.07	N/A	N/A	N/A	N/A
	Blanket Bond	FT & PT Perm Employee	8	N/A	\$1.64	\$2.06	\$2.14	\$2.13	\$1.58
	Fleet – Risk Management	Per active vehicle		N/A	\$209.28	\$209.28	\$288.00	\$288.00	\$288.00
	Leasing, Fee at Seat of Govt.	Per square foot		\$0.19	\$0.12	\$0.11	\$0.11	\$0.10	\$0.12
	Fleet Management	Per active vehicle		\$183.36	\$239.04	\$225.00	\$176.76	\$176.76	\$256.44
	Fleet Depreciation	Per active vehicle	9						N/A
	Design & Construction Services	Per hour	10	N/A					83.84
	Leasing, Fee Outside Seat of Govt.	Per hour				\$50.90/hr			61.9

**TICKMARK LEGEND**

- |   |  |
|---|--|
| 1 | While DAS has provided this comparative history of the various utilities and applicable rates, the reader should <i>be careful in their interpretation</i> of the information. Rates reflected in this comparison are the final rates charged to customers, which may be different than the rates originally approved by the Customer Councils for budgeting purposes. |
| 2 | In FY05 this amount was a combination of individual rates: IFAS, HRIS & Budget based on FTE counts for the 1st Qtr of 2004. In FY06 this became I/3 and the rate was computed based upon FTE counts for the 4th Qtr of 2004. In FY07 the methodology was changed to a combination of component allocations and was reviewed with the Federal Government.               |
| 3 | Rates were based <u>on FTE counts</u> as follows: FY05 = 1st Qtr 2004 / FY06 = 4th Qtr 2004 / FY07 = 3rd Qtr of 2005 / FY08 = 3rd Qtr of 2006 / FY09 = Qtr 3 of 2007/ ISO started in FY07.   |
| 4 | In FY05 this was <i>Employment Services</i> but in FY06 the HRE Customer Council split the service into <i>Employment Services - Merit</i> and <i>Employment Services - Merit and Non-merit</i> .  |
| 5 | Rates were based <u>on 5 Qtr FTE average</u> as follows: FY05 = point in time / FY06 = FT/PT ending Qtr 4 of 2004 / FY07 = FT/PT ending Qtr 3 of 2005 / FY08 = FT ending Qtr 3 of 2006 / FY09 = Qtr 3 of 2007.   |
| 6 | Charges are based upon allocations, which are based on historical usage; this results in a unique charge to each agency.   |
| 7 | In FY07 the GSE CC established one rate for space, regardless of type, eliminating separate office and storage rates.  |

8	Rates were based <u>on FTE counts</u> as follows: FY05 = point in time / FY06 = Qtr 4 of 2004 / FY07 = Qtr 3 of 2005 / FY08 = Qtr 3 of 2006 / FY09 = Qtr 3 of 2007
9	Fleet depreciation rates and charges are billed contingent on vehicle type and purchase date.
10	In FY06 Design & Construction operations were funded by a combination of Infrastructure appropriation and utility rates. The total rate for FY06 was \$97.26/hr.
N/A	Not Applicable: Rate had not started, was combined elsewhere or was eliminated; or the "rate" was actually an allocation
(*)	Rates were based <u>on 5 Qtr FTE average</u> as follows: FY05 = ending Qtr 1 of 2004 / FY06 = ending Qtr 4 of 2004 / FY07 = ending Qtr 1 of 2005 / FY08 = ending Qtr 1 of 2006 / FY09 = ending Qtr 1 of 2007 / FY10 = ending Qtr 1 2008

## DAS FINANCIALS

GENERAL OPERATIONS (Non Infrastructure)	FY2008	FY2007	FY2006	FY2005	FY2004
<b>BALANCE BROUGHT FORWARD</b>					
Balance Brought Forward	\$37,486,231	\$33,494,287	\$36,647,396	\$23,709,756	\$18,050,794
Adjustments to Balance Brought Forward	2,108	-\$207,682	-\$57	\$621,053	\$476,067
Reversions	0	\$0		\$89,416	\$1,103,583
<b>ADJUSTED BEGINNING BALANCE BROUGHT FORWARD</b>	<b>\$37,488,339</b>	<b>\$33,286,605</b>	<b>\$36,647,339</b>	<b>\$24,420,225</b>	<b>\$19,630,444</b>
<b>RESOURCES</b>					
Appropriations and Appropriation Adjustments	\$17,455,639	\$12,560,889	\$15,869,333	\$22,559,337	\$33,748,326
Receipts	185,255,733	\$170,036,798	\$155,066,670	\$142,684,087	\$114,970,424
<b>TOTAL RESOURCES</b>	<b>\$202,711,372</b>	<b>\$182,597,687</b>	<b>\$170,936,003</b>	<b>\$165,243,424</b>	<b>\$148,718,750</b>
<b>DISPOSITION OF RESOURCES</b>					
Expenditures	\$201,600,369	\$178,062,426	\$173,902,168	\$151,826,928	\$138,750,884
Appropriations & Appropriation Transfers	870,636			\$697,261	\$4,572,269
Reversions	836,064	\$552,023	\$403,276	\$492,064	\$1,233,693
<b>TOTAL DISPOSITION OF RESOURCES</b>	<b>\$203,307,069</b>	<b>\$178,614,449</b>	<b>\$174,305,444</b>	<b>\$153,016,253</b>	<b>\$144,556,846</b>
<b>BALANCE CARRY FORWARD</b>	<b>\$36,991,136</b>	<b>\$37,486,231</b>	<b>\$33,277,898</b>	<b>\$36,647,396</b>	<b>\$23,792,348</b>
Adjustment to Balance Carry Forward	-98,495				-\$82,592
<b>ADJUSTED BALANCE CARRY FORWARD</b>	<b>\$36,892,641</b>	<b>\$37,486,231</b>	<b>\$33,277,898</b>	<b>\$36,647,396</b>	<b>\$23,709,756</b>

**Footnotes:**

- > Source of General Operations financial information is I3 - Schedule 6 SD (SD 030).
- > Information above covers all DAS operations, *excluding* infrastructure. FY07 includes an adjustment to BBF of -\$216,389 for fund 506. Fund 506 is related to infrastructure so information is included on the page for DAS Infrastructure Financials.
- > Balance Rolled Forward amounts reflect the balances in various Revolving and Internal Service funds such as; IT Technology, Utility Services, & Fiduciary funds.
- > FY08 includes an adjustment to Balance Carry Forward for fund 506 that is no longer reported under Special Department 030SD. The balance carry forward for fund 506 has been moved to Special Department 954SD

## DAS FINANCIALS

INFRASTRUCTURE	FY2008	FY2007	FY2006	FY2005	FY2004
<b>BALANCE BROUGHT FORWARD</b>					
Balance Brought Forward	\$77,087,185	\$34,375,971	\$30,375,807	\$44,222,845	\$45,061,064
Adjustments to Balance Brought Forward	-216,389	\$216,389			
<b>ADJUSTED BEGINNING BALANCE BROUGHT FORWARD</b>	\$76,870,796	\$34,592,360	\$30,375,807	\$44,222,845	\$45,061,064
<b>RESOURCES</b>					
Appropriations, Transfers & Supplementals	\$71,928,827	\$80,239,047	\$37,703,815	\$17,462,117	\$42,773,686
Receipts	4,993,510	7,329,276	19,399,770	12,038,025	9,292,698
<b>TOTAL RESOURCES</b>	\$76,922,337	\$87,568,323	\$57,103,585	\$29,500,142	\$52,066,384
<b>DISPOSITION OF RESOURCES</b>					
Expenditures	\$45,434,789	\$44,564,555	\$53,364,524	\$43,362,179	\$52,840,273
Reversions & Appropriations Transfers	24,602	508,943	1,575	0	49,331
<b>TOTAL DISPOSITION OF RESOURCES</b>	\$45,459,391	\$45,073,498	\$53,366,099	\$43,362,179	\$52,889,604
<b>BALANCE CARRY FORWARD</b>	\$108,235,247	\$77,087,185	\$34,113,293	\$30,360,808	\$44,237,844
Adjustment to Balance Carry Forward	98,495		\$262,678	14,999	-14,999
<b>ADJUSTED BALANCE CARRY FORWARD</b>	\$108,333,742	\$77,087,185	\$34,375,971	\$30,375,807	\$44,222,845

**Footnotes:**

- > Source of Infrastructure financial information is I3 - Schedule 6 (SD 954 and SD 030).
- > FY06 expenditures have been adjusted upward & BCF downward on this report by \$6,066 to match Schedule 6 SD report pulled for FY07 information.
- > FY07 Adjustments to Balance Brought Forward (BBF) includes \$216,389 from Fund 506. Fund 506 is part of SD 030 and is included in the operations data, however fund 506 is used to account for pass-through funds for Infrastructure. Including the \$216,389 in the BBF also increased the Balance Carry Forward and Adjusted Balance Carry Forward amounts.
- > Infrastructure involves projects throughout the State of Iowa, some that are funded by direct appropriations to DAS, and some that are funded by direct appropriations to the benefiting agency and transferred to DAS. Other projects are funded by a combination of appropriations & additional funds contributed by the benefiting agency.
- > Infrastructure involves multi-year projects and therefore the funding is appropriated to be spent over a period of time, usually 4 years. The year end Balance Brought Forward reflects the total amount unobligated from all the multi-year funded sources that have been appropriated to the Department of Administrative Services.
- > FY06 adjustment to BCF was included to match actual FY07 BBF amounts on schedule 6 SD report
- > FY08 adjustment to Balance Brought Forward (BBF) includes reversing previous \$216,389 adjustment to BBF in FY07
- > FY08 includes an adjustment to Balance Carry Forward (BCF) for fund 506 that is no longer reported under Special Department 030SD. The balance carry forward for fund 506 has been moved to Special Department 954SD

## APPENDIX A

### DAS Customer Council Members

(Effective August 1, 2008)

*updated March 1, 2009*

Term Ends	Name	Agency (size)	Phone	E-mail
----	Teresa Hay McMahon	DOM-chair	515-281-6537	<a href="mailto:Teresa.McMahon@iowa.gov">Teresa.McMahon@iowa.gov</a>
----	Ray Walton	DAS-vice chair	515-281-3273	<a href="mailto:Ray.Walton@iowa.gov">Ray.Walton@iowa.gov</a>
8/31/10	Greg Anliker	Elder Affairs (small)	515-725-3303	<a href="mailto:Greg.Anliker@iowa.gov">Greg.Anliker@iowa.gov</a>
8/31/09	Mark Brandsgard	Legislative (House)	515-281-3521	<a href="mailto:Mark.Brandsgard@legis.state.ia.us">Mark.Brandsgard@legis.state.ia.us</a>
8/31/10	Bill Gardam	DHS (large)	515-281-5808	<a href="mailto:BGardam@dhs.state.ia.us">BGardam@dhs.state.ia.us</a>
8/31/10	Nicole Gehl	Commerce-ABD (medium)	515-281-7461	<a href="mailto:Gehl@iowaabd.com">Gehl@iowaabd.com</a>
8/31/10	Keith Greiner	Iowa College Student Aid Commission (small)	515-725-3470	<a href="mailto:Keith.Greiner@iowa.gov">Keith.Greiner@iowa.gov</a>
8/31/09	Dave Heuton	DPS (large)	515-725-6251	<a href="mailto:Heuton@dps.state.ia.us">Heuton@dps.state.ia.us</a>
8/31/10	Brad Hier	DOC (large)	515-725-5703	<a href="mailto:Brad.Hier@iowa.gov">Brad.Hier@iowa.gov</a>
8/31/10	Michael Marshall	Legislative (Senate)	515-281-5307	<a href="mailto:Michael.Marshall@legis.state.ia.us">Michael.Marshall@legis.state.ia.us</a>
8/31/09	Joan Moll	DHR (small)	515-281-6680	<a href="mailto:Joan.Moll@iowa.gov">Joan.Moll@iowa.gov</a>
8/31/09	Peggy Sullivan	Judicial	515-242-0171	<a href="mailto:Peggy.Sullivan@iowa.gov">Peggy.Sullivan@iowa.gov</a>
8/31/09	Mary Jane Olney	Cultural Affairs (medium)	515-281-6320	<a href="mailto:MaryJane.Olney@iowa.gov">MaryJane.Olney@iowa.gov</a>
8/31/10	Roger Stirler	Revenue (medium)	515-281-4908	<a href="mailto:Roger.Stirler@iowa.gov">Roger.Stirler@iowa.gov</a>
8/31/09	Margaret Thomson	IDALS (medium)	515-281-5322	<a href="mailto:Margaret.Thomson@iowaagriculture.gov">Margaret.Thomson@iowaagriculture.gov</a>
8/31/09	Lee Wilkinson	DOT (large)	515-239-1340	<a href="mailto:Lee.Wilkinson@dot.iowa.gov">Lee.Wilkinson@dot.iowa.gov</a>

## APPENDIX B

### **Enterprise Service Levels Descriptions** **GENERAL SERVICES ENTERPRISE (GSE)**

#### **FACILITIES/SPACE MANAGEMENT SERVICES**

A. *Facility Maintenance* (covered by Association Fees).

*Mechanical system support* covers heating, ventilation and air conditioning systems (excluding HVAC systems for computer rooms.)

- *Grounds activities* include regular mowing, trimming, nursery, landscaping and snow removal.
- *Life, health and safety system maintenance* assures proper operation of critical systems such as fire alarms, sprinklers and automation systems.
- *Lock shop* provides key security, maintenance, internal recordkeeping and regular maintenance for designated key ways on the Capitol Complex and Ankeny lab facility.
- *Custodial services* includes core cleaning of restrooms, vacuuming, hard floor care, trash/recycling, snow removal and general cleaning.

B. *Space management* staff coordinates the assignment of office and storage space on the Capitol Complex. Staff also coordinates and facility office moves either on campus or in leased spaces at the Seat of Government/Polk County (covered by Leasing Fees).

C. *Leasing Services* staff negotiates, manages and monitors leasing agreements for leased facilities at the Seat of Government. The division also supports agencies leasing other facilities, serving as liaison between the agencies and the Executive Council.

D. *Project management services* assist supported agencies as they build, repair, maintain and adapt their facilities, providing facilitation and oversight to architectural and engineering consultants and construction contractors. For some projects, staff architects and engineers provide design services (to be covered by Design and Construction Fee).

E. *The GSE Customer Service Center* is the single point of contact for all Capitol Complex maintenance questions, concerns, or requests for service. In conjunction with Post 16, the customer service center facilitates the issuing of building access and parking permits and collects parking ticket payments (covered by Association Fee).

#### **MAIL**

A. *Mail processing and delivery services* include receipt/sorting/delivery of all incoming USPS/interoffice mail within 24 hours; receipt and process of most outgoing mail within 24 hours; and twice-daily pickup and delivery routes for the Capitol Complex. Also included are parcel processing; overnight letters; business reply services; postage due processing; receipt, tracking and delivery of certified mail; maximum postage discounts, prompt/accurate billings, security of mail, and archival retrieval.

B. *Letter ship services* provide in-house mail automation and inserting and folding services for large mail streams.

#### **PURCHASING**

A. *Bidding and contracting (purchasing)* includes letting of competitive bids and contracts on behalf of state agencies, with GSE Purchasing serving as a neutral third party in the competitive bid process.

B. *State blanket bond* provides protection to the State against embezzlement.

**FLEET**

A. *Fleet management services*: Annual new vehicle procurement and disposal, credit cards for fuel and maintenance, accurate customer billing, state and federal statutory compliance for alternative fuels and Corporate Average Fuel Economy (CAFE) requirements, timely management information, and recalls/technical advisories.

B. *Vehicle self insurance (risk management)* provides driver insurability assessment, state vehicle collision coverage, accident liability coverage, medication services to minimize state liability, and recovery services for damages when the state is not at fault.

**HUMAN RESOURCES ENTERISES (HRE)**

<b>I.</b>	<b>EMPLOYMENT SERVICES</b>
	Service List: Pre-Employment Services, Recall/Outplacement, Affirmative Action, Classification, Compensation, Selection, and Recruitment
<b>A.</b>	<b>Pre-Employment Services</b> Administer a centralized pre-employment job posting, application, screening and referral system for Executive Branch merit covered positions.
<b>1.</b>	<b>Job Posting</b>
<b>a.</b>	Review new job posting requests and make recommendations regarding the posting, application of selectives, review agency advertisements as needed.
<b>b.</b>	Post and maintain a listing of all vacancies on HRE's website.
<b>2.</b>	<b>Application Evaluation and Certification</b>
<b>a.</b>	Review all applications to evaluate the qualifications of each applicant against current job specification standards and selectives.
<b>b.</b>	For each posted position issue certification lists of qualified applicants to the hiring agency.
<b>c.</b>	Review all applications and maintain ongoing lists of qualified applicants for Open Job Classes.
<b>d.</b>	Review all agency requests to exclude employees identified as terminated for just cause, and determine the appropriate level of exclusion. Maintain a central exclusion list, notifying affected employees of decisions and appeal rights.
<b>3.</b>	<b>Pre-Employment Customer Relations</b>
<b>a.</b>	Issue appropriate notices to applicants informing them of the status of their application. Answer questions from applicants and agencies regarding notices and status decisions. Review status decisions based on new or updated information.
<b>b.</b>	Assist applicants over the phone, in person, and by email with requests to apply for vacancies, provide employment information, or other assistance to encourage a broad base of applicants.
<b>c.</b>	Provide a staffed public walk-in reception area on a full time basis to provide assistance to applicants, the general public, and visitors to HRE.
<b>d.</b>	Provide agencies with electronic access to applications or other information needed to fulfill their

I.	<b>EMPLOYMENT SERVICES</b> Service List: Pre-Employment Services, Recall/Outplacement, Affirmative Action, Classification, Compensation, Selection, and Recruitment
	hiring mission and responsibility.

<b>I.</b>	<b>EMPLOYMENT SERVICES</b> Service List: Pre-Employment Services, Recall/Outplacement, Affirmative Action, Classification, Compensation, Selection, and Recruitment
<b>4.</b>	<b>General Administration</b>
a.	Review and modify services by monitoring current trends, customer feedback, investigations, collective bargaining agreements and applicable laws. Review all forms, manuals, and promotional materials for effectiveness and accuracy.
b.	Respond to all inquiries regarding internal and external services. Provide qualitative and quantitative data and data analysis relating to services provided or requested. Seek comparative data from other sources. Develop and monitor budget and other financial information for various stakeholders.
<b>B.</b>	<b>Recall and Outplacement Program</b> Administer all aspects of the Recall and Outplacement program for Executive Branch agencies.
1.	Provide guidance and counseling in the recall/outplacement process to all laid off employees as requested by the affected employee or department.
2.	Maintain a centralized list of recall and outplacement candidates per the collective bargaining agreements and HRE rules, and issue recall/outplacement lists prior to issuing regular certification lists for each vacancy.
<b>3.</b>	<b>General Administration</b>
a.	Review and adjust services by monitoring agency and applicant feedback. Review all forms, manuals, and promotional materials for effectiveness and accuracy.
<b>C.</b>	<b>Affirmative Action Program</b> Administer a central Affirmative Action program for Executive Branch merit and non-merit state employees. Establish policy, data collection, reporting, and ongoing education and training initiatives to assist agencies in establishing and maintaining a diverse and balanced workforce consistent with Iowa law.
1.	Provide departments with training and information to enable them to establish a viable Affirmative Action plan, consistent with Iowa law and DAS-HRE administrative rules. Provide historical and current workforce data, both statewide and agency specific, process requirements, document formats, and timeframe requirements.
2.	Review department AA plans and reports and provide feedback to ensure agencies have information and understanding to meet compliance with requirements.
3.	Provide notices of learning opportunities, recruitment events, legal updates, or other information that may enhance the department's AA plan and goals.

<b>I.</b>	<b>EMPLOYMENT SERVICES</b> Service List: Pre-Employment Services, Recall/Outplacement, Affirmative Action, Classification, Compensation, Selection, and Recruitment
<b>4.</b>	<b>General Administration</b>
a.	Develop and maintain program systems and procedures to keep the program current with case law, census information, and changing data needs.
b.	Maintain quality assurance through the review of the program in relation to complaints or other inquiries about the state's AA program.
<b>D.</b>	<b>Classification, Compensation, Selection, Transactions</b> Maintain the classification, compensation, and selection systems for the Executive Branch.
<b>1.</b>	<b>Classification</b>
a.	Consult with agencies and the Personnel Officers regarding classification, compensation, and selection problem identification and review alternatives to classification, compensation, and selection changes.
b.	Review requests to change, modify or establish job classification definitions or work examples. Work with the Personnel Officer and the requesting or affected agency to identify the problem or need. Edit or create new definitions or work examples consistent with the identified need.
<b>2.</b>	<b>Compensation</b>
a.	Review requests to change compensation for existing or new job classifications. Work with the Personnel Officer and the requesting or affected agency to identify the problem or need. Conduct job evaluations and/or salary surveys as needed, and review findings with the requesting agency.
b.	Assess agency requests for a review of a classification's pay grade based on a substantial change in duties or apparent errors. Provide expert witness in contested case hearings on behalf of the DAS-HRE.
<b>3.</b>	<b>Selection</b>
a.	Establish minimum qualifications and selection tools for existing or new job classifications. Provide tools and resources, weighting systems, interview questions, scoring systems, and other screening tools, as applicable.
<b>4.</b>	<b>Transactions (Pre-Audit)</b>
a.	Review all payroll transactions (P-1s) and supporting documentation for accuracy and compliance with administrative rules, contract language, and the Iowa Code. Assure that appropriate approvals are documented for special pay actions.

<b>I.</b>	<b>EMPLOYMENT SERVICES</b> Service List: Pre-Employment Services, Recall/Outplacement, Affirmative Action, Classification, Compensation, Selection, and Recruitment
<b>5.</b>	<b>General Administration</b>
a.	Review all proposed changes to the classification and compensation system to determine the impact on bargaining status, FLSA status, overtime eligibility, and overall system impact, such as pay compaction and comparable worth.
b.	Revise classification descriptions and pay plans as needed or requested by a customer agency. Reflect all changes in the Classification and Pay Plans, and re-publish or update all new or affected documents, HRIS system, tables, manuals, and websites.
c.	Perform periodic system wide reviews of the classification, compensation, and selection systems. Review compliance with collective bargaining agreements, and applicable federal and state law. Review active classification descriptions for obsolescence and modify or delete as needed. Maintain contact with comparable public entities to source job matches and salary comparisons.
d.	Develop training and educational information, forms, and guidance documents as needed.
<b>E.</b>	<b>Recruitment</b>
1.	Develop and monitor a statewide recruitment plan. Coordinate statewide general recruitment and targeted recruitment activities. Consult with departments about their recruitment needs.
2.	Enroll and participate in generalized job fairs and recruitment events. Notify agencies of opportunities to participate.

<b>II.</b>	<b>PROGRAM DELIVERY SERVICES</b> Service List: Personnel Officer Liaison/Consultation, Contract and Rules Administration, Workforce Planning, Employee Performance, Employee Recognition
<b>A.</b>	<b>Personnel Officer Liaison/Consultation</b>
1.	Participate in assigned agency management team meetings or other agency business activities, as requested.
2.	Advise agencies regarding the application and interpretation of HRE rules, policies, procedures, programs, arbitration awards, and the legal basis and references for these issues.
3.	Provide advice and assistance to agencies on disciplinary actions, including proper methods of conducting investigations of employee misconduct, and related HR issues and the application of collective bargaining language, HRE rules and state and federal law.
4.	Consult and advise agency management on grievance hearings, civil rights complaints, allegations of discrimination, and potential violations of FLSA, FMLA, and the EEOC.
5.	Review and assist agencies with personnel-related actions involving payroll, hiring, termination, layoffs, position reviews and other matters to ensure compliance with applicable policies, rules and regulations, and law.
6.	Advise and assist agency management on screening criteria, interviewing, or other pre-employment functions as requested. Assist agencies with reorganization issues.
7.	Review individual PDQs and conduct job audits to assure proper application of the classification system. Advise management of the classification process for new class development, changes to existing classes, selectives and issuing tentative and final classification decisions. Represents the State in classification contested case hearings.
8.	Advise agencies on DAS-HRE organizational changes, contacts, and program initiatives.

<b>II.</b>	<b>PROGRAM DELIVERY SERVICES</b> Service List: Personnel Officer Liaison/Consultation, Contract and Rules Administration, Workforce Planning, Employee Performance, Employee Recognition
<b>B.</b>	<b>Labor Relations, Rules Administration, and Legal Affairs</b>
1.	<u>Advise management on contract interpretation, application and implications considering past practice consistent with the terms and conditions of the collective bargaining agreement.</u>
2.	Represent agencies in meetings with the unions, (i.e., regarding collective bargaining, policy/workrule implementation, labor relations issues/complaints).
3.	Communicate collective bargaining agreement changes to all stakeholders. Develop policies and procedures as needed to effectuate changes.
4.	Conduct second and third step hearings and issue decisions.
5.	Conduct arbitrations and related activities such as gathering evidence, accepting testimony, and writing briefs.
6.	Conduct the Grievance Resolution Improvement Process (GRIP).
7.	Review, interpret, and establish position and policy recommendations on rules, contract language, and state or federal laws and regulations. Obtain legal opinions as needed.
8.	Represent the state in contested case proceedings consistent with administrative rules, procedural and evidentiary rules, statutory law and case precedent.
9.	Represent the State on hearings before the Public Employment Relations Board or Employment Appeal Board.
10.	Attend and participate in regular and special labor-management meetings.
<b>C.</b>	<b>Workforce Planning, Employee Performance, Employee Recognition</b>
1.	<b>Workforce Planning</b> Develop and implement tools and methods to assist agencies with workforce planning. Collect and review state workforce data and provide periodic reports to help agencies establish workforce planning priorities and change management plans.
a.	Provide information and training on how to use existing tools and resources developed by HRE, such as the retirement calculator, exit surveys and interviews, and other data. Examples include "Just the Facts," the Staffing Guide, recruitment and staffing plans, development plans, and the competency library.
b.	Provide expertise and guidance to agencies as they incorporate workforce planning into their overall organizational management strategies; facilitate workforce planning activities upon request; answer questions as needed; research unique situations.
c.	Collect and disseminate best practice information pertaining to workforce planning
d.	Develop and maintain the State Workforce Plan by overseeing completion and implementation of

II.	<b>PROGRAM DELIVERY SERVICES</b> Service List: Personnel Officer Liaison/Consultation, Contract and Rules Administration, Workforce Planning, Employee Performance, Employee Recognition
	the various objectives.

<b>II.</b>	<b>PROGRAM DELIVERY SERVICES</b> Service List: Personnel Officer Liaison/Consultation, Contract and Rules Administration, Workforce Planning, Employee Performance, Employee Recognition
<b>D.</b>	<b>Employee Performance and Recognition</b>
<b>1.</b>	<u>Performance Evaluation System</u> <b><u>Develop and implement a performance evaluation system for the Executive Branch.</u></b>
<b>a.</b>	Advise agencies on the proper use and application of the performance evaluation system.
<b>b.</b>	Develop and provide informational and educational materials about the system; provide information/training sessions to agencies on the performance evaluation system.
<b>c.</b>	<b>General Administration</b> Collect data to monitor how the system is being used, provide reports to agencies on performance evaluation completion rates, and provide progress reports to Governor. Research current trends. Review and modify the system as needed.
<b>2.</b>	<b>Employee Recognition (Golden Dome Award)</b> Administer an annual Executive Branch employee recognition program to demonstrate the appreciation of the Governor for the outstanding service of selected state employees.

<b>III.</b>	<b>BENEFITS &amp; RISK MANAGEMENT</b> <b>Service List: Group Insurance (Health &amp; Dental, Life &amp; LTD, EAP) &amp; Universal Benefit Programs (Unemployment, Moving Policy, Wellness), Pre-Tax (Deferred Compensation, Flex Spending, One Gift), Worker's Compensation/Safety</b>
<b>A.</b>	<b>Group Insurance and Universal Benefits</b> These programs are administered by DAS-HRE and the administration of the programs are funded by a 2.00 per contract holder fee, and a 2.27 per employee fee for life, long term disability and dental contract holders.
<b>1.</b>	<b>Health and Dental</b>
<b>a.</b>	Answer employee's and department's questions about the availability, structure, and function of the benefit programs. Assist with enrollment and benefit coordination issues between vendor benefits and employer provided leave programs as applicable.
<b>b.</b>	Provide standardized educational and informational materials for employees and departmental customers during the insurance enrollment and change period. Materials provided will be based on budget.
<b>c.</b>	Address complaints with the vendor and resolve disputes in accordance with contract provisions and internal policy.
<b>2.</b>	<b>Life and Long Term Disability</b>
<b>a.</b>	Assist agency customers with questions about the availability, structure, and function of the benefit programs. Assist with enrollment and benefit coordination issues between vendor benefits and employer provided leave programs as applicable.
<b>b.</b>	Provide standardized educational and informational materials for employees and departmental customers during the insurance enrollment and change period. Materials provided will be based on budget.
<b>c.</b>	Address complaints with the vendor and resolve disputes in accordance with contract provisions and internal policy.
<b>3.</b>	<b>Employee Assistance Program</b>
<b>a.</b>	Assist agency customers with questions about the availability, structure, and function of the benefit programs. Assist with enrollment and benefit coordination issues between vendor benefits and employer provided leave programs as applicable.
<b>b.</b>	Provide standardized educational and informational materials for employees and departmental customers during the insurance enrollment and change period. Materials provided will be based on budget.
<b>c.</b>	Address complaints with the vendor and resolve disputes in accordance with contract provisions and internal policy.

III.	<b>BENEFITS &amp; RISK MANAGEMENT</b> Service List: Group Insurance (Health & Dental, Life & LTD, EAP) & Universal Benefit Programs (Unemployment, Moving Policy, Wellness), Pre-Tax (Deferred Compensation, Flex Spending, One Gift), Worker's Compensation/Safety
4.	<b>Leave and Moving Expense Benefits</b>
a.	Interpret statewide leave policy and assist agency customers with any questions they may have about the program based on the applicable rules, laws, IRS regulations, and collective bargaining agreements.
b.	Interpret statewide moving expense policy and assist agency customers with any questions they may have about the program based on the applicable rules, laws, IRS regulations, and collective bargaining agreements.
5.	<b>Unemployment Insurance</b> Oversee the Unemployment Insurance Administrative Services Only (ASO) contract.
6.	<b>Automatic Payroll Deduction Program</b> Administer the payroll deduction program and oversee the activities of participating vendors. <i>Note: no funding for this program at this time.</i>
7.	<b>Wellness</b> Provide information to state employees regarding health related learning and recreational opportunities. <i>Note: no funding for this program at this time.</i>
8.	<b>General Administration</b>
a.	Monitor all vendor contracts for compliance on behalf of agency customer and its employees. Manage the competitive bidding process for vendor selection.
b.	Develop and maintain educational and informational materials for employees, departmental customers, and the DAS-HRE Website. Provide general updates on policy and procedure to the agencies as needed.
c.	Monitor complaints and inquiries as part of a quality assurance effort. Review program elements as needed.
d.	Maintain systems and programs in compliance with collective bargaining agreements, HRE policy, and legal requirements.

<b>III.</b>	<b>BENEFITS &amp; RISK MANAGEMENT</b> Service List: Group Insurance (Health & Dental, Life & LTD, EAP) & Universal Benefit Programs (Unemployment, Moving Policy, Wellness), Pre-Tax (Deferred Compensation, Flex Spending, One Gift), Worker's Compensation/Safety
<b>B.</b>	<b>Pretax Programs</b> Note: Flexible Spending program administration is funded by the \$4.26 per participant fee. All other pretax programs and staff are funded by the \$2.27 benefit rate.
<b>1.</b>	<b>457 Deferred Compensation Plan</b>
<b>a.</b>	Assist agency customers with questions about the availability, structure, and function of the Plan. Assist employees with enrollment in the plan.
<b>b.</b>	Provide standardized promotional and informational materials for employees and departmental customers during the insurance enrollment and change period. Materials provided will be based on budget.
<b>2.</b>	<b>403(b) Tax Sheltered Annuity Plan</b>
<b>a.</b>	Assist agency customers with questions about the availability, structure, and function of the Plan. Assist employees with enrollment in the program.
<b>b.</b>	Provide standardized promotional and educational materials for employees and departmental customers during the insurance enrollment and change period. Materials provided will be based on budget.
<b>3.</b>	<b>401(a) Employer Retirement Match Program</b>
<b>a.</b>	Assist agency customers with questions about the availability, structure, and function of the benefit programs. Assist with enrollment and benefit coordination issues between vendor benefits and employer provided leave programs as applicable.
<b>b.</b>	Provide standardized educational and informational materials for employees and departmental customers during the insurance enrollment and change period. Materials provided will be based on budget.
<b>4.</b>	<b>Flexible Spending Accounts</b>
<b>a.</b>	Assist agency customers with questions about the availability, structure, and function of the medical flexible spending program. Assist with enrollment and benefit coordination issues between vendor benefits and employer provided leave programs as applicable.
<b>b.</b>	Provide standardized promotional and educational materials for employees and departmental customers during the insurance enrollment and change period. Materials provided will be based on budget.

<b>III.</b>	<b>BENEFITS &amp; RISK MANAGEMENT</b> <b>Service List: Group Insurance (Health &amp; Dental, Life &amp; LTD, EAP) &amp; Universal Benefit Programs (Unemployment, Moving Policy, Wellness), Pre-Tax (Deferred Compensation, Flex Spending, One Gift), Worker's Compensation/Safety</b>
5.	<b>One Gift Program</b>
a.	Assist agency customers with questions about the structure, and function of the program. Coordinate the One Gift campaign and enrollment effort.
b.	Provide standardized educational and informational materials for employees and departmental customers, prior to, during and at the conclusion of the campaign.
6.	<b>General Administration</b>
a.	Monitor vendors' contract compliance for the State's deferred compensation, employer match, and flexible spending account programs.
b.	Assist agencies and participants with any questions they may have about the programs.
c.	Supply promotional and educational information directly and via the HRE website, and present seminars to employees and departmental customers about Pre-Tax programs as needed.
<b>C.</b>	<b>Workers' Compensation/Safety</b> The Safety and Workers' Compensation programs are funded by a separate premium charge to agencies, based upon an annual actuarial review.
1.	Provide direct oversight of claims management services of the state's third party administrator. Perform claims reviews and audits on a routine basis.
2.	Monitor litigation and provide final authority on settlements in consultation with the Attorney General's Office.
3.	Monitor the financial aspects of the program to assure a balance between premium development and cash flow, and review, approve, and communicate actuarial cost allocation recommendations to management and the agencies.
4.	Coordinate communications with the Program Delivery Services Bureau of DAS-HRE and the agencies to ensure the proper handling of claims information, return to work activities, and employee relations issues.

<b>III.</b>	<b>BENEFITS &amp; RISK MANAGEMENT</b> Service List: Group Insurance (Health & Dental, Life & LTD, EAP) & Universal Benefit Programs (Unemployment, Moving Policy, Wellness), Pre-Tax (Deferred Compensation, Flex Spending, One Gift), Worker's Compensation/Safety
5.	Provide for loss control services, that include direct contact with the agencies, safety program review, safety surveys, training, follow-up on regulatory actions, and identification of resources.
6.	<b>General Administration</b> Monitor third party contract compliance.
a.	Provide program status reports and advice to the agencies, policy makers, and the legislature on request.
b.	Provide educational and informational material about the programs and assure that website and procedural manuals are updated and communicated.

### INFORMATION TECHNOLOGY ENTERPRISE (ITE)

#### **Common Directory Service (Utility)**

##### **Purpose of Service**

The Common Directory service offered by ITE supports the access and synchronization of various directories (i.e. e-mail and other) in state government. The Common Directory accomplishes this by using the Lightweight Directory Access Protocol (LDAP). LDAP enables users to locate organizations, individuals, and other resources such as files and devices in a network, whether on the public Internet or on the State of Iowa's intranet. LDAP is a "lightweight" (smaller amount of code) version of Directory Access Protocol (DAP), which is part of X.500, the standard for network directory services used by the predecessor IowaHub e-mail directory.

For agencies already participating in the Active Directory forest and Exchange 2000 organization managed by ITE, the Common Directory is in-place and automatic. There are no separate directory synchronization steps to perform.

For agencies that have their own directory / e-mail infrastructures, ITE provides for synchronization based on LDAP protocols. This allows agencies to preserve their investment in their current directory deployment while also participating in this Common Directory utility. For those choosing to remain independent, only periodic directory synchronizations are required. This supports a federated architecture by allowing agencies to maintain separate and independent infrastructures that are compatible with the enterprise. The option to remain independent will continue to be valid until an agency elects to implement Exchange 2000 or newer. At that time, the agency will be required to participate in the enterprise common directory utility and then once utilizing the utility, agencies can continue to manage their own messaging service or ITE can provide e-mail management services.

##### **Assumptions**

- All objects in the Common Directory will be User objects used by enterprise applications such as I/3, Web Warrants (via the Authentication and Authorization or A&A service), DAS Common Intake-Service Request Process (via A&A), and future applications developed with A&A using the common directory.
- The Payroll synchronization function will occur as a separate process against the Common Directory.
- Both the Payroll synchronization and Directory synchronization are done on a per agency basis allowing for the flexibility of having the authoritative data in either Payroll or the Agency Directory.

- ITE will not be using vendor provided connectors. All directory synchronization will be handled via ITE produced scripts utilizing the LDAP protocol.
- As agencies move to Exchange 200x they will be required to participate in the common directory utility.
- Agencies have the discretion to maintain and own their messaging services.

### **Unique Features**

The features of high importance related to an enterprise-wide interoperable directory and calendaring include support for the following functions:

- View of a Global Address list for state employees contact information.
- Automation of directory synchronization.
- Single sign-on for authentication.

## **Information Security Office (Utility)**

### **Purpose of Service**

The Information Security Office (ISO) is comprised of five core functions:

1. In collaboration with all agencies, development, implementation and enforcement of enterprise-wide operating standards in accordance with established best practices and subject to the approval of the Technology Governance Board.
2. Information assurance through assessment, auditing, and monitoring to ensure all participating agencies are following approved policies, standards, and best practices to protect their IT resources and those of others.
3. Coordinate enterprise-wide information security awareness training and information sharing.
4. Provide emergency information and response services to mitigate the impact of security incidents and expedite recovery from incidents resulting in damage or disruption of service.
5. Act as a resource to agencies to reduce risk and meet the requirements of the Enterprise Information Security Policy.

Through the work of the ISO, agencies will reduce downtime and increase productivity due to the mitigation of risks from both internal and external sources; including those associated with computer viruses, worms and other malicious software, hacking, social engineering, and other malicious threats to state government computing infrastructure. The ISO provides consistent, proven, and documented processes to follow in the event of a cyber-security incident in addition to ongoing information systems assurance training.

The ISO provides guidance to state agency management and technical staff for security measures and requirements and provides assistance in meeting those requirements, working collaboratively with law enforcement and government agencies at all levels. Citizens benefit from the increased protection of their personal information and increased availability and security of government services. Improved information security engenders confidence in state government systems which benefits all agencies and encourages citizens to use e-Government services.

### **Assumptions**

1. Information security measures designed to protect public data have a discernable public benefit by serving the interests of the citizens of Iowa.
2. Information Security measures undertaken by state government must be credible. This requires state government to assess and observe industry best practices and establish and maintain a wide range of mutually beneficial collaborative relationships in both the public and private sectors.
3. Information Security measures must be realistic; balancing reduction in risk with actual cost; including resource costs, impacts to service and other factors.
4. Information Security measures must be reasonable; balancing budget limitations and compliance timelines with risk. Unaffordable or unachievable recommendations do not advance the security of the enterprise.

5. Information Security measure must be effective; based on proven practice or, in the case of new threats, reasonable expectations based on research; including industry recommendations.
6. Information Security measures must be appropriate to the environment and not result in an unnecessary burden where there is little risk.
7. Information Security measures must be measurable so future compliance and performance can be evaluated against current and emerging best practices.

### **Unique Features**

- Authority to address enterprise-wide issues - The ISO is supervised by the state's Chief Information Security Officer (CISO). The Technology Governance Board (TGB) has approved a move toward adoption of Administrative Rules to provide the CISO with authority to enforce standards and policy and flexibility to balance security with service delivery with oversight by the TGB.
- Focus on enterprise-wide information security issues – Individual agencies can take steps to improve security and reduce risk within their organization, but generally cannot impact actions of others affecting their risk level. The ISO can address actions of an agency that may increase the risk of others. The ISO can also develop, implement and enforce security standards that apply to all participating agencies and assure adherence to common security practices.
- Incident Response Services – The ISO is creating a Computer Security Incident Response Team (CSIRT) to manage the enterprise response to a significant information security incident, including assistance in isolating the attack, responding, recovering and developing the appropriate solutions to prevent future occurrence.
- Assessment, Evaluation and Monitoring - The ISO, directly or in partnership with agencies, provides risk and vulnerability assessment services, penetration testing services, web application security services and other monitoring and assessment to assist agencies in determining effectiveness of security measures and to monitor adherence to standards.

### **Stages of Development**

This service is currently deployed and is serving the Executive Branch of state government.

### **Future Research and Development**

Continuous upgrading of skills, tools, software, and techniques is essential to maintain the efficacy of this service.

### **Government Approvals**

None required.

### **Product Liability**

There are no specific liability issues associated with the service. The failure of state agencies, boards, and commissions to adequately maintain the security and privacy of information under their control (or ownership) may result in civil actions from constituents or advocacy groups and/or loss of confidence in state government.

### **Production**

This utility service has an FY07 budget of \$271,442; FY08 - \$285,404; FY09 - \$293,966. In FY07, a subsidy from DAS appropriated funds was applied to the ISO budget to cover indirect costs and provide a one-time reduction in utility cost to agencies. Apportioning costs per employee, consistent with the Active Directory utility, the adjusted FY07 monthly cost is \$0.87 per employee per month.

### Stages of Development

This service is deployed throughout the Executive Branch of state government.

### Future Research and Development

Implementation of common authentication and authorization across state government; improved user identity management, privacy, and security.

### Government Approvals

None required.

### Product Liability

Specific liability may be detailed in individual service level agreements.

### Production

This utility service has an FY06 budget of \$195,896 and a projected FY07 budget of \$205,021.

## Authentication & Authorization Service (Utility)

### Purpose of Service

Currently supplying more than 200,000 user authentications per month, DAS ITE's Authentication and Authorization service (A&A) provides a common user ID and point of authentication for over 50 applications in a number of state agencies. The applications may have a shared, or disparate, user community ranging from registered health care workers to legal professionals as well as current and former State employees. In fact, roughly 2/3rds of the IDs that currently reside in A&A are for individuals outside of state government.

ITE offers a web-based API for Authentication and Authorization of user accounts. This web service includes client libraries for integration with VB/ASP/.NET, Java and PHP applications. An integrated web application also offers administrative functionality such as account creation, privilege management and password recovery.

One of the most common areas of reinvention in an IT enterprise is the handling of user accounts and permissions. Each system develops its own storage, policies and mechanisms for controlling access to functionality and data. Several problems result from this "stovepipe" approach:

- **Users** must remember and manage different user accounts with different passwords. Often they solve this problem by using simple, though extremely high-risk, passwords or by using the same password everywhere.
- **Security** cannot be enforced across multiple applications without effort being expended for each application. For example, if an organization decides to enforce a strong password policy, each application must be inspected and updated to comply.
- Without a central organization or process **for issuing credentials**, it is very difficult to prevent "social engineering" exploits – those that rely on individuals making decisions about the veracity of a request, usually lacking the training to do so.
- **Helpdesk and support** personnel require training on each application just to support login and password operations.
- The **citizen** sees no commonality in accessing agency applications, enforcing the idea that there is a divide within the government structure.

### Assumptions

- Hosting expense is calculated at the hosting rates currently in effect. Changes to those rates would impact the hosting expense charge.
- Support expense is based on the average number of hours spent per month in support of the A&A service over the past 12 months. These hours include time spent in set up and testing of new users,

as we have not historically charged those costs back to the customer. That policy will change and the number of support hours would be expected to go down significantly. The number of support hours has been left high in order to allow for some level of as yet unidentified enhancements to the service.

- Support cost is based on an approximation of the anticipated new hourly rate for AEGS staff and assumes that AEGS staff time spent in support of the service would be billed at rate.

### Unique Features

In order to support an enterprise approach to application security, DAS ITE has implemented a web service (XML/HTTPS) that performs common logon functions with the following basic features:

- **Authentication**, the process of verifying credentials against a back-end data store.
- **Authorization**, the process of verifying that permission has been granted for the operation being requested by a given user.
- **Account Management**, including creation, locking/unlocking, password setting and recovery, validation against complexity policies, simple profile information.
- **Application Privilege Management**, such as defining privileges for an application and assigning privileges to users.
- **Audit Logging** for success and failure of various A&A events.
- **Identity Baseline**, which allows users to select a set of questions and provide answers to positively identify the user if they forget their password.
- **Single-Sign-On (SSO)**, which provides a token-handling mechanism (similar to Kerberos) to allow a user's credentials in one application to be shared with other apps.

## Service Oriented Architecture (SOA) Shared Infrastructure (Utility)

### Purpose of Service

A service-oriented architecture (SOA) is a group of services that communicate with each other. The process of communication involves either simple data-passing or two or more services coordinating some activity. The intercommunication required implies the need for some means of connecting two or more services to each other. SOAs build applications out of software services. The services, in this case, comprise unassociated units of functionality that have no interfaces to each other embedded in them. They typically implement functionality most humans would recognize as a service, such as filling out an online application for an account, viewing an online transaction statement, or placing an online reservation. Instead of services embedding interfaces to each other in their source code, they use defined protocols which describe how one or more services can communicate with each other. This architecture relies on business processes to link and sequence services to meet a new or existing business system requirement.

The Criminal Justice Information Systems (CJIS) project has been at the forefront of the State's emerging SOA strategy since 2006. In order to achieve its integration goals, the project acquired new infrastructure components (IBM DataPower) that were not included in the original plan. The DataPower strategy has been successful in solving the infrastructure issues associated with SOA. In fact, the current DataPower appliances offer substantially more capacity than CJIS forecasts that it will need in the foreseeable future.

Unfortunately, CJIS is now faced with significant ongoing costs for maintaining the set of technologies that comprise the solution, including DataPower. In addition to the financial costs, providing the level of availability and response time for staff support is beyond the capabilities of the current DHR CJIS organization.

DAS ITE has agreed to partner with CJIS to provide operational management and staff support for the DataPower appliances. Even so, the financial and technical challenges that must be faced still loom large. The additional staff and expertise that must be added by ITE will be very expensive; prohibitive for

CJIS to bear alone. A more aggressive, integrated approach could make the CJIS infrastructure cost-effective for the long term.

Under the auspices of the Technology Governance Board (TGB), the SOA Advisory Committee sponsors a Shared Infrastructure Working Group. The Working Group is responsible for creating a recommended statewide standard for SOA Infrastructure through the collaboration of several executive-branch agencies. The members of the Working Group have compiled the motivations, goals and plans for SOA held by their agencies. These include:

- Making data safely available to other agencies and to groups outside the State
- Improving point-of-entry with edits and reference data
- Integrating mainframe processing and data
- Aggregating related information from disparate sources

Based on these goals and others, the Working Group has identified common needs in the areas of:

- Service provisioning
- Service authentication and authorization
- Security/data protection
- Service level management and operational monitoring

### **Assumptions**

- The DataPower solution will be used as the centerpiece of the State's SOA infrastructure strategy.
- Using the DataPower appliances as a gateway for all State SOA implementations would have significant security and operational management benefits for all State agencies. Using the IBM DataPower units as network edge devices will allow ITE to create a highly-protected network zone for other components of the shared infrastructure. Services within this zone will have easier and more direct access to other protected zones such as DB2 or I/3. The process for deploying to this zone will be strict and require specific reviews by security and web hosting staff in order to maintain the integrity of the environment.
- All service requests will be made through the DataPower units without client knowledge of the logical or physical network location of the actual service. As a security precaution, volumetric limits placed on each service can be handled by DataPower, and excess requests will not reach the actual application servers.

### **Unique Features**

- This approach allows the cost of the DataPower support to be spread over a larger base of users, without CJIS giving up the autonomy of its operations. Each agency, including CJIS, will have one or more application "domains" to which it can control access.
- As system administrators, DAS ITE will have an overarching "root" authority, but will be responsible only for patching of the firmware and network connectivity to the appliances.
- DAS ITE will monitor the appliances in test and production and perform capacity planning duties in conjunction with CJIS and the larger group of agency DataPower users.
- Specific transaction types, volumes, and performance levels can be identified so that DAS ITE can test against realistic benchmarks and help CJIS maintain its required availability.

### **SAE**

#### **Integrated Information for Iowa (I3) System**

**Provides** ongoing support for the development, implementation, and operation of I/3, Iowa's web-based financial management and enterprise resource planning system. I/3 includes modules for Budgeting, Financial Management, and Purchasing. I/3 has many features designed to reduce

the burden and improve the accuracy of managing agency budgets. The Payroll System (HRIS) is a mainframe system designed and implemented over 20 years ago.