

Appeal Board Claim Process

This document provides a general overview of how claims are handled when submitted to Department of Management - State Appeal Board. See the [website](#) or contact Joseph Barry at DOM for specific questions on the process. Note that general claims are filed for all kinds of reasons: for reissue of outdated warrants, back pay/missed wages, various types of refunds, outdated/unpaid bills for services or merchandise, etc. Note that the process may vary for each type of claim. The Appeal Board Claim form can be found [here](#).

Long Appeal Board Process

1. Claims are required to be submitted to the State Appeal Board (SAB) via the State Appeal Board Claim Form and Affidavit – one original claim form and one copy of all supporting documentation is required.
2. Claims received at DOM are date-stamped, numbered, entered in a computer database, and a general claim report generated.
3. Claim form, documentation and general claim report are forwarded to the agency for validation and instructions on how to proceed.
4. Home agency makes a recommendation to approve, deny or dismiss the claim. Agency forwards the original claim, agency recommendation letter and documentation to DAS-HRE. (Agency will want to keep a copy of all paperwork in a “pending” file, for follow-up after SAB approval/denial letter is received.)
5. DAS-HRE reviews the claim calculations and makes its recommendations to approve, deny or dismiss the claim. DAS-HRE forwards the original claim, agency recommendation letter and documentation to DAS-SAE.
6. DAS-SAE reviews the claim calculations and makes its recommendations to approve, deny or dismiss the claim. DAS-SAE forwards the original claim and all documentation to the AG’s Office. DAS-SAE will also identify agency state share cost applicable to the claim (i.e. State share FICA or Retirement).
7. AG’s Office reviews and makes a recommendation on each claim for payment, denial or dismissal.
8. Recommendations are presented to the SAB members at their monthly meeting.
9. Claim is either approved, denied or dismissed by the SAB.
10. If claim is approved by SAB, then SAB will send an approval letter to the agency. Applicable funds will be transferred from SAB to home agency, usually via a JV1 document on the Accounting system. Note that SAB funds transferred to the agency may include an additional amount in excess of the actual claim amount, to cover State share costs incurred for FICA and Retirement.
11. Agency will make arrangements to pay the approved claim amount to the claimant after SAB funds are received. The claim payment process will typically be made either through Payroll processing, Insurance Refund processing, or Daily processing. Contact DAS-SAE if you are unsure on how the claimant should be paid. If payment is to be made through Payroll processing, DO NOT pay the claimant the State shares for FICA and Retirement – those funds transferred from the SAB are meant to offset the agency cost that is incurred when payroll writes.
12. If payment is to be made through Payroll processing, then usually a P1 document is keyed and approved by your agency to make payment to the claimant. DAS-HRE and DAS-SAE must receive copies of the SAB approval letter sent to your agency, so that the P1 can be approved at COMP and PAYL levels. Contact DAS-SAE if you have questions on calculating the wages to be paid on the P1 document, or if you have questions on which pay type to use.
13. If the claim is denied, there are steps for recourse. Contact Dept. of Management for more information.

Processing a Claim in HRIS

Once you have received approval from the SAB to pay a claim, write an 846 P1 (or an 849 P1 if claim is for settlement pay) and enter the amount owed to the claimant in the applicable pay line(s). Note: If the claimant is covered by the Police Officer Retirement system, write an 858 P1 and enter the amount owed to the claimant in the applicable pay line(s).

Enter detailed remarks on the P1, including the State Appeal Board claim number, and the pay periods for which the retroactive pay is owed.

See examples of State Appeal Board approval letters on the next two pages, which include where to find the amount owed “to claimant” that should be entered on the pay P1.

REPORT OF THE SPECIAL ASSISTANT ATTORNEY GENERAL FOR CLAIMS

IT IS THE INTENT OF THE IOWA ATTORNEY GENERAL'S OFFICE TO APPROVE THIS GENERAL CLAIM

<u>Claim No.</u>	<u>Claimant</u>	<u>Nature</u>	<u>Amount of Claim</u>	<u>Action to be Taken</u>
G110		Back Pay	\$983.60	\$957.46-Approve (\$827.40 to claimant)

Date of Claim: 1/22/2010 Date Received: 2/18/11

Claimant, is an employee with the Iowa Department for the Blind. The claimant was due a merit increase on January 22, 2010 which was not received as she was in leave status at the time. She should have received the increase when she returned from leave in the 2/5/10 pay period but did not.

Based on the recommendations of the Department of Administrative Services, the claimant's agency, and the investigation of the Iowa Attorney General's office and the Special Assistant Attorney General, this claim shall be approved by Counsel and claimant shall be notified. Counsel notes this payment is not an admission of responsibility.

As determined by the Department of Administrative Services (DAS), payment of the claim should be made to the claimant through Payroll Processing and payment made directly to the Iowa Department of the Blind, in the amount of \$957.46 (to cover \$827.40 claimant is to be paid, plus state share benefits for FICA and IPERS as directed below.)

- \$ 424.22 allocate payment to FY 2010 fiscal year
- \$ 533.24 allocate payment to FY 2011 fiscal year
- \$ 28.04 allocate FICA Tax (7.65%) FY 2010
- \$ 35.25 allocate FICA Tax (7.65%) FY 2011

Always enter the amount "to claimant" on the pay P1.

Retirement (Rates are based on job class and retirement system, as established each fiscal year)

- \$ 29.58 IPERS Retirement FY 2010
- \$ 37.19 IPERS Retirement FY 2011

RECOMMENDATION OF THE SPECIAL ASSISTANT ATTORNEY GENERAL: Approve

_____/pro
SPECIAL ASSISTANT ATTORNEY GENERAL

ACTION BY THE STATE APPEAL BOARD: **APPROVED**

DATE ACTED UPON: _____ SEP 06 2011



STATE OF IOWA

TERRY BRANSTAD, GOVERNOR
KIM REYNOLDS, LT. GOVERNOR

STATE APPEAL BOARD
DAVID ROEDERER, DIRECTOR, DEPT. OF MANAGEMENT
MICHAEL L. FITZGERALD, TREASURER OF STATE
MARY MOSIMAN, AUDITOR OF STATE

January 14, 2014

Iowa Department of Agriculture & Land Stewardship
Wallace Building
LOCAL

Dear :

January 14, 2014, the State Appeal Board met in accordance with Chapter 25, Code of Iowa, 2009. The following step increase back pay claim(s): G140 – , \$14,942.95 was approved and transferred via CDE(see enclosed) by the Board and is to be paid by the Department of Agriculture & Land Stewardship through normal payroll processing.

Please issue the voucher and advise the Board of the date of issue and warrant numbers as soon as possible. A photocopy of this letter with notations thereon is adequate and preferable for reporting purposes.

If for any reason you cannot fulfill these directions, please advise us in writing of such circumstances.

Sincerely,

Again, always enter the amount "to claimant" on the pay P1. This amount can differ from the "Amount of Claim" which is why it's important you enter the correct amount.

STATE APPEAL BOARD

<u>Claim No.</u>	<u>Claimant</u>	<u>Amount of Claim</u>	<u>Pymt Approved By Board</u>
G140		\$ 14,942.95	\$14,942.95 (\$12,817.76 to claimant)

DEPARTMENT OF MANAGEMENT
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