

CHAPTER 6  
PUBLIC RECORDS AND FAIR INFORMATION PRACTICES

The state appeal board hereby adopts, with the following exceptions and amendments, rules of the Governor's Task Force on Uniform Rules of Agency Procedure relating to public records and fair information practices which are printed in the first volume of the Iowa Administrative Code.

**543—6.1(17A,22) Definitions.** As used in this chapter:

*“Agency.”* In lieu of the words “(official or body issuing these rules)” insert “state appeal board”. As used in these rules, unless the context otherwise requires, “board” means the state appeal board.

**543—6.3(17A,22) Requests for access to records.**

**6.3(1) Location of record.** In lieu of the words “(insert agency head)” insert “state appeal board, department of management”, and in lieu of the words “(insert agency name and address)”, insert “State Appeal Board, Department of Management, State Capitol Building, Des Moines, Iowa 50319”.

**6.3(2) Office hours.** In lieu of the words “(insert customary office hours of at least thirty hours per week, insert hours specified in Iowa Code section 22.4)”, insert “8 a.m. to 4:30 p.m. daily, excluding Saturdays, Sundays, and legal holidays”.

**6.3(7) Fees.**

*c. Supervisory fee.* In lieu of the words “(specify time period)”, insert “thirty minutes”.

**543—6.9(17A,22) Disclosures without the consent of the subject.**

**6.9(1)** Open records are routinely disclosed without the consent of the subject.

**6.9(2)** To the extent allowed by law, disclosure of confidential records may occur without the consent of the subject. Following are instances where disclosure, if lawful, will generally occur without notice to the subject:

- a.* For a routine use as defined in rule 6.10(17A,22) or in any notice for a particular record system.
- b.* To a recipient who has provided the board with advance written assurance that the record will be used solely as a statistical research or reporting record; provided that the record is transferred in a form that does not identify the subject.
- c.* To another government agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if an authorized representative of such government agency or instrumentality has submitted a written request to the agency specifying the record desired and the law enforcement activity for which the record is sought.
- d.* To an individual pursuant to a showing of compelling circumstances affecting the health or safety of any individual if a notice of the disclosure is transmitted to the last-known address of the subject.
- e.* To the legislative services agency under Iowa Code section 2A.3.
- f.* Disclosures in the course of employee disciplinary proceedings.
- g.* In response to a court order or subpoena.

**543—6.10(17A,22) Routine use.**

**6.10(1)** Defined. “Routine use” means the disclosure of a record without the consent of the subject or subjects, for a purpose which is compatible with the purpose for which the record was collected. It includes disclosures required to be made by statute other than the public records law, Iowa Code chapter 22.

**6.10(2)** To the extent allowed by law, the following uses are considered routine uses of all agency records:

- a.* Disclosure to those officers, employees, and agents of the agency who have a need for the record in the performance of their duties. The custodian of the record may upon request of any officer or employee, or on the custodian's own initiative, determine what constitutes legitimate need to use confidential records.

*b.* Disclosure of information indicating an apparent violation of the law to appropriate law enforcement authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

*c.* Disclosure to the department of inspections and appeals for matters in which it is performing services or functions on behalf of the agency.

*d.* Transfers of information within the agency, to other state agencies, or to local units of government as appropriate to administer the program for which the information is collected.

*e.* Information released to staff of federal and state entities for audit purposes or for purposes of determining whether the agency is operating a program lawfully.

*f.* Any disclosure specifically authorized by the statute under which the record was collected or maintained.

**543—6.11(17A,22) Consensual disclosure of confidential records.**

**6.11(1)** *Consent to disclosure by a subject individual.* To the extent permitted by law, the subject may consent in writing to agency disclosure of confidential records as provided in rule 6.7(17A,22).

**6.11(2)** *Complaints to public officials.* A letter from a subject of a confidential record to a public official which seeks the official's intervention on behalf of the subject in a matter that involves the board may, to the extent permitted by law, be treated as an authorization to release sufficient information about the subject to the official to resolve the matter.

**543—6.12(17A,22) Release to subject.**

**6.12(1)** The subject of a confidential record may file a written request to review confidential records about that person as provided in rule 6.6(17A,22). However, the board need not release the following records to the subject:

*a.* The identity of a person providing information to the board need not be disclosed directly or indirectly to the subject of the information when the information is authorized to be held confidential pursuant to Iowa Code section 22.7(18) or other provision of law.

*b.* Records need not be disclosed to the subject when they are the work product of an attorney or are otherwise privileged.

*c.* Peace officers' investigative reports may be withheld from the subject, except as required by the Iowa Code. (See Iowa Code section 22.7(5).)

*d.* As otherwise authorized by law.

**6.12(2)** Where a record has multiple subjects with interest in the confidentiality of the record, the board may take reasonable steps to protect confidential information relating to another subject.

**543—6.13(17A,22) Availability of records.**

**6.13(1)** *General.* Board records are open for public inspection and copying unless otherwise provided by rule or law.

**6.13(2)** *Confidential records.* The state appeal board may withhold recommendations from the attorney general's office when advice is given regarding appeal board claims, based on attorney/client privilege.

**6.13(3)** *Authority to release confidential records.* The board may have discretion to disclose some confidential records which are exempt from disclosure under Iowa Code section 22.7 or other law.

Any person may request permission to inspect records withheld from inspection under a statute which authorizes limited or discretionary disclosure as provided in rule 6.4(17A,22). If the agency initially determines that it will release such records, the agency may, where appropriate, notify interested parties and withhold the records from inspection as provided in subrule 6.4(3).

**543—6.14(17A,22) Personally identifiable information.** The state appeal board does not maintain any records that could be considered personally identifiable.

**543—6.15(17A,22) Data processing systems.** None of the data processing systems used by the agency permit the comparison of personally identifiable information in one record system with personally identifiable information in another record system.

**543—6.16(17A,22) Other records.** The board maintains a variety of records which do not generally contain information pertaining to named individuals. The board maintains the following records, not heretofore listed, which do not generally contain personally identifiable or confidential information: Minutes from meetings, budget protests, and budget hearings.

**543—6.17(17A,22) Applicability.** This chapter does not:

1. Require the board to index or retrieve records which contain information about individuals by that person's name or other personal identifier.
2. Make available to the general public records which would otherwise not be available under the public records law, Iowa Code chapter 22.
3. Govern the maintenance or disclosure of, notification of or access to, records in the possession of the agency which are governed by the rules of another agency.
4. Apply to grantees, including local governments or subdivisions thereof, administering state-funded programs, unless otherwise provided by law or agreement.
5. Make available records compiled by the board in reasonable anticipation of court litigation or formal administrative proceedings. The availability of such records to the general public or to any subject individual or party to such litigation or proceedings shall be governed by applicable legal and constitutional principles, statutes, rules of discovery, evidentiary privileges, and applicable rules of the agency.

These rules are intended to implement Iowa Code section 22.11.

[Filed emergency 8/19/88 after Notice 6/29/88—published 9/7/88, effective 8/19/88]