

CHAPTER 13
PUBLIC RECORDS AND FAIR INFORMATION PRACTICES

[Prior to 9/21/88, see Blind, Division for the[423] Ch 13]

111—13.1(17A,22) Definitions. As used in this chapter:

“*Agency*” in these rules means the department for the blind.

“*Authorization for release of information*” means the form prescribed by the agency for the purpose of authorizing the release of a confidential record, signed and dated by the person empowered to release the information.

“*Case record*” means the file of personally identifiable or confidential information on a client, collected pursuant to the provisions of the Rehabilitation Act of 1973.

“*Client*” means an individual who is applying for or who has applied for, or who is receiving or has received, benefits or services under any agency program.

“*Confidential record*” in these rules means a record which is not available as a matter of right for examination and copying by members of the public under applicable provisions of law. Confidential records include records or information contained in records that the agency is prohibited by law from making available for examination by members of the public, and records or information contained in records that are specified as confidential by Iowa Code section 22.7, or other provision of law, but that may be disclosed upon order of a court, the lawful custodian of the record, or by another person duly authorized to release the record. Mere inclusion in a record of information declared confidential by an applicable provision of law does not necessarily make that entire record a confidential record.

“*Custodian*” in these rules means the agency, or a person lawfully delegated authority by the agency to act for the agency in implementing Iowa Code chapter 22.

“*Open record*” in these rules means a record other than a confidential record.

“*Personally identifiable information*” in these rules means information about or pertaining to an individual in a record which identifies the individual and which is contained in a record system.

“*Record*” in these rules means the whole or part of a “public record,” as defined in Iowa Code section 22.1, that is owned by or in the physical possession of this agency.

“*Record system*” in these rules means any group of records under the control of the agency from which a record may be retrieved by a personal identifier such as the name of an individual, number, symbol, or other unique retriever assigned to an individual.

111—13.2(17A,22) Statement of policy. The purpose of this chapter is to facilitate broad public access to open records. It also seeks to facilitate sound agency determinations with respect to the handling of confidential records and the implementation of the fair information practices Act. This agency is committed to the policies set forth in Iowa Code chapter 22; agency staff shall cooperate with members of the public in implementing the provisions of that chapter.

111—13.3(17A,22) Requests for access to records.

13.3(1) Location of record. A request for access to a record should be directed to the director of the department for the blind or the particular agency office where the record is kept. If the location of the record is not known by the requester, the request shall be directed to the Department for the Blind, 524 Fourth Street, Des Moines, Iowa 50309. If a request for access to a record is misdirected, agency personnel will promptly forward the request to the appropriate person within the agency.

13.3(2) Office hours. Open records shall be made available during all customary office hours, which are between 8 a.m. and 4:30 p.m. daily, excluding Saturdays, Sundays and legal holidays.

13.3(3) Request for access. Requests for access to open records may be made in writing, in person, by electronic mail, or by telephone. Requests shall identify the particular records sought by name or description in order to facilitate the location of the record. Mail or telephone requests shall include the name, address, and phone number of the person requesting the information. A person shall not be required to give a reason for requesting an open record.

13.3(4) *Response to requests.* Access to an open record shall be provided promptly upon request unless the size or nature of the request makes prompt access infeasible. If the size or nature of the request for access to an open record requires time for compliance, the custodian shall comply with the request as soon as feasible. Access to an open record may be delayed for one of the purposes authorized by Iowa Code section 22.8(4) or 22.10(4). The custodian shall promptly give notice to the requester of the reason for any delay in access to an open record and an estimate of the length of that delay and, upon request, shall promptly provide that notice to the requester in writing.

The custodian of a record may deny access to the record by members of the public only on the grounds that such a denial is warranted under Iowa Code section 22.8(4) or 22.10(4), or that it is a confidential record, or that its disclosure is prohibited by a court order. Access by members of the public to a confidential record is limited by law and, therefore, may generally be provided only in accordance with the provisions of rule 111—13.4(17A,22) and other applicable provisions of law.

13.3(5) *Security of record.* No person shall, without permission from the custodian, search or remove any record from agency files. Examination and copying of agency records shall be supervised by the custodian or a designee of the custodian. Records shall be protected from damage and disorganization.

13.3(6) *Copying.* A reasonable number of copies of an open record may be made in the agency's office. If photocopy equipment is not available in the agency office where an open record is kept, the custodian shall permit its examination in that office and shall arrange to have copies promptly made elsewhere.

13.3(7) *Fees.*

a. When charged. The agency may charge fees in connection with the examination or copying of records only if the fees are authorized by law. To the extent permitted by applicable provisions of law, the payment of fees may be waived when the imposition of fees is inequitable or when a waiver is in the public interest.

b. Copying and postage costs. Price schedules for published materials and for photocopies of records supplied by the agency shall be prominently posted in agency offices. Copies of records may be made by or for members of the public on agency photocopy machines or from electronic storage systems at cost as determined and posted in agency offices by the custodian. When the mailing of copies of records is requested, the actual costs of such mailing may also be charged to the requester.

c. Supervisory fee. An hourly fee may be charged for actual agency expenses in supervising the examination and copying of requested records when the supervision time required is in excess of one-half hour. The custodian shall prominently post in agency offices the hourly fees to be charged for supervision of records during examination and copying. That hourly fee shall not be in excess of the hourly wage of an agency clerical employee who ordinarily would be appropriate and suitable to perform this supervisory function.

d. Advance deposits.

(1) When the estimated total fee chargeable under this subrule exceeds \$25, the custodian may require a requester to make an advance payment to cover all or part of the estimated fee.

(2) When a requester has previously failed to pay a fee charged under this subrule, the custodian may require advance payment of the full amount of any estimated fee before the custodian processes a new request from the requester.

e. A client shall not be charged a search and supervisory fee nor a copying fee for access to the client's own case record.

[ARC 0461C, IAB 11/28/12, effective 1/2/13]

111—13.4(17A,22) Access to confidential records. Under Iowa Code section 22.7 or other applicable provisions of law, the lawful custodian may disclose certain confidential records to one or more members of the public. Other provisions of law authorize or require the custodian to release specified confidential records under certain circumstances or to particular persons. In requesting the custodian to permit the examination and copying of such a confidential record, the following procedures apply and are in addition to those specified for requests for access to records in rule 111—13.3(17A,22).

13.4(1) *Proof of identity.* A person requesting access to a confidential record may be required to provide proof of identity or authority to secure access to the record.

13.4(2) *Requests.* The custodian may require a request to examine and copy a confidential record to be in writing. A person requesting access to such a record may be required to sign a certified statement or affidavit enumerating the specific reasons justifying access to the confidential record and to provide any proof necessary to establish relevant facts.

13.4(3) *Notice to subject of record and opportunity to obtain injunction.* After the custodian receives a request for access to a confidential record, and before the custodian releases such a record, the custodian may make reasonable efforts to notify promptly any person who is a subject of the record, is identified in that record, and whose address or telephone number is contained in that record. To the extent such a delay is practicable, and in the public interest, the custodian may give the subject of such a confidential record to whom notification is transmitted a reasonable opportunity to seek an injunction under Iowa Code section 22.8, and indicate to the subject of the record the specific period of time during which disclosure will be delayed for that purpose.

13.4(4) *Request denied.* When the custodian denies a request for access to a confidential record, the custodian shall promptly notify the requester. If the requester indicates to the custodian that a written notification of the denial is desired, the custodian shall promptly provide such a notification that is signed by the custodian and that includes:

- a. The name and title or position of the custodian responsible for the denial; and
- b. A citation to the provision of law vesting authority in the custodian to deny disclosure of the record and a brief statement of the reasons for the denial to the requester.

13.4(5) *Request granted.* When the custodian grants a request for access to a confidential record to a particular person, the custodian shall notify that person and indicate any lawful restrictions imposed by the custodian on that person's examination and copying of the record.

111—13.5(17A,22) *Requests for treatment of a record as a confidential record and its withholding from examination.* The custodian may treat a record as a confidential record and withhold it from examination only to the extent that the custodian is authorized by Iowa Code section 22.7, another applicable provision of law, or a court order, to refuse to disclose that record to members of the public.

13.5(1) *Persons who may request.* Any person who would be aggrieved or adversely affected by disclosure of a record and who asserts that Iowa Code section 22.7, another applicable provision of law, or a court order, authorizes the custodian to treat the record as a confidential record, may request the custodian to treat that record as a confidential record and to withhold it from public inspection.

13.5(2) *Request.* A request that a record be treated as a confidential record and be withheld from public inspection shall be in writing and shall be filed with the custodian. The request must set forth the legal and factual basis justifying such confidential record treatment for that record, and the name, address, and telephone number of the person authorized to respond to any inquiry or action of the custodian concerning the request. A person requesting treatment of a record as a confidential record may also be required to sign a certified statement or affidavit enumerating the specific reasons justifying the treatment of that record as a confidential record and to provide any proof necessary to establish relevant facts. Requests for treatment of a record as such a confidential record for a limited time period shall also specify the precise period of time for which that treatment is requested.

A person filing such a request shall, if possible, accompany the request with a copy of the record in question from which those portions for which such confidential record treatment has been requested have been deleted. If the original record is being submitted to the agency by the person requesting such confidential treatment at the time the request is filed, the person shall indicate conspicuously on the original record that all or portions of it are confidential.

13.5(3) *Failure to request.* Failure of a person to request confidential record treatment for a record does not preclude the agency from treating it as a confidential record. However, if a person who has submitted business information to the agency does not request that it be withheld from public inspection under Iowa Code section 22.7(3) or 22.7(6), the custodian of records containing that information may proceed as if that person has no objection to its disclosure to members of the public.

13.5(4) *Timing of decision.* A decision by the custodian with respect to the disclosure of a record to members of the public may be made when a request for its treatment as a confidential record that is not available for public inspection is filed, or when the custodian receives a request for access to the record by a member of the public.

13.5(5) *Request granted or deferred.* If a request for such confidential record treatment is granted, or if action on such a request is deferred, a copy of the record from which the matter in question has been deleted and a copy of the decision to grant the request or to defer action upon the request will be made available for public inspection in lieu of the original record. If the custodian subsequently receives a request for access to the original record, the custodian will make reasonable and timely efforts to notify any person who filed a request for its treatment as a confidential record that is not available for public inspection of the pendency of that subsequent request.

13.5(6) *Request denied and opportunity to seek injunction.* If a request that a record be treated as a confidential record and be withheld from public inspection is denied, the custodian shall notify the requester in writing of that determination and the reasons therefor. On application by the requester, the custodian may engage in a good faith, reasonable delay in allowing examination of the record so that the requester may seek injunctive relief under the provisions of Iowa Code section 22.8, or other applicable provision of law. However, such a record shall not be withheld from public inspection for any period of time if the custodian determines that the requester had no reasonable grounds to justify treatment of that record as a confidential record. The custodian shall notify the requester in writing of the time period allowed to seek injunctive relief or the reasons for the determination that no reasonable grounds exist to justify the treatment of that record as a confidential record. The custodian may extend the period of good faith, reasonable delay in allowing examination of the record so that the requester may seek injunctive relief only if no request for examination of that record has been received, or if a court directs the custodian to treat it as a confidential record, or to the extent permitted by another applicable provision of law, or with the consent of the person requesting access.

111—13.6(17A,22) Procedure by which additions, dissents, or objections may be entered into certain records. Except as otherwise provided by law, a person may file a request with the custodian to review, and to have a written statement of additions, dissents, or objections entered into a record containing personally identifiable information pertaining to that person. However, this does not authorize a person who is a subject of such a record to alter the original copy of that record or to expand the official record of any agency proceeding. Requester shall send the request to review such a record or the written statement of additions, dissents, or objections to the custodian. The request to review a written statement must be dated and signed by requester, and shall include the current address and telephone number of the requester or the requester's representative.

111—13.7(17A,22) Authorization for release of information by the subject of a confidential record. The subject of a confidential record may consent to agency disclosure to a third party of that portion of a record concerning the subject by completing an "Authorization for release of information" form. The consent must identify the record or records that may be disclosed; the person, or class of persons, to whom the record or records may be disclosed; and, if applicable, the time period during which the record may be disclosed. The agency may require the subject of the record and the person to whom the record is to be disclosed to provide proof of identity.

111—13.8(17A,22) Notice to suppliers of information. When the agency requests provision of information by a client or any other person, the agency shall inform the person of the following:

1. The authority under which the information is collected;
2. The principal purposes for which the information will be used or released;
3. What persons outside the agency might routinely have access to the information;
4. Which parts of the requested information are required and which are optional, and the consequences of failing to provide the information requested; and

5. The situations in which completing an “Authorization for release of information” form is or is not required before releasing information.

13.8(1) Persons who are unable to communicate in English or who rely on special modes of communication shall be provided explanations through methods they can understand.

13.8(2) This information shall be provided to each client for agency services as a part of the application process.

111—13.9(17A,22) Disclosures without the consent of the subject. Open records are routinely disclosed without the consent of the subject. To the extent allowed by law, disclosure of confidential records may occur without the consent of the subject. Lawful disclosure will generally occur without notice:

1. For routine use as defined in rule 111—13.10(17A,22) or in the notice for a particular record system;

2. To a recipient who has provided the agency with advance written assurance that the record will be used solely for statistical purposes in an audit or evaluation, or in research which is directly connected with the administration of the agency’s programs; provided that the record is used only for the purposes provided; is released only to individuals officially connected with the audit, evaluation or research; is not released to the subject of the record; is managed in a manner which safeguards confidentiality; and does not appear in a final product in a form which would reveal personally identifiable information;

3. 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 the 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;

4. When necessary to protect the subject of the record or others when the subject poses a threat to safety;

5. To the legislative services agency under Iowa Code section 2A.3;

6. In the course of employee disciplinary proceedings; or

7. In response to a court order or subpoena.

111—13.10(17A,22) Routine use. “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 statutes other than the public records law, Iowa Code chapter 22.

To the extent allowed by law, the following uses are considered routine uses of all agency records:

1. Disclosure to commissioners or staff members who have a need for the record in the performance of their duties. The custodian of the record may upon request of any commissioner or employee, or on the custodian’s own initiative, determine what constitutes legitimate need to use a confidential record;

2. 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;

3. Disclosure to the department of inspections and appeals, or to other impartial hearing officers appointed by the director pursuant to these rules, for matters in which services or functions are being performed on behalf of the agency;

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

5. Release of information to staff of federal and state entities for audit purposes or for purposes of determining whether the agency is operating a program lawfully; or

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

111—13.11(17A,22) Consensual disclosure of confidential records.

13.11(1) The subject of a record may complete the agency Authorization for Release of Information form, consenting in writing to agency disclosure of confidential records as provided in rule 111—13.7(17A,22).

13.11(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 agency 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.

13.11(3) Obtaining information from a third party. In order to obtain medical or psychological records or other information needed to determine program eligibility or to provide services, the agency may be required to make requests for information to third parties which may involve the release of personally identifiable and confidential information about the subject of a record. Except as provided in rule 111—13.9(17A,22), the agency may do so only when an Authorization for Release of Information form has been properly executed by the subject of the record.

111—13.12(17A,22) Release to subject. The subject of a confidential record, or the representative of the subject of a confidential record, may file a written request to review confidential records about that person. The agency shall make all information in the case record accessible to the subject or the subject's representative in a timely manner, except:

1. The identity of a person providing information to the agency when the information is authorized to be held confidential pursuant to Iowa Code section 22.7(18);
2. The work product of an attorney; and
3. Investigative reports of peace officers, except as required pursuant to Iowa Code section 22.7(5).

13.12(1) Medical or psychological information which the staff believes may be harmful to the subject of a case record shall not be released directly to the individual, but must be provided through a representative, a physician, psychiatrist, or a certified substance abuse counselor, as appropriate.

13.12(2) If a record has multiple subjects with interest in the confidentiality of the record, the agency may take reasonable steps to protect confidential information relating to another subject.

111—13.13(17A,22) Availability of records.

13.13(1) General. Agency records are open for public inspection and copying unless otherwise provided by rule or law.

13.13(2) Confidential records. The following records, categorized by agency program area, shall be held confidential. The statutory authority for confidentiality of each record system is given.

<u>Records</u>	<u>Statutory Authority</u>
ADMINISTRATION	
Central blind registry (c)	Iowa Code section 259.1
Client financial documents	Iowa Code section 259.1
Employment applications	Iowa Code section 22.7(11)
Minutes, closed meetings, commission for the blind	Iowa Code section 21.5(4)
Performance evaluations	Iowa Code section 19A.15
Personnel records	Iowa Code section 19A.15

Personnel attendance records	Iowa Code section 19A.15
Portions of agency staff manuals or indexed general statements of policy when disclosure of the information would: (1) enable law violators to avoid detection; (2) facilitate disregard of requirements imposed by law; or (3) give a clearly improper advantage to persons who are in an adverse position to the agency	Iowa Code sections 17A.2 and 17A.3
Unemployment claims	Iowa Code section 19A.15

ADULT ORIENTATION AND ADJUSTMENT CENTER

Orientation center student information	Iowa Code section 259.1
Orientation center student list	Iowa Code section 259.1
Orientation center student/alumni data base (c)	Iowa Code section 259.1

BUSINESS ENTERPRISE PROGRAM

Closing vendor inventories	Iowa Code section 259.1
Individual operator management training records	Iowa Code section 259.1
Operator assignment selection records	Iowa Code section 259.1
Vendor equipment inventories	Iowa Code section 259.1
Vendor financial information	Iowa Code section 259.1

INDEPENDENT LIVING REHABILITATION SERVICES

Case records	Iowa Code section 259.1
Client case number book	Iowa Code section 259.1
Client closure book	Iowa Code section 259.1
Client contact itineraries	Iowa Code section 259.1
Client master list	Iowa Code section 259.1
Client satisfaction survey	Iowa Code section 259.1

Library field contact report	Iowa 259.1	Code	section
Field operations staff reports	Iowa 259.1	Code	section

LIBRARY FOR THE BLIND AND PHYSICALLY HANDICAPPED

American college testing service test materials	Iowa 22.7(19)	Code	section
American printing house for the blind availability inquiries	Iowa 22.7(13)	Code	section
Applications for library service	Iowa 259.1	Code	section
Book order records	Iowa 22.7(13)	Code	section
Book transcription completion records	Iowa 22.7(13)	Code	section
Braille thermoform request records	Iowa 22.7(13)	Code	section
Circulation records	Iowa 22.7(13)	Code	section
CMLS microfiche and printout book of library patron records	Iowa 22.7(13)	Code	section
EI cassette machine pilot project user listing	Iowa 22.7(13)	Code	section
Hand-thermoformed braille library patron list	Iowa 22.7(13)	Code	section
Instructional materials center purchase orders	Iowa 22.7(13)	Code	section
Interlibrary library patron loan records	Iowa 22.7(13)	Code	section
Iowa basic skills test materials	Iowa 22.7(19)	Code	section
Iowa federation of women's clubs library patron request records	Iowa 22.7(13)	Code	section
Iowa Lions bible distribution list	Iowa 22.7(13)	Code	section
Library patron correspondence	Iowa 22.7(13)	Code	section
Library patron equipment inventory	Iowa 22.7(13)	Code	section
Library patron orders, monthly reports	Iowa 22.7(13)	Code	section
Library patron braille requests and production records	Iowa 22.7(13)	Code	section
Library patron braille request exchange list	Iowa 22.7(13)	Code	section

New library patron listing	Iowa Code section 22.7(13)
NLS subscription transaction records	Iowa Code section 22.7(13)
NLS updates on library patron service changes	Iowa Code section 22.7(13)
Out-of-state library patron duplication records	Iowa Code section 22.7(13)
Pioneer service reports	Iowa Code section 22.7(13)
Recording for the blind circulation records	Iowa Code section 22.7(13)
Tape purchase correspondence	Iowa Code section 22.7(13)
Textbook tracking materials	Iowa Code section 22.7(13)

VOCATIONAL REHABILITATION SERVICES

Annual SGA closure list	Iowa Code section 259.1
Case records	Iowa Code section 259.1
Certification letters	Iowa Code section 259.1
Claim and verification requests	Iowa Code section 259.1
Client contact itineraries	Iowa Code section 259.1
Client master list	Iowa Code section 259.1
Client orientation schedule list	Iowa Code section 259.1
Client satisfaction survey	Iowa Code section 259.1
Department of personnel braille typing tests	Iowa Code section 19A.15
Monthly field operations staff reports	Iowa Code section 259.1
SSA responses to claim & verification requests	Iowa Code section 259.1

NOTE: (c) indicates information is also stored on a computer database.

13.13(3) Personally identifiable information. This subrule describes the nature and extent of personally identifiable information which is collected, maintained, and retrieved by the agency by personal identifier in record systems defined in rule 111—13.1(17A,22). For each record system,

this subrule describes the legal authority for the collection of information. These record systems, categorized by agency program area, are:

<u>Records</u>	<u>Legal Authority for Collection</u>		
ADMINISTRATION			
Accounts payable vouchers	Iowa 259.1	Code	section
Central blind registry (c)	Iowa 259.1	Code	section
Client financial documents	Iowa 259.1	Code	section
Employment applications	Iowa 19A.15	Code	section
Performance evaluations	Iowa 19A.15	Code	section
Personnel records	Iowa 19A.15	Code	section
Personnel attendance records	Iowa 19A.15	Code	section
Unemployment claims	Iowa 19A.15	Code	section
ADULT ORIENTATION AND ADJUSTMENT CENTER			
Orientation center student information	Iowa 259.1	Code	section
Orientation center student list	Iowa 259.1	Code	section
Orientation center student/alumni database (c)	Iowa 259.1	Code	section
BUSINESS ENTERPRISE PROGRAM			
Closing vendor inventories	Iowa 259.1	Code	section
Individual operator management training records	Iowa 259.1	Code	section
Operator assignment selection records	Iowa 259.1	Code	section
Vendor equipment inventories	Iowa 259.1	Code	section
Vendor financial information	Iowa 259.1	Code	section

INDEPENDENT LIVING REHABILITATION
SERVICES

Case records	Iowa 259.1	Code	section
Client case number book	Iowa 259.1	Code	section
Client closure book	Iowa 259.1	Code	section
Client contact itineraries	Iowa 259.1	Code	section
Client equipment inventory cards	Iowa 259.1	Code	section
Library field contact report	Iowa 259.1	Code	section
Field operations monthly reports	Iowa 259.1	Code	section

LIBRARY FOR THE BLIND AND PHYSICALLY HANDICAPPED

American printing house for the blind library patron availability inquiries	Iowa 216B.3	Code	section
Applications for library service	Iowa 216B.3	Code	section
Book order records	Iowa 216B.3	Code	section
Book transcription completion records	Iowa 22.7(13)	Code	section
Braille thermoform request records	Iowa 22.7(13)	Code	section
Circulation records	Iowa 216B.3	Code	section
CMLS microfiche and printout book of library patron records	Iowa 216B.3	Code	section
EI cassette machine pilot project user listing	Iowa 216B.3	Code	section
Hand-thermoformed braille library patron list	Iowa 216B.3	Code	section
Instructional materials center purchase orders	Iowa 216B.3	Code	section
Interlibrary library patron loan records	Iowa 216B.3	Code	section
Iowa federation of women's clubs library patron request tracking	Iowa 216B.3	Code	section
Iowa Lions bible distribution list	Iowa 216B.3	Code	section
Library patron correspondence	Iowa 216B.3	Code	section

Library patron equipment inventory	Iowa 216B.3	Code	section
Library patron orders, monthly reports	Iowa 216B.3	Code	section
Library patron braille requests and production records	Iowa 216B.3	Code	section
Library patron braille request exchange list	Iowa 216B.3	Code	section
New library patron listing	Iowa 216B.3	Code	section
NLS subscription transaction records	Iowa 216B.3	Code	section
NLS updates on library patron service changes	Iowa 216B.3	Code	section
Out-of-state library patron duplication records	Iowa 216B.3	Code	section
Pioneer service reports	Iowa 216B.3	Code	section
Recording for the blind circulation records	Iowa 216B.3	Code	section
Tape purchase correspondence	Iowa 216B.3	Code	section
Textbook tracking materials	Iowa 216B.3	Code	section

VOCATIONAL REHABILITATION SERVICES

Annual SGA closure list	Iowa 259.1	Code	section
Case records	Iowa 259.1	Code	section
Certification letters	Iowa 259.1	Code	section
Claim & verification requests	Iowa 259.1	Code	section
Client contact itineraries	Iowa 259.1	Code	section
Client orientation schedule list	Iowa 259.1	Code	section
SSA responses to claim & verification requests	Iowa 259.1	Code	section

NOTE: (c) indicates information is also stored on a computer database.

13.13(4) Open records. Agency records are open for public inspection and copying unless otherwise provided by rule or law. These record systems, categorized by agency program area, are routinely

available to the public. They do not generally contain personally identifiable information or confidential information.

Records

ADMINISTRATION

Acknowledgments of gifts and bequests contributions
Administrative rules, public docket and rule-making records
Advisory boards, commissions, associations, committees and task forces: correspondence, minutes and general information
Aids and appliances, accounts receivable
Annual reports
Building blueprints
Building equipment reference manuals and data
Cooperative agreements
CSAVR, correspondence and general information
Dept. of education, correspondence, fiscal records and general information
Dept. of personnel procedures manual
Employee assistance fund information
Employee handbook
Equipment maintenance agreements
Executive calendar, current and past
Federal financial reports
Federal funds request authorizations
Federal government agencies, correspondence and reports
Film and videotape information
Fire evacuation procedures
Fiscal information on special projects
Forms, indexed
General complaints and criticisms from the public
General letters of appreciation from the public
General requests and inquiries from the public
General statements of agency policy, indexed
Gift law, general information
Iowa head injury committee
Iowa management training system, general information
Job opening announcements
Legislators, listing
Legislative correspondence and general information
Mailing lists
Maintenance work orders (c)
Membership, payment approvals
Minutes, Iowa commission for the blind
Monthly financial reports, dept. of revenue
National council of state agencies for the blind, correspondence and general information
New staff seminar schedules and evaluations
Out-of-state travel authorization requests and approvals
Personnel classifications, job descriptions and pay schedules
Personnel instructional pamphlets
Photographs and resumes, administrator and commission members
Pool/gym agreements
Position description questionnaires

Press releases and news clippings
Private organizations, correspondence and general information
Product safety chemical data sheets
Professional and technical associations, correspondence and general information
Public records docket
Publications
Rehabilitation administrative management program, general information and correspondence
Rehabnet, general information and memos
Rental and lease agreements
Sixtieth anniversary, general information
Staff service certificates
State government agencies, correspondence and reports
State vehicle dispatcher monthly reports
Statements of grant awards
Studies, surveys and proposals
28E agreements
Utility consumption and cost data (c)

BUSINESS ENTERPRISE PROGRAM

Blueprints and equipment layouts
Randolph-Sheppard Act
State plan, Randolph-Sheppard Act
Vendor forms

INDEPENDENT LIVING REHABILITATION SERVICES

CSAVR independent living committee
Deaf-blind register
Grant applications and instructional memos
Independent living advisory committee, general information and minutes
Independent living forms
Independent living procedure memos and schedules
In-service training grant, application and agendas
Part C announcements and reference materials
RCEP training advisory committee, general information and correspondence
Reference materials on alternative techniques
RSA 704 report
RSA 70B report
Special project grant, 1983
State plan for independent living services
Statewide independent living council, general information and minutes
Title VII, part b grant, reports and correspondence

LIBRARY FOR THE BLIND AND PHYSICALLY HANDICAPPED

Acquisition of bibles, general information
American printing house for the blind federal quota orders
American federation for the blind directory of agencies
APH central automated resource list
Application transfer technique study
Bibliographies, by subject

Bindery tracking records
Book inspection survey
Books proofread for sale, listing
Braille alphabet cards
Braille instruction manuals and sign booklets
Brochures from other libraries for the blind
Card catalog microfilming information
Card catalog uniform entries authority
Card file of print books about blindness
Card file of cassettes processed
Cassette books, number assignment record
Catalog production and master records
Censorship, general information
Circulation, general information
Comprehensive mailing list system (CMLS), general information
Computer installation information
Computer software and software manuals
Copyright clearance records
Deaf-blindness, general information
Diebold repairs, general information
Disabilities, general information
Duplicators, general information
EI cassette instructional video
Eligibility, general information
Equal employment opportunity, general information
Equipment manuals
Forms, inventory and masters (c)
Free matter for the blind and physically handicapped, general information
General library statistics
Guidelines for tapists
Health care facilities in Iowa, listing
Historical collection of uncataloged examples of tactile systems
Instructional materials center, general information
Intention and completion forms for the American printing house for the blind
Iowa computer-assisted network advisory board minutes, 1985
Iowa federated women's clubs, listing
Iowa library directory
Iowa libraries: a time to grow 1985-90 (program planning guide)
Iowa Lions foundation
Large-type format, general information
Lead worker, general information
Library automation report, 1983
Library consumer advisory committee minutes and general information
Library grants
Library materials invoices
Library staff procedures manuals
Logs, various department systems
Machines, general information
Magazine inventory
Magazine transaction merge procedures
Magazines, reference materials on selection, transcription and subscription
Mailing lists

Marantz, general repair information
Modems, general information
Monthly reports on nonusers of library service
National braille association bulletins
NLS availability listings
NLS automation reports
NLS, general correspondence and information
NLS removal authorization documentation
Nonborrower purchase orders
OCR scanners, general information
Postal service, general information
Publication catalogs
Publishers, listing
Radio reading for the blind, production information
Reader enrollment and delivery systems (READS), general information
Records management listing of library records
Request for proposal for local area network
Salvaging rigid talking book discs, instruction manual
Shelving, general information
Snowbirds, general information
Space utilization report
Speech/braille computer output, general information
Titles received, book listing
Training grant, general information
Transcriber's workshop, documentation and information
Vendor listing
World book encyclopedia, informational material
XESS, listing of books removed from the collection

NOTE: In addition to the above records, a complete inventory of all materials available for circulation is maintained in the library's card catalog.

VOCATIONAL REHABILITATION

Available readers and drivers listing
Dept. of personnel, certified disabilities program
Commissioner policies on service provision
Computer technology reference materials
Counselor instructional manual
Field operations statistical reports
504 subcommittee meeting records
General resource materials on employment and vocational rehabilitation
Health resources and information
Information on U.S. civil service and personnel management
In-service training agendas
In-service training grant
Job openings posting book
Medical reference pamphlets and brochures
Paratransit advisory committee reference materials
Photographs
RCEP training advisory committee reference listing
Reference materials on Targeted jobs tax credit, Job training partnership Act and PWI programs

Rehabilitation Act of 1973
 Rehabilitation services administration annual report on postemployment services and annual reviews
 Rehabilitation services administration federal regulations
 Rehabilitation services administration monthly cumulative caseload report
 Rehabilitation services administration quarterly cumulative caseload report
 Rehabilitation services administration program and cost report
 Social security disability and SSI reference materials
 Speeches by Kenneth Jernigan and Jacob tenBroek
 SSA administrative procedure letters
 SSA program instructions and resource materials
 Staff procedure memos
 Staff territory assignments
 State facilities plan
 State plan for vocational rehabilitation services
 Supported employment reference materials
 Telephone directories for DVRS and AEA personnel
 Transition committee minutes and reference materials
 Veterans administration resource materials
 Vocational rehabilitation guidelines and procedures

NOTE: (c) indicates information is also stored on a computer database.

The following record systems, categorized by agency program area, are open to access by the public, but may contain personally identifiable or confidential information:

<u>Records</u>	<u>Statutory Authority</u>
ADMINISTRATION	
Accounts payable vouchers	Iowa Code section 259.1
Accounting interagency correspondence and information	Iowa Code sections 259.1 and 19A.15
Applications for education leave and educational assistance	Iowa Code section 19A.15
Correspondence, general	Iowa Code section 259.1
Gifts and bequests trust account records	Iowa Code section 216B.3
Minutes, supervisors meetings	Iowa Code section 259.1
BUSINESS ENTERPRISE PROGRAM	
Closed vending facilities	Iowa Code section 259.1
Correspondence, general	Iowa Code section 259.1

Correspondence, vendor	Iowa 259.1	Code	section
Licenses	Iowa 259.1	Code	section
Minutes, state vendor committee	Iowa 259.1	Code	section
Vending facilities (all locations)	Iowa 259.1	Code	section

INDEPENDENT LIVING REHABILITATION
SERVICES

Agency contact documentation	Iowa 259.1	Code	section
Bistate independent living center	Iowa 259.1	Code	section
Client equipment inventory cards	Iowa 259.1	Code	section
General correspondence, 1981-84	Iowa 259.1	Code	section
Helen Keller national center, grant, reports, and correspondence	Iowa 259.1	Code	section

LIBRARY FOR THE BLIND AND PHYSICALLY HANDICAPPED

Braillewriter equipment inventory	Iowa 216B.3	Code	section
Marantz equipment inventory and repair records	Iowa 216B.3	Code	section
Proofreader circulation assignments	Iowa 216B.3	Code	section
Tape exchange correspondence	Iowa 216B.3	Code	section
Volunteer braille and tape production records	Iowa 216B.3	Code	section

VOCATIONAL REHABILITATION

General correspondence	Iowa 259.1	Code	section
Intra-office and interoffice memos	Iowa 259.1	Code	section
Lions typewriter acquisition list	Iowa 259.1	Code	section

NOTE: (c) indicates information is also stored on a computer database.

111—13.14(17A,22) Automated data processing capabilities. All records are stored on paper and not in automated data processing systems unless otherwise noted. Data processing systems used by the agency do not permit the comparison of personally identifiable information in one record system with personally identifiable information in another record system, unless specifically noted.

111—13.15(17A,22) Applicability. This chapter does not:

1. Require the agency 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 regulations of another agency;
4. Apply to records of grantees which administer state-funded programs, nor to individual vendors licensed by the agency pursuant to the federal Randolph-Sheppard Act; or
5. Make available to the public, records compiled by the agency 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 regulations of the agency.

These rules are intended to implement Iowa Code chapters 17A and 22.

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