

141—3.12(2C,22) Personally identifiable information. This rule describes the nature and extent of personally identifiable information which is collected, maintained, and retrieved by the agency by personal identifier in the record systems and the means by which that information is stored. Unless otherwise stated, the authority to collect the information is provided by Iowa Code chapter 2C and the statutes governing the subject matter of the record. The record systems maintained by the agency are:

3.12(1) Intake files. The intake files contain information related to complaints and information requests which are received or initiated by the agency. Some of these files also include information collected from preliminary inquiries on complaints. These files contain notes and memoranda of agency staff members and may include research materials, correspondence, and documents provided by complainants or agencies involved in the complaints. These files are stored both in paper form and electronically. These files are confidential pursuant to Iowa Code section 2C.8.

3.12(2) Case files. The case files are created from intake files of complaints which are not readily resolved during the preliminary review and inquiry process or which are investigated. Case files are also generated from intake files which contain confidential records provided by other agencies. These files contain agency staff notes and memoranda and may include research materials, correspondence, documents, legal counsel opinions, investigative information, critical or special reports, and case management records. These files are stored in paper form. Critical reports and special reports which are published are open to public inspection. All other information in case files is confidential pursuant to Iowa Code section 2C.8.

3.12(3) Intake and case database files. Some administrative data from intake files and case files is contained on a computer database. The administrative data includes names and locations of persons who contacted the agency, methods of contact, agency staff members who handled the intake or case files, the dates the files were opened and closed, the subjects of the contacts, and the agencies involved. This database system serves as a means of organizing the administrative data by different categories into a readily accessible format. These files are subject to the same confidentiality provisions as intake files and case files.

3.12(4) Case card files. The case card files contain administrative data from open and closed case files. These files are indexed by the names of the persons who contacted the agency. These files are stored in paper form on index cards. These files are subject to the same confidentiality provisions as case files.

3.12(5) Litigation files. The litigation files contain information regarding litigation or anticipated litigation, which includes judicial and administrative proceedings. These files include pleadings, briefs, depositions, discovery materials, docket sheets, general correspondence, attorney-client correspondence, documents, memoranda, investigative information, research materials, witness information, attorney's notes, information compiled under the direction of the attorney, and case management records. These files are stored in paper form. These files contain materials which are confidential as attorney work product and attorney-client communications or which are confidential under Iowa Code section 2C.8 or other applicable law, or because of a court order.

3.12(6) Petition for rule making files. The petitions for rule making files contain the petitions, documents, agency notes and memoranda, legal counsel opinions, and the agency's decisions on the petitions. These files are stored in paper form.

3.12(7) Petition for declaratory ruling files. The petition for declaratory ruling files contain the petitions, documents, agency notes and memoranda, legal counsel opinions, and the agency's decisions or rulings on the petitions. The files are stored in paper form.

3.12(8) Personnel files. The personnel files contain information about the employees in the agency. These files include payroll records, information required for tax withholding, biographical information, medical information relating to disability, information concerning employee benefits, performance evaluations and reviews, disciplinary information, and other information concerning employer-employee relationships. These records are stored in paper form. Some information in these records is confidential under Iowa Code section 22.7.

3.12(9) Applicant files. The applicant files contain information about applicants for positions with the agency. These files include biographical information, correspondence, equal employment

opportunity and affirmative action data, and other preemployment materials. These files are stored in paper form. Some information in these files is confidential under Iowa Code section 22.7 or other applicable law.