

**4.A. EXCEPTIONAL ITEM REQUEST SCHEDULE**  
 83rd Regular Session, Agency Submission, Version 1  
 Automated Budget and Evaluation System of Texas (ABEST)

DATE: 8/14/2012  
 TIME: 10:06:05AM

Agency code: 539

Agency name: **Aging and Disability Services, Department of**

CODE	DESCRIPTION		Excp 2014	Excp 2015
	<b>Item Name:</b>	Protecting Vulnerable Texans		
	<b>Item Priority:</b>	5		
	<b>Includes Funding for the Following Strategy or Strategies:</b>	01-01-01 Intake, Access, and Eligibility to Services and Supports		
		01-01-02 Guardianship		
		02-01-01 Facility and Community-Based Regulation		
		03-01-01 Central Administration		
		03-01-02 Information Technology Program Support		
<b>OBJECTS OF EXPENSE:</b>				
1001	SALARIES AND WAGES		2,392,464	2,665,191
2001	PROFESSIONAL FEES AND SERVICES		1,404,205	1,303,405
2005	TRAVEL		247,512	274,512
2009	OTHER OPERATING EXPENSE		7,637,153	7,096,862
<b>TOTAL, OBJECT OF EXPENSE</b>			<b>\$11,681,334</b>	<b>\$11,339,970</b>
<b>METHOD OF FINANCING:</b>				
1	General Revenue Fund		4,537,535	3,736,905
555	Federal Funds			
93.777.002	SURVEY & CERT @ 75%		656,384	653,908
93.778.000	XIX FMAP		464,439	403,993
93.778.003	XIX 50%		2,093,533	2,030,978
93.778.004	XIX ADM @ 75%		556,604	483,216
758	GR Match For Medicaid		2,921,370	3,377,149
8032	GR Certified As Match For Medicaid		451,469	653,821
<b>TOTAL, METHOD OF FINANCING</b>			<b>\$11,681,334</b>	<b>\$11,339,970</b>
<b>FULL-TIME EQUIVALENT POSITIONS (FTE):</b>			44.50	50.50

**DESCRIPTION / JUSTIFICATION:**

DADS seek additional funding to increase efforts to protect the health, safety and welfare of individuals receiving services in two categories:

Funding is requested to increase FTEs by 44.5 and 50.5 in FYs 2014 and 2015 respectively. These FTEs would increase the Guardianship program, Assisted Living Facility Ombudsmen (ALFO), Regulatory Certification of Day Habilitation (RCDH) providers, and Regulatory Waiver Survey & Certification Program Reviewers. Increasing the Guardianship program by 11 FTEs will continue to meet the needs to individuals referred by Department of Family & Protective Services (DFPS), Child Protective Services (CPS), Adult Protective Services (APS) and Probate courts. Expanding the Long-Term Care Ombudsmen Program by one FTE and contracting 28 ALFO would increase protection and advocacy for people living in Assisted Living Facilities (ALFs). Adding 18.5 FTEs to RCDH providers will increase oversight of day habilitation services while

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	<p>minimizing cost to providers. DADS evaluated the possibility of certifying providers of day habilitation services that receive HCS, ICF/ID or TxHmL reimbursement. DADS is experiencing significant workload issues with completing reviews of provider contracts funded with Home and Community Service (HCS) and Texas Home-Living (TxHmL) waiver programs and is requesting 20 additional FTEs.</p> <p>The Automation Modernization System would upgrade automation systems that are slow, unstable and inadequate to sustain DADS' daily operations including the Compliance, Assessment, Reporting and Enforcement (CARES) and Home and Community Services System Application (HCSSA). This will result in a single consolidated application with a single repository for data and reports. Regulatory Services proposes to implement Geographic Information System software allowing DADS to track and monitor investigator locations, make field assignments, collect and report findings using tablet and web-based technology.</p> <p><b>EXTERNAL/INTERNAL FACTORS:</b></p> <p>Funding of 11 FTEs for the Guardianship program will continue to meet the needs of individuals served. Failure to fund these FTEs will result in unmanageable caseloads, inability to ensure safety and welfare of wards, failure to meet legislative and Texas Certification Board expectations, and a decline in working relationships with courts, APS, CPS, elected officials, and valued stakeholders.</p> <p>Long-term care ombudsmen will increase the quantity and quality of services to people living in ALFs, provided through onsite visits. All licensed facilities would receive an annual visit and facilities in greatest need of frequent advocacy will be visited on a quarterly basis. With this increase, the program will increase staff from 56 to 84 FTEs and increase facility visits from 5,900 to 10,000 per year for each licensed ALF (currently 1,567 facilities).</p> <p>Certification and regulatory oversight of Day Habilitation providers is recommended. If this is not funded, there will be more allegations of abuse, neglect, or exploitation at locations listed as a day habilitation. Complaints are lack of staff training regarding an individual's behavior support plans, individualized medical needs, or increased supervision levels. Lack of training places the individual's health and safety at risk.</p> <p>The Waiver Survey and Certification Unit is at maximum capacity handling projected growth through FY 2013. With additional program reviewers, requirements for completion of initial and annual reviews and complaint investigations within specified timeframes should be achievable. This expansion would address continued projected growth. Without these positions, the ability to complete initial and annual program reviews as well as conduct follow-up investigations of complaints and allegations of abuse, neglect and/or exploitation will not be possible and persons receiving services through waiver programs will not be afforded their necessary and required protections.</p>		

**4.B. EXCEPTIONAL ITEMS STRATEGY ALLOCATION SCHEDULE**

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Agency code: **539**                      Agency name: **Aging and Disability Services, Department of**

Code	Description	Excp 2014	Excp 2015
<b>Item Name:</b> Protecting Vulnerable Texans			
<b>Allocation to Strategy:</b> 1-1-1                      Intake, Access, and Eligibility to Services and Supports			
<b>OBJECTS OF EXPENSE:</b>			
1001	SALARIES AND WAGES	74,385	74,385
<b>TOTAL, OBJECT OF EXPENSE</b>		<b>\$74,385</b>	<b>\$74,385</b>
<b>METHOD OF FINANCING:</b>			
1	General Revenue Fund	21,733	21,733
555	Federal Funds		
93.778.003	XIX 50%	23,616	23,616
555	Federal Funds		
93.778.004	XIX ADM @ 75%	4,064	4,064
758	GR Match For Medicaid	24,972	24,972
<b>TOTAL, METHOD OF FINANCING</b>		<b>\$74,385</b>	<b>\$74,385</b>
<b>FULL-TIME EQUIVALENT POSITIONS (FTE):</b>		1.5	1.5

**4.B. EXCEPTIONAL ITEMS STRATEGY ALLOCATION SCHEDULE**

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Code	Description	Excp 2014	Excp 2015
<b>Item Name:</b> Protecting Vulnerable Texans			
<b>Allocation to Strategy:</b> 1-1-2              Guardianship			
<b>OBJECTS OF EXPENSE:</b>			
1001	SALARIES AND WAGES	256,239	528,966
2005	TRAVEL	22,500	49,500
2009	OTHER OPERATING EXPENSE	53,426	105,896
<b>TOTAL, OBJECT OF EXPENSE</b>		<b>\$332,165</b>	<b>\$684,362</b>
<b>METHOD OF FINANCING:</b>			
1	General Revenue Fund	332,165	684,362
<b>TOTAL, METHOD OF FINANCING</b>		<b>\$332,165</b>	<b>\$684,362</b>
<b>FULL-TIME EQUIVALENT POSITIONS (FTE):</b>		5.0	11.0



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Code	Description	Excp 2014	Excp 2015
<b>Item Name:</b> Protecting Vulnerable Texans			
<b>Allocation to Strategy:</b> 3-1-1 Central Administration			
<b>OBJECTS OF EXPENSE:</b>			
1001	SALARIES AND WAGES	46,080	46,080
2001	PROFESSIONAL FEES AND SERVICES	1,404,205	1,303,405
2005	TRAVEL	3,000	3,000
2009	OTHER OPERATING EXPENSE	17,521	10,550
<b>TOTAL, OBJECT OF EXPENSE</b>		<b>\$1,470,806</b>	<b>\$1,363,035</b>
<b>METHOD OF FINANCING:</b>			
1	General Revenue Fund	1,470,806	1,363,035
<b>TOTAL, METHOD OF FINANCING</b>		<b>\$1,470,806</b>	<b>\$1,363,035</b>
<b>FULL-TIME EQUIVALENT POSITIONS (FTE):</b>		1.0	1.0

**4.B. EXCEPTIONAL ITEMS STRATEGY ALLOCATION SCHEDULE**

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<b>Item Name:</b> Protecting Vulnerable Texans			
<b>Allocation to Strategy:</b> 3-1-2 Information Technology Program Support			
<b>OBJECTS OF EXPENSE:</b>			
2009	OTHER OPERATING EXPENSE	4,087,170	3,548,170
<b>TOTAL, OBJECT OF EXPENSE</b>		<b>\$4,087,170</b>	<b>\$3,548,170</b>
<b>METHOD OF FINANCING:</b>			
1	General Revenue Fund	1,423,111	454,106
555	Federal Funds		
	93.777.002 SURVEY & CERT @ 75%	19,219	16,743
555	Federal Funds		
	93.778.000 XIX FMAP	464,439	403,993
555	Federal Funds		
	93.778.003 XIX 50%	294,381	255,219
555	Federal Funds		
	93.778.004 XIX ADM @ 75%	552,540	479,152
758	GR Match For Medicaid	882,011	1,285,136
8032	GR Certified As Match For Medicaid	451,469	653,821
<b>TOTAL, METHOD OF FINANCING</b>		<b>\$4,087,170</b>	<b>\$3,548,170</b>

## Federal Funds Supporting Schedule - Exceptional Items

Agency Code: 539

Agency Name: Aging and Disability Services, Department of

CFDA No. & Strategy No.	CFDA Description & Strategy Description	Requested 2014	2015
<b>Item # 5</b>	<b>Protecting Vulnerable Texans</b>		
<b>93.777.002</b>	<b>SURVEY &amp; CERT @ 75%</b>		
2.1.1	Facility and Community-Based Regulation	\$637,165	\$637,165
3.1.2	Information Technology Program Support	\$19,219	\$16,743
<b>Total All Strategies</b>		<b>\$656,384</b>	<b>\$653,908</b>
<b>Additional Federal Funds for Employee Benefits</b>		<b>\$0</b>	<b>\$0</b>
<b>TOTAL, Federal Funds</b>		<b>\$656,384</b>	<b>\$653,908</b>
<b>93.778.000</b>	<b>XIX FMAP</b>		
3.1.2	Information Technology Program Support	\$464,439	\$403,993
<b>Total All Strategies</b>		<b>\$464,439</b>	<b>\$403,993</b>
<b>Additional Federal Funds for Employee Benefits</b>		<b>\$0</b>	<b>\$0</b>
<b>TOTAL, Federal Funds</b>		<b>\$464,439</b>	<b>\$403,993</b>
<b>93.778.003</b>	<b>XIX 50%</b>		
1.1.1	Intake, Access, and Eligibility to Services and Supports	\$23,616	\$23,616
2.1.1	Facility and Community-Based Regulation	\$1,775,536	\$1,752,143
3.1.2	Information Technology Program Support	\$294,381	\$255,219
<b>Total All Strategies</b>		<b>\$2,093,533</b>	<b>\$2,030,978</b>
<b>Additional Federal Funds for Employee Benefits</b>		<b>\$0</b>	<b>\$0</b>
<b>TOTAL, Federal Funds</b>		<b>\$2,093,533</b>	<b>\$2,030,978</b>
<b>93.778.004</b>	<b>XIX ADM @ 75%</b>		
1.1.1	Intake, Access, and Eligibility to Services and Supports	\$4,064	\$4,064
3.1.2	Information Technology Program Support	\$552,540	\$479,152
<b>Total All Strategies</b>		<b>\$556,604</b>	<b>\$483,216</b>
<b>Additional Federal Funds for Employee Benefits</b>		<b>\$0</b>	<b>\$0</b>

<b>TOTAL, Federal Funds</b>	<b>\$556,604</b>	<b>\$483,216</b>
<b>Total All Strategies</b>	<b>\$3,770,960</b>	<b>\$3,572,095</b>
<b>Additional Federal Funds for Employee Benefits</b>	<b>\$0</b>	<b>\$0</b>
<b>TOTAL, Federal Funds</b>	<b>\$3,770,960</b>	<b>\$3,572,095</b>
<b>Additional General Revenue for Employee Benefits</b>	<b>\$0</b>	<b>\$0</b>