

Message: FW: DAS-HRE Stakeholders - Feedback Requested**Case Information:**

Message Type: Exchange
 Message Direction: External, Outbound
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:29 PM
 Item ID: 40861793
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

FW: DAS-HRE Stakeholders - Feedback Requested

From Minnehan, Michelle [DAS] **Date** Wednesday, November 27, 2013 9:00 AM
To DAS-HRE Stakeholders
Cc

[Administrative Rules-Proposed Changes-DRAFT.pdf](#) (656 Kb HTML) [Recruitment Committee-Memo from Bill West.pdf](#) (90 Kb HTML) [Service Guide for Managers and Supervisors-DRAFT.pdf](#) (1211 Kb HTML) [State Handbook-DRAFT-NOT FOR DISTRIBUTION.pdf](#) (1988 Kb HTML) [List of Updates to 2013 Handbook.pdf](#) (201 Kb HTML) [Minutes-DAS Stakeholder Meeting-09-09-13.pdf](#) (333 Kb HTML) [image001.jpg](#) (4 Kb HTML)

Good morning,

We have received several requests for additional time to provide feedback on the attached documents; therefore, we have extended the submission date for feedback to December 18. As a result, we will also be rescheduling the Stakeholder Meeting from Monday, December 2 to a date in January.

Please let me know if you have questions or concerns.

From: Minnehan, Michelle [DAS]

Sent: Friday, November 15, 2013 9:39 AM

To: Austin, Karen [TOS]; Axne, Cindy [DNR]; Berger, Jeff [ED]; Carlstrom, Jason [IBOP]; Chen, Angela [HSEMD]; Churchill, Susan [DAS]; Clabaugh, Gerd [IDPH]; Clary, Ann [SOS]; Conrad, Joan [IUB]; Coulter, Matthew [DVRs]; Cutler-Bermudez, Penny [IVH]; Deaton, Martin [DPS]; Graham, Terry [ODCP]; Grimm, Rita [IEDA]; Harvey, Steven [IFA]; Holland, Ed [DAS]; Holmes, Jessica [IDR]; Houston, Kris [IPTV]; Iversen, Tim [ABD]; Iverson, Darla [IPERS]; Johnson, JoAnn [IDCU]; Johnson, Mark [ICN]; King, Robert [IDVA]; Kramer, Chris [DCA]; Lamb, T. Ryan [DAS]; Loss, Larry [ILO]; Minnehan, Michelle [DAS]; Misjak, Karen [ICSA]; Naig, Michael [IDALS]; Pirk, Stefanie [DAS]; Pritchard, Susie [DOC]; Quinn, Michael [ILEA]; Redmond, Karen [AG]; Reed, Rod [IDOB]; Riordan, James [PERB]; Sacker, Kim [IID]; Schlorholtz, Michael [IANG]; SchraderBachar, Lori [PLD]; Sisler, Diana [ICRC]; Slaybaugh, Jean [DHS]; Smith, Heidi [DHR]; Snethen, Bruce [BLIND]; Swaim, Kurt [SPD]; Tooker, Megan [IECD]; von Wolfradt, Robert [IDOM]; Wendel, Michelle [DAS]; West, Bill [DAS]; Wilkinson, Lee [DOT]; Wulf, Joel [IDA]; Zylstra, Beverly [DIA]

Subject: DAS-HRE Stakeholders - Feedback Requested

Hello,

During the first DAS Stakeholder meeting on September 9, 2013, we discussed two documents: the DAS-HRE Strategic Vision and Priorities and the DAS-HRE Project Initiatives with Immediate Stakeholder Engagement Opportunities. We valued your input during the meeting, as well as the feedback we received after the meeting.

Today, we would like to follow-up with you on a few of the items that DAS-HRE has been working on since we last met. Attached you will find:

- **DAS Administrative Rule Proposals** – The first two pages include a summary of the changes and reason for these changes; the subsequent pages contain the rules and the specific proposed changes.
- **Recruitment Committee Update** – The attached email was sent by Bill West on October 28, 2013, soliciting volunteers for the recruitment committee. The first committee meeting will be held on Friday, November 22. If your department is interested in participating but has not yet replied, please send the name of your representative to susan.churchill@iowa.gov by Friday, November 15.
- **Service Guide for Managers and Supervisors** – This is a draft of a new document created to provide new directors, managers, and supervisors with a brief introduction to the programs and services delivered by DAS-HRE. At the time of hire, promotion, or reclassification, each new leader will receive a copy of the guide and will have an opportunity for an introductory meeting with his or her assigned personnel officer.
- **State of Iowa Employee Handbook** – The attached handbook is a draft revision of the current handbook. (We have not finalized the policy change on e-cigarettes; this policy will be forthcoming.) Please note that this document is not for distribution at this time.
- **List of Updates to 2013 Handbook** – To assist with your review of the revised handbook, please use this list to see the changes between the 2013 version and the 2010 version.
- **Minutes of the September 9 Meeting**

We welcome your comments and suggestions on these documents, especially the Service Guide and revised Employee Handbook. Please send all comments and suggestions to susan.churchill@iowa.gov by Tuesday, November 26.

The next DAS Stakeholder meeting is scheduled for Monday, December 2, 2013, from 1:30 p.m. – 3:30 p.m. in Conference Rooms 5 and 6, located on A-Level of the Hoover Building. We will send an agenda for this meeting in the coming weeks, but we plan to discuss these documents and the feedback we have received.

Thank you.

 Description: Picture

Michelle Minnehan
 Chief Operating Officer

Human Resources Enterprise
Iowa Department of Administrative Services
Hoover State Office Building
Des Moines, IA 50319
515-281-5064
michelle.minnehan@iowa.gov
<http://das.iowa.gov>

- [Image 1](#)
- [Image 2](#)
- [Image 3](#)
- [Image 4](#)
- [Image 5](#)
- [Image 6](#)
- [Image 7](#)
- [Image 8](#)
- [Image 9](#)
- [Image 10](#)
- [Image 11](#)
- [Image 12](#)
- [Image 13](#)
- [Image 14](#)
- [Image 15](#)
- [Image 16](#)
- [Image 17](#)
- [Image 18](#)

Image 1

Summary of Administrative Rule Change Proposals

Department of Administrative Services – Human Resources Enterprise Summary of Administrative Rule Change Proposals November 2013

11-4.14 Personally identifiable information

Action:

1. Delete old language re 2003 Supplement.
2. Remove language re DAS receiving personnel files from other agencies.
3. Remove specific language on types of documents kept in personnel folders.
4. Change “computer” to “electronic”.
5. Add “gross” compensation concerning information that can be released.

Reason:

1. Outdated language.
2. DAS does not retain personnel files for other agencies, unless we provide the Personnel Assistant services.
3. Keeps the definition broad; some of these items are now maintained primarily in an electronic format (IowaBenefits, etc).
4. Broadens the types of records referred to – consistent with current storage methods.
5. Clarifies that we can only release gross compensation – not deduction amounts.

11-4.18 Agency records

Action: Delete *retention* from subrule that addresses procedures for agency records.

Reason: DAS does not set retention schedules. Record retention schedules are set by the State Records Commission.

11-52.4 Position classification reviews

Action: Modify the basis for classification decisions to be based on work performed fifty percent or more of the time versus over fifty percent of the time.

Reason: The change is to memorialize the long-standing practice of evaluating positions for classification based upon fifty percent or more of the work performed.

11-53.4 Pay administration

Action:

Delete statement concerning use of prescribed forms. Add statement to identify the specific information that must be submitted with an alternate repayment plan. Add statement to set limitations on reducing an employee’s wages for collection or repayment.

Reason: The first revision removes requirement to use prescribed forms, as there are no prescribed forms for alternate repayment plans. However, there is certain information that is required to be submitted to Central Payroll. The second revision ensures the collection or repayment is not in violation of federal wage and hour laws.

11-53.6 Payroll transactions

Action:

Delete subrule pertaining to reinstatement.

Reason: This subrule is currently in conflict with 11-53.5(1), which was revised in November 2012 to require an advanced appointment rate for reinstatements.

DRAFT / NOT FOR DISTRIBUTION

Image 2

11-57.4 Temporary appointment

Action: Add language to acknowledge benefit eligibility and rights under the collective bargaining agreements. Add language to clarify 780-hour limitation.

Reason: The first revision recognizes rights under the collective bargaining agreements. The second revision clarifies the limitation for persons who may work in various temporary and seasonal appointments in fiscal year.

11-57.7 Seasonal appointment

Action: Add language to acknowledge benefit eligibility and rights under the collective bargaining agreements. Add language to clarify 780-hour limitation.

Reason: The first revision recognizes rights under the collective bargaining agreements. The second revision clarifies the limitation for persons who may work in various temporary and seasonal appointments in fiscal year.

11-60.3 Reduction in force

Action:

Delete requirement to eliminate temporary employees prior to a layoff.

Reason: The revision is consistent with the change to the AFSCME collective bargaining agreement effective July 1, 2013.

11-63.3 Sick leave with pay

Action:

Insert a definition for *immediate family*.

Reason: This definition was deleted from 11-50.1 in the administrative rules in November 2012. It was deleted from 11-50.1 (chapter that includes definitions) because it was inconsistent with the definition of *immediate family* in 11-63.19 for the purpose of catastrophic leave. However, *immediate family* is also referenced in 11-63.3(11). Absent a definition, it is difficult to determine how to administer this subrule (i.e. when a non-contract employee is eligible to use sick when a death occurs in the *immediate family* or when it is necessary to care for an *immediate family* member). The proposed definition is consistent with the definition that existed prior to its deletion in 2012.

11-64.6 Deferred compensation

Action:

The proposed revision gives participants 30 days to file a written appeal. The proposal also clarifies that the trustee (i.e. DAS director) may designate someone else to make the final agency determination, such as the DAS-HRE Chief Operating Officer.

Reason: The change is to memorialize the long-existing practice of giving deferred compensation participants 30 days to appeal an adverse decision regarding deferred compensation. This happens primarily when someone requests a distribution based on an unforeseeable emergency and we deny the request because the person's circumstances do not meet the legal test.

DRAFT / NOT FOR DISTRIBUTION

Image 3

11-4.14 redline 10-23-13

11—4.14 (8A,22) Personally identifiable information. This rule describes the nature and extent of personally identifiable information which is collected, maintained, and retrieved by the department by personal identifier in record systems as defined in rule 4.1(8A,22). Unless otherwise stated, the authority to maintain the record is provided by 2003 Iowa Code [Supplement](#)

chapter 8A.

4.14(1) Retrieval. Personal identifiers may be used to retrieve information from any of the systems of records that the department maintains that contain personally identifiable information.

4.14(2) Means of storage. Paper, microfilm, microfiche, and various electronic means of storage are used to store records containing personally identifiable information.

4.14(3) Comparison. Electronic or manual data processing may be used to match, to collate, or to compare personally identifiable information in one system with personally identifiable information in another system of records or with personally identifiable information within the same system.

4.14(4) Comparison with data from outside the department. Personally identifiable information in systems of records maintained by the department is retrievable through the use of personal identifiers and may be compared with information from outside the department when specified by law. This comparison is allowed in situations including:

- a. Determination of any offset of a debtor's income tax refund or rebate for child support recovery or foster care recovery (2003 Iowa Code [Supplement](#) section 8A.504);
- b. Calculation of any offset against an income tax refund or rebate for default on a guaranteed student loan (2003 Iowa Code [Supplement](#) section 8A.504);
- c. Offset from any tax refund or rebate for any liability owed a state agency (2003 Iowa Code [Supplement](#) section 8A.504);
- d. Offset for any debt which is in the form of a liquidated sum due, owing, and payable to the clerk of district court as a criminal fine, civil penalty surcharge, or court costs (2003 Iowa Code [Supplement](#) section 8A.504).

4.14(5) Nature and extent. All of the record systems listed in subrule 4.14(6) contain personally identifiable information concerning matters such as income and social security numbers.

4.14(6) Record systems with personally identifiable retrieval. The department maintains the systems or records that contain personally identifiable and confidential information as described in the following paragraphs. The legal authority for the collection of the information is listed with the description or the system.

a. *Personnel files.* Personnel files are maintained by the [department and the](#) employee's appointing authority. An employee may have several files depending on the purpose of the file and the records maintained within the file. Personnel files consist of records that concern individual state employees and their families, as well as applicants for state employment.

(1) Personnel files contain personal, private, and otherwise confidential records related to:

1. **ApplicantsApplication.**

- [Preemployment information, including information gathered during background screenings;](#)
- [Test scores.](#)

2. **Benefits.**

- [Employee assistance program participation;](#)
- [Wellness program participation;](#)
- [Pre-tax programs;](#)
- [Health, dental, life, and long-term disability insurance; 11-4.14 redline 10-23-13](#)
- [Benefit elections and miscellaneous benefit documents;](#)
- [Medical information on the employee or a member of the employee's immediate family;](#)
- [Medical information to support the employee's sick leave usage and fitness for duty](#)

DRAFT / NOT FOR DISTRIBUTION

Image 4

determinations;

- Deferred compensation;
- Workers' compensation.

3. Employee performance and discipline.

- Investigations incident to the employee's employment;
- Information related to disciplinary actions;
- Complaints, grievances, and appeals;
- Performance planning and evaluation;
- Training; and

- Other information incident to the employment of individuals.

(2) These records are collected in accordance with 2003 Iowa Code Supplement chapter 8A, and Iowa Code chapters 8A, 19B, 20, 70A, 85, 85A, 85B, 91A, and 509A, and are confidential records under Iowa Code section 22.7(11) and other law because the information in the record is private and personal, the disclosure of which would likely result in an unwarranted invasion of the privacy of the subject of the record or the subject's family. It is unlikely that the personal and private information in these records can be separated from otherwise releasable information without identifying the subject or the subject's family.

b. Employee payroll records. The payroll records system consists of records that concern individual state employees and their families.

(1) This system contains the following information:

1. Workers' compensation;
2. Health, dental, life, and long-term disability insurance;
3. Qualified domestic relations orders;
4. Charitable contributions;
5. Garnishments;
6. Pay and benefits;
7. Equal employment opportunity;
8. Training;
9. Deferred compensation; and

10. Other information incident to the employment of individuals.

(2) Records under the jurisdiction of the department are collected in accordance with 2003 Iowa Code Supplement chapter 8A, and Iowa Code chapters 8A, 19B, 20, 70A, 85, 85A, 85B, 91A, and 509A, and are confidential records in part under Iowa Code section 22.7 and other law.

(3)(2) These records contain names, social security numbers, and other identifying numbers, and are collected in the form of paper, microfilm, tape, and computer records. Computer records permit the comparison of personally identifiable information in one record system with that in another system.

c. Vehicle dispatcher files. Vehicle assignments and credit card records may be accessed by personal identifier or by vehicle identification number. Other records which may contain personally identifiable information, but are not retrievable by it, are: mileage reports, auction information, automobile insurance premiums, pool car billings, departmental billing, motor fuel tax refund, and motor oil claims. Records are stored on paper, computer, and microfilm.

d. Capitol complex parking files. The general services enterprise maintains records concerning parking assignments, decals, gate cards, after-hours building passes, parking tickets, departmental parking coordinators, and hearings and appeals. All records except those related to hearings and appeals may be retrieved by personal identifier data. Records related to hearings and appeals are filed by date of hearing only. Records are stored on paper and computer. Records relating to hearings and appeals are also stored on audio tapes.

e. Annual bid bonds. The printing division maintains a file of annual bid bonds for

DRAFT / NOT FOR DISTRIBUTION

Image 5

vendors eligible to bid on printing contracts. The file is alphabetical by vendor name and contains only those papers necessary for execution of the bond. This record is stored on paper only.

f. Telephone directory of state employees. The information technology enterprise maintains a telephone directory of state employees. The directory contains names, department names, business addresses and telephone numbers. The publication also includes private industry information and advertising containing business names, addresses and telephone numbers. This record is stored on both paper and computer.

g. Contracts. These are records pertaining to training, consultants, and other services. These records are collected in accordance with 2003 Iowa Code Supplement chapters 8A and Iowa Code chapter 19B and are confidential records in part under Iowa Code section 22.7. These records contain names, social security numbers, and other identifying numbers, and are collected in the form of paper, microfilm, tape, and

computer recordselectronically. ComputerElectronic records permit the comparison of personally identifiable information in one record system with that in another system.

h. Vendor files. The department maintains files of vendors eligible to do business with the state of Iowa. Files may contain applications, vendor information booklets, vendor codes, commodity codes, minority-owned vendor identification information, and mailing lists. Records are stored on paper and computerelectronically

4.14(7) Releasable information on state employees. The following information that is maintained in the state payroll system or a personnel file shall be released to the public without the consent of the employee because the information is not considered to be confidential information:

- a. The name and gross compensation paid to the state employee.
- b. The date on which the state employee was employed by state government.
- c. The position or positions that the state employee holds or has held with state

government.

- d. The state employee's qualifications for the position or positions that the state employee holds or has held including, but not limited to, educational background and work experience.

DRAFT / NOT FOR DISTRIBUTION

Image 6

11-4.18 redline 4-1-13

11—4.18 (8A) Agency records.

4.18(1) Each agency shall maintain a file of personnel records on each employee and each applicant for employment as specified by the department in rule or policy. All employee and applicant records are under the jurisdiction of the department.

4.18(2) The appointing authority shall give each employee copies of all materials placed in the employee's file unless determined otherwise by the department. The appointing authority shall provide copies of records to the department as requested.

4.18(3) When an employee is transferred, promoted or demoted from one agency to another agency, the employee's personnel records shall be sent to the receiving appointing authority by the former appointing authority.

4.18(4) The director shall prescribe the forms to be used for collecting and recording information on employees and applicants for employment, as well as the procedures for the completion, processing, retention, and release of those forms and records, as well as the information contained on them.

DRAFT / NOT FOR DISTRIBUTION

Image 7

11-52.4 redline 10-26-13

11—52.4(8A) Position classification reviews.

52.4(1) The director shall decide the classification of all positions in the executive branch of state government except those specifically determined and provided for by law. Position classification decisions shall be based solely on duties permanently assigned and performed.

52.4(2) Position classification decisions shall be based on documented evidence of the performance of a kind and level of work that is permanently assigned and performed over 50 percent or more of the time and

that is attributable to a particular job classification.

52.4(3) The director may initiate specific or general position classification reviews. An appointing authority or an incumbent may also submit a request to the director to review a specific position's classification. When initiated by other than the director, position classification review decisions shall be issued within 60 calendar days after the request is received by the department. If additional information is required by the department, it shall be submitted within 30 calendar days following the date it is requested. Until the requested information is received by the department, the 60-calendar-day review period may be suspended by the department.

52.4(4) Position classification decision.

a. Notice of a position classification review decision shall be given by the department to the incumbent and to the appointing authority.

b. The decision shall become final unless the appointing authority or the incumbent submits a request for reconsideration to the department.

c. The request for reconsideration shall be in writing, state the reasons for the request and the specific classification requested, and must be received in the department within 30 calendar days following the date the decision was issued.

d. The final position classification decision in response to a request for reconsideration shall be issued by the department within 30 calendar days following receipt of the request.

52.4(5) The maximum time periods in the position classification review process may be extended when mutually agreed to in writing by the parties.

52.4(6) Following a final position classification review decision, any subsequent request for review of the same position must be accompanied by a showing of substantive changes from the position description questionnaire upon which the previous decision was based.

a. A new position description questionnaire must be prepared and all new and substantively changed duties must be identified as such on the new questionnaire.

b. The absence of a showing of substantive changes in duties shall result in the request being returned to the requester.

c. A decision to return a request for failing to show substantive change in duties may be appealed to the classification appeal committee in accordance with 11—52.5(8A).

d. The classification appeal committee shall rule only on the issue of whether a substantive change in duties has been demonstrated by the appellant.

e. The appellant has the burden of proof to show by a preponderance of evidence that there has been a substantive change in duties.

52.4(7) The position classification review process is not a contested case.

DRAFT / NOT FOR DISTRIBUTION

Image 8

11-53.4 redline 9-3-13

11—53.4 (8A) Pay administration.

53.4(1) Employees. The director shall assign classes to pay plans and grades and shall assign employees to classes. Employees shall be paid at a rate between the minimum and maximum of the pay grade of the class to

which the employee is assigned. Pay decisions shall be at the discretion of the appointing authority unless otherwise provided for in this chapter or by the director.

53.4(2) *Appointed officials.* Unless otherwise provided for in the Iowa Code or these rules, the staff of the governor, full-time board and commission members, department directors, deputy directors, division administrators, independent agency heads and others whose appointments are provided for by law or who are appointed by the governor may be granted pay increases of any amount at any time within the pay grade of the class or position to which appointed.

53.4(3) *Total compensation.* An employee shall not receive any pay other than that provided for the discharge of assigned duties, unless employed by the state in another capacity or specifically authorized in the Iowa Code, an Act of the general assembly or these rules.

53.4(4) *Part-time employment.* Pay for part-time employment shall be proportionate to full-time employment and based on hourly rates.

53.4(5) *Effective date of changes.* All pay changes shall be effective on the first day of a pay period, unless otherwise approved by the director. Original appointments, reemployment and reinstatements shall be effective on the employee's first day of work.

53.4(6) *General pay increases.* The director shall administer general pay increases for employees that have been authorized by the legislature and approved by the governor. An employee in a position whose pay has been red-circled above the maximum pay rate of the class to which the employee is assigned shall not receive a general pay increase unless specifically authorized by the Acts of the general assembly or otherwise provided for in these rules.

53.4(7) *Pay corrections.* An employee's pay shall be corrected if it is found to be in violation of these rules or a collective bargaining agreement. Corrections shall be made on the first day of a pay period.

a. Retroactive pay. An employee may receive retroactive pay in the same fiscal year for which the pay should have been paid. A request for retroactive pay must be received and processed no later than August 31 following the close of the fiscal year for which the request is made. Requests for retroactive pay which are not made in a timely fashion must be submitted to the state appeal board.

b. Overpayment and underpayment. If an error results in an employee's being overpaid for wages, except for FICA, state and federal income taxes and IPERS contributions shall be collected. Also, premiums for health, dental and life insurance benefits that have been underpaid shall be subject to collection. An employee may choose to repay the amount from wages in the pay period following discovery of the error, have the overpayment deducted from succeeding pay periods not to exceed the number of pay periods during which the overpayment occurred, or the **employee or**

appointing authority may submit an alternate repayment plan to the

director. **The repayment plan shall identify the details of the overpayment, the hardship of recouping the amount in the number of pay periods during which the overpayment occurred, and the terms of the alternate repayment plan.** The director shall notify the appointing authority of the decision on the alternate repayment plan. **The appointing authority shall submit the repayment plan on forms prescribed by the department beginning with the document correcting the employee's pay.** If the employee terminates, the amount remaining shall be deducted from wages, vacation payout, applicable sick leave payout and any wage correction payback from IPERS. **The collection of overpaid wages shall not result in reducing the employee's pay below the minimum wage for each hour actually worked during the pay period in which the collection of overpaid wages occurs.**

DRAFT / NOT FOR DISTRIBUTION

Image 9

11-53.6 redline 6-4-13

11—53.6 (8A) Payroll transactions.

53.6(1) *Pay at least at minimum.* If a transaction results in an employee's being paid from a different pay plan or pay grade, the employee shall be paid at least the minimum pay rate of the class to which assigned, except as provided in subrules 53.5(3) and 53.5(4).

53.6(2) *Pay not to exceed maximum.* If a transaction results in an employee's being paid from a different pay plan or pay grade, the employee's pay shall not exceed the maximum pay rate of the class to which assigned, except as provided in subrule 53.6(3) or 53.6(13) or rule 53.8(8A).

53.6(3) *Red-circling.* If the pay of an employee in a noncontract class exceeds the maximum pay for the class to which assigned, the employee's pay may be maintained (red-circled) above the maximum for up to one year. Requests to change the time period or the red-circled rate must first be submitted to the director for approval. If approved, the appointing authority shall notify the employee in writing of any changes in the time period and the pay. If an employee's classification or agency changes, a request to rescind the red-circling may be submitted by the appointing authority to the director for approval. The director may also require red-circling in certain instances.

53.6(4) *Pay plan changes.* If a transaction results in an employee's being paid from a different pay plan, the employee shall be paid at the employee's current pay rate, except as provided in subrules 53.6(1) and 53.6(2). For demotions, the employee's pay shall be at the discretion of the appointing authority so long as the employee's pay is not greater than it was prior to the demotion. For setting eligibility dates, see subrule 53.7(5).

53.6(5) *Pay grade changes.* If a transaction results in an employee in a noncontract class being paid in a higher pay grade, the employee's pay may be increased by up to 5 percent for each grade above the employee's

current pay grade, except as provided in subrules 53.6(1) and 53.6(2). The implementation of pay grade changes for employees in contract classes shall be negotiated with the applicable collective bargaining representative. For setting eligibility dates, see subrule 53.7(5).

53.6(6) Promotion. For setting eligibility dates, see subrule 53.7(5).

a. Noncontract classes. If an employee is promoted to a noncontract class, the employee may be paid at any rate in the pay grade of the pay plan to which the employee's new class is assigned, except as provided in subrules 53.6(1) and 53.6(2).

b. Contract classes. If an employee is promoted to a contract-covered class, the employee shall receive a 5 percent pay increase, except as provided in subrules 53.5(1), 53.6(1), 53.6(2), and 53.6(4).

c. Leadworker. If an employee who is receiving additional pay for leadworker duties is promoted, the pay increase shall be calculated using the employee's new base pay plus the leadworker pay.

53.6(7) Demotion. If an employee demotes voluntarily or is disciplinarily demoted, the employee may be paid at any pay rate that does not exceed the employee's pay at the time of demotion, except as provided in subrules 53.6(1), 53.6(2) and 53.6(4). For setting eligibility dates, see subrule 53.7(5).

53.6(8) Transfer. If an employee transfers under these rules to a different class, the employee shall be paid at the employee's current pay rate, except as provided in subrules 53.6(1), 53.6(2) and 53.6(4).

53.6(9) Reclassification. If an employee's position is reclassified, the employee shall be paid as provided for in subrule 53.6(6), 53.6(7) or 53.6(8), whichever is applicable. For setting eligibility dates, see subrule 53.7(5).

53.6(10) Return from leave. If an employee returns from an authorized leave, the employee shall be paid at the same pay rate as prior to the leave, including any pay grade, pay plan, class or general salary increases for which the employee would have been eligible if not on leave, except as provided for in subrules 53.6(1) and 53.6(2). For setting eligibility dates, see subrule 53.7(5).

53.6(11) Recall. If an employee is recalled in accordance with 11—subrule 60.3(6), the employee shall be paid at the same step or pay rate as when laid off or bumped, including any pay grade, pay plan, class or general salary increases, except as provided in subrules 53.6(1) and 53.6(2). For setting eligibility dates, see subrule 53.7(5).

53.6(12) Reinstatement. When an employee is reinstated, the employee may be paid at any pay rate for the class to which the employee is reinstated.

53.6(13) Change of duty station. If an employee is promoted, reassigned or voluntarily demoted at the convenience of the appointing authority and a change in duty station beyond 25 miles is required, the employee may receive a one-step or up to 5 percent pay increase. The pay may exceed the maximum pay for the class to which assigned. Notice must first be given to the director. Subsequent changes in duty station may result in the additional pay being removed.

DRAFT / NOT FOR DISTRIBUTION

Image 10

11-57.4 redline 11-14-13

11—57.4(8A) Temporary appointment. Persons may be appointed with temporary status to any class. They may be paid at any rate of pay within the range for the class to which appointed.

Temporary appointments may be made to temporary positions or to permanent positions, or on an overlap basis to unauthorized positions, and may be made to any class and at any rate of pay within the range for the class to which appointed.

A temporary appointment shall not exceed 780 work hours in a fiscal year.

A temporary employee shall have no rights to appeal, transfer, demotion, promotion, reinstatement, or other rights of position, nor be entitled to vacation, sick leave, or other benefits

unless the temporary employee

becomes covered by a collective bargaining agreement, in which case the temporary employee may have rights under the collective bargaining agreement.

A person appointed with temporary status shall only be given another temporary type of appointment to the extent that the total number of hours worked in all temporary and seasonal appointments in any agency in a fiscal year does not exceed 780 hours.

DRAFT / NOT FOR DISTRIBUTION

Image 11

11-57.7 redline 11-14-13

11—57.7(8A) Seasonal appointment. The director may authorize appointing authorities to make seasonal appointments to positions. Seasonal appointments may be made to any class and at any rate of pay within the range for the class to which appointed. Seasonal appointments may, however, be made only during the

seasonal period approved by the director for the agency requesting to make the appointment, and must be concluded by the end of that period. To be eligible to make seasonal appointments, the appointing authority must first submit a proposed seasonal period to the director for approval. Such period shall not exceed six months in a fiscal year; however, the appointment may start as early as the beginning of the pay period that includes the first day of the seasonal period and may end as late as the last day of the pay period that includes the last day of the seasonal period.

Persons appointed with seasonal status shall have no rights of appeal, transfer, promotion, demotion, reinstatement, or other rights of position, nor be entitled to vacation, sick leave, or other benefits

unless the

person appointed with seasonal status becomes covered by a collective bargaining agreement, in which case the person may have rights under the collective bargaining agreement.

A person appointed with seasonal status shall only be given another temporary type of appointment to the extent that the total number of hours worked in all temporary and seasonal appointments in any agency in a fiscal year does not exceed 780 hours to a classification covered by a collective bargaining agreement shall not work in excess of 780 hours in that status in such a class or classes, nor shall that person accumulate more than 780 hours worked in any combination of temporary statuses in any agency or any combination of agencies during a fiscal year.

DRAFT / NOT FOR DISTRIBUTION

Image 12

11-60.3 redline 6-4-13

11—60.3 (8A) Reduction in force. A reduction in force (layoff) may be proposed by an appointing authority whenever there is a lack of funds, a lack of work or a reorganization. A reduction in force shall be required whenever the appointing authority reduces the number of permanent merit system covered employees in a class or the number of hours worked, as determined by the "full-time equivalent" funding attributed to the position, by a permanent merit system covered employee in a class, except as provided in subrule 60.3(1).

60.3(1) The following agency actions shall not constitute a reduction in force nor require the application of these reduction in force rules:

- a. An interruption of employment for no more than 20 consecutive calendar days, with the prior approval of the director.
- b. Interruptions in the employment of school term employees during breaks in the academic year, during the summer, or during other seasonal interruptions that are a condition of employment, with the prior approval of the director.
- c. The promotion or reclassification of an employee to a class in the same or a higher pay grade.
- d. The reclassification of an employee's position to a class in a lower pay grade that results from the correction of a classification error, the implementation of a class or series revision, changes in the duties of the position, or a reorganization that does not result in fewer total positions in the unit that is reorganized.
- e. A change in the classification of an employee's position or the appointment of an employee to a vacant position in a class in a lower pay grade resulting from a disciplinary or voluntary demotion.
- f. The transfer or reassignment of an employee to another position in the same class or to a class in the same pay grade.
- g. A reduction in the number of, or hours worked by, permanent employees not covered by merit system provisions.

60.3(2) The agency's reduction in force shall conform to the following provisions:

- a. Reduction in force shall be by class.
- b. The reduction in force unit may be by agency organizational unit or agencywide. If the agency organizational unit is smaller than a bureau, it must first be reviewed by the director.
- c. An agency shall not implement a reduction in force until it has first terminated all temporary employees in the same class in the reduction in force unit, as well as those who have probationary status in the same class.
- cd. The appointing authority shall develop a plan for the reduction in force and shall submit that plan to the director for approval in advance of the effective date. The plan must be approved by the director before it can become effective. The plan shall include the reason(s) for and the effective date of the reduction in force, the reduction in force unit(s), the reason(s) for choosing the unit(s) if the unit(s) is smaller than a bureau, the number of permanent merit system covered employees by class to be eliminated or reduced in hours, the cutoff date for length of service and performance credits to be utilized in determining retention points, and any other information requested by the director.

de. The appointing authority shall notify each affected employee in writing of the reduction in force, the reason(s) for it, and the employee's rights under these rules. A copy of the employee's retention points computation worksheet shall be furnished to the employee. The official notifications to affected employees shall be made at least 20 workdays prior to the effective date of the reduction in force unless budgetary limitations require a lesser period of time. These official notifications shall occur only after the agency's reduction in force plan has been approved by the director, unless otherwise authorized by the director.

ef. The appointing authority shall notify the affected employee(s), in writing, of any options or assignment changes during the various steps in the reduction in force process. In each instance the employee shall have

five calendar days following the date of receipt of the notification in which to respond in writing to the appointing authority in order to exercise the rights provided for in this rule that are associated with the reduction in force.

60.3(3) Retention points. The reduction in force shall be in accordance with total retention points made up of a combination of points for length of service and points for performance record. The director, at the request of the appointing authority, may approve specific exemptions from reduction in force where special skills or abilities are required and have been previously documented in the records of the department as essential for performance of the assigned job functions. An employee with greater retention points who has received a rating of less than "meets expectations" on the most recent performance review given, or who has a disciplinary suspension or demotion within the last 12 months, may be subject to reduction in force before the employee with the next lowest retention points, subject to approval of the director. A cutoff date shall be set by the appointing authority beyond which no points shall be credited. Length of service and performance credits shall be calculated as follows:

DRAFT / NOT FOR DISTRIBUTION

Image 13

a. Credit for length of service shall be given at the rate of one point for each month of employment, including employment credited to the employee during a probationary period. Any period of 15 calendar days of service in a month will be considered a full month. In computing length of service credit, the appointing authority shall include all continuous merit system covered nontemporary service in the executive branch. If a merit system covered nontemporary employee's employment is interrupted due to (1) a reduction in force, (2) qualification for long-term disability, or (3) a work-related injury, and the employee is subsequently reinstated to the same class in a different layoff unit or to a different class than that held at the time of separation in accordance with rule 11—57.5(8A), and the reinstatement occurs within two years of the interruption of employment, prior service credit shall be restored. Such credit will be subject to a reduction for the period of separation from state service.

Length of service credit shall not include the following periods:

- (1) Any period of temporary or seasonal employment, if not credited toward the probationary period.
- (2) Any period of suspension without pay of 15 days or more.
- (3) Approved leaves of absence without pay in excess of 15 days.
- (4) Any period of layoff of 15 days or more.
- (5) Any period of long-term disability of 15 days or more.
- (6) Any period of unpaid absence that was not subsequently used to establish or adjust the employee's date of hire.

b. Credit for the performance record shall be calculated using the results of documented performance evaluations completed in accordance with 11—subrule 62.2(2) as follows:

- (1) A performance evaluation period rated overall as "less than competent" or "does not meet expectations" or for which the "overall sum of ratings" is less than 3.00 shall receive no credit.
- (2) A performance evaluation period rated overall as "competent" or better, or "meets or exceeds expectations" or for which the "overall sum of ratings" is 3.00 or greater shall receive one retention point for each month of such rated service.

All employees shall be evaluated for performance in accordance with 11—subrule 62.2(2). If the period covered on the evaluation exceeds 12 months, the rating shall apply only to the most recent 12 months of the period. If the period covered by the evaluation exceeds 12 months and the employee's overall rating mandates the receipt of no credit pursuant to 60.3(3) "b"(1), then that overall rating shall apply only to the first 12 months of the period and the remaining months shall be rated as competent. Time spent on approved military leave, workers' compensation leave, or educational leave with or without pay that is required by the appointing authority shall be counted as competent performance.

c. The total retention points shall be the sum that results from adding together the total of the length of service points and the total of the performance record points.

60.3(4) Order of reduction in force. Permanent merit system covered employees in the approved reduction in force unit shall be placed on a list in descending order by class beginning with the employee having the highest total retention points in the class in the layoff unit. Reduction in force selections shall be made from the list in inverse order regardless of full-time or part-time status, except as provided in subrule 60.3(3). If two or more employees have the same combined total retention points, the order of reduction shall be determined by giving preference in the following sequence:

- a.* The employee with the highest total performance record points; and then, if still tied,
- b.* The employee with the lower last four digits of the social security number.

60.3(5) Bumping (class change in lieu of layoff). Employees who are affected by a reduction in force may, in lieu of layoff, elect to exercise bumping rights.

- a.* Supervisory employees, with the exception of supervisory employees of the department of public safety, may not bump or replace junior employees who are not being laid off. For purposes of this subrule, "junior" employee means an employee with less seniority or fewer retention points than a supervisory employee.
- b.* Employees who choose to exercise bumping rights must do so to a position in the applicable reduction in force unit. Bumping may be to a lower class in the same series or to a lower formerly held class (or its equivalent if the class has been retitled) in which the employee had nontemporary status while continuously employed in the state service. Bumping shall not be permitted to classes from which employees were voluntarily or disciplinarily demoted. Bumping by nonsupervisory employees shall be limited to positions in nonsupervisory classes. Bumping to classes that have been designated as collective bargaining exempt shall be

limited to persons who occupy classes with that designation at the time of the reduction in force. Bumping shall be limited to positions covered by merit system provisions and positions covered by a collective bargaining agreement.

DRAFT / NOT FOR DISTRIBUTION

Image 14

The director may, at the request of the appointing authority, approve specific exemptions from the effects of bumping where special skills or abilities are required and have been previously documented in the records of the department of administrative services as essential for performance of the assigned job functions. An employee with greater retention points who has received a rating of less than "meets expectations" on the most recent performance review given, or who has a disciplinary suspension or demotion within the last 12 months, may be subject to reduction in force before the employee with the next lowest retention points, subject to approval of the director.

c. When bumping as set forth in paragraph 60.3(5) "b," the employee shall indicate the class, but the appointing authority shall designate the specific position assignment within the reduction in force unit. The appointing authority may designate a vacant position if the department of management certifies that funds are available and after all applicable contract transfer and recall provisions have been exhausted. The appointing authority shall notify the employee in writing of the exact location of the position to which the employee will be assigned. After receipt of the notification, the employee shall have five calendar days in which to notify the appointing authority in writing of the acceptance of the position or be laid off.

Bumping to another noncontract class in lieu of layoff shall be based on retention points regardless of full-time or part-time status and shall not occur if the result would be to cause the removal or reduction of an employee with more total retention points except as provided for in this subrule. If bumping occurs, the employee with the fewest total retention points in the class shall then be subject to reduction in force.

Pay upon bumping shall be in accordance with 11—subrule 53.6(11).

60.3(6) Recall. Eligibility for recall shall be for one year following the date of the reduction in force.

a. The following employees or former employees are eligible to be recalled:

- (1) Former employees who have been laid off.
- (2) Employees who have bumped in lieu of layoff.
- (3) Employees whose hours have been reduced, constituting a reduction in force.

b. Current employees who exercised bumping rights in accordance with subrule 60.3(5) and former employees terminated due to layoff in accordance with subrule 60.3(6) shall only be on the recall list for the class and layoff unit occupied at the time of the reduction in force.

c. The following provisions shall apply to the issuance and use of recall lists:

- (1) Recall lists shall be issued for merit system covered positions and contract-covered positions only.
- (2) When one or more names are on the recall list for a class in which a vacancy exists, the agency must fill that vacancy with a former employee from that list. If no one from a recall list is selected, the agency shall justify that decision to the director before the position may be filled by other methods.
- (3) The recall alternatives in (2) above must be exhausted before other eligible lists may be used to fill vacancies.

d. Recall shall be by class without regard to an employee's status at the time of layoff (full-time or part-time).

An employee may remain on the recall list for the same status as that held at the time of layoff after having declined recall to a position with a different status. However, the employee will be removed for the status declined.

e. One failure to accept appointment to a nontemporary position with the same status as that held prior to the reduction in force shall negate all further recall rights.

f. An appointing authority may refuse to recall employees who do not possess the documented special skills or abilities required for a position, with the prior approval of the director.

g. Notice of recall shall be sent with delivery confirmation. Employees must respond to an offer of recall within five calendar days following the date the notice was received. A notice that is undeliverable to the most recent address of record will be considered a declination of recall. The declination of a recall offer shall be documented in writing by the appointing authority, with a copy to the director.

h. Vacation accrual and accrued sick leave of recalled employees shall be in accordance with 11—subrule 63.2(2), paragraph "j," and 11—subrule 63.3(10), respectively.

i. An employee who bumps in lieu of layoff or has a work hours reduction, and subsequently leaves employment for any reason, shall be removed from the recall list.

j. Employees who are recalled shall be removed from the recall list unless otherwise provided for in these rules.

k. Pay upon recall shall be in accordance with rule 11—53.6(8A).

60.3(7) Reduction in force shall not be used to avoid or circumvent the provisions or intent of 2003 Iowa Code Supplement section 8A.413, or these rules governing reclassification, disciplinary demotion, or discharge. Actions alleged to be in noncompliance with this rule may be appealed in accordance with 11—Chapter 61.

DRAFT / NOT FOR DISTRIBUTION

Image 15

11-63.3 redline 6-4-13

11—63.3 (8A) Sick leave with pay. Probationary and permanent full-time employees, except peace officer employees of the department of natural resources and the department of public safety, shall accrue sick leave as set forth in this paragraph. If the employee's accrued sick leave balance is 750 hours or less, the employee shall accrue one and one-half days of sick leave per month, which is 5.538462 hours per pay period. If the employee's accrued sick leave balance is 1500 hours or less but more than 750 hours, the employee shall accrue one day of sick leave per month, which is 3.692308 hours per pay period. If the employee's accrued sick leave balance is more than 1500 hours, the employee shall accrue one-half day of sick leave per month, which is 1.846154 hours per pay period. Peace officer employees of the department of natural resources and department of public safety shall accrue sick leave at the same rate as the rate provided under the State Police Officers Council collective bargaining agreement. The use of sick leave with pay shall be subject to the following conditions:

63.3(1) Accrued sick leave may be used during a period when an employee is unable to work because of medically related disabilities; for physical or mental illness; medical, dental or optical examination, surgery or treatment; or when performance of assigned duties would jeopardize the employee's health or recovery. Medically related disabilities caused by pregnancy or recovery from childbirth shall be covered by sick leave.

63.3(2) Sick leave shall not be used as vacation.

63.3(3) Sick leave shall not be granted in excess of the amount accrued.

63.3(4) There is no limit on the accumulation of sick leave. An employee who has accrued at least 240 hours of sick leave may elect to accrue additional vacation in lieu of the normal sick leave accrual.

An employee who has made an election to convert sick leave to vacation will be credited with four hours of vacation for each full month when sick leave is not used during that month. A conversion shall not be made if the accrued sick leave is less than 240 hours in the pay period in which the conversion would be made. The conversion of sick leave shall be prorated for employees who are normally scheduled to work less than fulltime (40 hours per week). An employee's maximum vacation accrual may be increased under this subrule up to 96 hours.

63.3(5) In all cases when an employee has been absent on sick leave, the employee shall immediately upon return to work submit a statement that the absence was due to illness or other reasons stated in this rule. Where absence exceeds three working days, the reasons for the absence shall be verified by a physician or other authorized practitioner if required by the appointing authority. An appointing authority may require verification for lesser periods of absence and at any time during an absence. In all cases, sick leave shall not be deducted from that accrued until authorized by the appointing authority.

63.3(6) Sick leave shall be charged on the employee's workday basis. Officially designated holidays occurring during an employee's sick leave shall not be counted against the employee's accrued sick leave.

63.3(7) Sick leave shall not accrue during any absence without pay.

63.3(8) Probationary and permanent part-time employees shall accrue sick leave in an amount proportionate to that which would be accrued under full-time employment.

63.3(9) An employee who is transferred, promoted, or demoted from one agency to another shall be credited with the sick leave accrued.

63.3(10) All accrued sick leave shall be canceled on the date of separation, and no employee shall be reimbursed for accrued sick leave unused at the time of separation except as provided for in Iowa Code section 70A.23, or the applicable collective bargaining agreement. However, if an employee is laid off and is reemployed by any state agency within two years following the date of layoff, or an employee is separated due to an on-the-job injury or illness and is reemployed by any state agency within two years following the date of medical release, the employee's unused accrued sick leave shall be restored, except to the extent that the sick leave hours have been credited to a sick leave bank pursuant to Iowa Code section 70A.23 and the provisions of 11—64.16(8A). Employees participating in the sick leave insurance program who return to permanent employment will not have prior sick leave amounts restored.

63.3(11) Employees may also use accrued sick leave, not to exceed a total of 40 hours per fiscal year, for the following purposes:

- a. When a death occurs in the immediate family.
- b. For the temporary care of, or necessary attention to members of the immediate family.
- c.

For purposes of this subrule, immediate family means the employee's spouse, children, grandchildren, foster children, stepchildren, legal wards, parents, grandparents, foster parents, stepparents, brothers,

DRAFT / NOT FOR DISTRIBUTION

Image 16

foster brothers, stepbrothers, sons-in-law, brothers-in-law, sisters, foster sisters, stepsisters, daughters-in-law, sisters-in-law, aunts, uncles, nieces, nephews, first cousins, corresponding relatives of the employee's spouse, and other persons who are members of the employee's household.

This leave shall be granted at the convenience of the employee whenever possible and consistent with the staffing needs of the appointing authority.

63.3(12) If an absence because of illness, injury or other proper reason for using sick leave provided for in this

rule extends beyond the employee's accrued sick leave, the appointing authority may require or permit additional time off to be charged to any other accrued leave. Employees shall, upon request, be paid accrued compensatory leave in a lump sum. When all accrued sick leave has been used, the employee may be granted leave without pay or terminated except as provided in subrule 63.5(4).

DRAFT / NOT FOR DISTRIBUTION

Image 17

11-64.6 redline 10-23-13

64.6(5) Absolute safeguards of the employer, trustee, their employees, and agents.

a. Questions of fact. The trustee and the plan administrator are authorized to resolve any questions of fact necessary to decide the participating employee's rights under the plan. An appeal of a decision of the plan administrator shall be made to the trustee, **or the trustee's designee, within 30 days of the plan administrator's decision. The trustee, or trustee's designee, who** shall render a final decision on behalf of the plan.

b. Plan construction. The trustee and the plan administrator are authorized to construe the plan and to resolve any ambiguity in the plan and to apply reasonable and fair procedures for the administration of the plan. An appeal of a decision of the plan administrator shall be made to the trustee

, **or the trustee's**

designee, within 30 days of the plan administrator's decision. The trustee, or the trustee's designee, who shall render a final decision on behalf of the plan.

c. No liability for loss. The participating employee specifically agrees that the employer, the plan, the trustee, the plan administrator, or any other employee or agent of the employer shall not be liable for any loss sustained by the participating employee or the participating employee's beneficiary for the nonperformance of duties, negligence, or any other misconduct of the above-named persons except that this paragraph shall not excuse malicious or wanton misconduct.

d. Payments suspended. The trustee, plan administrator, investment providers, their employees and agents, if in doubt concerning the correctness of their actions in making a payment of a benefit, may suspend the payment until satisfied as to the correctness of the payment or the identity of the person to receive the payment, or until the filing of an administrative appeal under Iowa Code chapter 17A, and thereafter in any state court of competent jurisdiction, a suit in such form as they consider appropriate for a legal determination of the benefits to be paid and the persons to receive them.

e. Court costs. The employer, the plan, the trustee, the plan administrator, their employees and agents are hereby held harmless from all court costs and all claims for the attorneys' fees arising from any action brought by the participating employee, or any beneficiary thereof, under the plan or to enforce their rights under the plan, including any amendments of the plan.

64.6(8) Disposition of funds while employed.

a. Unforeseeable emergency. A participating employee may request that the plan administrator allow the withdrawal of some or all of the funds held in the participating employee's account based on an unforeseeable emergency. Forms must be completed and returned to the plan administrator for review in order to consider a withdrawal request. The plan administrator shall determine whether the participating employee's request meets the definition of an unforeseeable emergency as provided for in federal regulations. In addition to being extraordinary and unforeseeable, an unforeseeable emergency must not be reimbursable:

- (1) By insurance or otherwise;
- (2) By liquidation of the participating employee's assets, to the extent the liquidation of such assets would not itself cause severe financial hardship; or
- (3) By cessation of deferrals under the plan.

Upon the plan administrator's approval of an unforeseeable emergency distribution, the participating employee will be required to stop current deferrals for a period of no less than six months.

A participating employee who disagrees with the initial denial of a request to withdraw funds on the basis of an unforeseeable emergency may request that the trustee **or the trustee's designee**

reconsider the

request by submitting additional written evidence of qualification or reasons why the request for withdrawal of funds from the plan should be approved. **All such requests must be in writing and received by the trustee, or the trustee's designee, within 30 calendar days of the date of the initial denial. Requests received after 30 days will be rejected as untimely and the initial denial shall become final agency action.**

b. Voluntary in-service distribution. A participant who is an active employee of an eligible employer shall receive a distribution of the total amount payable to the participant under the plan if the following requirements are met:

- (1) The total amount payable to the participant under the plan does not exceed \$5,000 (or the dollar limit under IRC Section 411(a)(11), if greater);
- (2) The participant has not previously received an in-service distribution of the total amount payable to the participant under the plan;

(3) No amount has been deferred under the plan with respect to the participant during the two-year period ending on the date of the in-service distribution; and

(4) The participant elects to receive the distribution.

The plan administrator may also elect to distribute the accumulated account value of a participant's account without consent, if the above criteria are met.

DRAFT / NOT FOR DISTRIBUTION

Image 18

This provision is available only once in the lifetime of the participating employee. If funds are distributed under this provision, the participating employee is not eligible under the plan to utilize this provision at any other time in the future.

c. Transfers under domestic relations orders.

(1) To the extent required under a final judgment, decree, or order (including approval of a property settlement agreement) made pursuant to a state domestic relations law, any portion of a participating employee's account may be paid or set aside for payment to a spouse, former spouse, or child of the participating employee. The plan will determine whether the judgment, decree, or order is valid and binding on the plan and whether it is issued by a court or agency with jurisdiction over the plan. The judgment, decree or order must specify which of the participating employee's accounts are to be paid or set aside, the valuation date of the accounts and, to the extent possible, the exact value of the accounts. Where necessary to carry out the terms of such an order, a separate account shall be established with respect to the spouse, former spouse, or child who shall be entitled to choose investment providers in the same manner as the participating employee. Unless otherwise subsequently suspended or altered by federal law, all applicable taxes shall be withheld and paid from this lump sum distribution. The provisions of this subparagraph shall not be construed to authorize any amount to be distributed under the plan at a time or in a form that is not permitted under IRC Section 457.

(2) A right to receive benefits under the plan shall be reduced to the extent that any portion of a participating employee's account has been paid or set aside for payment to a spouse, former spouse, or child pursuant to these rules or to the extent that the employer or the plan is otherwise subject to a binding judgment, decree, or order for the attachment, garnishment, or execution of any portion of any account or of any distributions therefrom. The participating employee shall be deemed to have released the employer and the plan from any claim with respect to such amounts in any case in which:

1. The department, the retirement investors' club, or the plan has been served with legal process or otherwise joined in a proceeding relating to such amounts,
 2. The participating employee has been notified of the pendency of such proceeding in the manner prescribed by the law of the jurisdiction in which the proceeding is pending for service of process or by mail from the employer or a plan representative to the participating employee's last-known mailing address, and
 3. The participating employee fails to obtain an order of the court in the proceeding relieving the employer and the plan from the obligation to comply with the judgment, decree, or order.
- (3) The department, the retirement investors' club or the plan shall not be obligated to incur any cost to defend against or set aside any judgment, decree, or order relating to the division, attachment, garnishment, or execution of the participating employee's account or of any distribution therefrom.

DRAFT / NOT FOR DISTRIBUTION

- [Image 1](#)
 - [Image 2](#)
-

Image 1

From: West, Bill [DAS]

Subject: Attention DAS-HRE Stakeholders - Affirmative Action and Diversity Program Updates and Request for Committee Volunteers

Date: Monday, October 28, 2013 1:03:38 PM

Attachments: image001.png

October 28, 2013

Memorandum

TO: DAS-HRE Stakeholders

FR: Bill West, Bureau Chief

RE: Affirmative Action and Diversity Program Updates and Request for Committee Volunteers

I am writing to provide you with an update regarding our affirmative action and diversity programs.

.

DAS has hired an Affirmative Action Administrator, Anika Gaar. Anika comes to us from the

Iowa National Guard, where she served in a similar capacity. She will be working with your agency along with our Statewide Recruitment Coordinator Robin Jenkins to assist you with your affirmative action recruitment plans and efforts as required under Chapter 19B.4 of the Iowa code.

.

DAS is looking for agency representatives to be appointed to serve on the State Recruitment

Coordinating Committee. The purpose of this committee is to assist DAS in addressing affirmative action recruitment needs. This committee will initially meet monthly, and will require participation in the development and execution of statewide recruitment programs and activities. The person selected should have a good understanding of their organization's recruitment needs. Some limited travel may be required.

Please submit your candidates to Susan Churchill at Susan.Churchill@iowa.gov

, or (515)-281-3351 at

your earliest convenience. We have scheduled an initial meeting for Friday, November 22nd from 8:30 am till noon in the Hoover Building Level A training conference rooms.

We look forward to working with you on this important effort.

CC: Mike Carroll Director
Michelle Minnehan COO

Anika Gaar

Robin Jenkins

Image 2

William N. West
Manager, Employment Services Bureau
Iowa Department of Administrative Services
Hoover Building, Level A
Des Moines, Iowa 50319-0150
(515) 281-6770
<http://das.iowa.gov>

This email and any files attached to it are intended solely for the use of the individuals or entities to whom the email is addressed. If you receive this email in error, any review, use, dissemination, distribution, copying, or storing of the email or its attachments is prohibited. Notify me immediately of the error by return email, and please delete this message from your system. No employee or agent of the department or the State of Iowa is authorized to enter into a contractual agreement on behalf of the department or the State of Iowa with another party by email without the express written consent of the director of the department. Any views or opinions in this email are the author's and do not necessarily represent the views or opinions of the department or the State of Iowa.

- [Image 1](#)
- [Image 2](#)
- [Image 3](#)
- [Image 4](#)
- [Image 5](#)
- [Image 6](#)
- [Image 7](#)
- [Image 8](#)
- [Image 9](#)
- [Image 10](#)
- [Image 11](#)
- [Image 12](#)

Image 1

Iowa Department of Administrative Services –
 Human Resources Enterprise
 (DAS-HRE)

SERVICE GUIDE

FOR MANAGERS AND SUPERVISORS

October 2013 DRAFT 7, 10/01/13

DRAFT / NOT FOR DISTRIBUTION

Image 2

i

Table of Contents

Introduction	1
Employment Programs and Services	2
Coordination of Statewide Recruitment	2
Vacancy Posting, Applicant Tracking, and Referral of Eligible Candidates	2
Equal Employment Opportunity and Affirmative Action Policy and Compliance	2
Position Classification and Compensation	2
Pre-Audit of Payroll Transactions for Compliance with Current Policy	2

Research, Analysis, and Reporting of Employment-Related Metrics 2

Maintenance of Temporary Staffing Contract 2

Employee Benefits Programs and Services 3

Management of Employee Benefits 3

Consultation with Personnel Assistants 3

Consultation on Leaves, FMLA and ADA 3

Management of the Employee Assistance Program 3

Management of the Workers’ Compensation Program 3

Management of the Unemployment Insurance Workers’ Compensation Program 3

Consultation on Safety and Loss Prevention 4

Benefits Education and Healthy Opportunities Services 4

Personnel Assistant Services 5

Personnel Officer Services 6

Labor Relations Issues 6

Performance Issues 6

Job Classification 6

Employment Issues 7

Rules, Policies and Directives 7

Special Pay Actions..... 7

Labor Relations Services 8

Collective Bargaining Negotiations 8

Grievances, Hearing and Arbitrations 8

Classification Appeal Hearings 8

Performance & Development Solutions 9

Appendix: Resources 10

DRAFT / NOT FOR DISTRIBUTION

Image 3

Service Guide 1

Introduction

The purpose of this Service Guide is to provide a brief overview of the programs and services delivered in the Department of Administrative Services – Human Resources Enterprise (DAS-HRE).

DAS-HRE provides centralized human resources programs and services to State of Iowa agencies. The mission of DAS-HRE is to support state agencies in their delivery of services to the people of Iowa by providing programs that recruit, develop, and retain a diverse and qualified workforce, and to administer responsible employee benefits programs for the members and their beneficiaries. DAS-HRE is committed to contributing to the DAS strategic goal of increasing the efficiency and value of DAS by

controlling costs and assisting state government in reducing expenditures by a targeted minimum of 15%.

The strategic vision of DAS-HRE is to become a trusted and engaged partner. DAS-HRE strives to be an innovative, efficient, and solution-oriented organization, focused on assisting you in meeting business goals, while ensuring compliance and consistency. D

AS-HRE seeks to support agencies in attracting and

retaining the right people in the right jobs by offering a market-competitive total compensation package, a focused talent development program, and an engaging and performance-based work environment and culture.

DAS-HRE's programs and services are organized into six areas:

DRAFT / NOT FOR DISTRIBUTION

Image 4

Service Guide 2

Employment Programs and Services

The Employment Bureau of DAS-HRE is structured to provide services for executive branch state agencies in the program areas of recruitment, application intake and evaluation, diversity programs, classification and compensation, pre-audit of payroll transactions, data management, and temporary staffing services contract. You may engage Employment Bureau staff in the following services:

Coordination of Statewide Recruitment

The DAS-HRE Recruitment and Retention Coordinator provides opportunities for executive branch agencies to participate in multicultural and recruitment events, and can assist you with vacancy advertising, hard-to-fill, web-based and diversity recruitment, applicant screening, interviewing tool development, and other recruitment-related assistance.

Vacancy Posting, Applicant Tracking, and Referral of Eligible Candidates

Employment Specialists post and manage approved vacancies, and refer eligible candidates for all merit-covered positions. Applications are received in the applicant tracking system (BrassRing), and are screened to the minimum qualifications, special selective certifications, or other special requirements of the job class. Upon request, Employment Specialists can assist you with additional applicant screening and the posting of merit-exempt positions.

Equal Employment Opportunity and Affirmative Action Policy and Compliance

The Affirmative Action Administrator manages the EEO/AA programs for executive branch agencies by monitoring executive branch workforce composition, available labor force, applicant flow, and other pre- and post-employment processes. This information is used to assist you in meeting obligations under Chapter 19B of the Iowa Code, developing special programs to enhance diversity, and identifying training needs.

Position Classification and Compensation

The Classification and Compensation section of the Employment Bureau manages the job classification and compensation systems of the Executive Branch. It reviews requests to modify or establish new job classes, conducts job evaluation studies, and determines market value of jobs based on salary surveys. This section maintains all related databases and publishes changes to the job specifications and pay plans, providing data and analysis for collective bargaining, legislative initiatives, and executive branch agencies.

Pre-Audit of Payroll Transactions for Compliance with Current Policy

The pre-audit section monitors HRIS transactions to assure that transactions are in compliance with applicable policies and rules governing appointments and pay.

Research, Analysis, and Reporting of Employment-Related Metrics

DAS maintains a wide variety of human resource information located in a variety of systems and databases. This information is routinely queried and processed in the Employment Bureau and used in a variety of standard reports. Some of these reports are published, such as the *Just the Facts* and the

Fact

Sheets. Other reports are provided on request to the legislature, other agencies, and the press.

Maintenance of Temporary Staffing Contract

The Employment Bureau maintains a temporary staffing contract for use by the agencies to obtain temporary staffing to meet short-term excess work demands.

DRAFT / NOT FOR DISTRIBUTION

Image 5

Service Guide 3

Employee Benefits Programs and Services

The Department of Administrative Services – Human Resources Enterprise (DAS-HRE) manages and administers state employees' benefits for the executive, judicial, and legislative branches. Employee Benefits Program and Services staff provides essential functions that impact the recruitment and retention of a qualified and motivated workforce.

Management of Employee Benefits

Employee Benefits Program and Services manages and administers a wide range of competitive benefits for both contract and non-contract employees in the three branches of government. Staff ensures that the benefits are in compliance with the negotiated contracts and state and federal laws. In addition to active employees, the Benefits team manages the health and dental plans for over 10,000 state retirees.

Consultation with Personnel Assistants

Each agency has assigned personnel assistant(s). Employee Benefits Program and Services staff consults with, and advises personnel assistants on benefit administration. The intent is that benefit administration is standardized across the different agencies. In addition, the DAS-HRE staff provides resources that personnel assistants use in communicating benefits.

Consultation on Leaves, FMLA, and ADA

Employee Benefits Program and Services is charged with administration of employee leaves of absence, Family and Medical Leave Act (FMLA), and the Americans with Disability Act (ADA). The laws governing these benefits are complex. The Benefits team proactively consults with department representatives and personnel officers to ensure compliance.

Management of the Employee Assistance Program

The State contracts with **Employee & Family Resources (EFR)** for employee assistance program (EAP) services. The primary objective of the EAP is providing confidential, professional service to help employees and their family members deal with problems before they begin to affect their health, happiness, or success. Also, EFR is a resource for resolving workplace problems and conflicts. The Benefits team can coordinate with EFR in assisting you with workplace issues.

Management of the Workers' Compensation Program

Employee Benefits Program and Services manages and administers the Workers' Compensation program. The State contracts with **Sedgwick Claims Management Services** to manage the Workers' Compensation program. Sedgwick is responsible for claims intake, evaluation, direction of medical care, benefits payment, and all other aspects of the day-to-day handling of Workers' Compensation claims filed by state employees. The Benefits team and Sedgwick representatives consult with agencies in preventing and lowering Workers Compensation costs.

Management of the Unemployment Insurance Workers' Compensation Program

Agencies can elect to participate with **Employers Edge**, the State's unemployment insurance administrator. For a reasonable fee, Employers Edge will handle all protests of claims, scheduling of factfinding interviews, administrative hearings with the Iowa Department of Workforce Development (IWD), and contested case hearings. The Benefits team manages the Employers Edge contract. The Benefits team and Employers Edge representatives consult with agencies in lowering unemployment costs.

DRAFT / NOT FOR DISTRIBUTION

Image 6

Service Guide 4

Consultation on Safety and Loss Prevention

Employee Benefits Program and Services is responsible for Occupational Health and Safety, and Risk Management. The goal of the safety and risk management function is to provide a safe and healthful environment for state employees and visitors. The Benefits team consults with agencies on safety issues. Job safety analyses are performed for tasks/operations that show a higher than normal accident rate. Accidents that cause serious injury/lost time or significant property damage are reviewed by the safety staff.

Benefits Education and Healthy Opportunities Services

Employee benefits can be confusing. Benefit education is a service provided by the Employee Benefits Program and Services staff. The Benefits team provides an Employee Benefit Handbook, a user-friendly website, program and provider summaries and comparisons, and educational sessions on a variety of benefit-related topics. A benefit staff member is available to make on-site benefit presentations to agencies or departments or discuss benefit topics and answer questions through conference calls. Onsite presentations may be stand-alone sessions or part of staff meetings. More than one presentation at a location can be made to accommodate staffing levels or work shifts. Presentations can be edited if time is limited.

Through the State's wellness program, "Healthy Opportunities," a variety of wellness services are available for all state employees:

- Discounts to fitness centers throughout the state.
- Different health events, such as flu vaccines and health screenings, throughout the year.
- A Healthy Opportunities website (<http://employeewellness.iowa.gov/>)

). On the website is a

variety of wellness tools and resources on weight management, nutrition, recreation, massage, prescription drugs, and other useful wellness topics.

- Healthy Opportunities webcasts brings information on helping employees and their families to lead healthier lifestyles.

Executive branch non-contract and SPOC-covered employees are eligible for the Healthy Opportunities Wellness Program, which is an employee wellness program in conjunction with the state-sponsored health insurance plans.

DRAFT / NOT FOR DISTRIBUTION

Image 7

Service Guide 5

Personnel Assistant Services

A new and innovative service that the DAS-HRE can provide to agencies is personnel assistant services. By consolidating personnel assistant staff and locating the staff in the same location, DAS-HRE can provide the full range of personnel assistant services and achieve consistent quality performance. Contracting with DAS-HRE for personnel assistant services can save agencies a substantial amount of money. The savings in staff cost can be used for additional program delivery services.

DAS-HRE recognizes that not all agencies are alike. The staff works with you to accommodate your agency's requirements. The agencies contracting with DAS-HRE for personnel assistant services include large agencies, small agencies with one location, and statewide agencies with multiple locations.

DRAFT / NOT FOR DISTRIBUTION

Image 8

Service Guide 6

Personnel Officer Services

Each agency is assigned a Personnel Officer, who is your first point of contact for human resource management information and problem resolution. Services provided by your Personnel Officer include:

Labor Relations Issues

Your Personnel Officer should be consulted prior to any discipline issued in your department. A Labor Relations Specialist from DAS-HRE may also be included in assisting with discipline or discharge issues. Your Personnel Officer is available to consult with you on:

- Employee complaint resolution
- Grievance processing and preparation
- Discipline
- Employee discharge
- Collective bargaining agreement interpretation
- Work rule and policy development
- Investigations of employee misconduct
- Attendance and leave issues
- Reduction-in-force (layoff) issues

Performance Issues

The State's performance evaluation system is intended to bring the supervisor and the employee

together in an atmosphere that focuses on enabling the employee to achieve maximum success on the job. Supervisors must meet at least annually with employees to discuss performance outcomes and to provide a written performance evaluation to each employee. Your Personnel Officer can assist you with questions related to:

- Developing Individual Performance Plans
- Performance Evaluations
- Individual Development Plans

- Performance Improvement Plans

Job Classification

Job classification is the process of determining the most appropriate job class for a position, based upon the duties and responsibilities assigned. Your Personnel Officer will assist your department with job classification when you are:

- Establishing new positions
- Reviewing the classification of current positions at the request of the employee, the Appointing Authority or DAS-HRE
- Developing a reorganization plan
- Reassigning job duties
- Developing and revising job descriptions

DRAFT / NOT FOR DISTRIBUTION

Image 9

Service Guide 7

Employment Issues

Your Personnel Officer is available to consult with you on staffing needs and assist you through the selection process. Your Personnel Officer can assist you with employment-related issues such as:

- Consulting on staffing solutions for temporary staffing needs
- Establishing or revising minimum qualifications (required education, experience or other special requirements such as certification or licensing)
- Developing screening devices such as interviews

Rules, Policies, and Directives

Your Personnel Officer is available to assist you regarding DAS-HRE rules, collective bargaining

agreement provisions, State of Iowa policies, and consultation on complaints. Your Personnel Officer can provide advice on how your department addresses complaints related to:

- Discriminatory harassment
- Equal Employment Opportunity Commission (EEOC)
- Civil rights
- Workplace violence

Special Pay Actions

There are special pay tools available to address situations where it may be necessary to offer a

candidate above the minimum rate of pay or to compensate current employees for temporary assignments, including lead work and acting supervisor duties. All special pay actions require approval from DAS-HRE and may require prior approval from the Department of Management. Your Personnel Officer can assist you through the process.

DRAFT / NOT FOR DISTRIBUTION

Image 10

Service Guide 8

Labor Relations Services

Each agency is assigned a Labor Relations Specialist. Labor Relations Specialists work closely with assigned DAS Personnel Officers. Services provided by your Labor Relations Specialist include:

Collective Bargaining Negotiations

The Labor Relations Team is responsible for representing Management through collective bargaining negotiations.

Grievances, Hearings, and Arbitrations

Your Labor Relations Specialist presides over related grievance hearings when they reach DAS-HRE, and negotiates any settlements with the Union or designated representative for grievances that have reached DAS-HRE. Your Labor Relations Specialist also represents Management during arbitration hearings and matters before the Public Employment Relations Board.

Classification Appeal Hearings

If a classification decision is appealed before the Classification Appeal Committee in DAS, a Labor Relations Specialist will preside over the hearing as the Chair.

DRAFT / NOT FOR DISTRIBUTION

Image 11

Service Guide 9

Performance & Development Solutions

Performance & Development Solutions (PDS) is the centralized training and development program that offers individual and organizational performance development opportunities. PDS's mission is to provide performance development services that directly impact your ability to deliver expert, timely, and cost-effective programs and services. PDS offers a variety of courses to assist you with development of talent and leadership within your organization and achievement of the following goals:

- Enhance and develop the effectiveness of your workforce.
- Foster developmental opportunities that create a high performing culture within your workforce.
- Allow participants to maximize their learning opportunity, self-identify behavioral changes, and establish measurable application of course material.
- Impact your customer service by providing professional leadership development.

In addition to talent and leadership development courses, PDS also offers the following opportunities:

- Technical and application computer skills training.
- Self-paced e-learning courses.
- A nationally accredited Certified Public Manager® (CPM) program. CPM is an intensive learning experience specifically designed for supervisors, managers, and executives from federal, state, county, and local governments; it teaches best-practice management strategies and enhances personal leadership strengths.

There are fees associated with participation in services provided through PDS. PDS *may* be able to customize curriculum to meet specific needs.

DRAFT / NOT FOR DISTRIBUTION

Image 12

Service Guide 10

Appendix: Resources

Following are links to key information and resources:

- Applicant Screening Manual:
http://das.hre.iowa.gov/documents/publications/applicant_screening_manual.pdf

- Classification and Pay Plans:
http://das.hre.iowa.gov/class_and_pay.html

- Collective Bargaining Agreements:
http://das.hre.iowa.gov/collective_bargaining.html

- Employee Benefits Handbook:
http://benefits.iowa.gov/documents/2013_employee_benefits_handbook.pdf

- Managers and Supervisors Manual:
http://das.hre.iowa.gov/ms_manual.html

- Performance & Development Solutions:
<http://learnatpds.iowa.gov/>

- State of Iowa Employee Handbook:
http://das.hre.iowa.gov/documents/publications/employee_handbook.pdf

- State of Iowa Policies:
<http://das.hre.iowa.gov/info-managers.html#hrpol>

DRAFT / NOT FOR DISTRIBUTION

- [Image 1](#)
- [Image 2](#)
- [Image 3](#)
- [Image 4](#)
- [Image 5](#)
- [Image 6](#)
- [Image 7](#)
- [Image 8](#)
- [Image 9](#)
- [Image 10](#)
- [Image 11](#)
- [Image 12](#)
- [Image 13](#)
- [Image 14](#)
- [Image 15](#)
- [Image 16](#)
- [Image 17](#)
- [Image 18](#)
- [Image 19](#)
- [Image 20](#)
- [Image 21](#)
- [Image 22](#)
- [Image 23](#)
- [Image 24](#)
- [Image 25](#)
- [Image 26](#)
- [Image 27](#)
- [Image 28](#)
- [Image 29](#)
- [Image 30](#)
- [Image 31](#)
- [Image 32](#)
- [Image 33](#)
- [Image 34](#)
- [Image 35](#)
- [Image 36](#)
- [Image 37](#)
- [Image 38](#)
- [Image 39](#)
- [Image 40](#)
- [Image 41](#)
- [Image 42](#)
- [Image 43](#)
- [Image 44](#)
- [Image 45](#)

Image 1

State of Iowa Employee Handbook

November 2013

DRAFT / NOT FOR DISTRIBUTION

Image 2

i

Table of Contents

- Welcome to Iowa State Government 1
- General Employment Information 2
- Probationary Period 2
- Permanent Status 2
- At-Will Employees 2
- Work Hours 2
- Overtime 3
- Promotion 3
- Dual Executive Branch Compensation 3
- Job Reclassification 3
- Performance Reviews 4
- Safety 4
- Employee Personnel Records 4
- Management Access to Work Areas 4
- Resignation 5
- Payday and Paychecks 6
- Paychecks 6
- Direct Deposit 6
- Travel Expenses 6
- Charitable Contributions 6
- Group Benefit Programs 7
- Health Insurance 7
- Dental Insurance 7
- Dependent Verification 7
- COBRA 8
- Sick Leave Insurance Program (SLIP)..... 8
- Life Insurance 8
- Long-Term Disability Insurance (LTD) 9
- Qualified Life Events 9

DRAFT / NOT FOR DISTRIBUTION

Image 3

ii

- Supplemental Retirement Program 9
- Flexible Spending Accounts 9
- Premium Conversion Plan (Pretax) 10
- Other Benefits 11
- Workers' Compensation 11
- Iowa Public Employees' Retirement System (IPERS) 11
- Peace Officers' Retirement System (PORS) 11
- Employee Assistance Program 11
- Benefit Education 12
- Training and Development 12
- Leaves 13
- Holidays 13
- Vacation 13
- Sick Leave 13
- Care and Necessary Attention to Family Members 14
- Death in Immediate Family 14
- Military Leave 14
- Leave without Pay 14
- Donated Leave for a Catastrophic Illness..... 14
- Jury Duty and Court Leave 15
- Bone Marrow and Organ Donation Leave 15
- Educational Leave and Assistance Program 15
- Severe Weather and Emergency Closings 16
- Unauthorized Leave 16
- Family and Medical Leave Act (FMLA) 16
- Standards of Conduct 18
- Political Activities 18
- Outside Employment/Selling Goods or Services 18
- Gifts and Gratuities 18
- Use of State Property 19
- Use of Personal Electronic Devices 20
- Protection from Reprisal 20
- Disciplinary Actions and Your Rights 21

DRAFT / NOT FOR DISTRIBUTION

Image 4

iii

Disciplinary Actions 21

Grievance Procedures 21

Violations of Rules and Policies 21

Policies..... 22

Equal Employment Opportunity, Affirmative Action, and Anti-Discrimination Policy 22

Policy Summary 22

Full Policy 22

Drug-Free Workplace and Substance Abuse Policies 22

Summary of Policies 22

Full Policies 22

Smoking and Tobacco Use Policy 22

Policy Summary 22

Full Policy 22

Social Media Policy 23

Policy Summary 23

Full Policy 23

Violence-Free Workplace Policy 23

Policy Summary 23

Full Policy 23

Appendix A: EEO/AA and Anti-Discrimination Policy 24

Appendix B: Drug-Free Workplace Policy 30

Appendix C: Substance Abuse Policy 32

Appendix D: Smoking and Tobacco Use Policy 34

Appendix E: Social Media Policy 36

Appendix F: Violence-Free Workplace Policy 38

Acknowledgement of Receipt 41

DRAFT / NOT FOR DISTRIBUTION

Image 5

State of Iowa Employee Handbook 1

Welcome to Iowa State Government

We hope you will find a great deal of challenge and personal satisfaction in your employment with the State. You have an important role in accomplishing the goals of your department and of state government.

As a state employee, it is very important that you always present the best possible image to the public.

Remember to act promptly, be courteous, and treat people, our customers, respectfully. Your actions will make a lasting impression. Be sure it is a positive one.

This is your employee handbook. This information is based on Iowa Department of Administrative Services (DAS) rules and policies. Much of the information in this handbook is also covered in the State's collective bargaining agreements. Where there are differences between a collective bargaining agreement and this handbook, the collective bargaining agreement prevails for employees covered by the agreement. Where there are differences between this handbook and DAS rules and policies, DAS rules and policies prevail. Also, individual state agencies may have more specific policies in place that augment those contained in this handbook.

Some of the employee benefit plans described in this handbook are subject to legal requirements concerning reporting and disclosure. This handbook contains highlights of those plans. For complete details about benefit plans, consult the benefit handbooks and the official plan documents. In case of any discrepancy, the official plan documents prevail. Of course, changes in laws may affect the benefit programs described in this handbook.

If you have any questions, contact your supervisor, your department's personnel assistant, or your personnel officer.

Again, welcome to the State's workforce!

The Iowa Department of Administrative Services

The State of Iowa reserves the right to amend the contents of this handbook at any time without prior notice. The provisions of this handbook and other policies do not establish contractual rights or conditions of employment between the State and its employees.

DRAFT / NOT FOR DISTRIBUTION

Image 6

State of Iowa Employee Handbook 2

General Employment Information

Probationary Period

If employed in a permanent, merit-covered position, employees will serve a period of probationary status for six months.

If employed in a permanent, non-merit covered position that is covered by a collective bargaining agreement, employees will serve a period of probationary status for six months. (Note: Peace officers

employed by the Iowa Department of Public Safety are subject to a 12-month period of probationary status.)

If employed in an at-will position, employees do not serve a period of probationary status and may be terminated at any time.

Permanent Status

Before your probationary period is completed, your supervisor will evaluate your work performance. At that time, you may be granted permanent status or you may be terminated. There is no right of appeal if you are terminated during your probationary period. If you successfully complete your probationary period and obtain permanent status, your work performance will be evaluated at least annually and your supervisor will discuss your evaluation with you.

Permanent status does not mean that you cannot be disciplined or discharged for misconduct, poor job performance, or any other just cause. Further, permanent status does not guarantee that you will not be subject to layoff. (Note: If you are employed in a permanent position that is exempt from the provisions of the State's merit system and the collective bargaining agreements, you may not be subject to a just cause standard for discipline or discharge.)

At-Will Employees

At-will employees serve at the pleasure of a Department Director, the Governor, or a Board or Commission and 1) are not covered by the state merit system; and 2) are not covered by a collective bargaining agreement; and 3) are not covered by Iowa Code provisions relating to cause or just-cause discipline and discharge hearings; or 4) are designated by the Iowa Code as being at-will. Therefore, atwill employees may be terminated for any lawful reason at any time without regard to the just-cause standard. Ask your supervisor or your department's personnel assistant if you have questions about your employment status.

Work Hours

The standard work schedule for most employees is 40 hours per workweek. In locations with around-the-clock operations, schedules and days off will vary. In some departments, employees may be permitted to use various options that give them flexibility in scheduling their work hours. Your supervisor will explain any options that may be available to you. Typically, a 15-minute paid rest period in the first half of your workday, another 15-minute paid rest period in the second half, and a 30-minute unpaid lunch period will be arranged by your supervisor. The administration of rest periods and meal periods varies based upon the applicable collective bargaining agreement.

DRAFT / NOT FOR DISTRIBUTION

Image 7

State of Iowa Employee Handbook 3

Overtime

During emergencies or periods requiring extra work, your workweek may be adjusted by your supervisor. Overtime compensation is in accordance with the federal Fair Labor Standards Act, DAS-HRE rules, or the applicable collective bargaining agreement. If you are eligible for overtime pay, you must have prior approval from your supervisor to work overtime. For specific information, refer to your collective bargaining agreement, DAS-HRE rules, or consult with your supervisor.

Promotion

To be considered for promotional opportunities in positions covered by the merit system, you must apply for the appropriate job class and be on the DAS-HRE list of eligibles for that class.

DAS-HRE accepts applications for promotion from permanent employees. You may apply online at <http://das.hre.iowa.gov/>

or obtain a paper copy of a DAS-HRE Employment Application from the personnel assistant in your department. Completed applications are to be submitted to DAS-HRE in Des

Moines.

Minimum qualifications for each job classification are listed in the DAS-HRE job class descriptions, which are available at your local Iowa Workforce Center, at DAS-HRE, or online at <http://das.hre.iowa.gov/>.

If you are promoted within your employing department, you may be required to serve a probationary period in your new position. This requirement does not affect your permanent status. Refer to the DASHRE rules for further information. If you do not perform satisfactorily in the new position, you may be returned to a position in your former class.

Promotional opportunities for positions not covered by the merit system are handled directly by the department involved.

Dual Executive Branch Compensation

Pursuant to Iowa Code section 68B.2B, an official or employee accepting simultaneous employment with another executive branch agency shall file notice of the dual employment with the Iowa Ethics and Campaign Disclosure Board within 20 business days of accepting the second employment. The form can

be found on the Iowa Ethics and Campaign Disclosure Board website at (link).

Job Reclassification

Management may change the duties and responsibilities of your position. If the changes are significant

and assigned permanently, the position may be considered for reclassification to a job class that more accurately reflects the new duties, if necessary. If a different job class is necessary, it may be higher, lower, or in a different class in the same pay grade. If your position is reviewed, you and your supervisor will be asked to complete the appropriate forms, which will include a description of your duties.

You or your department may request a classification review of your position. Approval must be obtained from DAS-HRE (and the Department of Management, if there are budget implications) before a reclassification can be effective. If you are affected by a reclassification and you do not agree with the decision, you may have the right to file an appeal with the Classification Appeal Committee in accordance with DAS-HRE rules.

DRAFT / NOT FOR DISTRIBUTION

Image 8

State of Iowa Employee Handbook 4

Performance Reviews

Probationary employees may receive one or more performance reviews prior to the end of their first six months of employment. Permanent employees shall receive job performance reviews at least once per year. If you do not receive a timely job performance review, you should request that your supervisor complete one with you.

Safety

The State promotes a safe work environment for its employees. Employee job safety is very important. It is the duty of every employee to work safely and, when job duties require the operation of a motor vehicle, to drive safely.

Employees who drive or ride in a state vehicle for any reason are required to comply with DAS rules and policies. For more information, please refer to the Fleet Maintenance and Repair Manual at http://das.gse.iowa.gov/fleet/fleet_maintenance_manual.html

You are expected to cooperate in every respect with the State's safety program to ensure your own

safety and the safety of your coworkers, clients, residents, inmates, and the public. Be sure to familiarize yourself with the emergency procedures for your department and work location. You are expected to follow these procedures. Always check with your supervisor if you are in doubt about any safety factors when performing your assigned duties.

Employee Personnel Records

Each department or the Department of Administrative Services is responsible for maintaining personnel records for employees in accordance with DAS-HRE rules and policies. An employee's personnel file includes payroll documents, insurance applications, beneficiary designations, performance plans and evaluations, and other documents pertinent to employment.

Employees shall have access to information in their own personnel files during business hours. Employees who wish to review their personnel files must arrange a time that is convenient to their departments. Employees may be charged the actual cost of copying their records, but not more than \$5.00.

Management Access to Work Areas

Employees are provided work areas and certain materials, equipment, and tools to facilitate the performance of their jobs. Such materials, equipment, and tools are to be used for business or workrelated purposes only. Management has the right of access to all work areas at any time. This includes, but is not limited to, the employee's work area, state vehicles, desk drawers, file cabinets, storage areas, passwords, mail, e-mail, keys, lockers, state-issued phones, and computer data and information. Purses and briefcases belonging to employees are not, under normal circumstances, considered work-related areas. As such, employees have no right to expect privacy in the workplace.

Employees given keys to locked work areas or passwords to computer data or information are hereby given notice that this action does not create an expectation of privacy.

DRAFT / NOT FOR DISTRIBUTION

Image 9

State of Iowa Employee Handbook 5

Keys, access badges, or passwords are provided at the discretion of management to preserve confidentiality or to protect state property from unauthorized access. Employees may not install or change locks or combinations on equipment provided by the State without prior written supervisory approval. Failure to exercise due care and diligence in the use and protection of state-issued equipment, including keys, access badges, or passwords, can be grounds for disciplinary action up to and including discharge.

Resignation

To resign or retire in good standing, you must give at least a 14-calendar-day written notice to your supervisor prior to your departure. If you fail to give this prior notice, you may be barred from certification or appointment for a period of up to two years.

DRAFT / NOT FOR DISTRIBUTION

Image 10

State of Iowa Employee Handbook 6

Payday and Paychecks

Paychecks

Paychecks (warrants) are distributed every other Friday, unless the payday would fall on a state holiday. Federal and state income taxes, Social Security (FICA), mandatory wage withholding, and retirement

system contributions will be deducted from your check as required by law. Other voluntary deductions will be made only at your written request. These could include: health, dental, and supplemental life insurance premiums; credit union deductions; deferred compensation deductions; savings bond purchases; union dues; voluntary insurance deductions, and flexible spending deductions.

Your paycheck stub will show the deductions taken from your salary, your available vacation and sick leave balances, the maximum number of vacation hours you may accrue and, if applicable, compensatory leave and holiday compensatory leave balances.

You can also view your payroll warrant information online if your department has opted to participate. The Online Payroll Warrant Report contains information concerning an employee's wage payments, deductions, and state-share amounts paid on behalf of the employee. It also contains leave accruals, usages, balances, and tax status information. This electronic document replaces the paper "pay stub." The Online Payroll Warrant Report is accessed through a secure website and is accessible only by the employee who must enter his or her user ID and password to review the report.

Direct Deposit

Direct deposit is a safe and efficient way of handling your paycheck. You are encouraged to have your net pay deposited directly to an account at the participating financial institution of your choice. Your personnel assistant has the forms you will need to enroll in this program. If employed after July 1, 2009, direct deposit of your paycheck is required.

Travel Expenses

Employees who are required to travel on state business should refer to State Accounting Enterprise policies and guidelines located at <http://das.sae.iowa.gov/>

for information regarding travel

reimbursement rates and use of state vehicles.

Charitable Contributions

State employees may voluntarily participate in the annual One Gift Campaign. Through payroll deductions, you may designate contributions to the charities of your choice from the list of participating charities. Your personnel assistant can provide you with further details.

DRAFT / NOT FOR DISTRIBUTION

Image 11

State of Iowa Employee Handbook 7

Group Benefit Programs

Health Insurance

An employee with probationary or permanent status who works at least 20 hours per week may participate in the State's group health plans. When both spouses are employed by the State, they can

enroll under the same family coverage. Employees cannot be covered as both an employee and a dependent under the State's health and dental benefit plans. The portion of the premium paid by the State and the portion paid by the employee depend on the number of hours worked by the employee, the collective bargaining agreement, if any, that applies to the employee, and the health plan elected by the employee. Employees covered by the State Police Officers Council (SPOC) have a separate group health and dental combination plan.

Coverage will become effective the first day of the calendar month following the day you complete one month of continuous employment. If the first day of employment is the first working day of the month, coverage will be effective the first day of the next month. Contact your personnel assistant to determine your eligibility and to determine the State's premium contribution in your particular situation.

If you do not enroll when you are first eligible for health benefits, you may enroll during an annual

enrollment and change period or 30 days following an applicable life event (60 days in the case of birth or adoption). Benefit elections remain in effect through the end of the calendar year. More

information is included in the Qualified Life Events section of this handbook (page 9).

Dental Insurance

An employee with probationary or permanent status who works at least 20 hours per week is eligible

to enroll in the State of Iowa's dental insurance program. The State pays all or part of a single policy monthly premium, depending on the number of hours the employee works. When both spouses are employed by the State, they can enroll under the same family coverage. Employees cannot be covered as both an employee and a dependent under the State's health and dental benefit plans. The portion of the family premium paid by the State and the portion paid by the employee depend on the number of hours worked by the employee and the collective bargaining agreement that applies to the employee, if any.

You must enroll within 30 days after your date of employment. (Note: This is the only time you may enroll unless an applicable collective bargaining agreement provides otherwise, or you experience a qualified life event.) Coverage will become effective the first day of the calendar month following the day you complete one month of continuous employment. If the first day of employment is the first working day of the month, coverage will be effective the first day of the next month.

Any qualified life event changes must be made within 30 days of the event (60 days in the case of birth or adoption); see the Qualified Life Event section of this handbook (page 9) for more details.

Dependent Verification

DAS-HRE maintains and verifies eligibility of employees and their family members in order to keep costs down for all employees. You may be asked to provide certain documentation to verify

DRAFT / NOT FOR DISTRIBUTION

Image 12

State of Iowa Employee Handbook 8

dependent eligibility. In the event this information is requested by DAS-HRE and all necessary form(s) are not completed and returned within the required timeframes, the dependent(s) will be terminated from the State's plan.

COBRA

If you leave state employment or have certain "qualified events," the federal Consolidated Omnibus Budget Reconciliation Act (COBRA) provides for continuation of health and dental benefits coverage to you and/or your eligible family members at the group premium rate after coverage with the State ends.

The State's share of the premium payment for health and dental benefits will cease at the end of the month in which the qualifying event occurs and you will be responsible for full payment of the premium. COBRA coverage begins the first of the month following the qualifying event. The COBRA election period ends 60 days from the later of:

- The date coverage would otherwise end; or
- The date of the "COBRA Notification/Election Form."

If you divorce, reduce hours, or have a dependent that is no longer eligible for coverage, you must notify your personnel assistant within 60 days following the event so that the COBRA information can be sent. COBRA rights will not be extended to a domestic partner or his/her children.

Please visit http://benefits.iowa.gov/documents/Cobra_notice.pdf

to view the General Notice of

COBRA Continuation Coverage Rights or request a printed copy from your personnel assistant.

Sick Leave Insurance Program (SLIP)

The Sick Leave Insurance Program (SLIP) offers retirement-eligible employees an option for using all or part of their unused sick leave balance to pay the state share of their group health insurance premiums after they retire until they run out of money or become eligible for Medicare (age 65, or earlier, if approved for Social Security Disability).

Executive branch state employees are eligible for the SLIP program, except elected officials, Board of Regents employees, and employees represented by the SPOC union. A similar program is offered to employees represented by the SPOC union.

For program information, visit the SLIP website at http://benefits.iowa.gov/retirees_slip.html

, or

consult the DAS-HRE rules and any applicable collective bargaining agreement.

Life Insurance

The State provides basic group term life insurance for employees with probationary or permanent status who are regularly scheduled to work at least 30 hours per week. Additional supplemental life insurance is available at your expense. Supplemental life insurance premiums are paid through payroll deduction. You may enroll for the guaranteed issue coverage available to you without evidence of insurability if you enroll within 30 days after your employment date.

DRAFT / NOT FOR DISTRIBUTION

Image 13

State of Iowa Employee Handbook 9

You cannot make changes to your supplemental life insurance until the annual enrollment and change period, unless you have a qualified life event. You must provide evidence of insurability and be approved for coverage by the life insurance carrier before any increase becomes effective. Visit <http://benefits.iowa.gov/lifeinsurance.html>

for more information.

Long-Term Disability Insurance (LTD)

Long-term disability insurance is provided for probationary or permanent employees who are regularly scheduled to work at least 30 hours per week. A monthly benefit is paid on approved claims starting 90 workdays following your date of disability or after you have exhausted all of your unused sick leave, whichever is later. You are eligible for benefits when you are disabled due to injury either on or off the job or due to a serious illness. Visit <http://benefits.iowa.gov/ltdinsurance.html>

for more information.

Qualified Life Events

When you enroll in benefits, your benefit election remains in effect to the end of the calendar year. You cannot change your benefit elections outside the annual enrollment and change period unless you experience a qualified life event that is consistent with the type of change you wish to make to your benefits.

Qualified events are defined by Section 125 of the Internal Revenue Code, based on individual circumstances and plan eligibility. The list may not apply to every benefit plan. Please see the life event matrix on the State of Iowa benefits website at http://benefits.iowa.gov/documents/life_events_matrix.pdf

or ask your
personnel assistant for more details.

Supplemental Retirement Program

The State's supplemental retirement program is called the Retirement Investors' Club (RIC). RIC contains three plans: 457, 401a, and 403b (Department of Education employees only). The program is voluntary and is designed to supplement IPERS and Social Security benefits at retirement. To be eligible for the 457/401a plans, you must be a permanent or probationary employee normally scheduled to work at least 20 hours per week or have a fixed annual salary. There are no eligibility requirements for the 403b plan.

While you are participating in RIC, payroll deductions in the amount you choose (up to the federal maximums) are taken from your check and deposited into an account in your name. Contributions may be made on a pre-tax or post-tax (Roth) basis. The State will match contributions to the 457 plan up to a maximum amount each month and place the funds in a 401a account in your name for your exclusive benefit. There is no match for the 403b plan.

Enrollment is always open and you may change your contribution amount and investment selection at any time. You may direct your contributions to a number of competitive investments, including mutual funds, variable annuities, and fixed rate accounts. For more information, visit RIC's website at <http://ric.iowa.gov>

or call 1-866-460-4692.

Flexible Spending Accounts

Flexible Spending Accounts (FSAs) let you pay for certain health (Health FSA) and dependent care expenses (Dependent Care FSA) with tax-free dollars.

DRAFT / NOT FOR DISTRIBUTION

Image 14

State of Iowa Employee Handbook 10

To be eligible, you must be a non-temporary employee who works at least 1,040 hours per calendar year.

This benefit saves you money by reducing your taxable income and increasing your spendable income. You contribute to one or both of the State's FSA accounts with pretax dollars and then are reimbursed for qualifying expenses for you and your family. Pretax dollars are not subject to state, federal, or FICA taxes.

You may enroll within 30 days of your employment with the State or during the annual enrollment and change period. You must re-enroll every year in health and/or dependent care flexible spending. Changes can only be made during the enrollment and change period or at the time of a qualified life event. Contact your personnel assistant for more information, or visit the FSA website at <http://das.hre.iowa.gov/fsa/home.html>

Premium Conversion Plan (Pretax)

Premium Conversion (Pretax) is a State of Iowa benefit that allows all non-temporary employees who work at least 1,040 hours per year to pay their share of health, dental, and supplemental life insurance

while saving money on income and FICA taxes. This means that insurance premiums are deducted from your salary before taxes are calculated. Please note that since you do not pay FICA on your insurance premiums, those amounts are not included in your wages for Social Security calculations.

You are automatically enrolled in Pretax when hired by the State. Changes in participation in Pretax can be made only during the annual enrollment and change period or within 30 days of a qualified life event. Newly hired employees who do not want to participate must complete a form within 30 days of their employment date. Contact your personnel assistant for more information.

DRAFT / NOT FOR DISTRIBUTION

Image 15

State of Iowa Employee Handbook 11

Other Benefits

Workers' Compensation

Workers' compensation benefits are provided to you by law. Under workers' compensation, you may be eligible for wage replacement and medical care. On-the-job injuries must be reported immediately to your supervisor. An injury form (First Report of Injury) must be completed. Your department may have other forms to complete to assist in accident investigation and injury prevention.

Workers' compensation is designed to compensate for work-related injuries and illnesses only. Reimbursement for personal medical conditions should be submitted to your group insurance carrier. Keep your supervisor informed of your progress if you are off work. In addition, work with your department to make arrangements for returning to your job as soon as possible.

Iowa Public Employees' Retirement System (IPERS)

Public employment provides most employees with regular membership coverage under the Iowa Public Employees' Retirement System (IPERS). Your employer is required to deduct a specified amount from your gross pay. Your deduction is contributed on a pretax basis for federal and state income tax purposes. (Pretax contributions lower your taxable income.) In addition, your employer contributes a specified amount to IPERS on your behalf.

Even if you do not retire under IPERS, the contributions you make will always be your money. If you leave public employment before retirement age, you may withdraw your contributions and any accumulated interest or you may leave them in your account and retire when you reach 55. Vested members who receive refunds also receive a portion of their employer's contributions and accumulated interest. You may put the money in another retirement plan or into your own savings.

For more information, contact IPERS at 515-281-0020 or 1-800-622-3849 (Monday–Friday, 7:30 a.m. – 5:00 p.m.), visit www.ipers.org, or e-mail info@ipers.org

Peace Officers' Retirement System (PORS)

All peace officers in the Iowa Department of Public Safety are provided coverage under the Peace Officers' Retirement System (PORS). Upon retirement, employees eligible for PORS have specific provisions regarding their sick leave balances. Contact your personnel assistant for more information.

Employee Assistance Program

The Employee Assistance Program (EAP) provides professional consultation and referral services, short-term counseling, and life coaching to assist employees with a broad range of personal problems, including substance abuse, family or marital problems, financial concerns, career issues, and emotional problems.

The services provided by the EAP are confidential and offered at no initial cost to the employee. The EAP is intended to promote a healthy and productive workforce.

A brochure describing EAP services is available from your personnel assistant. Services can be accessed by calling EAP at 515-244-6090 in Des Moines or 1-800-EAP-IOWA (327-4692).

DRAFT / NOT FOR DISTRIBUTION

Image 16

State of Iowa Employee Handbook 12

Benefit Education

Benefit education is a service provided by DAS benefit staff. The purpose of benefit education is to assist you in making the best use of your benefits. Benefit education is available in a variety of

mediums and there is no cost to participate in a benefit education presentation. Additional information about benefit education, including a listing and schedule of presentations, is available online at http://benefits.iowa.gov/benefit_education

Training and Development

Performance & Development Solutions (PDS), through DAS-HRE, provides training opportunities to help employees improve skills, knowledge, and abilities that increase performance and prepare for

career advancement. From technical skills, such as computer classes and accounting, to supervision and management, to customer service and communication, PDS offers face-to-face workshops, online training, and special sessions. Course schedules and program descriptions can be accessed online at <http://learnatpds.iowa.gov>

. To register, contact your supervisor or training liaison.

DRAFT / NOT FOR DISTRIBUTION

Image 17

State of Iowa Employee Handbook 13

Leaves

Holidays

Holidays are granted to employees who are eligible to accrue vacation and sick leave pursuant to Iowa Code Chapter 1C, the collective bargaining agreements, and the DAS-HRE rules.

Vacation

Probationary and permanent full-time employees accrue 80 hours of vacation per year during the first four years of employment. Two unscheduled holidays are added to the vacation accrual rates each

year. Part-time employees accrue vacation on a pro-rated basis. Temporary employees do not accrue vacation. Specific information regarding accrual rates is available from your personnel assistant, or from the DAS-HRE rules or applicable collective bargaining agreement. Vacation accrual amounts vary with years of service. You can accrue no more than twice your annual entitlement plus any unused sick leave conversion.

You may utilize unused vacation time with your supervisor's prior approval. Collective bargaining agreements may have specific provisions regarding the scheduling of vacation leave. If you terminate your employment, you will be paid a lump sum for your unused vacation. Vacation shall not be

granted after your last day at work.

Sick Leave

Your sick leave benefits are determined by your sick leave balance and your bargaining status. If you are a part-time employee, you accrue pro-rated amounts of vacation and sick leave based on the number of hours for which you are paid. Temporary employees do not earn sick leave. Read the appropriate DAS-HRE rules or collective bargaining agreement for specific provisions.

All permanent and probationary employees who have unused sick leave will be paid at their regular rate of pay during absences from work, when those absences are caused by physical or mental illness, surgery, treatment, or medically-related disabilities caused by pregnancy or recovery from childbirth. Sick leave may also be used for medical examinations, dental or optical examinations that cannot be scheduled outside of regular work hours, and exposure to contagious diseases.

Be sure to consult DAS-HRE rules or the appropriate collective bargaining agreement for specific details. Use of sick leave requires supervisory approval and may require verification. All employees are expected to use this benefit only for its intended purposes.

To be paid for the time you are absent, you are required to immediately notify your supervisor of your absence from work. You may be required to provide a doctor's certificate or other verification for your use of sick leave. Your department may have specific requirements for reporting sick leave. Check with your supervisor.

All permanent employees who have accumulated a minimum of 30 days (240 hours) of sick leave and who do not use sick leave during the previous calendar month may convert sick leave to vacation leave. Conversion rates differ between bargaining units; consult your applicable collective bargaining agreement for more details.

DRAFT / NOT FOR DISTRIBUTION

Image 18

State of Iowa Employee Handbook 14

When an employee is eligible to retire, and has applied and been approved for a monthly benefit under the Iowa Public Employees' Retirement System (IPERS), the employee's sick leave balance will be converted to a cash equivalent and will be paid to the employee up to a maximum of \$2,000 upon termination. Certain collective bargaining agreements may provide otherwise. Consult your collective bargaining agreement, DAS-HRE rules, or see your personnel assistant for more information.

Care and Necessary Attention to Family Members

Sick leave may be used as leave by an employee for the temporary care of or necessary attention to members of the employee's immediate family. For more information, refer to the DAS-HRE rules or the applicable collective bargaining agreement. Special conditions and time limits apply. For further information, ask your supervisor or personnel assistant.

Death in Immediate Family

When a death occurs in an employee's immediate family (as defined in DAS-HRE rules or the applicable collective bargaining agreement), an employee may be eligible to utilize unused sick leave. This type of leave may also apply when an employee is a pallbearer or funeral attendant for a nonfamily member. In both situations, special conditions and time limits may apply in accordance with DAS-HRE rules or the applicable collective bargaining agreement. Information concerning specific situations is available from your supervisor or personnel assistant.

Military Leave

If you are called for military duty as a member of the National Guard, organized reserve, or any component part of the military of the State of Iowa or the United States, you will be paid your regular salary for time spent on military leave for up to 30 shifts per calendar year. You must provide proper notice to your supervisor and the personnel assistant in your department.

Leave without Pay

Leave without pay may be granted to an employee for any reason considered acceptable by the employee's supervisor. You must submit a request for this type of leave in writing and receive prior written approval from your supervisor to use this type of leave. Other requirements or stipulations may also apply. Check DAS-HRE rules or the applicable collective bargaining agreement and contact your supervisor for further information.

Donated Leave for a Catastrophic Illness

Non-contract-covered employees, as well as employees covered by the American Federation of State, County, and Municipal Employees (AFSCME), United Electrical/Iowa United Professionals (UE/IUP), and State Police Officers Council (SPOC) collective bargaining agreements, are eligible to donate or receive donated leave (vacation) hours for a catastrophic illness. Employees covered by the AFSCME collective bargaining agreement are also eligible to donate compensatory leave, holiday compensatory leave, and banked holiday time to any state employee when the employee or the employee's immediate family member has a catastrophic illness. Special conditions may apply in accordance with DAS-HRE rules or the applicable collective bargaining agreement. A "catastrophic illness" means a physical or mental illness or injury of the employee or the employee's immediate family member as certified by a

DRAFT / NOT FOR DISTRIBUTION

Image 19

State of Iowa Employee Handbook 15

licensed physician that will result in the inability of the employee to report to work for more than 30 workdays on a consecutive or intermittent basis. Contributions shall be designated as "donated leave" and shall be subject to DAS-HRE rules, policies, and procedures.

Jury Duty and Court Leave

If you are called for jury duty or subpoenaed as a witness in a court proceeding, you may be paid for the time you must be in court. This provision does not apply to actions in which you are a party or have an interest in the outcome. In order to receive full pay, you must pay to your department's accounting office any compensation you receive from the court (except for travel, parking, food, and lodging expense reimbursements). If you elect to use vacation leave, you are entitled to keep any compensation received from the court. Other requirements may apply. See DAS-HRE rules or the appropriate collective bargaining agreement for details.

Bone Marrow and Organ Donation Leave

Employees are granted a paid leave of absence for the purpose of bone marrow or organ donation. Such leave is without loss of seniority, pay, vacation time, personal days, sick leave, insurance and health coverage benefits or earned overtime accumulation. Employees who serve as bone marrow donors can be granted up to five workdays of leave. The employee must provide written verification from a physician or hospital involved with the bone marrow donation that the employee will serve as a bone marrow donor. Employees who serve as vascular organ donors can be granted up to 30 workdays of leave. The employee must provide written verification from a physician or hospital involved with the vascular organ donation that the employee will serve as a vascular organ donor.

Educational Leave and Assistance Program

Educational opportunities, such as workshops, seminars, or conferences, may be available to employees. Attendance-related fees may be paid by an employee's department, with the approval of the supervisor and in accordance with DAS-HRE rules or the appropriate applicable collective bargaining agreements. Fees for academic work undertaken by an employee at an educational institution may be approved for reimbursement by the employing department, provided that:

- Course work is job related;
- Expenses (tuition and books) are approved by the department director and DAS-HRE prior to

course enrollment;

- Course work is successfully completed (“C-“ grade for undergraduate courses and “B-“ grade for graduate courses); and
- Funds are available.

Educational leave may also be granted at the discretion of the employing department. An employee may be granted educational leave to develop skills that will improve the employee's ability to perform state job responsibilities or to provide training and developmental opportunities of a state agency that will enable the agency director to better meet the staffing needs of the agency. Educational leave:

- May be a full or partial absence from the job;
- May include financial assistance; and

DRAFT / NOT FOR DISTRIBUTION

Image 20

State of Iowa Employee Handbook 16

- Must be requested in writing on an "Application for Education Leave and/or Education Financial Assistance" form, available online at <http://das.hre.iowa.gov/benefits/leave.html> or from your training representative.

For more information, contact your supervisor, your training representative, or your personnel assistant.

Severe Weather and Emergency Closings

Procedures exist that provide guidance when inclement weather conditions or other emergencies cause a department (or one of its offices or facilities) to be closed, or when travel is not recommended. The Severe Weather/Emergency Evacuation Policy is available online at http://das.hre.iowa.gov/documents/MS_manual/severe_weather_policy.pdf

Unauthorized Leave

If you are absent from duty for three consecutive workdays without proper notification and

authorization, you may be considered to have voluntarily terminated your employment. All absences from work must be authorized by your supervisor.

Family and Medical Leave Act (FMLA)

The Family and Medical Leave Act of 1993 (FMLA) requires covered employers to provide unpaid jobprotected leave to eligible employees for certain family and medical reasons, and for certain reasons due to the military service of a covered family member. FMLA is not an additional type of leave; it is job protection for an employee who is using paid or unpaid FMLA leave. In most cases, employees must exhaust all paid leave before unpaid leave is granted. For more information on FMLA, visit the DAS website at <http://benefits.iowa.gov/fmla.html>

(Employee rights are responsibilities under FMLA are listed on the next page.)

DRAFT / NOT FOR DISTRIBUTION

Image 21

State of Iowa Employee Handbook 17

DRAFT / NOT FOR DISTRIBUTION

Image 22

State of Iowa Employee Handbook 18

Standards of Conduct

Political Activities

All employees have the right to express their opinions as individuals on political issues and candidates. However, employees are prohibited from engaging in political activity during scheduled work hours,

when using state equipment, or while on state property. These activities include, but are not limited to, soliciting or receiving political contributions. Political buttons may be worn by employees who have minimal contact with the public, if the buttons do not constitute a safety risk. In certain situations, departments may have additional work rules regarding the wearing of political buttons.

An employee working in connection with a program financed in whole or in part by federal funds may be covered by the provisions of the federal Hatch Act. An employee covered by the Hatch Act shall not be a candidate for public office in a partisan election, may not use official authority for the purpose of interfering with or affecting the results of an election or a nomination for office, and shall not directly or indirectly solicit or coerce contributions from subordinates in support of a political party or candidate. If you have questions concerning your status under the Hatch Act, you may request an advisory opinion by writing to:

US Merit Systems Protection Board
Central Regional Office
230 South Dearborn Street, 31

st Floor

Chicago, IL 60604
1-312-353-2923

Outside Employment/Selling Goods or Services

Employees considering outside employment should refer to their employing department's policies and procedures and Iowa Code 68B.2A. Outside employment must not conflict with the interests of your department or interfere with the performance of your job duties with the State. No outside work may involve the dissemination of official information not generally available to the public or other employees.

In addition, a state employee may not perform work for another state department that is the same or substantially similar to work performed as part of your regular employment duties.

Finally, employees in state regulatory departments may not sell any goods or services to individuals, associations, or corporations that are regulated by their department without the prior approval of their department director.

Gifts and Gratuities

An employee shall not solicit or knowingly accept anything (including money, items of monetary value, any other benefit, or any promise of the previously mentioned items) that is given with an understanding or arrangement that it will influence the public service rendered by the employee or a decision by the employee or by the employee's department. As a general rule, employees of the State and their immediate family members may not receive gifts (including food or beverages) that are

valued at more than \$3.00 from any person, lobbyist, or entity doing business with or lobbying their

DRAFT / NOT FOR DISTRIBUTION

Image 23

State of Iowa Employee Handbook 19

employing department. Honoraria are also prohibited, as are loans from lobbyists. If anyone attempts to influence you through a gift or gratuity, you must report it to your supervisor immediately. For further clarification or exceptions, see Iowa Code chapter 68B.

Use of State Property

Government-owned and private property on department work sites or other state premises must be protected. Therefore, the following are prohibited: unauthorized entry to state premises; unauthorized use, abuse, misuse, or waste of property or materials; unauthorized possession or sale of items; and unlawful operation or use of state vehicles and equipment for other than state business. Some state vehicles have a GPS tracking system installed onboard. The State's long-distance service and state-owned cellular phones are to be used for official state business only. Local personal calls from state office phones must be kept to a minimum. State postage stamps and metered mail are for official business only. The State's internal mail system is not to be used for the distribution or receipt of personal mail or packages.

State equipment must be checked out through a management representative before removal from the premises. Equipment may not be taken off premises for employees' personal use. Personal copies made on department photocopy machines may be permitted at a charge to be set by the employing department and with the approval of the employing department.

Employees provided access badges will not allow others to utilize the badge to permit entry to facilities, and during all work hours must prominently display the badge, not obscured by clothing or other objects, on the front upper third of the body, except when the card is being used by the employee to gain authorized electronic access to buildings, offices, facilities, or electronic communication equipment. Employees are responsible for the care and secure use of access badges provided by the employer and must, immediately upon discovery, report the loss or theft of any issued badge to management.

Internet and e-mail services are provided by the State of Iowa to support open communications and exchange of information, as well as to provide the opportunity for collaborative government-related work. The State of Iowa encourages the use of electronic communications by its employees. Even though employees may have their own passwords for accessing e-mail, the Internet, and computers issued to them, state computers and all the information received or transmitted through them is the property of the State. The State may monitor the use of state equipment and as such, employees should not have any expectation of privacy. As with any resources made available to employees of the State, use of Internet and electronic communication services are revocable privileges. The use of state-provided Internet service must be for state government-related activities and not for personal business, for-profit activities, commercial advertising, shopping, entertainment, or other use that interferes with an employee's productivity or reflects poorly on state government. The use of state-provided Internet and e-mail in the transmittal, retrieval, or storage of any material that is obscene pursuant to Iowa Code section 728.1 will result in discharge.

Misuse of state-provided Internet and e-mail, allowing others unauthorized entry to state facilities, or the unauthorized use and/or abuse of state property and equipment could be grounds for disciplinary action, up to and including discharge.

DRAFT / NOT FOR DISTRIBUTION

Image 24

State of Iowa Employee Handbook 20

Upon termination of employment, whether voluntary or involuntary, all state equipment issued to employees must be returned to the appointing authority.

Use of Personal Electronic Devices

Use of personal electronic devices for non-work related purposes should be kept to a minimum during work time and shall not interfere with an employee's work.

Protection from Reprisal

The Employer shall not take reprisal action against an employee for disclosure of information by that employee to a member or employee of the General Assembly, the Office of the Ombudsman, or other political official or law enforcement agency, or for disclosure of information which the employee reasonably believes is evidence of a violation of law or rule, mismanagement, a gross abuse of funds, an abuse of authority, or a substantial and specific danger to public health or safety.

For information about protection from reprisal, please see Iowa Code, Section 70A.28 (<https://www.legis.iowa.gov/DOCS/ACO/IC/LINC/2013.Section.70A.28.PDF>)

).

DRAFT / NOT FOR DISTRIBUTION

Image 25

State of Iowa Employee Handbook 21

Disciplinary Actions and Your Rights

Disciplinary Actions

Employees covered by the merit system are subject to any of the following progressive disciplinary actions when based on a standard of just cause: written reprimand, disciplinary suspension, reduction of

pay within the same pay grade, disciplinary demotion, discharge, or other appropriate disciplinary measures. Disciplinary action involving employees covered by a collective bargaining agreement shall also be in accordance with the provisions of the applicable agreement. Disciplinary action, up to and including discharge, may be based on, but not limited to, any of the following reasons: inefficiency, insubordination, less-than-competent job performance, unauthorized use or abuse of state property, failure to perform assigned duties, inadequacy in the performance of assigned duties, inattentiveness to duty, dishonesty, theft, improper use of leave, substance abuse, negligence, conduct which adversely affects the employee's job performance or the department, conduct unbecoming a public employee, misconduct, or any other just cause. Not all employees are subject to the just-cause standard for discharge. The provisions of this handbook do not establish contractual rights or conditions of employment between the State and its employees.

Grievance Procedures

All employees have the right to file grievances. The procedures for filing grievances are outlined in the collective bargaining agreements and in DAS-HRE rules (Chapter 11).

Employees who are covered by a collective bargaining agreement and who have grievances alleging a violation of the agreement must file grievances on the appropriate forms provided by the union. For grievances alleging a violation of DAS-HRE rules and for issues not covered by a collective bargaining agreement, both contract-covered and non-contract-covered employees must follow the procedures set forth in DAS-HRE rules and file a non-contract grievance using the grievance form designated by DASHRE, which is available from the personnel assistant or online at <http://das.hre.iowa.gov/>

All grievances must state the issue(s) involved, the relief sought, the date of the incident, and any rule(s) or contract violation(s) involved. For non-contract-covered employees who are covered by the merit system, issues involving disciplinary suspension, reduction in pay within the same pay grade, disciplinary demotion, or discharge must be filed as appeals in accordance with the procedures listed in DAS-HRE rules (Chapter 11).

Violations of Rules and Policies

Violations of the work rules of the employing department or of any of the State of Iowa's policies may result in discipline, up to and including discharge.

DRAFT / NOT FOR DISTRIBUTION

Image 26

State of Iowa Employee Handbook 22

Policies

Equal Employment Opportunity, Affirmative Action, and Anti-Discrimination Policy

Policy Summary

The State is committed to providing equal employment opportunity within state government to all persons. The policy sets forth expectations to ensure that individuals are not denied equal access to state employment opportunities because of their race, creed, color, religion, sex, national origin, age, physical or mental disability, sexual orientation, or gender identity, consistent with applicable state and federal policies and regulations. The policy further provides procedures to report complaints.

Full Policy

For the full text of the State of Iowa's EEO, AA, and Anti-Discrimination Policy, see Appendix A or http://das.hre.iowa.gov/html_documents/ms_manual/02-40.htm

Drug-Free Workplace and Substance Abuse Policies

Summary of Policies

The State is committed to maintaining a safe work environment that is free from the use, abuse, and effects of alcohol, drugs, and controlled substances. The policies set forth expectations and identify prohibited conduct related to alcohol, drugs, and controlled substances. The policies discuss drug and alcohol dependencies as treatable illnesses. Employees in need of help are strongly encouraged to take advantage of the State's Employee Assistance Program.

Full Policies

For the full text of the State of Iowa's Drug-Free Workplace Policy, see Appendix B or http://das.hre.iowa.gov/html_documents/ms_manual/09-60.pdf

For the full text of the State of Iowa's Substance Abuse Policy, see Appendix C or http://das.hre.iowa.gov/html_documents/ms_manual/09-50.htm

Smoking and Tobacco Use Policy

Policy Summary

The policy facilitates compliance with Iowa's Smokefree Air Act, and reminds employees of existing rules in the Iowa Administrative Code (IAC) governing the use of tobacco-related products. The policy identifies prohibited and authorized activities related to the use of tobacco-related products. The State recognizes that employees may need assistance in stopping the use of tobacco products. Employees in need of help are strongly encouraged to take advantage of the State's Employee Assistance Program.

Full Policy

For the full text of the State of Iowa's Smoking and Tobacco Use Policy, see Appendix D or http://das.hre.iowa.gov/html_documents/ms_manual/09-57.htm

DRAFT / NOT FOR DISTRIBUTION

Image 27

State of Iowa Employee Handbook 23

Social Media Policy**Policy Summary**

The policy sets forth expectations for both personal and professional use of social networking, social media, or web-based information sharing/open communication sites. The policy further identifies prohibited actions related to the use of such sites.

Full Policy

For the full text of the State of Iowa's Social Media Policy, see Appendix E or (Insert link).

Violence-Free Workplace Policy**Policy Summary**

The State is committed to a violence-free workplace, and preventing violence in the workplace. The policy identifies prohibited activities, and sets forth expectations and procedures for reporting violations.

Full Policy

For the full text of the State of Iowa's Violence-Free Workplace Policy, see Appendix F or http://das.hre.iowa.gov/html_documents/ms_manual/09-70.htm

DRAFT / NOT FOR DISTRIBUTION

Image 28

State of Iowa Employee Handbook 24

Appendix A: EEO/AA and Anti-Discrimination Policy

State of Iowa

**EQUAL OPPORTUNITY, AFFIRMATIVE ACTION,
AND ANTI-DISCRIMINATION POLICY FOR
EXECUTIVE BRANCH EMPLOYEES**

NOTIFICATION AND EFFECTIVE DATE

All executive branch employees will be required to read this Equal Opportunity, Affirmative Action, and Anti-Discrimination Policy, and will be expected to sign an Acknowledgment indicating that the Policy was read and fully understood by the employee. This revised Policy shall become effective December 10, 2010.

A. GENERAL STATEMENT OF POLICY

It is the policy of the executive branch of state government in the State of Iowa to "Provide equal employment opportunity within state government to all persons." (Iowa Code 19B.) The intent of this policy is to ensure that individuals are not denied equal access to state employment opportunities because of their race, creed, color, religion, sex, national origin, age, physical or mental disability, sexual orientation, or gender identity, consistent with applicable state and federal policies and regulations. It is also the policy of the executive branch of state government in the State of Iowa to apply affirmative action measures to correct the underutilization of females, minorities, and persons with disabilities in the state employment system whenever remedial measures are appropriate.

B. DISCRIMINATORY HARASSMENT IN VIOLATION OF IOWA CODE CHAPTERS 216 AND 19B AND APPLICABLE FEDERAL STATUTES

Harassment of employees based upon their race, creed, color, religion, sex, national origin, age, physical or mental disability, sexual orientation, or gender identity is a violation of the Iowa Civil Rights Act (Iowa Code chapter 216, as amended). Other laws also prohibiting discriminatory harassment in one or more of specified covered areas include: Iowa Code Section 19B.12, Title VII of the Civil Rights Act of 1964, as amended; the Age Discrimination in Employment Act of 1978, as amended; and the Americans with Disabilities Act of 1990.

Examples of discriminatory harassment based on the employees' protected status include, but are not limited to:

1. Abusing the dignity of an employee through insulting or degrading remarks or conduct.
2. Threats, demands, or suggestions that an employee's work status is contingent upon submission to harassment.
3. Subjecting an employee to demeaning or degrading activities in order to gain co-worker acceptance, e.g., hazing.

DRAFT / NOT FOR DISTRIBUTION

Image 29

State of Iowa Employee Handbook 25

C. SEXUAL HARASSMENT

Sexual harassment is a violation of both federal and state statute. Harassment on the basis of sex is a violation of Section 703 Title VII of the Civil Rights Act of 1964 (42 U.S.C. Sec. 2000e et seq.) as amended and Iowa Code Sections 19B.12 and 216. Sexual harassment based on real or perceived sexual orientation or gender identity is a violation of Iowa Code Section 216.

"Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment."

Within Iowa Code section 19B.12, "sexual harassment means persistent, repetitive, or highly egregious conduct directed at a specific individual or group of individuals that a reasonable person would interpret as intentional harassment of a sexual nature, taking into consideration the full context in which the conduct occurs, which conduct threatens to impair the ability of a person to perform the duties of employment, or otherwise function normally within an institution responsible for the person's care, rehabilitation, education, or training."

Examples of sexual harassment, in addition to discriminatory harassment previously described, include, but are not limited to:

1. Unwelcome sexual advances.
2. Hostile conduct based on the person's sex, sexual orientation, or gender identity.
3. Requesting or offering sexual favors in return for job benefits.
4. Actions such as cornering, patting, pinching, touching or brushing against another person's body that are sexual in nature.
5. Open speculation or inquiries about another person's sex life.
6. Jokes, remarks, or innuendos that are sexual in nature or based on real or perceived sexual orientation or gender identity about another person, or about men or women in general.
7. Displaying sexually explicit material in the work place.
8. Conditioning work benefits on submission to sexual advances, tolerance of a sexually hostile work environment or giving preferential treatment because of another person's submission to sexual advances, or tolerance of a sexually hostile work environment.

Sexual harassment can take place between (a) any two state employees, (b) a state employee and a non-state employee, including contractors, and (c) between a state employee and a visitor, guest, client, patient, inmate, or resident.

DRAFT / NOT FOR DISTRIBUTION

Image 30

State of Iowa Employee Handbook 26

D. DISCRIMINATORY PRACTICES IN VIOLATION OF THE AMERICANS WITH DISABILITIES ACT OF 1990

A person with a disability is a person who has a physical or mental impairment that substantially limits a "major life activity," or has a record of such impairment, or is regarded as having such

impairment. "Major life activities" include functions such as caring for oneself, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and working.

A "qualified" person with a disability is one who meets the legitimate job requirements and is

able to perform the essential function of the position with or without reasonable accommodations and without being a direct threat to the health or safety of themselves or others. Essential functions are absolute requirements for producing critical job results/outputs. Essential, by definition, means indispensable, vital, necessary, or related to the essence of the job. It does not include marginal functions or duties performed. As such, departments are not required to provide reasonable accommodations that would result in fundamental alterations in the nature of the work to be performed.

The State of Iowa and its departments, agencies and other instrumentalities and all their employment practices, services and programs shall comply with the requirements of the ADA. The ADA requires, in part, that the State of Iowa:

1. Make reasonable modifications in policies, practices, and procedures that deny equal access to individuals with disabilities, unless fundamental alteration in the program or an undue hardship would result.
2. May not refuse to allow a person with a disability to participate in a service, program, or activity simply because the person has a disability.
3. Provide programs and services in an integrated setting unless separate or different measures are necessary to ensure equal opportunity.
4. Prohibit requirements that tend to screen out individuals with disabilities, such as requiring a driver's license as the only acceptable means of identification.
5. Eliminate unnecessary eligibility standards or rules that deny individuals with disabilities an equal opportunity to enjoy their services, programs or activities unless "necessary" to the provisions of the services, program or activity.
6. Impose safety requirements only when they are necessary for the safe operation of the program in question, such as requirements for eligibility for drivers' licenses if they are based on actual risks and not on mere speculation, stereotypes, or generalizations about individuals with disabilities.
7. Ensure that individuals with disabilities are not excluded or limited from participation in services, programs, and activities because buildings are inaccessible.
8. Provide services, programs, and activities offered in the facility to persons with disabilities through alternative methods, if physical barriers are not removed.

E. COMPLAINT REPORTING PROCEDURE

Any person who feels that he or she has been denied an employment opportunity or has had the terms and conditions of their employment adversely affected because of race, creed, color,

DRAFT / NOT FOR DISTRIBUTION

Image 31

State of Iowa Employee Handbook 27

religion, sex, national origin, age, physical or mental disability, sexual orientation or gender identity has the right and is encouraged, to file a complaint with the person's department, pursuant to the department's complaint procedure. A person may also file a complaint with the Iowa Civil Rights Commission or the appropriate federal enforcement agency. (For sexual orientation or gender identity, protection is offered under the State of Iowa statute only.)

There shall be no discrimination or retaliation against an individual because he or she files a complaint or who aids another individual in filing a complaint. An employee who has reason to believe that he or she has been retaliated against because of participation in an investigation of a discrimination complaint may also file a charge with the Iowa Department of Administrative Services – Human Resources Enterprise, the Iowa Civil Rights Commission, or the U.S. Equal Employment Opportunity Commission, whichever is appropriate.

Any person who believes that she or he has been the victim of discrimination under this section, or who has a concern about potential violations of this section, is directed to bring the matter to the attention of his or her immediate supervisor, appointing authority, or their designees, in accordance with the department's established complaint procedure. If the concern or complaint involves the employee's immediate supervisor, the employee is encouraged to file the concern or complaint with the next highest supervisor, or, in the alternative, to the Director of the Iowa Department of Administrative Services.

Department directors shall promptly investigate all complaints. Each agency shall take final agency action in response to a complaint. Corrective action shall be taken immediately to remedy violations of this policy, whenever warranted, up to and including the discharge of parties whose conduct violates this policy. A manager or supervisor who fails to properly act upon complaints or who has personal knowledge of a violation of this policy and fails to take appropriate action shall be subject to disciplinary action up to and including discharge. The director for the Iowa Department of Administrative Services shall assist departments and agencies with this responsibility. When applicable, state officials and employees shall cooperate fully with all appropriate individuals in the investigation of violations of this policy in order to create and maintain a workplace free from discrimination and discriminatory harassment.

A person, other than a state employee, who is the victim of discrimination prohibited under this policy, shall report the incident immediately to the director of the department affected or to the director of the Iowa Department of Administrative Services.

The Iowa Department of Administrative Services shall have the authority to conduct an investigation of practices prohibited under this policy or supervise the investigation conducted by the agency implicated when the agency director has determined that the investigation is necessary and consistent with the intent of this policy or when the complaint involves allegations of systematic discrimination.

Individuals needing assistance may also contact the Department of Administrative Services – Human Resources Enterprise, Hoover Building, Level A, Des Moines, Iowa 50319. Phone: 515281-3087 or dashre.info@iowa.gov

DRAFT / NOT FOR DISTRIBUTION

Image 32

State of Iowa Employee Handbook 28

F. ASSIGNMENT OF RESPONSIBILITIES

The director of the Department of Administrative Services shall be designated as the State Affirmative Action Administrator, as required in Iowa Code Chapter 19B.3 and shall be

“Responsible for the administration and promotion of equal opportunity and affirmative action efforts in the recruitment, appointment, assignment, and advancement of personnel by all state agencies except the state board of regents and the institutions under its jurisdiction.”

The director of the Department of Administrative Services shall also be designated as the State Americans with Disabilities (ADA) Coordinator in compliance with the U. S. Department of Justice’s Title II Regulations Section 35.107. The director shall carry out this responsibility as follows:

1. Employment: The Human Resources Enterprise of the Department of Administrative Services shall be responsible for equal employment opportunity efforts under the ADA.
2. Accessibility: The General Services Enterprise of the Department of Administrative Services shall be responsible for equal access to State facilities under the ADA.
3. Complaint Reporting Procedure: The ADA Coordinator shall utilize existing complaint reporting procedures detailed in Section E to ensure that policies and procedures of the State of Iowa and its departments, agencies and other instrumentalities do not discriminate against persons with disabilities.

Department directors have the responsibility for the overall administration of this policy within

their departments. This includes the following responsibilities:

1. **Equal Opportunity:** Integrating equal opportunity into all parts of human resource and program management, reviewing all policies and procedures as they affect equal opportunity and ensuring compliance with relevant statutes.
2. **Affirmative Action:** Implementing an internal system for auditing and remedying underutilization in the workforce, and annually reporting the effectiveness of affirmative action efforts to the director of the Iowa Department of Administrative Services.
3. **Prevention of Harassment:** Making every reasonable effort to prevent all forms of harassment from occurring and taking immediate and appropriate corrective action when harassment is brought to their attention, either directly or indirectly. Any administrator, supervisor, or employee who engages in any form of discrimination or harassment prohibited by this policy or who retaliates against an individual who has complained of discrimination or harassment will be subject to disciplinary action up to and including discharge. Also, any administrator or supervisor who fails to act upon complaints of or on personal knowledge of workplace discrimination or harassment will be subject to disciplinary action up to and including discharge.
4. **Access to Program Services:** Department directors shall ensure their activities, services and programs are in compliance with the ADA and accessible to the general public.

DRAFT / NOT FOR DISTRIBUTION

Image 33

State of Iowa Employee Handbook 29

G. TRAINING

Department directors and their employees should attend training offered through the Iowa Department of Administrative Services – Human Resources Enterprise intended to sensitize and inform them concerning the elimination of discrimination and harassment in the workplace. This training shall include, but is not limited to, equal opportunity, affirmative action, diversity, and prevention of discrimination/harassment.

H. POSTING

This policy shall be posted in conspicuous places throughout each of the executive branch agencies of Iowa State government, included in employee handbooks, distributed to all agency employees, chairpersons of department advisory and policy-making groups, agency-specific recruiting sources, vendors, and contractors.

DRAFT / NOT FOR DISTRIBUTION

Image 34

State of Iowa Employee Handbook 30

Appendix B: Drug-Free Workplace Policy

EXECUTIVE ORDER NUMBER 38

WHEREAS, employees of the State of Iowa are a most valuable resource to the citizens they serve and the State as an employer; and

WHEREAS, the use of illegal drugs or abuse of controlled substances or alcohol in the workplace is detrimental to the State's employees; and

WHEREAS, employees have the right to work in a drug-free environment and to work with persons free from the effects of drugs and alcohol; and

WHEREAS, drug and alcohol abuse in the workplace interferes with and reduces the operational efficiency of state government and undermines the public's trust in its functions; and

WHEREAS, the State of Iowa is committed to maintaining a workplace free from the influences of drugs and alcohol.

NOW, THEREFORE, I Terry E. Branstad, Governor of the State of Iowa, by virtue of the authority vested in me by the laws and Constitution of the State of Iowa and in support of our continuing efforts to ensure a drug-free workplace for all employees of the State of Iowa, do hereby order and institute the following policy regarding substance abuse and the unlawful possession of controlled substances on the employer's premises:

I. Employees are expected and required to report to work on time and in appropriate mental and physical condition for work. It is the State of Iowa's intent and obligation to provide a drug-free work environment.

II. The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance on the employer's premises or while conducting the employer's business is absolutely prohibited. Violations of this policy will result in disciplinary action, up to and including termination, and may have legal consequences.

DRAFT / NOT FOR DISTRIBUTION

Image 35

State of Iowa Employee Handbook 31

III. The State recognizes drug and alcohol dependency as illnesses and a major health problem. The State also recognizes drug and alcohol abuse as a potential health, safety and security problem. Employees

needing help in dealing with such problems are encouraged to use our employee assistance program. Conscientious efforts to seek such help will not jeopardize an employee's job.

IV. In order to comply with the Drug Free Workplace Act of 1988, employees are required to report any conviction under a criminal drug statute for violations occurring on the employer's premises while conducting state business. A report of a conviction must be made to the employee's supervisor or other appropriate official within five (5) days after the conviction.

V. Compliance with the terms and reporting requirements of this policy is required as a condition of employment for all employees.

IN TESTIMONY WHEREOF, I have hereunto subscribed my name and caused the Great Seal of the State of Iowa to be affixed. Done at Des Moines this 17th day of

March in the year of our Lord one thousand nine hundred eighty-nine.

DRAFT / NOT FOR DISTRIBUTION

Image 36

State of Iowa Employee Handbook 32

Appendix C: Substance Abuse Policy

State of Iowa

SUBSTANCE ABUSE POLICY FOR EXECUTIVE BRANCH EMPLOYEES

NOTIFICATION AND EFFECTIVE DATE

All executive branch employees (herein "employees") are required to read this revised Substance Abuse Policy, and will be expected to sign an Acknowledgement indicating that the Policy was read and fully understood by the employee. This revised Policy shall become effective on December 13, 1999.

PROHIBITED ACTIVITIES

Employees who conduct state business under the influence of alcohol or an unauthorized controlled substance (herein "controlled substance") present a threat to the health, safety, and welfare of their own persons, their fellow employees, and the public at large. The State of Iowa is committed to ensuring that its employees remain free from the effects of alcohol or controlled substances while conducting state business. Therefore, employees are prohibited from:

1. possessing, consuming, purchasing/selling, or manufacturing alcoholic beverages or controlled substances, while they are conducting state business or are on state property;
2. reporting to work for the State of Iowa under the influence of an alcoholic beverage or a controlled substance;
3. the unauthorized use or abuse of a prescription medication while they are conducting state business or are on state property; and/or
4. driving a state vehicle or a personal vehicle when the employee is engaged in state business, within an eight (8) hour period after consuming an alcoholic beverage, using a controlled substance, or engaging in the unauthorized use/abuse of a prescription medicine.

Absent mitigating circumstances, an employee's involvement in one or more of the prohibited acts listed above may result in summary discharge. "Summary discharge" shall mean a discharge from employment with the State of Iowa after the state substantiates the alleged offense through a fair and thorough investigation. It is unnecessary for the State of Iowa to implement other forms of discipline (e.g., verbal warnings, reprimands, or suspensions) before issuing a summary discharge.

**OTHER ACTIVITIES INVOLVING SUBSTANCE ABUSE AND WARRANTING
REPRIMAND, SUSPENSION, OR TERMINATION**

Absent mitigating circumstances, any of the following shall result in a reprimand, suspension, or a summary discharge:

DRAFT / NOT FOR DISTRIBUTION

Image 37

State of Iowa Employee Handbook 33

1. The suspension or revocation of an employee's driver's license, chauffeur's license, or commercial driver's license, if an employee's job duties require the employee to possess the license, and the loss of his/her driving privileges results in the employee's failure to meet the minimum qualifications for his/her job.
2. The employee engages in off-duty misconduct that either: (1) impairs the employee's ability to perform his/her job function; (2) substantially effects the public's perception of the employee's ability to perform his/her job function; or (3) causes substantial damage to the reputation of the employer. The employee may be subject to reprimand, suspension, or termination even if no arrest or conviction results from the off-duty misconduct.
3. The employee reports to work displaying symptoms that the employee has consumed an alcoholic beverage or a controlled substance.
4. The employee demonstrates below standard job performance or on-the-job misconduct, including, but not limited to, excessive absenteeism or tardiness.

EMPLOYEE ASSISTANCE PROGRAM

The State of Iowa recognizes that a dependency on alcohol or a controlled substance is a treatable illness. Such dependencies can cause major health, safety, and security problems for the employee, fellow employees, and the public at large. Employees who need assistance to address these problems are encouraged to take advantage of the confidential Employee Assistance Program (EAP). For EAP information, call 244-6090 from Des Moines or 1-800-EAP-IOWA (327-4692) from elsewhere in Iowa.

DRAFT / NOT FOR DISTRIBUTION

Image 38

State of Iowa Employee Handbook 34

Appendix D: Smoking and Tobacco Use Policy

State Of Iowa

**SMOKING AND TOBACCO USE POLICY FOR
EXECUTIVE BRANCH EMPLOYEES**

Issued: June 27, 2008 – Revised July 9, 2008 and _____

NOTIFICATION AND EFFECTIVE DATE

All Executive Branch employees (herein "employees") are required to read this Smoking and Tobacco Use Policy, and will be expected to sign an Acknowledgement indicating that the Policy was read and fully understood by the employee. All employees are required to abide by the standards set forth in this policy. Individual departmental policies may differ, because some departments are exempted from statutory provision. However, individual department policies must also be read and signed by the employee. This revised Policy is effective July 1, 2008.

GENERAL STATEMENT OF POLICY

The purpose of this policy is to facilitate compliance with Iowa's Smokefree Air Act, which was enacted to improve the health of Iowans by reducing their level of exposure to environmental tobacco smoke, and to remind Executive Branch employees of existing administrative rules governing the use of tobacco related products. The administrative rules addressing this policy can be found at 641 Iowa Administrative Code 153 and 11 Iowa Administrative Code 100.3.

For purposes of this Policy, smoking includes the use of traditional cigarettes, cigars, pipes, and electronic nicotine delivery devices, including but not limited to, electronic cigarettes. This is not to prohibit the use of nicotine gum, patches, or other approved cessation methods.

STANDARDS**PROHIBITED ACTIVITIES PURSUANT TO THE SMOKEFREE AIR ACT and IDPH ADMINISTRATIVE RULES:**

1. Smoking is prohibited within the confines of all State operated/owned facilities.
2. Smoking is prohibited within the confines of all State operated/owned vehicles.
3. Smoking is prohibited on the grounds of any public building including the Capitol Complex grounds. Grounds is defined as an outdoor area of a public building that is used in connection with the building, including but not limited to, a sidewalk immediately adjacent to the building; a sitting or standing area immediately adjacent to the building; a patio; a deck; a curtilage or courtyard; or any other outdoor area as designated by the person having custody or control of the public building.

DRAFT / NOT FOR DISTRIBUTION

Image 39

State of Iowa Employee Handbook 35

4. Smoking is not allowed in any existing huts or any enclosed areas formerly used as smoking areas.

PROHIBITED ACTIVITIES PURSUANT TO DAS ADMINISTRATIVE RULES ADDRESSING USE OF TOBACCO PRODUCTS:

1. Use of tobacco products is prohibited in all space in capitol complex buildings controlled by the Executive Branch including tunnels and enclosures.
2. Use of tobacco products is prohibited on the grounds of the capitol complex.

STATE/LEASED PROPERTY OUTSIDE CAPITOL COMPLEX

For state property outside the capitol complex and for offices leased by the State of Iowa, the above will apply unless otherwise noticed by the employing department.

AUTHORIZED ACTIVITIES

The use of tobacco products will be authorized within the confines of enclosed privately-owned motor vehicles that are located on the Capitol Complex.

VIOLATIONS

Violations of this policy may result in disciplinary action.

EMPLOYEE ASSISTANCE

The State of Iowa recognizes that employees may need assistance in stopping the use of tobacco products. The State offers the following information for assistance in the transition process:

SMOKING CESSATION PROGRAM – The State of Iowa offers smoking cessation program services available to employees only. These services may be obtained by calling 877-252-8411.

EMPLOYEE ASSISTANCE PROGRAM – The Employee Assistance Program (EAP) is a confidential program available to all employees and their families. The EAP may be contacted at 244-6090 or 1-800-EAPIOWA (327-4692).

IOWA SMOKE FREE AIR WEBSITE – Iowa Department of Public Health’s website, www.IowaSmokefreeAir.gov

is a good resource regarding the smoking ban legislation, including information about smoking cessation programs.

QUITLINE IOWA – Quitline Iowa provides free smoking cessation services to all Iowans. The Quitline will work with you to set up a quit plan and help you with coaching after you quit. You may also qualify for a free, two-week course of nicotine patches or gum. Call 1-800-QUIT-NOW (1-800-784-8669) or visit www.quitlineiowa.org

for more information.

DRAFT / NOT FOR DISTRIBUTION

Image 40

State of Iowa Employee Handbook 36

Appendix E: Social Media Policy

State of Iowa

SOCIAL MEDIA POLICY

NOTIFICATION AND EFFECTIVE DATE

All Executive Branch employees (herein “employees”) are required to read this Social Media Policy, and will be expected to sign an Acknowledgement indicating that the policy was read and fully understood by the employee. All use of social networking sites by state agencies should be consistent with applicable state, federal, and local laws, regulations, and policies, including all information technology security policies. All employees are required to abide by the standards set forth in this policy. This policy is effective _____.

All use of social media, including social networking sites, by state agencies should be consistent with applicable state, federal, and local laws, regulations, and policies, including all information technology security policies. This policy applies to any social networking, social media, or web-based, information sharing/open communication site (including, but not limited to, blogs, wikis, and message boards).

Nothing in this policy shall be interpreted or applied as limiting an employee’s right to engage in speech

protected by the United States and Iowa Constitutions or as limiting the right to engage in protected concerted activity, including employee discussion regarding the terms and conditions of employment.

PERSONAL USE

A state employee's personal use of any social networking, social media, or web-based site should remain personal in nature and should be used to share personal opinions and other non-work-related information. Absent express consent by a state agency, a state employee should not use his or her personal social networking, social media, or web-based site to conduct state business.

State employees, especially those possessing leadership responsibilities and those choosing to identify themselves as employees of the State, should consider whether statements they publish may be construed as expressing official state or agency positions and whether or not such statements are accurate representations. A state employee should also take appropriate steps to ensure that communications made in an employee's personal capacity represent that employee's personal opinion and do not reflect or represent the opinion of the State of Iowa or the department or agency for which the employee works. Depending on the circumstances and to ensure an employee's personal postings are not wrongfully attributed to the State, an employee may wish to post a disclaimer such as:

The postings on this site are my own opinion and do not reflect or represent the opinions of the State of Iowa or the department/agency for which I work.

For purposes of maintaining and securing information technology and data, state employees should avoid using their state e-mail account, username, or password in conjunction with a personal social networking, social media, or web-based site.

DRAFT / NOT FOR DISTRIBUTION

Image 41

State of Iowa Employee Handbook 37

PROFESSIONAL USE

All official state agency-related communication through social media, social networking, and web-based sites shall remain professional in nature, and shall be conducted in accordance with state policy, practices, and expectations. State employees must not use official state agency social media, social networking, or web-based sites to conduct private commercial transactions or to engage in private business activities. Only individuals authorized by a state agency may publish content to an agency website or agency social computing technologies.

PROHIBITED ACTIONS

Employees shall not:

- Discuss or display information online that is confidential or proprietary to the State, or to a third party that has disclosed information to the State.
- Make disparaging statements online concerning customers or clients of the State.
- Engage in any online actions that would violate the State's Violence Free Workplace Policy.
- Engage in any online actions that would violate the State's Equal Opportunity, Affirmative Action, and Anti-Discrimination Policy.
- Use social media or networking sites that are controlled or owned by the State in a manner that violates federal or state law, administrative rules, or applicable policies (including, but not limited to, information technology and information security policies).

VIOLATIONS

Violations of this policy may result in disciplinary action up to and including discharge.

Employees are responsible for reporting suspected violations of this policy to their direct supervisor. If the suspected violation involves the employee's immediate supervisor, the employee is encouraged to report it to the next highest supervisor or, in the alternative, to the Director of the Iowa Department of Administrative Services.

DEPARTMENT/AGENCY POLICIES AND WORK RULES

State departments and agencies may develop specific social media policies and/or work rules that further enhance this policy.

DRAFT / NOT FOR DISTRIBUTION

Image 42

State of Iowa Employee Handbook 38

Appendix F: Violence-Free Workplace Policy

State of Iowa

VIOLENCE-FREE WORKPLACE POLICY FOR EXECUTIVE BRANCE EMPLOYEES

Issued August 1, 1996 – Revised _____

I. DEFINITIONS

Violence is any act which is intended to intimidate, annoy, or alarm another person; or any act which is intended to cause pain or injury to, or which is intended to result in physical or personal contact which will be insulting or offensive to another, coupled with the apparent ability to execute the act.

A dangerous weapon is any instrument or device designed primarily for use in inflicting death or injury upon a human being or animal, and which is capable of inflicting death or injury upon a human being when used in the manner for which it was designed. Additionally, any instrument or device of any sort whatsoever which is actually used in such a manner as to indicate that the individual intends to inflict death or injury upon the other, and which, when so used, is capable of inflicting death upon a human being, is a dangerous weapon. Dangerous weapons include, but are not limited to, any offensive weapon, pistol, revolver, or other firearm, dagger, razor, stiletto, switchblade knife, or knife having a blade exceeding five inches in length.

Personal contact means an encounter in which two or more persons are in visual or physical proximity to each other. Personal contact does not require a physical touching or oral communication, although it may include these types of contacts.

II. POLICY STATEMENT

The State of Iowa recognizes that violence at work can seriously affect employee work

performance and morale. Threats, intimidation, harassment, or acts of violence will not be tolerated. The State of Iowa further establishes, as its vision, that all of its officials, managers, supervisors and employees will treat each other with courtesy, dignity and respect. The State of Iowa is committed to a violence-free workplace, and its goal is to prevent violence in the workplace.

Accordingly, the State of Iowa is committed to:

1. Preventing the potential for violence in the work environment,
2. Reducing the negative consequences for employees who experience or encounter violence, and
3. Maintaining a work environment of respect and positive conflict resolution.

DRAFT / NOT FOR DISTRIBUTION

Image 43

State of Iowa Employee Handbook 39

III. PROHIBITIONS

A. Employees are prohibited from the possession, sale, transfer or use of any dangerous weapon while engaged in state business, or on state property or the Employer's premises.

This prohibition shall not include peace officers and other state employees who have been issued professional weapons permits by the Commissioner of the Department of Public Safety for use by these employees when acting under the authority of their department. Further, this policy is not intended to restrict employees who live in state owned housing from the legal possession of weapons in their homes, if allowed by the appointing authority. This policy is not intended to restrict state employees from engaging in legal hunting and recreational activities on state owned property during off duty hours.

B. Employees are prohibited from engaging in harassment of another employee, supervisor, manager, vendor, customer or client in accordance with the State of Iowa's Equal Opportunity, Affirmative Action and Anti-Discrimination Policy.

C. Employees are prohibited from making threatening or intimidating statements or engaging in threatening or intimidating behavior directed to another employee, supervisor, manager, vendor, customer or client.

D. Employees are prohibited from communicating with another employee, supervisor, manager, vendor, customer or client by telephone, electronic means, or in writing without legitimate purpose or in any manner likely to cause the other person annoyance or harm.

E. Employees are prohibited from purposefully and without legitimate purpose having personal contact with another employee, supervisor, manager, vendor, customer or client with the intent to threaten, intimidate or alarm the other person.

IV. AFFIRMATIVE DUTIES

A. An employee who is the victim of workplace violence shall report the incident immediately in accordance with the procedures established by this policy.

B. An employee witnessing workplace violence or the potential for such violence directed at another person or property of the state, shall report such incidents in accordance with the procedures established by this policy.

C. When applicable, state officials and employees shall cooperate fully with all appropriate individuals in the investigation and prosecution of criminal acts, this policy, and the

pursuit of any civil remedies in order to create and maintain a violence-free workplace.

DRAFT / NOT FOR DISTRIBUTION

Image 44

State of Iowa Employee Handbook 40

V. REPORTING PROCEDURES

Any employee who has been the victim of workplace violence, or who has a concern about potential workplace violence within the context of this policy, is directed to bring the matter to

the attention of his or her supervisor, or the appointing authority or his or her designee, in accordance with the department's established complaint procedure. If the concern or complaint involves the employee's direct supervisor, the employee may go to the next higher supervisor with the concern or complaint or, in the alternative, to the Iowa Department of Administrative Services – Human Resources Enterprise. All complaints will be promptly investigated by the appointing authority or the Iowa Department of Administrative Services – Human Resources Enterprise.

In the event of a situation requiring immediate intervention by law enforcement personnel, the appropriate law enforcement agency should be contacted immediately.

VI. REMEDIES FOR POLICY VIOLATIONS

Corrective action will be taken to remedy violations of this policy when warranted, up to and including the discharge of parties whose conduct violates this policy.

Any manager or supervisor who fails to properly act upon employee complaints or on personal knowledge of conduct in violation of this policy shall be subject to disciplinary action up to and including discharge.

A copy of all complaints received and their resolution shall be forwarded to the Chief Operating Officer of the Iowa Department of Administrative Services – Human Resources Enterprise within ten (10) working days after receipt of the complaint and ten (10) working days after resolution of the complaint. Interim reports shall be provided to the Director as requested.

DRAFT / NOT FOR DISTRIBUTION

Image 45

State of Iowa Employee Handbook 41

Acknowledgement of Receipt

I, , acknowledge that I have received the

Employee's Name

State of Iowa Employee Handbook, which includes the Equal Employment Opportunity, Affirmative Action and Anti-Discrimination Policy; the Drug-Free Workplace Policy; the Substance Abuse Policy; the Smoking and Tobacco Use Policy; the Social Media Policy; and the Violence-Free Workplace Policy. I have been directed to read the *Employee Handbook*, including these policies, and was offered an opportunity to ask questions about their contents. I am also aware that I am expected to read and be familiar with any updates to the information contained in this handbook, including the policies. I further acknowledge that this handbook is not a contract between the State of Iowa and me.

Employee's Name (print)

Employee's Signature Date

Supervisor's Signature Date

Place the original of this form in the employee's personnel file. Provide a copy to the employee.

DRAFT / NOT FOR DISTRIBUTION

- [Image 1](#)
- [Image 2](#)

Image 1

LIST OF UPDATES TO 2013 STATE OF IOWA EMPLOYEE HANDBOOK

1

Cover Redesigned

Table of Contents

Placed ahead of welcome page; redesigned; regrouped headings; added appendices of six state policies.

Welcome Page

Moved to page one. Edited slightly. Added to 3rd paragraph: "Also, individual

state agencies may have more specific policies in place that augment those contained in this handbook."

Probationary Period

Shortened; stated employees who serve a probationary period and those who do not; deleted language about what happens at the end of the probationary period.

Permanent Status

New section. Some of the deleted text from the section on Probationary Period was moved here.

Promotion

Deleted 5

th paragraph (one sentence): "Promotion may entitle you to a pay increase."

Dual Executive Branch

Compensation

New section

Safety Shortened text. Added link to DAS Fleet Maintenance Manual.

Employee Personnel

Records

Deleted the exception in the 1st

sentence of the 2nd

paragraph. The sentence

now reads, "Employees shall have access to information in their own personnel files during business hours."

Management Access

to Work Areas

Added a sentence to the end of the 1st

paragraph: "As such, employees have

no right to expect privacy in the workplace."

Direct Deposit Changed last sentence from "may require direct deposit" to "is required."

Health Insurance Shortened to three paragraphs.

COBRA Deleted 1

at two sentences of 3
rd paragraph.

SLIP Shortened. Directed employees to the Benefits website.

Life Insurance

Shortened. Directed employees to the Benefits website. Deleted the sentence regarding imputed income, as it no longer applies.

Travel Expenses

Changed to refer employees to DAS-SAE website for information regarding travel reimbursement rates and use of state vehicles.

Supplemental
Retirement Program
Added information about Roth IRA.

Flexible Spending
Account
Added eligibility requirements.

Workers'
Compensation

Shortened.

IPERS Shortened. Added a link to the IPERS website for more information.

Vacation

Replaced "intermittent, seasonal, and emergency employees" with "temporary employees."

Image 2

LIST OF UPDATES TO 2013 STATE OF IOWA EMPLOYEE HANDBOOK

2

Severe Weather and
Emergency Closings

Reworded the section from "Emergency Closings" to "Severe Weather and Emergency Closings." Shortened text and provided a link to the Severe Weather/Emergency Evacuation Policy on the DAS website.

FMLA

Reduced text to one paragraph; provided a basic definition; referred employees to the DAS website for more information; and added the federal FLMA poster, listing employee rights and responsibilities under FMLA.

Standards of Conduct

New heading. Moved five subheadings (or sections) here. Added a new section on Use of Personal Electronic Devices.

Outside
Employment/Selling
Goods or Services

Referred employees to Iowa Code 28B.2A and removed example.

Use of State Property

Reworked slightly. Added the last sentence in paragraph 4: "The use of stateprovided Internet and e-mail in the transmittal, retrieval, or storage of any

material that is obscene pursuant to Iowa Code section 728.1 will result in discharge.”

Use of Personal
Electronic Devices

New section

Protection from
Reprisal

Updated to remove the reference to the Citizens’ Aid/Ombudsman and direct employees to Iowa Code, Section 70A.28.

Disciplinary Actions Added “inattentiveness to duty” and “theft” as reasons for disciplinary action.

Grievance Procedure Added a link to the DAS website to obtain the non-contract grievance form.

Policies

Created this new heading; added the Social Media Policy; moved the other five policies to this location; wrote a summary of each policy; included a link to the policy on the DAS website; and provided the full text of each policy in Appendices A – F.

Social Media Policy New section

Smoking and Tobacco
Use Policy

Updated to include electronic cigarettes. (This policy has not been finalized.)

Violence-Free
Workplace Policy

Updated to remove code references.

Credit Union Deleted

Employee Recognition Deleted

Message: FW: Overpayment Remand Changes

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:13 PM
Item ID: 40861368
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: Overpayment Remand Changes**

From Hillary, Teresa [IWD] **Date** Friday, August 16, 2013 4:32 PM
To Baughman, Myra [IWD]
Cc Wise, Debra [IWD]; Lewis, Devon [IWD];
Wise, Steve [IWD]

Myra,

On Monday you and I and Deb will talk about how the hearing issues will be set up. Until we get the "99" set up via IT, it will be typing required of you. Don't worry this will pass and it will get worked out.

Thanks much

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683

FAX: 515.242.5144

From: Wise, Steve [IWD]
Sent: Friday, August 16, 2013 4:18 PM
To: Shroyer, Paula [IWD]; Scott, Cheryl [IWD]
Cc: Hillary, Teresa [IWD]; Lewis, Devon [IWD]

Subject: Overpayment Remand Changes

I am wanting to give you a heads up.

We are going to be handling overpayment remands a bit differently because of a change in the law, which charges employers for overpayment caused by their failing to participate in the fact-finding interview. Previously, the only impact of the employer's lack of participation was the claimant was not required to repay the overpayment. The process generally was to remand those cases to have the agency to make the initial decision on whether to require repayment.

1. So we will have some cases under the old law where ALJ will remand and use Reference 41A or our own paraphrase of it.
2. For the next couple weeks, we will have cases under the new law where as a stopgap measure, we will be remanding for a determination of whether the claimant will have to repay **and whether** the employer will be charged using some different language that will likely be formalized as Reference 41B. I am working on this and will get the Reference 41B to you ASAP.
3. We have started today including on the hearing notice the issue of whether the claimant must repay and the employer be charged for an overpayment due to lack of participation. That will require some different language that I am also work on. This will likely be formalized as Reference 41C. Again, I will get this to you as soon as I can.

Steven A. Wise
Administrative Law Judge
515-281-3747



BE GREEN – Please consider the environment before printing this e-mail.

Message: FW: ALJ Writing Days - 2013**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:13 PM
 Item ID: 40861361
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

✉ FW: ALJ Writing Days - 2013

From Hillary, Teresa [IWD]

Date
 Friday,
 August 16,
 2013 8:40
 AM

To Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]; Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Baughman, Myra [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]

Cc Wahlert, Teresa [IWD]

From: Wahlert, Teresa [IWD]
Sent: Thursday, August 15, 2013 8:01 PM
To: Benson, Joni [IWD]
Cc: Hillary, Teresa [IWD]; Castillo, Lisa [IWD]
Subject: Re: ALJ Writing Days - 2013

Thanks Joni --

I will be having ALJ staff meetings every 2 weeks on Fridays at 1 pm beginning on the first Friday after Labor Day.

- Teresa Wahlert

On Aug 15, 2013, at 5:03 PM, "Benson, Joni [IWD]" <Joni.Benson@iwd.iowa.gov> wrote:

<image001.gif>
Director Wahlert,

I have attached the ALJ Staff Meeting/ALJ Writing Day scheduled through the end of 2013. I want you to be aware that UI Hearings have been scheduled for ALJs through September 17th. If we are going to make a change in the meeting dates and times, in the interest of what is best for the parties involved, I would suggest that we not change anything prior to September 17th so we do not have to reschedule hearings. Some of these cases are hearings that have already been rescheduled.

Thank you,

Joni K. Benson

Iowa Workforce Development – UI Appeals

1000 E. Grand

Des Moines IA 50319

Phone: 515.281.8484

FAX: 515.242.5144

joni.benson@iwd.iowa.gov



BE GREEN – Please consider the environment before printing this e-mail.

<2013.xlsx>

Message: RE: Emailing: Kevin Report 8-12-13.pdf

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:13 PM
Item ID: 40861358
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

✉ RE: Emailing: Kevin Report 8-12-13.pdf

From Hillary, Teresa [IWD] **Date** Thursday, August 15, 2013
10:46 AM
To Scheetz, Beth [IWD]
Cc Ackerman, Susan [IWD]; Wahlert,
Teresa [IWD]

Yes, I do recognize that and have already told the Director that. My number took a huge hit when I did four over one-year old tax refund cases that we found had never been scheduled.

I am just trying to share with ALL of the ALJJs the information that is being given to the Director so everyone knows what is happening in the office. If the ALJs are not given the basic number data, how can they be expected to understand or even know about the problem?

Thanks much

Teresa K. Hillary
Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

-----Original Message-----

From: Scheetz, Beth [IWD]
Sent: Thursday, August 15, 2013 10:30 AM
To: Hillary, Teresa [IWD]
Cc: Ackerman, Susan [IWD]
Subject: RE: Emailing: Kevin Report 8-12-13.pdf

Please be aware that all of Susan's and my numbers will be incorrect after the Elder cases are on our case loads.

Beth

-----Original Message-----

From: Hillary, Teresa [IWD]
Sent: Thursday, August 15, 2013 9:43 AM
To: Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]
Cc: Wahlert, Teresa [IWD]
Subject: FW: Emailing: Kevin Report 8-12-13.pdf

Attached is this weeks "Kevin Report" which is the weekly submission tracking sheet by ALJ.

The Kevin report measures the time from the "hearing date" to the date it was "received" by word processing. The information on the report comes from the information each ALJ supplies to the WP in each individual task request.

Cases that have no hearing date, that is WD and all of the cases that have not been set for hearing, do not count in the Kevin report.

To make sure this report is accurate, please make sure you are putting in the correct hearing date. If you do not do so, you could end up with a negative number.

I'll be sending you this report at the beginning of every week so you can track your own statistics and follow how we "UI Appeals" are performing as a unit.

The Kevin report measure a different time period than that which is used by DOL to measure our unit performance. DOL standards require that we hear and decide 60% of our cases within 30 days of the Appeal date and 85% of our case within 45 days of the appeal date. The 30 day date is the one that prints as the due date on your weekly itinerary for each case. To know the 45 date, you would only need to add 15

days to that date on the itinerary, which is what I do when I send you the information every week for what percentage of our cases can meet the 30 day and 45 day standard.

<http://www.ows.doleta.gov/unemploy/performance.asp>

Above is the link to the DOL website that has a plethora of data on each states performance. To find our specifics, that is "UI APPEALS" click on "Benefits and Timeliness Quality Reports", then pick "lower authority appeals time lapse." The most recent data available on line is from June 2013 and indicates only 14.3 percent of our cases made the 30 day standard.

The case aging data is also one the DOL monitors. That information is available on the same website. DOL always refers to "us" as "Lower Authority Appeals" The higher authority is the statistic for the EAB on cases they hear from us and DIA that are ours.

If you have questions please ask,

Thanks much

Teresa K. Hillary
Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

-----Original Message-----

From: Benson, Joni [IWD]
Sent: Thursday, August 15, 2013 9:02 AM
To: Hillary, Teresa [IWD]
Cc: Benson, Joni [IWD]
Subject: Emailing: Kevin Report 8-12-13.pdf

Your message is ready to be sent with the following file or link attachments:

Kevin Report 8-12-13.pdf

Note: To protect against computer viruses, e-mail programs may prevent sending or receiving certain types of file attachments. Check your e-mail security settings to determine how attachments are handled.

Message: FW: Emailing: Kevin Report 8-12-13.pdf**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:12 PM
 Item ID: 40861357
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: Emailing: Kevin Report 8-12-13.pdf**

From	Hillary, Teresa [IWD]	Date Thursday, August 15, 2013 9:43 AM
To	Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]	
Cc	Wahlert, Teresa [IWD]	

 [Kevin Report 8-12-13.pdf](#) (250 Kb HTML)

<<Kevin Report 8-12-13.pdf>> Attached is this weeks "Kevin Report" which is the weekly submission tracking sheet by ALJ.

The Kevin report measures the time from the "hearing date" to the date it was "received" by word processing. The information on the report comes from the information each ALJ supplies to the WP in each individual task request.

Cases that have no hearing date, that is WD and all of the cases that have not been set for hearing, do not count in the Kevin report.

To make sure this report is accurate, please make sure you are putting in the correct

hearing date. If you do not do so, you could end up with a negative number.

I'll be sending you this report at the beginning of every week so you can track your own statistics and follow how we "UI Appeals" are performing as a unit.

The Kevin report measure a different time period than that which is used by DOL to measure our unit performance. DOL standards require that we hear and decide 60% of our cases within 30 days of the Appeal date and 85% of our case within 45 days of the appeal date. The 30 day date is the one that prints as the due date on your weekly itinerary for each case. To know the 45 date, you would only need to add 15 days to that date on the itinerary, which is what I do when I send you the information every week for what percentage of our cases can meet the 30 day and 45 day standard.

<http://www.ows.doleta.gov/unemploy/performance.asp>

Above is the link to the DOL website that has a plethora of data on each states performance. To find our specifics, that is "UI APPEALS" click on "Benefits and Timeliness Quality Reports", then pick "lower authority appeals time lapse." The most recent data available on line is from June 2013 and indicates only 14.3 percent of our cases made the 30 day standard.

The case aging data is also one the DOL monitors. That information is available on the same website. DOL always refers to "us" as "Lower Authority Appeals" The higher authority is the statistic for the EAB on cases they hear from us and DIA that are ours.

If you have questions please ask,

Thanks much

Teresa K. Hillary
Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

-----Original Message-----

From: Benson, Joni [IWD]
Sent: Thursday, August 15, 2013 9:02 AM
To: Hillary, Teresa [IWD]
Cc: Benson, Joni [IWD]
Subject: Emailing: Kevin Report 8-12-13.pdf

Your message is ready to be sent with the following file or link attachments:

Kevin Report 8-12-13.pdf

Note: To protect against computer viruses, e-mail programs may prevent sending or receiving certain types of file attachments. Check your e-mail security settings to determine how attachments are handled.

Image 1

Message: FW: examples of order granting and denying request to reopen hearing

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:12 PM
Item ID: 40861354
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: examples of order granting and denying request to reopen hearing**

From Hillary, Teresa [IWD] **Date** Thursday, August 15, 2013 8:09 AM
To Lewis, Devon [IWD]
Cc

 [order denying request to reoepn hearing.doc](#) (45 Kb HTML)  [grant request to reopen..doc](#) (49 Kb HTML)

FYI

From: Wise, Debra [IWD]
Sent: Wednesday, August 14, 2013 2:02 PM
To: Hillary, Teresa [IWD]
Subject: examples of order granting and denying request to reopen hearing

Attached are forms I use when I issue an Order granting or denying request to reopen. I use these only when I have already issued a decision. If I can put the grant or deny request in the decision, I do that instead – it is cleaner and simpler.

**IOWA WORKFORCE DEVELOPMENT
UNEMPLOYMENT INSURANCE APPEALS**

68-0157 (9-06) - 3091078 - EI

**APPEAL NO: 13A-UI--DWT
ADMINISTRATIVE LAW JUDGE
ORDER DENYING REQUEST
TO REOPEN HEARING**

APPEAL RIGHTS:

This Decision Shall Become Final, unless within fifteen (15) days from the date below, you or any interested party appeal to the Employment Appeal Board by submitting either a signed letter or a signed written Notice of Appeal, directly to:

Employment Appeal Board

4th Floor – Lucas Building

Des Moines, Iowa 50319

or

Fax Number: (515)281-7191

The appeal period will be extended to the next business day if the last day to appeal falls on a weekend or a legal holiday.

AN APPEAL TO THE BOARD SHALL STATE CLEARLY:

The name, address and social security number of the claimant.

A reference to the decision from which the appeal is taken.

That an appeal from such decision is being made and such appeal is signed.

The grounds upon which such appeal is based.

YOU MAY REPRESENT yourself in this appeal or you may obtain a lawyer or other interested party to do so provided there is no expense to Workforce Development. If you wish to be represented by a lawyer, you may obtain the services of either a private attorney or one whose services are paid for with public funds. It is important that you file your claim as directed, while this appeal is pending, to protect your continuing right to benefits.

SERVICE INFORMATION:

A true and correct copy of this decision was mailed to each of the parties listed.

**IOWA WORKFORCE DEVELOPMENT
UNEMPLOYMENT INSURANCE APPEALS**

Claimant	68-0157 (9-06) - 3091078 - EI <p align="center">APPEAL NO: 13A-UI- DWT</p> <p align="center">ADMINISTRATIVE LAW JUDGE</p> <p align="center">ORDER DENYING REQUEST</p> <p align="center">TO REOPEN HEARING</p> <p align="right">OC:</p> <p align="right">Claimant:</p>
-----------------	--

Narrative of what happened.

On May 6, 2013, a hearing was scheduled in this matter. The claimant timely called the Appeals Section and provided a phone number to contact him for the hearing. The claimant was called, but he did not answer. The administrative law judge could not leave a message because the recording indicated the mail box for that phone number had not been set up. The claimant did not call the Appeals Section on May 6 to participate in the hearing.

On May 7, 2013, a decision was mailed to the claimant. The decision was based on information in the administrative record.

The claimant called the Appeals Section the morning of May 7 to participate at the hearing scheduled the day before. The claimant requested that the hearing be reopened. The day before the claimant was at school talking to the registrar. He did not contact the Appeals Section on May 6 because he assumed someone would call him that day. When he did not receive a call on May 6, the claimant called the Appeals Section on May 7.

Ref 94 Ref 94 (delete the last two sentences of this reference please. The last two sentences after subpart c staring with At issue.....)

Based on the above facts, the claimant has not established good cause to set aside the May 7 decision and to reopen this matter. Failing to contact the Appeals Section the morning of May 6 is not reasonable. It is Ordered that the claimant's request to reopen this matter is denied.

Debra L. Wise

Administrative Law Judge

Order Dated and Mailed

dlw/

**IOWA WORKFORCE DEVELOPMENT
UNEMPLOYMENT INSURANCE APPEALS**

68-0157 (9-06) - 3091078 - EI

**APPEAL NO: 13A-UI-0-DWT
ADMINISTRATIVE LAW JUDGE
ORDER GRANTING REQUEST TO REOPEN HEARING**

APPEAL RIGHTS:

This Decision Shall Become Final, unless within fifteen (15) days from the date below, you or any interested party appeal to the Employment Appeal Board by submitting either a signed letter or a signed written Notice of Appeal, directly to:

Employment Appeal Board

4th Floor – Lucas Building

Des Moines, Iowa 50319

The appeal period will be extended to the next business day if the last day to appeal falls on a weekend or a legal holiday.

AN APPEAL TO THE BOARD SHALL STATE CLEARLY:

The name, address and social security number of the claimant.

A reference to the decision from which the appeal is taken.

That an appeal from such decision is being made and such appeal is signed.

The grounds upon which such appeal is based.

YOU MAY REPRESENT yourself in this appeal or you may obtain a lawyer or other interested party to do so provided there is no expense to Workforce Development. If you wish to be represented by a lawyer, you may obtain the services of either a private attorney or one whose services are paid for with public funds. It is important that you file your claim as directed, while this appeal is pending, to protect your continuing right to benefits.

SERVICE INFORMATION:

A true and correct copy of this decision was mailed to each of the parties listed.

**IOWA WORKFORCE DEVELOPMENT
UNEMPLOYMENT INSURANCE APPEALS**

Claimant	68-0157 (9-06) - 3091078 - EI
Employer	APPEAL NO: 13A-UI--DWT
	ADMINISTRATIVE LAW JUDGE
	ORDER GRANTING REQUEST TO REOPEN HEARING
	OC:
	Claimant: t

(narrative of what happened)

On July 1, 2013, a hearing notice was mailed to the parties informing them a hearing would be held on July 30 at 9:30 a.m. The claimant received this notice. On July 8, the employer asked for a postponement because a primary witness was unable to participate at the July 30 hearing. The postponement was granted and another hearing was scheduled on July 25 at 3 p.m. Notice for this hearing was mailed on July 10, 2013. The claimant received the second hearing notice, but then received documents the employer had sent in for the hearing. The employer attached the hearing notice for the July 30 hearing. The claimant was confused when he received this information that the hearing was on July 30. He did not contact the Appeals Section to clear up his confusion but concluded the hearing was again scheduled on July 30, 2013.

When the administrative law judge called the claimant for the July 25 hearing, he did not answer his phone. By the time the claimant listened to the message left for him it was 7 p.m. The claimant called the Appeals Section on July 26 and requested that the hearing be reopened.

Ref 94 (delete the last two sentences of this reference please. The last two sentences after subpart c staring with At issue.....)

Based on the above facts, the claimant established good cause to reopen the hearing. Since the Appeals Section mailed documents to him that indicated the hearing was scheduled on July 30 and not July 25, the claimant was inadvertently misled about the date of the hearing.

It is **Ordered** that this matter be reopened and a new hearing shall be

scheduled. The parties will receive a new hearing notice with a new date and time for a hearing.

Debra L. Wise

Administrative Law Judge

Order Dated and Mailed

dlw/

Message: RE: Please change these files from E to S2**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:12 PM
 Item ID: 40861353
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **RE: Please change these files from E to S2**

From Hillary, Teresa [IWD] **Date** Wednesday,
August 14, 2013 2:35 PM
To Scheetz, Beth [IWD]
Cc UI; Benson, Joni [IWD]; Baughman, Myra
 [IWD]; Ackerman, Susan [IWD]; Lewis, Devon
 [IWD]

Send the decn in with your name on them. I will get the computer changed.

From: Scheetz, Beth [IWD]
Sent: Wednesday, August 14, 2013 2:15 PM
To: Benson, Joni [IWD]; Baughman, Myra [IWD]
Cc: Hillary, Teresa [IWD]; Ackerman, Susan [IWD]; Lewis, Devon [IWD]
Subject: RE: Please change these files from E to S2

Ready to send decisions to wp on Konradi, Pye, Smith, Richards, Murphy, and Reslow.

I will wait for Hilary's decision before sending the decisions then.

Beth

From: Benson, Joni [IWD]
Sent: Wednesday, August 14, 2013 1:43 PM
To: Scheetz, Beth [IWD]; Baughman, Myra [IWD]
Cc: Hillary, Teresa [IWD]; Ackerman, Susan [IWD]; Lewis, Devon [IWD]
Subject: RE: Please change these files from E to S2

I could change the ALJ if I do a postponement on these. I will wait for instructions from Teresa on this.

From: Benson, Joni [IWD]
Sent: Wednesday, August 14, 2013 1:41 PM
To: Scheetz, Beth [IWD]; Baughman, Myra [IWD]
Cc: Hillary, Teresa [IWD]; Ackerman, Susan [IWD]; Lewis, Devon [IWD]
Subject: RE: Please change these files from E to S2

Just so you know. If these hearings are past the date of the hearing, I cannot change the ALJ until I have a reschedule date. Please advise.

Also, side note, this is not something Myra is to do (unless I get hit by a DART bus and I'm not coming back.)

Thanks,
Joni

From: Scheetz, Beth [IWD]
Sent: Wednesday, August 14, 2013 8:30 AM
To: Baughman, Myra [IWD]; Benson, Joni [IWD]
Cc: Hillary, Teresa [IWD]; Ackerman, Susan [IWD]; Lewis, Devon [IWD]
Subject: Please change these files from E to S2

Myra and Joni,
Not sure which of the two of you could change the following files from E to S2.
I plan to send in decisions on some of them and have some set for hearings as soon as you tell me they've been changed.
This would be the first step along the way.
I appreciate it,
Beth

- | | | |
|---------------------|---------------------------------|-----------|
| Kyle L Konradi | ████████████████████ | 13A-06397 |
| Evelyn G Paye | 472-515220 | 13A-05205 |
| Charlotte M Smith | 507-610110 | 13A-04922 |
| Tina M Richards | 485-801115 | 13A-06594 |
| Nicholas Murphy | 104-76-0226 | 13A-06612 |
| Donald Renslow | 400-05-0105 | 13A-06377 |
| Richard Kelly | 485-71-0076 | 13O-04373 |
| Jeff A Abrahamson | 475-02-0030 | 13O-08384 |
| Mindi S Sneller | 476-06-0775 | 13A-04981 |
| Ashton N Strickland | 421-00-0110 | 12A-08911 |
| Ashton N Strickland | 40-06-0240 | 12A-08912 |

Message: FW: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:12 PM
Item ID: 40861334
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

✉ FW: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

From Hillary, Teresa [IWD] **Date** Tuesday, August 13, 2013
2:00 PM
To Lewis, Devon [IWD]; Wise, Steve
[IWD]
Cc

fyi

From: Ackerman, Susan [IWD]
Sent: Tuesday, August 13, 2013 1:52 PM
To: Benson, Joni [IWD]; Oatts, Sandra [IWD]
Cc: Hillary, Teresa [IWD]
Subject: FW: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

Administrative Law Judge Susan Ackerman

Iowa Unemployment Insurance Appeals
1000 East Grand Avenue
Des Moines, Iowa 50319
Phone: (515) 281-3747
Fax: (515) 242-5144
Susan.ackerman@iwd.iowa.gov

From: Wahlert, Teresa [IWD]
Sent: Tuesday, August 13, 2013 12:39 PM
To: Ackerman, Susan [IWD]
Subject: Re: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

Yes -as long as your cases are up-to-date

- Teresa Wahlert

On Aug 13, 2013, at 11:55 AM, "Ackerman, Susan [IWD]" <Susan.Ackerman@iwd.iowa.gov> wrote:

I am requesting time off to attend the annual NAALJ conference in Chicago on 9/16 thru noon on 9/19.

If I can find a late flight home on Wednesday night, I wouldn't need the morning of 9/19 off but I haven't checked for flights yet.

Susan Ackerman
Administrative Law Judge Susan Ackerman

Iowa Unemployment Insurance Appeals
1000 East Grand Avenue
Des Moines, Iowa 50319
Phone: (515) 281-3747
Fax: (515) 242-5144
Susan.ackerman@iwd.iowa.gov

Message: RE: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:12 PM
Item ID: 40861336
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

✉ RE: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

From Hillary, Teresa [IWD] **Date** Tuesday, August 13, 2013 2:09 PM
To Lewis, Devon [IWD]
Cc

My thoughts exactly. The director is not making anyone who attends use admin leave, it will be regular work pay. I do hope that Susan and Deb understand that they have to pay for themselves to go. I will check that with the Director tomorrow.

From: Lewis, Devon [IWD]
Sent: Tuesday, August 13, 2013 2:04 PM
To: Hillary, Teresa [IWD]
Subject: RE: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

When I went we had to jump thru all kinds of hoops to get admin leave even though we paid for ourselves. Had to submit a travel expense estimated budget, etc etc. you might need to check with Jon or Steve about what is required. A little more notice would have been nice. One thing she needs to understand is the more mtgs, projects, etc etc we all are required to do, the slower the hrg catch up goes.

From: Hillary, Teresa [IWD]
Sent: Tuesday, August 13, 2013 2:00 PM
To: Lewis, Devon [IWD]; Wise, Steve [IWD]
Subject: FW: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

fyi

From: Ackerman, Susan [IWD]
Sent: Tuesday, August 13, 2013 1:52 PM
To: Benson, Joni [IWD]; Oatts, Sandra [IWD]
Cc: Hillary, Teresa [IWD]
Subject: FW: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

Administrative Law Judge Susan Ackerman

Iowa Unemployment Insurance Appeals
1000 East Grand Avenue
Des Moines, Iowa 50319
Phone: (515) 281-3747
Fax: (515) 242-5144
Susan.ackerman@iwd.iowa.gov

From: Wahlert, Teresa [IWD]
Sent: Tuesday, August 13, 2013 12:39 PM
To: Ackerman, Susan [IWD]
Subject: Re: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

Yes -as long as your cases are up-to-date

- Teresa Wahlert

On Aug 13, 2013, at 11:55 AM, "Ackerman, Susan [IWD]" <Susan.Ackerman@iwd.iowa.gov> wrote:

I am requesting time off to attend the annual NAALJ conference in Chicago on 9/16 thru noon on 9/19.

If I can find a late flight home on Wednesday night, I wouldn't need the morning of 9/19 off but I haven't checked for flights yet.

Administrative Law Judge Susan Ackerman

Iowa Unemployment Insurance Appeals
1000 East Grand Avenue
Des Moines, Iowa 50319
Phone: (515) 281-3747
Fax: (515) 242-5144
Susan.ackerman@iwd.iowa.gov

Message: RE: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:12 PM
Item ID: 40861338
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

✉ RE: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

From Hillary, Teresa [IWD] **Date** Tuesday, August 13, 2013 2:33 PM
To Lewis, Devon [IWD]
Cc

I would assume she is being scheduled for hearings.

From: Lewis, Devon [IWD]
Sent: Tuesday, August 13, 2013 2:12 PM
To: Hillary, Teresa [IWD]
Subject: RE: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

I wouldn't mind if each alj took turns going and getting the trip paid for – as long as other paid cle trip options are available too – but the people who go repeatedly should not get paid to go again and again. Noon on 9/19? Is she taking vacation for the rest of the week?

From: Hillary, Teresa [IWD]
Sent: Tuesday, August 13, 2013 2:09 PM
To: Lewis, Devon [IWD]
Subject: RE: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

My thoughts exactly. The director is not making anyone who attends use admin leave, it will be regular work pay. I do hope that Susan and Deb understand that they have to pay for themselves to go. I will check that with the Director tomorrow.

From: Lewis, Devon [IWD]
Sent: Tuesday, August 13, 2013 2:04 PM
To: Hillary, Teresa [IWD]
Subject: RE: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

When I went we had to jump thru all kinds of hoops to get admin leave even though we paid for ourselves. Had to submit a travel expense estimated budget, etc etc. you might need to check with Jon or Steve about what is required. A little more notice would have been nice. One thing she needs to understand is the more mtgs, projects, etc etc we all are required to do, the slower the hrg catch up goes.

From: Hillary, Teresa [IWD]
Sent: Tuesday, August 13, 2013 2:00 PM
To: Lewis, Devon [IWD]; Wise, Steve [IWD]
Subject: FW: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

fyi

From: Ackerman, Susan [IWD]
Sent: Tuesday, August 13, 2013 1:52 PM
To: Benson, Joni [IWD]; Oatts, Sandra [IWD]
Cc: Hillary, Teresa [IWD]
Subject: FW: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

Administrative Law Judge Susan Ackerman

Iowa Unemployment Insurance Appeals
1000 East Grand Avenue
Des Moines, Iowa 50319
Phone: (515) 281-3747
Fax: (515) 242-5144
Susan.ackerman@iwd.iowa.gov

From: Wahlert, Teresa [IWD]
Sent: Tuesday, August 13, 2013 12:39 PM
To: Ackerman, Susan [IWD]
Subject: Re: Time off request to attend the National Association of ALJ CLE annual conference 9/16 thru noon on 9/19

Yes -as long as your cases are up-to-date

- Teresa Wahlert

On Aug 13, 2013, at 11:55 AM, "Ackerman, Susan [IWD]" <Susan.Ackerman@iwd.iowa.gov> wrote:

I am requesting time off to attend the annual NAALJ conference in Chicago on 9/16 thru noon on 9/19.

If I can find a late flight home on Wednesday night, I wouldn't need the morning of 9/19 off but I haven't checked for flights yet.

Susan Ackerman
Administrative Law Judge

Iowa Unemployment Insurance Appeals

1000 East Grand Avenue

Des Moines, Iowa 50319

Phone: (515) 281-3747

Fax: (515) 242-5144

Susan.ackerman@iwd.iowa.gov

Message: RE: switch IP hrg days from Tuesdays to Wednesdays?**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:12 PM
 Item ID: 40861330
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

✉ RE: switch IP hrg days from Tuesdays to Wednesdays?

From Hillary, Teresa [IWD] **Date** Tuesday, August 13, 2013
 9:54 AM
To Benson, Joni [IWD]; Lewis, Devon
 [IWD]
Cc

I'm good with that if you are Devon. BTW, Devon I left the paper copy of the emergency plan for the local offices in your office for the meeting on thur. Donni sent every alj the same information by e-mail. After you're done with the book, let's leave it available in the ALJ room. Joni will be the point person to receive the yearly update from Lori Adams.

From: Benson, Joni [IWD]
Sent: Tuesday, August 13, 2013 9:52 AM
To: Hillary, Teresa [IWD]; Lewis, Devon [IWD]
Subject: RE: switch IP hrg days from Tuesdays to Wednesdays?

OK, here is how it looks on the switch.

9/3 & 9/4: Devon is on annual and Teresa already has TE hearings (NO DSM LOCAL)
 10/1 & 10/2: Devon is already scheduled for the DSM Local on Tuesday Should I just change the ALJ to H2 for the Tuesday hearings? Less confusion for parties. Then I can scheduled

Devon for Wed., Oct 2nd.

From then on, the flip has been made.

From: Hillary, Teresa [IWD]
Sent: Sunday, August 11, 2013 3:24 PM

To: Lewis, Devon [IWD]
Cc: Benson, Joni [IWD]
Subject: RE: switch IP hrg days from Tuesdays to Wednesdays?

No problem. This wed I am working a remand IP case that I need to do. So whenever it next fits, move me around, no problem.

From: Lewis, Devon [IWD]
Sent: Friday, August 09, 2013 11:25 AM
To: Hillary, Teresa [IWD]
Cc: Benson, Joni [IWD]
Subject: switch IP hrg days from Tuesdays to Wednesdays?

Teresa,
If you don't mind, going forward I'd like to switch my IP hearing days with you from Tuesdays to Wednesdays so I have two consecutive days in DM rather than skipping a day in between and hauling the laptop, etc. back and forth.

Devon

Message: FW: IN HOUSE SCHEDULE REVISED - DATES ADDED**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:12 PM
 Item ID: 40861328
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

✉ FW: IN HOUSE SCHEDULE REVISED - DATES ADDED

From Hillary, Teresa [IWD] **Date** Tuesday, August 13, 2013 8:35 AM
To Wahlert, Teresa [IWD]
Cc

 **IN HOUSE ALJ ROTATION SCHED, Revision, 8-5-13.xlsx** (37 Kb HTML)  **image001.gif**
 (12 Kb HTML)

FYI

These are the weeks that no ALJs were scheduled to work in the office that I mentioned at the last ALJ staff meeting. Going forward, every single week will have three ALJs scheduled to work in the office.

Teresa K. Hillary

Iowa Workforce Development
 1000 E Grand Avenue
 Des Moines IA 50319

Phone: 515.725.2683

FAX: 515.242.5144

From: Benson, Joni [IWD]
Sent: Tuesday, August 13, 2013 7:51 AM
To: Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Hillary, Teresa [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD];

Wise, Debra [IWD]; Wise, Steve [IWD]; Alexander, Marty [IWD]; Anderson, Donnell [IWD];
Baughman, Myra [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]; Scott, Cheryl [IWD]; Shroyer,
Paula [IWD]

Subject: IN HOUSE SCHEDULE REVISED - DATES ADDED

Importance: High

DATES ADDED FOR ALJs to be in house

8/19/13, M-S-D

9/2/13, B-L-H2

9/16/13, DW-JT-SW

10/21/13, B-L-H2

11/11/13, E-H-S2

11/18/13, DW-JT-SW

11/25/13, M-S-D

12/2/13, DW-JT-SW

12/16/13, E-H-S2

12/23/13, B-L-H2

12/30/13, M-S-D

Joni K. Benson

Iowa Workforce Development – UI Appeals

1000 E. Grand

Des Moines IA 50319

Phone: 515.281.8484

FAX: 515.242.5144

joni.benson@iwd.iowa.gov



BE GREEN – Please consider the environment before printing this e-mail.

ALJ #1/WC
ALJ #3/WC
ALJ#2/WC
242-5041
281-6502
725-0150
WEEK OF
GROUP
MONDAY
TUESDAY
WEDNESDAY
THURSDAY
FRIDAY
DSM LOCAL
DSM LOCAL
DSM LOCAL
TE Hrngs
TE Hrngs
#1
(E)
(H)
(S2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#2
(B)
(L)
(H2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#3
(DW)
(JT)
(SW)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#4
(M)
(S)
(D)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#1
(E)
(H)
(S2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#2

(B)
(L)
(H2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#3
(DW)
(JT)
(SW)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#4
(M)
(S)
(D)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#1
(E)
(H)
(S2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#2
(B)
(L)
(H2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#3
(DW)
(JT)
(SW)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#4
(M)
(S)
(D)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#1
(E)
(H)
(S2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#2
(B)
(L)
(H2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#4
(M)
(S)
(D)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
ADDED

#3
(DW)
(JT)
(SW)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#2
(B)
(L)
(H2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
ADDED
#4
(M)
(S)
(D)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#3
(DW)
(JT)
(SW)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
ADDED
#1
(E)
(H)
(S2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#2
(B)
(L)
(H2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#3
(DW)
(JT)
(SW)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#4
(M)
(S)
(D)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#2
(B)
(L)
(H2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
ADDED
#1
(E)
(H)

(S2)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 #2
 (B)
 (L)
 (H2)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 #1
 (E.)
 (H)
 (S2)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 ADDED
 #3
 (DW)
 (JT)
 (SW)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 ADDED
 #4
 (M)
 (S)
 (D)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 ADDED
 #3
 (DW)
 (JT)
 (SW)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 #4
 (M)
 (S)
 (D)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 #1
 (E.)
 (H)
 (S2)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 ADDED
 #2
 (B)
 (L)
 (H2)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 ADDED
 #4
 (M)
 (S)
 (D)

IN HOUSE TE SCHED
IN HOUSE TE SCHED
ADDED

Group #1:

(E)
(H)
(S2)

Group #2:

(B)
(L)
(H2)

Group #3:

(DW)
(JT)
(SW)

Group #4:

(M)
(S)
(D)

My Documents > Joni's Data > Scheduling > In House ALJ Rotation
Updated: 08/03/2013

IN HOUSE
ALJ Rotation and DSM Local Assignments
Corrected Copy
3/23/12

As you enter the hallway at WC:

(3rd office on Left)
(2nd office on Left)
(1st office on Left)

ALJ #1/WC
ALJ#2/WC
ALJ #3/WC
ALJ #4/IWD

281-5997
281-6502
725-0150
281-5095

WEEK OF
GROUP
MONDAY
TUESDAY
WEDNESDAY
THURSDAY
DSM LOCAL
DSM LOCAL
DSM LOCAL
DSM LOCAL

#1
(E)
(H)
(S2)
(M)
#2
(B)
(D)
(H2)
(L)

#3
(DW)
(JT)
(S)
(SW)
#1
(E)
(H)
(S2)
(M)
#2
(B)
(D)
(H2)
(L)
#3
(DW)
(JT)
(S)
(SW)
#1
(E)
(H)
(S2)
(M)
#2
(B)
(D)
(H2)
(L)
#3
(DW)
(JT)
(S)
(SW)
#1
(E)
(H)
(S2)
(M)
#2
(B)
(D)
(H2)
(L)
#3
(DW)
(JT)
(S)
(SW)
#1
(E)
(H)
(S2)
(M)
#2
(B)
(D)
(H2)
(L)

#3
(DW)
(JT)
(S)
(SW)

#1
(E)
(H)
(S2)
(M)

#2
(B)
(D)
(H2)
(L)

#3
(DW)
(JT)
(S)
(SW)

#1
(E)
(H)
(S2)
(M)

#2
(B)
(D)
(H2)
(L)

#3
(DW)
(JT)
(S)
(SW)

#1
(E)
(H)
(S2)
(M)

#2
(B)
(D)
(H2)
(L)

#3
(DW)
(JT)
(S)
(SW)

Group #1:
(E)
(H)
(S2)
(M)

Group #2:
(B)
(D)
(H2)
(L)

Group #3:

- (DW)
- (JT)
- (S)
- (SW)

My Documents > Joni's Data > Scheduling > In House ALJ Rotation

Updated: 03/23/2012

ALJ #1/WC
 ALJ #3/WC
 ALJ#2/WC
 242-5041
 281-6502
 725-0150
 WEEK OF
 GROUP
 MONDAY
 TUESDAY
 WEDNESDAY
 THURSDAY
 FRIDAY
 DSM LOCAL
 DSM LOCAL
 DSM LOCAL
 All IN HOUSE
 ALL IN HOUSE
 #1
 (E)
 (H)
 (S2)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 #2
 (B)
 (L)
 (H2)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 #3
 (DW)
 (JT)
 (SW)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 #4
 (M)
 (S)
 (D)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 #1
 (E)
 (H)
 (S2)
 IN HOUSE TE SCHED
 IN HOUSE TE SCHED
 #2
 (B)
 (L)
 (H2)

IN HOUSE TE SCHED
IN HOUSE TE SCHED
#3
(DW)
(JT)
(SW)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#4
(M)
(S)
(D)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#1
(E)
(H)
(S2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#2
(B)
(L)
(H2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#3
(DW)
(JT)
(SW)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#4
(M)
(S)
(D)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#1
(E)
(H)
(S2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#2
(B)
(L)
(H2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#3
(DW)
(JT)
(SW)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#4
(M)
(S)
(D)

IN HOUSE TE SCHED
IN HOUSE TE SCHED
#1
(E)
(H)
(S2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#2
(B)
(L)
(H2)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#3
(DW)
(JT)
(SW)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
#4
(M)
(S)
(D)
IN HOUSE TE SCHED
IN HOUSE TE SCHED
Group #1:
(E)
(H)
(S2)
Group #2:
(B)
(L)
(H2)
Group #3:
(DW)
(JT)
(SW)
Group #4:
(M)
(S)
(D)

My Documents > Joni's Data > Scheduling > In House ALJ Rotation
Updated: 05/11/12

Message: FW: REMANDS

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:11 PM
Item ID: 40861318
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: REMANDS**

From Hillary, Teresa [IWD] **Date** Monday, August 12, 2013 2:24 PM
To Lewis, Devon [IWD]
Cc

Fyi

I would like to be on the remand committee.

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683

FAX: 515.242.5144

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 1:57 PM
To: Autry, Rick [DIA]
Subject: REMANDS

FYI.

Some of the alj discussion about our remands. Would you mind meeting/talking with some of the ALJs to help us figure out ways we as a unit can cut down on remands.

Thanks much

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683

FAX: 515.242.5144

From: Wise, Debra [IWD]

Sent: Monday, August 12, 2013 1:48 PM

To: Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Hillary, Teresa [IWD]; Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Steve [IWD]

Subject: RE: remands

This decision will become final unless a written request establishing good cause to reopen the record is made to the administrative law judge within 15 days of the date of this decision.

Above is the language we all agree to a few years ago for on the record decisions. This is the last line in the decision. We did this with the idea that ALJs can reopen hearings and another hearing can be scheduled sooner than if EAB takes jurisdiction, remands and then sends it back to us to set up another hearing. So if we are sending EAB without first looking to see if we should reopen, we need to address this. Someone needs to talk to EAB, Autry, to see if they would send those to us right away.

From: Lewis, Devon [IWD]

Sent: Monday, August 12, 2013 1:42 PM

To: Mormann, Marlon [IWD]; Hillary, Teresa [IWD]; Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]

Subject: RE: remands

I have been assuming that all requests to reopen the record go to the ALJ and not directly to the EAB unless there is an appeal on file with the EAB or the appeal deadline has passed. Since I rarely get a request to reopen the record, maybe that assumption is in error. I think Marlon is correct that once the appeal deadline passes or there is an appeal on file with the EAB, whichever is sooner, we lose our jurisdiction to reopen the record. Any other thoughts?

Devon

From: Mormann, Marlon [IWD]
Sent: Monday, August 12, 2013 12:41 PM
To: Hillary, Teresa [IWD]; Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]
Subject: RE: remands

Do we lose jurisdiction upon receipt of an appeal. Would the appeal board need write an order or would we need a rule change to do this. It is my though that once on appeal we cannot do anything. The appeal is filed on the mailing date????????

Marlon Mormann, Administrative Law Judge
515-265-3512

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 11:51 AM
To: Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]
Subject: FW: remands

Some good suggestions from Deb.

From: Wise, Debra [IWD]
Sent: Monday, August 12, 2013 11:43 AM
To: Hillary, Teresa [IWD]
Subject: RE: remands

One solution that we proposed years ago was to address parties that did not receive hearing notices by Appeals immediately and not send to EAB if the party responds within the 15 day deadline. This means that if the Appeals Section receives notice or an appeal to EAB and the party says we did not get the hearing notice, the ALJ who had the hearing contacts the party to make a record and then decides if the hearing should be reopened or not. Whoever is responsible for sending appeals to EAB needs to review this.

If EAB directly receives an appeal or a party tells them they did not get a hearing notice, they should send us that letter so again the ALJ can made a record and decide if the hearing should be reopened or not. This language is already in the on-the-record decision, but I don't believe the Appeals Section has ever really implemented this procedure.

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 9:02 AM
To: Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny

[IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]

Cc: Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Baughman, Myra [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]

Subject: remands

Four remands were received today. Three were remanded b/c one of the parties did not get the hearing notice. One was remanded b/c the claimant's phone was 'unreliable' and did not ring when he was called by the ALJ to begin the hearing. "The Employment Appeal Board would also advise the Claimant to make other, more reliable phone arrangements for the future hearing."

I'll be sending you synopsis on a weekly basis so that we can start to deal with ways to cut down on remands.

Teresa K. Hillary

Iowa Workforce Development

1000 E Grand Avenue

Des Moines IA 50319

Phone: 515.725.2683

FAX: 515.242.5144

Message: FW: remands

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:11 PM
Item ID: 40861310
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: remands**

From Hillary, Teresa [IWD] **Date** Monday, August 12, 2013 11:34 AM
To Lewis, Devon [IWD]
Cc

From: Mormann, Marlon [IWD]
Sent: Monday, August 12, 2013 11:17 AM
To: Hillary, Teresa [IWD]
Subject: RE: remands

There are problems. But most can participate by phone. I would call Vickie and Terry to get their input. Also chat with others who have Friday flex to see what they think and what time is best. You can't accommodate everyone. Most are willing to work a couple hours to save the hearings. It is a big one with 600 cases a year saved. The two meetings a month are temporary, to my recollection. Eventually meetings will be once a month and shorter as we resolve the problems of years past. Hey, most work weekends, so this is not that intrusive.

I'll let you know of other ideas when I have more time. Think word limits for decisions.

Marlon Mormann, Administrative Law Judge
515-265-3512

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 11:02 AM
To: Mormann, Marlon [IWD]
Subject: RE: remands

I think it's a plan. How well do you think your colleagues are going to react to a Friday meeting? What about the ALJs who normally do not work on Friday or have Friday off on flex time. Should they be required to 'flex' to include Friday afternoon for staff meetings during weeks when they are held.

I like the idea of a meeting on the Friday writing day.

Thanks for the input. I'm interested in ANY idea that will get our numbers up to meeting DOL standards. Let me know what else you think we need to change/modify/fix/replace etc...

From: Mormann, Marlon [IWD]
Sent: Monday, August 12, 2013 10:54 AM
To: Hillary, Teresa [IWD]
Subject: RE: remands

Change one to writing days and the other to Friday afternoon when most don't have hearings. We lose about 50 hearings a month with a Thursday meeting?????? What do you think?

Marlon Mormann, Administrative Law Judge
515-265-3512

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 10:50 AM
To: Mormann, Marlon [IWD]
Subject: RE: remands

I don't understand. Change what meeting times? The staff meeting times? Cancel the meetings? What time should the meetings be held?

From: Mormann, Marlon [IWD]
Sent: Monday, August 12, 2013 10:35 AM
To: Hillary, Teresa [IWD]
Subject: RE: remands

Change the meeting times and save a half an ALJ a year in

hearings. That is my first suggestion.
Marlon Mormann, Administrative Law Judge
515-265-3512

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 10:07 AM
To: Mormann, Marlon [IWD]
Subject: RE: remands

Sure

From: Mormann, Marlon [IWD]
Sent: Monday, August 12, 2013 9:20 AM
To: Hillary, Teresa [IWD]
Subject: RE: remands

I have some management suggestions for you. Are you interested?

Marlon Mormann, Administrative Law Judge
515-265-3512

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 9:02 AM
To: Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]
Cc: Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Baughman, Myra [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]
Subject: remands

Four remands were received today. Three were remanded b/c one of the parties did not get the hearing notice. One was remanded b/c the claimant's phone was 'unreliable' and did not ring when he was called by the ALJ to begin the hearing. "The Employment Appeal Board would also advise the Claimant to make other, more reliable phone arrangements for the future hearing."

I'll be sending you synopsis on a weekly basis so that we can start to deal with ways to cut down on remands.

Teresa K. Hillary
Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

Message: RE: Assistance Needed**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:11 PM
 Item ID: 40861311
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **RE: Assistance Needed**

From	Hillary, Teresa [IWD]	Date
		Monday, August 12, 2013 11:50 AM
To	Ackerman, Susan [IWD]; Baughman, Myra [IWD]; Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]	
Cc	Wahlert, Teresa [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]	

Myra got 6 returned from TPI in today's mail. The post mark date was August 9. I forwarded the information on to the clerks as they are the ones who see the returned mail and are first to notice a problem. Myra had no idea that Susan had dealt with the problem last week. None of the clerks knew that it was fixed until the e-mails were forwarded today. Because we are all not physically located in the same bldg. we need lots of information sharing so we all understand what is happening. We will look for more returned mail as the weeks go on. If something like this happens in the future, please share the information so we can all be on the same page. This also gives the other ALJs notice that when TPI says they did not participate b/c they never got the hearing notice, probably true and good cause for record to be reopened. It is a certain remand from the EAB.

Thanks much

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

From: Ackerman, Susan [IWD]
Sent: Monday, August 12, 2013 11:38 AM
To: Hillary, Teresa [IWD]; Baughman, Myra [IWD]; Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]
Cc: Wahlert, Teresa [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]
Subject: RE: Assistance Needed
Importance: High

I took care of this last week with Stacey Brown from Tax. Devon contacted her for me.

I received some exhibits that were returned so contacted the employer and found out the same info as listed below.

In MyIowaUI – under reporting units, it showed the street address so I couldn't understand what was going on since tn3270 was showing the post office box. Stacey helped walk me through it – you have to click on the account # next to the reporting unit and under there, it opens another screen with both the mailing address and the physical address. They use the physical address for benefits and the mailing address for tax. The physical address was showing the post office box so Stacey corrected that. I followed up with Danielle and explained what was going on since she believed it had already been corrected.

Administrative Law Judge Susan Ackerman

Iowa Unemployment Insurance Appeals
1000 East Grand Avenue
Des Moines, Iowa 50319
Phone: (515) 281-3747
Fax: (515) 242-5144
Susan.ackerman@iwd.iowa.gov

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 11:32 AM
To: Baughman, Myra [IWD]; Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]
Cc: Wahlert, Teresa [IWD]; Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD];

Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD];
Wise, Debra [IWD]; Wise, Steve [IWD]

Subject: FW: Assistance Needed

Myra,

I knew when you mentioned TPI that I had seen that recently. We need to get the notices mailed again to the ER. Any notice that is mailed again today, the ALJ needs to be notified that the Er may be getting the notice late. Pls. resend all the notices that came back as undeliverable. Who in tax do we talk to TODAY to get the information in the tn3270 changed?

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683

FAX: 515.242.5144

From: Wahlert, Teresa [IWD]
Sent: Friday, August 02, 2013 9:36 AM
To: Wilkinson, Michael [IWD]; Hillary, Teresa [IWD]
Subject: Fwd: Assistance Needed

Please make certain we are using the appropriate address for this company.

- Teresa Wahlert

Begin forwarded message:

From: "Williams, Danielle" <DWilliams@tpicomposites.com>
Date: August 2, 2013, 7:55:35 AM CDT
To: "Wahlert, Teresa [IWD]" <Teresa.Wahlert@iwd.iowa.gov>, "Rock, Terri" <TRock@tpicomposites.com>
Subject: RE: Assistance Needed

2300 N 33rd Ave E
Newton 50208

-----Original Message-----

From: Wahlert, Teresa [IWD] [<mailto:Teresa.Wahlert@iwd.iowa.gov>]
Sent: Friday, August 02, 2013 7:45 AM
To: Rock, Terri
Cc: Williams, Danielle
Subject: Re: Assistance Needed

What is the correct address to use?

- Teresa Wahlert

On Aug 1, 2013, at 8:38 PM, "Rock, Terri"

<TRock@tpicomposites.com<<mailto:TRock@tpicomposites.com>>> wrote:

Hi Teresa – hope your summer is going well. We really need assistance from someone on your team. For the past 2 weeks all paperwork for unemployment claims have been going to a former PO Box that TPI had 2 years ago which is now closed. We have been unsuccessful in getting this forwarded to us from the postal service. Can you please have a member of your staff get in contact with us when this has been resolved. We haven't been able to respond to or participate in unemployment telephone hearings.

Thank you.

Terri

Terri Rock
Human Resources Manager
Direct: 641-791-3505
Mobile: 641-781-0400
Fax: 641-791-3552

<image001.png>

Note: This message and any attachments is intended solely for the use of the individual or entity to which it is addressed and may contain information that is non-public, proprietary, legally privileged, confidential, and/or exempt from disclosure. If you are not the intended recipient, you are hereby notified that any use, dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this communication in error, please notify the original sender immediately by telephone or return email and destroy or delete this message along with any attachments immediately.

Note: This message and any attachments is intended solely for the use of the individual or entity to which it is addressed and may contain information that is non-public, proprietary, legally privileged, confidential, and/or exempt from disclosure. If you are not the intended recipient, you are hereby notified that any use, dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this communication in error, please notify the original sender immediately by telephone or return email and destroy or delete this message along with any attachments immediately.

Message: FW: remands**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:11 PM
 Item ID: 40861312
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: remands**

From	Hillary, Teresa [IWD]	Date
		Monday, August 12, 2013 11:51 AM
To	Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]	
Cc		

Some good suggestions from Deb.

From: Wise, Debra [IWD]
Sent: Monday, August 12, 2013 11:43 AM
To: Hillary, Teresa [IWD]
Subject: RE: remands

One solution that we proposed years ago was to address parties that did not receive hearing notices by Appeals immediately and not send to EAB if the party responds within the 15 day deadline. This means that if the Appeals Section receives notice or an appeal to EAB and the party says we did not get the hearing notice, the ALJ who had the hearing contacts the party to make a record and then decides if the hearing should be reopened or not. Whoever is responsible for sending appeals to EAB needs to review this.

If EAB directly receives an appeal or a party tells them they did not get a hearing notice, they should

send us that letter so again the ALJ can make a record and decide if the hearing should be reopened or not. This language is already in the on-the-record decision, but I don't believe the Appeals Section has ever really implemented this procedure.

From: Hillary, Teresa [IWD]

Sent: Monday, August 12, 2013 9:02 AM

To: Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]

Cc: Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Baughman, Myra [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]

Subject: remands

Four remands were received today. Three were remanded b/c one of the parties did not get the hearing notice. One was remanded b/c the claimant's phone was 'unreliable' and did not ring when he was called by the ALJ to begin the hearing. "The Employment Appeal Board would also advise the Claimant to make other, more reliable phone arrangements for the future hearing."

I'll be sending you synopsis on a weekly basis so that we can start to deal with ways to cut down on remands.

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683

FAX: 515.242.5144

Message: FW: Assistance Needed

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:11 PM
Item ID: 40861313
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: Assistance Needed**

From Hillary, Teresa [IWD] **Date** Monday, August 12, 2013 12:20 PM
To Lewis, Devon [IWD]
Cc

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 12:01 PM
To: Wilkinson, Michael [IWD]
Cc: Baughman, Myra [IWD]
Subject: RE: Assistance Needed

We are resending them out today....I will have her photocopy the notices, and the envelopes (with the post mark) they came in and bring them up when she gets back from lunch.

Myra, let me know when you've given all the copies to Mike W.

Thanks much

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

From: Wilkinson, Michael [IWD]
Sent: Monday, August 12, 2013 11:58 AM
To: Hillary, Teresa [IWD]
Subject: RE: Assistance Needed

Could you have Myra get me the notices? It will make it easier to look for the problems.

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 11:56 AM
To: Wilkinson, Michael [IWD]
Subject: RE: Assistance Needed

Thanks. We got hearing notices back today that were postmarked August 9...so maybe it did not get changed on Wednesday August 7. Pls don't forget to circle back and let me know.

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

From: Wilkinson, Michael [IWD]
Sent: Monday, August 12, 2013 11:53 AM
To: Hillary, Teresa [IWD]
Subject: RE: Assistance Needed

The info was changed last Wednesday and I am going through a list from TPI to identify potential concerns on specific claims. I will circle back around with you when we are finished. Should only take a couple days.

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 11:33 AM
To: Wilkinson, Michael [IWD]
Subject: FW: Assistance Needed

Just FYI. We are getting our hearing notices back. Is this something the Employer could change on IWORKS?

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 11:32 AM
To: Baughman, Myra [IWD]; Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]
Cc: Wahlert, Teresa [IWD]; Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]
Subject: FW: Assistance Needed

Myra,

I knew when you mentioned TPI that I had seen that recently. We need to get the notices mailed again to the ER. Any notice that is mailed again today, the ALJ needs to be notified that the Er may be getting the notice late. Pls. resend all the notices that came back as undeliverable. Who in tax do we talk to TODAY to get the information in the tn3270 changed?

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

From: Wahlert, Teresa [IWD]
Sent: Friday, August 02, 2013 9:36 AM
To: Wilkinson, Michael [IWD]; Hillary, Teresa [IWD]
Subject: Fwd: Assistance Needed

Please make certain we are using the appropriate address for this company.

- Teresa Wahlert

Begin forwarded message:

From: "Williams, Danielle" <DWilliams@tpicomposites.com>
Date: August 2, 2013, 7:55:35 AM CDT
To: "Wahlert, Teresa [IWD]" <Teresa.Wahlert@iwd.iowa.gov>, "Rock, Terri" <TRock@tpicomposites.com>
Subject: RE: Assistance Needed

2300 N 33rd Ave E
Newton 50208

-----Original Message-----

From: Wahlert, Teresa [IWD] [<mailto:Teresa.Wahlert@iwd.iowa.gov>]

Sent: Friday, August 02, 2013 7:45 AM

To: Rock, Terri

Cc: Williams, Danielle

Subject: Re: Assistance Needed

What is the correct address to use?

- Teresa Wahlert

On Aug 1, 2013, at 8:38 PM, "Rock, Terri"

<TRock@tpicomposites.com<<mailto:TRock@tpicomposites.com>>> wrote:

Hi Teresa – hope your summer is going well. We really need assistance from someone on your team. For the past 2 weeks all paperwork for unemployment claims have been going to a former PO Box that TPI had 2 years ago which is now closed. We have been unsuccessful in getting this forwarded to us from the postal service. Can you please have a member of your staff get in contact with us when this has been resolved. We haven't been able to respond to or participate in unemployment telephone hearings. Thank you.

Terri

Terri Rock
Human Resources Manager
Direct: 641-791-3505
Mobile: 641-781-0400
Fax: 641-791-3552

<image001.png>

Note: This message and any attachments is intended solely for the use of the individual or entity to which it is addressed and may contain information that is non-public, proprietary, legally privileged, confidential, and/or exempt from disclosure. If you are not the intended recipient, you are hereby notified that any use, dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this communication in error, please notify the original sender immediately by telephone or return email and destroy or delete this message along with any attachments immediately.

Note: This message and any attachments is intended solely for the use of the individual or entity to which it is addressed and may contain information that is non-public,

proprietary, legally privileged, confidential, and/or exempt from disclosure. If you are not the intended recipient, you are hereby notified that any use, dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this communication in error, please notify the original sender immediately by telephone or return email and destroy or delete this message along with any attachments immediately.

Message: FW: more march

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:11 PM
Item ID: 40861314
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: more march**

From	Hillary, Teresa [IWD]	Date
		Monday, August 12, 2013 1:09 PM
To	Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]	
Cc		

 [Decisions per ALJ 2013.docx](#) (19 Kb HTML)

FYI

From: Anderson, Donnell [IWD]
Sent: Monday, August 12, 2013 1:05 PM
To: Hillary, Teresa [IWD]
Subject: more march

	MONTHS OF 2013							
ALJ	JANUARY	FEBRUARY	MARCH	APRIL	MAY	JUNE	JULY	TOTAL
ACKERMAN	116	78	92	84	81	106	62	619
DONNER	29	80	81	37	140	118	85	570
ELDER	19	33	84	68	67	70	41	382
HENDRICKSMEYER	126	65	98	94	88	119	103	693
HILLARY	33	32	36	81	67	108	93	450
LEWIS	48	115	100	91	74	108	68	604
MORMANN	85	97	96	112	124	75	110	699
NICE	109	83	75	84	93	67	70	581
SCHEETZ	111	157	123	125	129	128	96	869
SEECK	86	41	92	58	65	58	76	476
STEPHENSON	1	97	120	100	107	69	120	614
TIMBERLAND	79	56	96	60	77	108	72	548
WALSH	6	24	36	1	16	14	0	97
WISE, D	93	114	86	71	108	103	123	698
WISE, S	76	99	90	57	93	56	107	578
DIA/DAH	71	34	57	62	65	38	73	400
TOTAL	1088	1205	1362	1185	1394	1345	1299	8878

Chart Shows Decisions submitted by ALJ in a given month. Numbers come from "Monthly Appeals Report" for each month from the DOL.

Message: remands**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:10 PM
 Item ID: 40861303
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **remands**

From	Hillary, Teresa [IWD]	Date Monday, August 12, 2013 9:02 AM
To	Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]	
Cc	Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Baughman, Myra [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]	

Four remands were received today. Three were remanded b/c one of the parties did not get the hearing notice. One was remanded b/c the claimant's phone was 'unreliable' and did not ring when he was called by the ALJ to begin the hearing. "The Employment Appeal Board would also advise the Claimant to make other, more reliable phone arrangements for the future hearing."

I'll be sending you synopsis on a weekly basis so that we can start to deal with ways to cut down on remands.

Teresa K. Hillary

Iowa Workforce Development
 1000 E Grand Avenue
 Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

Message: Iworks training

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:10 PM
Item ID: 40861305
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **Iworks training**

From Hillary, Teresa [IWD] **Date** Monday, August 12, 2013
10:11 AM
To Benson, Joni [IWD]
Cc Lewis, Devon [IWD]; Wise, Steve
[IWD]

So, in trying to get through all the e-mails from last week, I did not see one where we resolved the IWOKRS training issue. I think from all I read that Sept 12 is going to be the day. Joni can you pls set up the room etc and make contact with Lori and the trainer etc. Steve or Devon if I'm wrong let me know. Let's get this scheduled today and the ALJ's notified.

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

Message: RE: Iworks training

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:10 PM
Item ID: 40861306
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **RE: Iworks training**

From Hillary, Teresa [IWD] **Date** Monday, August 12, 2013 11:03 AM
To Lewis, Devon [IWD]
Cc

Sept 12 was the date they proposed

From: Lewis, Devon [IWD]
Sent: Monday, August 12, 2013 11:02 AM
To: Hillary, Teresa [IWD]; Benson, Joni [IWD]
Cc: Wise, Steve [IWD]
Subject: RE: Iworks training

How about a Friday afternoon – that will avoid rescheduling all the Thursday afternoon hearings. Not sure when they are available to train though.

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 10:11 AM
To: Benson, Joni [IWD]
Cc: Lewis, Devon [IWD]; Wise, Steve [IWD]
Subject: Iworks training

So, in trying to get through all the e-mails from last week, I did not see one where we resolved the IWOKRS training issue. I think from all I read that Sept 12 is going to be the day. Joni can you pls set up the room etc and make contact with Lori and the trainer etc. Steve or Devon if I'm wrong let me know. Let's get this scheduled today and the ALJ's notified.

Teresa K. Hillary

Iowa Workforce Development

1000 E Grand Avenue

Des Moines IA 50319

Phone: 515.725.2683

FAX: 515.242.5144

Message: FW: remands**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:10 PM
 Item ID: 40861307
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: remands**

From Hillary, Teresa [IWD] **Date** Monday, August 12, 2013 11:03 AM
To Lewis, Devon [IWD]
Cc

Fyi GMTA

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 11:02 AM
To: Mormann, Marlon [IWD]
Subject: RE: remands

I think it's a plan. How well do you think your colleagues are going to react to a Friday meeting? What about the ALJs who normally do not work on Friday or have Friday off on flex time. Should they be required to 'flex' to include Friday afternoon for staff meetings during weeks when they are held.

I like the idea of a meeting on the Friday writing day.

Thanks for the input. I'm interested in ANY idea that will get our numbers up to meeting DOL standards. Let me know what else you think we need to change/modify/fix/replace etc...

From: Mormann, Marlon [IWD]
Sent: Monday, August 12, 2013 10:54 AM
To: Hillary, Teresa [IWD]
Subject: RE: remands

Change one to writing days and the other to Friday afternoon

when most don't have hearings. We lose about 50 hearings a month with a Thursday meeting?????? What do you think?

Marlon Mormann, Administrative Law Judge
515-265-3512

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 10:50 AM
To: Mormann, Marlon [IWD]
Subject: RE: remands

I don't understand. Change what meeting times? The staff meeting times? Cancel the meetings? What time should the meetings be held?

From: Mormann, Marlon [IWD]
Sent: Monday, August 12, 2013 10:35 AM
To: Hillary, Teresa [IWD]
Subject: RE: remands

Change the meeting times and save a half an ALJ a year in hearings. That is my first suggestion.

Marlon Mormann, Administrative Law Judge
515-265-3512

From: Hillary, Teresa [IWD]
Sent: Monday, August 12, 2013 10:07 AM
To: Mormann, Marlon [IWD]
Subject: RE: remands

Sure

From: Mormann, Marlon [IWD]
Sent: Monday, August 12, 2013 9:20 AM
To: Hillary, Teresa [IWD]
Subject: RE: remands

I have some management suggestions for you. Are you interested?

Marlon Mormann, Administrative Law Judge
515-265-3512

From: Hillary, Teresa [IWD]

Sent: Monday, August 12, 2013 9:02 AM

To: Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]

Cc: Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Baughman, Myra [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]

Subject: remands

Four remands were received today. Three were remanded b/c one of the parties did not get the hearing notice. One was remanded b/c the claimant's phone was 'unreliable' and did not ring when he was called by the ALJ to begin the hearing. "The Employment Appeal Board would also advise the Claimant to make other, more reliable phone arrangements for the future hearing."

I'll be sending you synopsis on a weekly basis so that we can start to deal with ways to cut down on remands.

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683

FAX: 515.242.5144

Message: FW: Assistance Needed**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:11 PM
 Item ID: 40861309
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: Assistance Needed**

From Hillary, Teresa [IWD]

Date
 Monday,
 August 12,
 2013 11:32
 AM

To Baughman, Myra [IWD]; Alexander, Marty [IWD];
 Anderson, Donnell [IWD]; Benson, Joni [IWD]; Oatts,
 Sandra [IWD]; Ziegler, Vanessa [IWD]

Cc Wahlert, Teresa [IWD]; Ackerman, Susan [IWD]; Donner,
 Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny
 [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice,
 Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD];
 Stephenson, Randall [IWD]; Timberland, James [IWD];
 Wise, Debra [IWD]; Wise, Steve [IWD]

Myra,

I knew when you mentioned TPI that I had seen that recently. We need to get the notices mailed again to the ER. Any notice that is mailed again today, the ALJ needs to be notified that the Er may be getting the notice late. Pls. resend all the notices that came back as undeliverable. Who in tax do we talk to TODAY to get the information in the tn3270 changed?

Teresa K. Hillary

Iowa Workforce Development
 1000 E Grand Avenue
 Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

From: Wahlert, Teresa [IWD]
Sent: Friday, August 02, 2013 9:36 AM
To: Wilkinson, Michael [IWD]; Hillary, Teresa [IWD]
Subject: Fwd: Assistance Needed

Please make certain we are using the appropriate address for this company.

- Teresa Wahlert

Begin forwarded message:

From: "Williams, Danielle" <DWilliams@tpicomposites.com>
Date: August 2, 2013, 7:55:35 AM CDT
To: "Wahlert, Teresa [IWD]" <Teresa.Wahlert@iwd.iowa.gov>, "Rock, Terri" <TRock@tpicomposites.com>
Subject: RE: Assistance Needed

2300 N 33rd Ave E
Newton 50208

-----Original Message-----

From: Wahlert, Teresa [IWD] [<mailto:Teresa.Wahlert@iwd.iowa.gov>]
Sent: Friday, August 02, 2013 7:45 AM
To: Rock, Terri
Cc: Williams, Danielle
Subject: Re: Assistance Needed

What is the correct address to use?

- Teresa Wahlert

On Aug 1, 2013, at 8:38 PM, "Rock, Terri" <TRock@tpicomposites.com<<mailto:TRock@tpicomposites.com>>> wrote:

Hi Teresa – hope your summer is going well. We really need assistance from someone on your team. For the past 2 weeks all paperwork for unemployment claims have been going to a former PO Box that TPI had 2 years ago which is now closed. We have been unsuccessful in getting this forwarded to us from the postal service. Can you please have a member of your staff get in contact with us when this has been resolved. We haven't been able to respond to or participate in unemployment telephone hearings. Thank you.

Terri

Terri Rock
Human Resources Manager
Direct: 641-791-3505
Mobile: 641-781-0400
Fax: 641-791-3552

<image001.png>

Note: This message and any attachments is intended solely for the use of the individual or entity to which it is addressed and may contain information that is non-public, proprietary, legally privileged, confidential, and/or exempt from disclosure. If you are not the intended recipient, you are hereby notified that any use, dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this communication in error, please notify the original sender immediately by telephone or return email and destroy or delete this message along with any attachments immediately.

Note: This message and any attachments is intended solely for the use of the individual or entity to which it is addressed and may contain information that is non-public, proprietary, legally privileged, confidential, and/or exempt from disclosure. If you are not the intended recipient, you are hereby notified that any use, dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this communication in error, please notify the original sender immediately by telephone or return email and destroy or delete this message along with any attachments immediately.

Message: Weekly Appeals Report for week ending August 3 and August 10**Case Information:**

Message Type: Exchange
 Message Direction: Internal
 Case: IWD Senator Petersen Request - Version 3
 Capture Date: 7/10/2014 1:32:10 PM
 Item ID: 40861299
 Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **Weekly Appeals Report for week ending August 3 and August 10**

From Hillary, Teresa [IWD] **Date** Sunday, August 11, 2013 5:31 PM

To Scott, Cheryll [IWD]; Shroyer, Paula [IWD]; Ackerman, Susan [IWD]; Donner, Lynette [IWD]; Elder, Julie [IWD]; Hendricksmeier, Bonny [IWD]; Lewis, Devon [IWD]; Mormann, Marlon [IWD]; Nice, Terence [IWD]; Scheetz, Beth [IWD]; Seeck, Vicki [IWD]; Stephenson, Randall [IWD]; Timberland, James [IWD]; Wise, Debra [IWD]; Wise, Steve [IWD]; Alexander, Marty [IWD]; Anderson, Donnell [IWD]; Baughman, Myra [IWD]; Benson, Joni [IWD]; Oatts, Sandra [IWD]; Ziegler, Vanessa [IWD]

Cc

 [weekly appeal report.8.03.13docx.docx](#) (19 Kb HTML)  [weekly appeal report.8.10.13.docx](#) (19 Kb HTML)

Both reports are attached. I could not do the report for last week last Sunday due to some of it failing to print.

As each of us start to add our five extra single party cases per month, the numbers will get better.

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683

FAX: 515.242.5144

WEEKLY APPEALS REPORT

For week ending August 3, 2013

Cases on hand – 1666-

Cases over 30 days old -- 706

Decision filed for this week -- 336

Number of appeals filed this week -- 323

For the week ending August 10, 2013

Number of cases to be heard this week 211

of cases that can make 30 days this week 10 (4.7%)

of cases that can make 45 days this week 162 (76.7%)

2 ALJs gone all week

6 ALJs gone part of the week

WEEKLY APPEALS REPORT

For week ending August 10, 2013

Cases on hand -- 1714

Cases over 30 days old 700

Decisions filed for this week 218

Number of appeals filed this week 264

For the week ending August 17, 2013-

Number of cases to be heard this week 281

of cases that can make 30 days this week 20 (7.1%)

of cases that can make 45 days this week 233 (82.9%)

60 cases continued for the week ending August 10, 2013 (Some due to unexpected absence of an ALJ)

1 ALJ out all week

4 ALJs out part of the week

Message: RE: Survey on PTO, respond to me by Tuesday

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:10 PM
Item ID: 40861292
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

✉ RE: Survey on PTO, respond to me by Tuesday

From	Hillary, Teresa [IWD]	Date
		Sunday, August 11, 2013 3:17 PM
To	Mormann, Marlon [IWD]; Lewis, Devon [IWD]; Scheetz, Beth [IWD]; Hendricksmeier, Bonny [IWD]; Wise, Debra [IWD]; Timberland, James [IWD]; Elder, Julie [IWD]; Donner, Lynette [IWD]; Stephenson, Randall [IWD]; Wise, Steve [IWD]; Ackerman, Susan [IWD]; Nice, Terence [IWD]; Seeck, Vicki [IWD]	
Cc		

Works for me. It is similar to the standard form language I use.

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

From: Mormann, Marlon [IWD]
Sent: Friday, August 09, 2013 9:10 AM

To: Lewis, Devon [IWD]; Scheetz, Beth [IWD]; Hendricksmeier, Bonny [IWD]; Wise, Debra [IWD]; Timberland, James [IWD]; Elder, Julie [IWD]; Donner, Lynette [IWD]; Stephenson, Randall [IWD]; Wise, Steve [IWD]; Ackerman, Susan [IWD]; Nice, Terence [IWD]; Hillary, Teresa [IWD]; Seeck, Vicki [IWD]

Subject: Survey on PTO, respond to me by Tuesday

The committee needs to know your stance on PTO. Please respond by Tuesday so we can conclude this project. Our PTO shell is attached. If you disagree with this analysis, please explain.

Marlon Mormann, Administrative Law Judge
515-265-3512

From: Lewis, Devon [IWD]

Sent: Wednesday, August 07, 2013 9:42 AM

To: Scheetz, Beth [IWD]; Hendricksmeier, Bonny [IWD]; Wise, Debra [IWD]; Timberland, James [IWD]; Elder, Julie [IWD]; Donner, Lynette [IWD]; Mormann, Marlon [IWD]; Stephenson, Randall [IWD]; Wise, Steve [IWD]; Ackerman, Susan [IWD]; Nice, Terence [IWD]; Hillary, Teresa [IWD]; Seeck, Vicki [IWD]; Lewis, Devon [IWD]

Subject: ALJ Desk Manual

The Director likes the format, content and direction the ALJ Desk Manual is taking but would like to target completion by the end of the year. That means that there will need to be more involvement from all ALJs. I've attached a copy of the Table of Contents and a blank format sheet. I will put all files on the Q drive. Please volunteer for topics not yet started. VS is working on drug testing. There is a section for Plain Language on each topic. When you have a draft of the topic, please put it on the Q drive and let everyone know so there can be some review, feedback and additions. This is a fluid document so don't worry about saving a partial topic to the Q while you continue to work on it.

Devon

Message: RE: Meeting with Director

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:10 PM
Item ID: 40861294
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **RE: Meeting with Director**

From Hillary, Teresa [IWD] **Date** Sunday, August 11, 2013 3:26 PM
To Lewis, Devon [IWD]
Cc

Thanks for the fyi
I cannot get over how much happens in one week in the office.

From: Lewis, Devon [IWD]
Sent: Friday, August 09, 2013 12:18 PM
To: Hillary, Teresa [IWD]
Subject: FW: Meeting with Director

From: Seeck, Vicki [IWD]
Sent: Tuesday, August 06, 2013 8:58 AM
To: Lewis, Devon [IWD]
Subject: Meeting with Director

Welcome back,

I had my performance evaluation with the director last Thursday. One of the topics we discussed was the desk manual. I told her it was a work in progress but that we had the format and the table of contents. I told her that you had developed the format and that we were both contributing chapters as we had time. She asked for a copy of a sample page and the table of contents. I have emailed both of them to her per her request. I also told her that I thought it was more than a two person project. She has given me two additional projects that she wants done and I am working on those.

I also told her that James and I were going to do the training on drug cases. I haven't talked to James yet, but my idea is that he will present 730.5 and I will do the DOT cases. I have had several of those cases recently. We will try to use Lynette's excellent worksheet in the presentation. I told the director I did not know your training schedule. Another topic I am willing to present is on attendance cases, particularly the relationship between an employer's attendance policy and misconduct and current act of misconduct.

Let me know if you have any questions.

Vicki

Message: FW: Judge Elder Decision

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:10 PM
Item ID: 40861296
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: Judge Elder Decision**

From Hillary, Teresa [IWD] **Date** Sunday, August 11, 2013 3:38 PM
To Lewis, Devon [IWD]
Cc

 [image001.jpg](#) (24 Kb HTML)

Fyi, I've only shared this with you. Not a secret but don't want the alj's to buzz about it.

From: Hillary, Teresa [IWD]
Sent: Sunday, August 11, 2013 3:36 PM
To: Shineflew, Mary [DIA]
Subject: RE: Judge Elder Decision

Sorry for the delay in getting back to you, I was out on vacation all last week. I do not know how long she will be gone. All of her cases, ALL OF THEM, whether started, heard but not written, etc. have been reassigned to either Susan Ackerman or Beth Scheetz. My hope was that every single one of the old cases of hers would be done by the end of August. It will probably be closer to end of September for all of them to be done from a UI Appeals perspective.

Also, I want to let you know that some of the other ALJs who were behind have gotten caught up per the Directors instructions. Please give my thanks to the members of the EAB for being so patient with us as we struggle to deal with budget issues that brought about staffing changes. I know that you've seen a change in how quickly we are able to get files over to you, and my hope is that soon you will see that we are making the 'thirty day' standard set by the DOL. I grateful for all the help from Rick A as well. As a unit we would really like to make some changes that would reduce the number or remands we receive from the EAB. As a topic going forward I will be reviewing every single decn sent out by the EAB to see where we can do a better job.

Thanks again for your patience and help, I do appreciate it.

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

From: Shineflew, Mary [DIA]
Sent: Friday, August 09, 2013 1:03 PM
To: Hillary, Teresa [IWD]
Subject: Judge Elder Decision

Hi Teresa, just was wondering how long Judge Elder is going to be off for? I just received a call from a Ramona Verdinez, 130-UI-04625-E, hearing was July 9, 2013 and she did not make a decision on it as of yet. John asked me to make you aware that she is calling us. I did talk to Myra just to make sure that a decision hadn't been made and just was not put on the database yet.

Mary Shineflew
Executive Officer I
Employment Appeal Board

Message: looking for a report

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:10 PM
Item ID: 40861297
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **looking for a report**

From Hillary, Teresa [IWD] **Date** Sunday, August 11, 2013
3:47 PM
To Benson, Joni [IWD]; Anderson,
Donnell [IWD]
Cc Wise, Steve [IWD]; Lewis, Devon
[IWD]

There is a report that prints once per month that shows how many decn each alj filed for the month. The one you sent me was for March. It was the one that was missing that we were able to get through your contact. As it is August 11 the monthly report for July should have printed. I do not recall seeing it. Donni has the running total. Did we get it? Has it been added to the excel spread sheet?

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

Message: FW: looking for a report

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:10 PM
Item ID: 40861298
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **FW: looking for a report**

From Hillary, Teresa [IWD] **Date** Sunday, August 11, 2013 3:48 PM
To Benson, Joni [IWD]; Lewis, Devon [IWD]; Anderson, Donnell [IWD]; Wise, Steve [IWD]
Cc

Never mind, found it. Tooooo much paper on my desk. Donni will you send me a copy of the updated spread sheet, thanks much

From: Hillary, Teresa [IWD]
Sent: Sunday, August 11, 2013 3:47 PM
To: Benson, Joni [IWD]; Anderson, Donnell [IWD]
Cc: Wise, Steve [IWD]; Lewis, Devon [IWD]
Subject: looking for a report

There is a report that prints once per month that shows how many decn each alj filed for the month. The one you sent me was for March. It was the one that was missing that we were able to get through your contact. As it is August 11 the monthly report for July should have printed. I do not recall seeing it. Donni has the running total. Did we get it? Has it been added to the excel spread sheet?

Teresa K. Hillary

Iowa Workforce Development
1000 E Grand Avenue
Des Moines IA 50319

Phone: 515.725.2683
FAX: 515.242.5144

Message: Delivered: RE: Online reporting-weekly claim/IVR

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:46 PM
Item ID: 40862115
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **Delivered: RE: Online reporting-weekly claim/IVR**

From Microsoft Exchange **Date** Monday, March 10, 2014 9:36 AM
To Wilkinson, Michael [IWD]
Cc

 **RE: Online reporting-weekly claim/IVR**

Your message has been delivered to the following recipients:

[Wilkinson, Michael \[IWD\]](#)

Subject: RE: Online reporting-weekly claim/IVR

Sent by Microsoft Exchange Server 2007

J you are so good !

From: Wilkinson, Michael [IWD]
Sent: Monday, March 10, 2014 9:36 AM
To: Cooper, Renee [IWD]; Gomez, Carmen [IWD]; Hammond, Simona [IWD]; Gannon, David [IWD]
Cc: Moen, Martin [IWD]; Tobis, Shelli [IWD]; Bateman, Gary [IWD]; Koonce, Kerry [IWD]; Roovaart, Michelle [IWD]; Eklund, David [IWD]; Boten, Brenda [IWD]; West, Ryan [IWD]
Subject: RE: Online reporting-weekly claim/IVR

Yes. Way ahead of you. Already on it.

From: Cooper, Renee [IWD]
Sent: Monday, March 10, 2014 9:35 AM
To: Wilkinson, Michael [IWD]; Gomez, Carmen [IWD]; Hammond, Simona [IWD]; Gannon, David [IWD]
Cc: Moen, Martin [IWD]; Tobis, Shelli [IWD]; Bateman, Gary [IWD]; Koonce, Kerry [IWD]; Roovaart, Michelle [IWD]; Eklund, David [IWD]; Boten, Brenda [IWD]; West, Ryan [IWD]
Subject: RE: Online reporting-weekly claim/IVR

Is there a way to put a message out stating that there are technical issues?

From: Wilkinson, Michael [IWD]
Sent: Monday, March 10, 2014 9:22 AM
To: Gomez, Carmen [IWD]; Hammond, Simona [IWD]; Gannon, David [IWD]
Cc: Moen, Martin [IWD]; Tobis, Shelli [IWD]; Bateman, Gary [IWD]; Koonce, Kerry [IWD]; Roovaart, Michelle [IWD]; Cooper, Renee [IWD]; Eklund, David [IWD]; Boten, Brenda [IWD]; West, Ryan [IWD]

Subject: RE: Online reporting-weekly claim/IVR

Dave is working on it with Chuks.

From: Gomez, Carmen [IWD]
Sent: Monday, March 10, 2014 9:17 AM
To: Hammond, Simona [IWD]; Gannon, David [IWD]
Cc: Moen, Martin [IWD]; Tobis, Shelli [IWD]; Bateman, Gary [IWD]; Koonce, Kerry [IWD]; Wilkinson, Michael [IWD]; Roovaart, Michelle [IWD]; Cooper, Renee [IWD]; Eklund, David [IWD]; Boten, Brenda [IWD]; West, Ryan [IWD]
Subject: RE: Online reporting-weekly claim/IVR

Thanks Simona....hopefully this will be enough to get a resolution.

Thank you,

Carmen Gomez

Customer Service Bureau Chief

Iowa Workforce Development

1000 E Grand Avenue | Des Moines, IA | 50319

Phone: 515-281-5981 | 515-720-4686 | Fax: 515-281-4698

From: Hammond, Simona [IWD]
Sent: Monday, March 10, 2014 9:13 AM
To: Gomez, Carmen [IWD]; Gannon, David [IWD]
Cc: Moen, Martin [IWD]; Tobis, Shelli [IWD]; Bateman, Gary [IWD]; Koonce, Kerry [IWD]; Wilkinson, Michael [IWD]; Roovaart, Michelle [IWD]; Cooper, Renee

[IWD]; Eklund, David [IWD]; Boten, Brenda [IWD]; West, Ryan [IWD]
Subject: RE: Online reporting-weekly claim/IVR

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

From: Gomez, Carmen [IWD]
Sent: Monday, March 10, 2014 9:06 AM
To: Gannon, David [IWD]
Cc: Hammond, Simona [IWD]; Moen, Martin [IWD]; Tobis, Shelli [IWD]; Bateman, Gary [IWD]; Koonce, Kerry [IWD]; Wilkinson, Michael [IWD]; Roovaart, Michelle [IWD]; Cooper, Renee [IWD]; Eklund, David [IWD]; Boten, Brenda [IWD]; West, Ryan [IWD]
Subject: FW: Online reporting-weekly claim/IVR
Importance: High

Dave – are you working on this or Shelli and do you need this information?

Both IVR and online are having the same issues not letting claimants file.

If you need this information – I will have Simona provide you with what you need ASAP – please let us know.

Thank you,

Carmen Gomez

Customer Service Bureau Chief

Iowa Workforce Development

1000 E Grand Avenue | Des Moines, IA | 50319

Phone: 515-281-5981 | 515-720-4686 | Fax: 515-281-4698

From: Tobis, Shelli [IWD]
Sent: Monday, March 10, 2014 9:01 AM
To: Hammond, Simona [IWD]; IWD-HelpDesk
Cc: Martin Moen; Gomez, Carmen [IWD]
Subject: RE: Online reporting-weekly claim

Do you have some examples that we can turn over to our developers: e.g. claimants name and ssn and the week / dates / that are the problem? Contact information would be helpful too.

Shelli

From: Hammond, Simona [IWD]
Sent: Monday, March 10, 2014 8:40 AM
To: IWD-HelpDesk
Cc: Martin Moen; Gomez, Carmen [IWD]
Subject: Online reporting-weekly claim

Good Morning,

I had several calls this morning where the claimants did the weekly reporting online and it did not go through. They indicated it lets them file and then when they log out and log back in the week is not there. I know the VRU is down but apparently online reporting does not work either.

Thank you,

Simona Hammond

Iowa Workforce Development

515-725-3764

Message: Delivered: RE: VRU issues over the weekend

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:46 PM
Item ID: 40862116
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **Delivered: RE: VRU issues over the weekend**

From Microsoft Exchange **Date** Monday, March 10, 2014 8:59 AM
To Adams, Lori [IWD]
Cc

 **RE: VRU issues over the weekend**

Your message has been delivered to the following recipients:

[Adams, Lori \[IWD\]](#)

Subject: RE: VRU issues over the weekend

Sent by Microsoft Exchange Server 2007

On-line reporting appears to be fine.

Nancy L. Brookhart, Workforce Advisor

300 W. Broadway, Suite 13

Council Bluffs, IA 51503

Phone: 712-242-2119

FAX: 712-242-2155

email: Nancy.Brookhart@iwd.iowa.gov

From: Adams, Lori [IWD]

Sent: Monday, March 10, 2014 8:28 AM

To: Anson, Bryan [IWD]; Bratteig, Kristine [IWD]; Brookhart, Nancy [IWD]; Butcher, Marilyn [IWD]; Carlson, Liz [IWD]; Chavez, Hilda [IWD]; Close, Kara [IWD]; Conner, Elizabeth [IWD]; Cortez, Maria [IWD]; Davy, Anthony [IWD]; Eklund, David [IWD]; Elkin, Barbara [IWD]; Ellenberger, Susan [IWD]; Faber, Larry [IWD]; Farley, Carolyn [IWD]; Galanits, James [IWD]; Gilgen, Ruth [IWD]; Golub, Srdjan [IWD]; Goodier, Becky [IWD]; Gotta, Antonina [IWD]; Gray, Linda [IWD]; Gronbach, Elizabeth [IWD]; Hartman, David [IWD]; Hernandez, Anne [IWD]; Kronlage, Robert [IWD]; Loecke, Marla [IWD]; Loverink, Carla [IWD]; Mather, Scott [IWD]; McCabe, Theresa [IWD]; Messerly, Sara [IWD]; Miller, Rita [IWD]; Morgan, Carol [IWD]; Munford, Gisselle [IWD]; Myers, Bill [IWD]; Neri, Diane [IWD]; Simpson, Lillie [IWD]; Slagle, Ronee [IWD]; Sloan, Teresa [IWD]; Spencer, Todd [IWD]; Traywick, Mary [IWD]; Varner, Pam [IWD]; Vega, Carlos [IWD]; West, Ryan [IWD]; Wilhelm, Kimberly [IWD]; Wilkinson, Michael [IWD]; Witt, Michael [IWD]; Wold, Chris [IWD]

Subject: FW: VRU issues over the weekend

Importance: High

From: West, Ryan [IWD]

Sent: Monday, March 10, 2014 8:26 AM

To: Allen, Shannell [IWD]; Anderson, Shantel [IWD]; Andreano, Lori [IWD]; Baccam, Frisco [IWD]; Batten, Gary [IWD]; Beattie, Adam [IWD]; Borgeson, Jill [IWD]; Boten, Brenda [IWD]; Chounlamountry, Pho [IWD]; Close, Kara [IWD]; Cogan, Karen [IWD]; Cozart, Jeanine [IWD]; Croushore, Brianne [IWD]; Dawson, Dianne [IWD]; Densmore, Terryne [IWD]; DeSmidt, James [IWD]; Devine, Roxy [IWD]; Donlin, Michael [IWD]; Dyer, Ray [IWD]; Dykstra, Connie [IWD]; Edmonds, Linda [IWD]; Eklund, David [IWD]; Ellenwood, Kasandra [IWD]; Finck, Christal [IWD]; Garrett, Brent [IWD]; Gaulke-Lilly, Sharon [IWD]; Gifford, Matt [IWD]; Guy, Marlys [IWD]; Hallengren, Jon [IWD]; Hoard, Aaron [IWD]; Holett, Karen [IWD]; Hosier, Michael [IWD]; Irvine, Erin [IWD]; Irvine, Kevan [IWD]; Khounlo, Nhoui [IWD]; Kolontar, Lisa [IWD]; Kooiker, Quentin [IWD]; Landrew, Paul [IWD]; Lewis, Irma [IWD]; Long, Maria [IWD]; Moses, Ryan [IWD]; Nutting, Jenifer [IWD]; Oyibo, Joan [IWD]; Parry, Sharon [IWD]; Peacock, Phillip [IWD]; Prettyman, Laura [IWD]; Ramirez, Rebecca [IWD]; Rieger, Kim [IWD]; Roovaart, Michelle [IWD]; Ruby, Evelyn [IWD]; Saddoris, Michelle [IWD]; Schafer, Cathy [IWD]; Schlumbohm, Spomenka [IWD]; Schmalzried, Leslie [IWD]; Seivert, Shanlyn [IWD]; Shepherd, Deborah [IWD]; Spencer, Barbara [IWD]; Starr, Tracy [IWD]; Steen, Christina [IWD]; Stewart, Brian [IWD]; Stielow, Lisa [IWD]; Tavegia, Thomas [IWD]; Ung, Kham [IWD]; Vo, Vu [IWD]; Vogt, Jennifer [IWD]; Wey, Kevin [IWD]; Wolfe, Kathie [IWD]; Wood, Kirsten [IWD]; Young, Veronica [IWD]; Alden, Carmela [IWD]; Alexander, Marty [IWD]; Brendeland, Deb [IWD]; Buntentbach, Edward [IWD]; Conrath, Mary [IWD]; Dennis, Carla [IWD]; Drake, Denise [IWD]; Dugan, Boyd [IWD]; Gomez, Carmen [IWD]; Greco, Mary [IWD]; Hammond, Simona [IWD]; Harmon, Jeri [IWD]; Koonce, Kerry [IWD]; Kramer, Vicki [IWD]; Milligan, Joy [IWD]; OBrien, Karla [IWD]; Piper, Shari [IWD]; Rodriguez, Maria [IWD]; Shaw, Carmela [IWD]; Summy, Kelly [IWD]; Tate, Sherry [IWD]; Woods, Tamar [IWD]; Woods, Tina [IWD]; Batten, Ellen [IWD]; Douglas, Jodi [IWD]; Gilkison, Judy [IWD]; Halferty, Dan [IWD]; Jergenson, Kathy [IWD]; Lainson, GERALYN [IWD]; Piagentini, Mary [IWD]; Putzier, Juli [IWD]; Shenk, Jim [IWD]; Van Syoc, Jim [IWD]

Cc: Wilkinson, Michael [IWD]; Adams, Lori [IWD]

Subject: VRU issues over the weekend

Importance: High

It appears the VRU had issues over the weekend. We may see an increase in

calls and foot traffic today. As of now the VRU is still down.

Ryan West

Regional Operations Manager

Phone (515) 725-3732

Fax (515) 281-9321

Message: Delivered: FW: VRU

Case Information:

Message Type: Exchange
Message Direction: Internal
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:47 PM
Item ID: 40862131
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **Delivered: FW: VRU**

From Microsoft Exchange

Date Monday, March 10, 2014
8:14 AM

To West, Ryan [IWD]; Wilkinson,
Michael [IWD]

Cc

 **FW: VRU**

Your message has been delivered to the following recipients:

[West, Ryan \[IWD\]](#)

[Wilkinson, Michael \[IWD\]](#)

Subject: FW: VRU

Sent by Microsoft Exchange Server 2007

Email from Customer service that there were issues over the weekend.

From: Harmon, Jeri [IWD]
Sent: Monday, March 10, 2014 8:14 AM
To: Gomez, Carmen [IWD]; Cooper, Renee [IWD]
Subject: VRU

I have heard from both my callers this morning that they were unable to file over the phone this weekend. That it would just go through a continuous loop and not say good bye to them.

Neither were able to file their week.

Were there issues?

Thanks,

Jeri Harmon

Customer Service Rep

Iowa Workforce Development

1000 E Grand Ave

Des Moines, IA 50319

Tel: 1-800-562-4692

Unemployment: 1-866-239-0843

www.iowaworkforce.org

Message: Iowa SOF 3-24.docx

Case Information:

Message Type: Exchange
Message Direction: External, Inbound
Case: IWD Senator Petersen Request - Version 3
Capture Date: 7/10/2014 1:32:58 PM
Item ID: 40862454
Policy Action: Not Specified

Mark History:

No reviewing has been done

Policies:

No Policies attached

 **Iowa SOF 3-24.docx**

From Tammy Erickson **Date** Monday, March 24, 2014 3:08 PM
To Wilkinson, Michael [IWD]
Cc

 Iowa SOF 3-24.docx (82 Kb HTML)

We have made changes to the SOF based upon your comments. In some areas, we tried to change the wording to be more similar to what you had, however we could not change it specifically like you wanted it as we were unable to verify the information. I used track changes, so you can see what we changed and how. I hope you will find this satisfactory. I appreciate your time and comments.

Tammy

CIRCULAR 230 DISCLAIMER

Any tax advice contained in this communication, unless expressly stated otherwise, is not intended to be used, and cannot be used, for the purpose of (i) avoiding tax-related penalties that may be imposed on the taxpayer under the Internal Revenue Code or applicable state or local tax law or (ii) promoting, marketing, or recommending to another party any tax-related matters addressed herein.

CONFIDENTIALITY NOTICE

This e-mail and any attachments are for the sole use of the intended recipients and contain information that may be confidential or legally privileged. If you have received this e-mail in error, please notify the sender by reply e-mail and delete the message. Any disclosure, copying, distribution, or use of this communication by someone other than the intended recipient is prohibited.

Introduction

Moss Adams was engaged by the U.S. Department of Labor (DOL), Office of Inspector General (OIG), to conduct a performance audit on the effectiveness of State Workforce Agencies (SWAs) in recovering unemployment insurance (UI) improper payments. Moss Adams was engaged to audit three states. Iowa (IA) was one of the states. The specific audit objectives identified by the OIG were to answer the following questions:

1. How effective are states at detecting, reducing, recovering and reporting UI ARRA improper payments?
2. What steps have states taken to implement Employment and Training Administration's (ETA's) guidance for detecting, and reducing ARRA-funded UI improper payments?
3. What processes and procedures do states use to recover ARRA-funded UI improper payments?
4. How accurate are states' reporting of ARRA-funded UI improper payments and recovery to ETA?

The ETA provides guidance and technical assistance to states in administering their UI programs and in reducing improper payments. As part of this guidance, ETA developed nine national strategies for states to follow in an effort to prevent, detect, and recover UI improper payments.

This Statement of Facts presents the results of our fieldwork in Iowa and identifies:

- I. The Status of Iowa's implementation of ETA's National Strategies;
- II. The Status of Iowa's State-Specific Strategies;
- III. A Summary of Potential Weaknesses or Limitations noted in effectively preventing, detecting, recovering, and reporting improper payments.

The following Exhibits are included to provide additional information and statistics related to National strategies:

- National Strategies*
- Exhibit I.A. Overpayments during 2009-2012 by Detection Source
- State-Specific Strategies*
- Exhibit I.B Recoveries of Overpayments by Source

I. Status of Iowa's Implementation of ETA National Strategies

Strategy	Description	Status	Results/Comments
Cross Functional Unemployment Integrity Task Force	These are cross-functional teams that include a combination of management, front-line workers, and state subject matter experts that assess and address root causes of improper payments in individual states. The key objectives for these task forces is to have every state focus on the root causes of overpayments that have the highest impact in the state and use this process to implement strategic planning that will achieve immediate and meaningful reductions in the improper payment rate. Objective: Prevention and Detection (Implemented September 2011)	Partially Implemented	Through efforts of this task force, the department has identified and taken action to implement changes to procedures to improve the department's prevention and detection of improper benefit payments and increased recovery of benefit overpayments. The department did not have quantifiable data to determine the effectiveness and cost benefit of the cross-functional integrity task force. The Integrity Task Force created and implemented several State-Specific strategies, including increasing staffing and training, promoting the use of State Information Data Exchange System (SIDES), the National Directory of New Hires (NDNH), and the Tax Offset Program (TOPS). The department also has promoted its public information strategy through various videos, print materials, and other medium, as well as through implementation of various other state-specific collection and detection methods.

State Quality Service Plan (SQSP)	The SQSP is intended to be a dynamic document states use not only to ensure strong program performance, but also to guide key management decisions, such as where to focus resources. States can incorporate the elements from the strategic plans developed by their Cross-Functional Task Forces into the SQSP to address improper	*Fully Implemented (While the department utilizes SQSP's, many corrective action plans within them have not yet been met. However, the department continues to make progress in satisfying steps within various CAP's	The state has timely implemented SQSP's with corrective action plans. Various action plans were extended throughout the audit period and not yet met, such as those related to the improper payment rate and overpayment detection rate. The state has cited staffing, funding, and system limitations as impediments.
-----------------------------------	---	---	--

<p>payments. The SQSPs also include corrective action plans that address, among other things, improvements being made to reduce overpayments through specific corrective efforts.</p> <p>Objective: Prevention and Detection (Implemented 1996)</p>	<p>As indicated in at least one other section of this audit, Iowa has a unique law that requires they provide a fact finding with at least a three day notice to the claimant before they can terminate benefits.</p>
---	---

<p>National Directory of New Hires (NDNH) Recommended Operating Procedures (ROP) and State Directory of New Hires (SDNH)</p>	<p>DOL has encouraged states' use of the NDNH to reduce improper payments in the UI program. Directories of New Hires came about as a result of The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) and includes NDNH and SDNH. These new hire directories, which were created for the purpose of child support enforcement, have allowed for improved access to wage data and data from other states regarding new hires and wages. Studies conducted about NDNH and SDNH have concluded that the use of these tools result in earlier detection of improper payments, therefore increasing the likelihood of recovery. Detailed Recommended Operating Procedures (ROP) have been developed to provide states with information about best practices in conducting this match</p> <p>Objective: Prevention and Detection (Implemented 2005)</p>	<p>Fully Implemented</p>	<p>Based on ETA 227 reports received from the Iowa Workforce Development (IWD), approximately 5,300 claims totaling approximately \$1,700,000 in overpayments have been detected using these strategies during the audit period.</p> <p>See Exhibit I.A.</p> <p>Iowa has been performing daily matches with the SDNH since the 1980's and weekly matches with the NDNH since 2008.</p> <p>Due to an early retirement program offered to state employees in 2010 and budget cuts in 2012, investigator staffing is no longer sufficient to allow for all identified conflicts to be worked, as hits through the matching process require resolution through human intervention. Some territories have had vacant investigator positions since 2010, and although some of the larger cases are reassigned, it is not always in a timely manner. The department did not have specific quantifiable data for the backlog of cases yet to be resolved. However, the department has contended that it has never been more than approximately two weeks behind on the resolution of open cases.</p>
<p>State Information Data Exchange System (SIDES)</p>	<p>SIDES is a web-based system that allows electronic transmission of UI information requests from UI agencies to multi-state employers and/or Third Party Administrators, as well as transmission of replies containing the requested information back to the UI agencies.</p> <p>Objective: Prevention and Detection (SIDES and E-response implemented on March 30, 2012)</p>	<p>*Partially Implemented (Only the work separations functions have been utilized)</p>	<p>Iowa received a total of \$549,204 between 2009 and 2012 for implementation and marketing of SIDES, as well as subscription fees, pursuant to UIPL 18-12 and UIPL 31-09. Due to laws specific to Iowa, such as the requirement to have one-on-one interviews between claimants and representatives from the Employer during the fact-finding stage related to unemployment, Iowa has only implemented the work separations function of SIDES, thus limiting its overall functionality. Iowa currently has approximately 600 employers utilizing this product, with most of those being targeted due to their use of online tax services. Current marketing strategies include flyers sent out to prospective parties to increase awareness of the benefits of SIDES. The next step is to encourage ADP and other third party administrators to also utilize SIDES in the future.</p> <p>Iowa does not have quantifiable data to determine the effectiveness and cost benefit of SIDES implementation. Iowa has stated this was not a requirement or condition of the grant application.</p>

<p>Claimant Messaging</p>	<p>Implementation of a statewide claimant messaging campaign designed to: 1) improve claimants' awareness of their responsibility to report any work and earnings if they are claiming benefits, and 2) improve claimants' understanding of work</p>	<p>Fully Implemented</p>	<p>Iowa received a total of \$100,000 in 2011 for implementation of various messaging products to be used for both claimant and employer messaging. Iowa implemented several claimant messaging products and communications, including unemployment fraud videos, a billboard campaign, radio ads, electronic billboards, and unemployment</p>
---------------------------	--	--------------------------	--

<p>search requirements as a condition of eligibility for benefits.</p> <p>Objective: Prevention</p> <p>(Campaign implemented in December 2011; products implemented throughout 2012)</p>	<p>insurance fraud videos. The DOL Toolkit is one primary source of information for Iowa.</p> <p>Iowa does not have quantifiable data to determine the effectiveness and cost benefit of claimant messaging implementation. Iowa has stated this was not a requirement or condition of the grant application.</p>
--	---

<p>Employer Messaging</p>	<p>Implementation of a statewide employer messaging campaign designed to improve employers' awareness of their responsibility to respond to state requests for separation information and/or earnings/wage verifications.</p> <p>Objective: Prevention</p> <p>(Campaign implemented in December 2011; products implemented throughout 2012)</p>	<p>Fully Implemented</p>	<p>Iowa received a total of \$100,000 in 2011 for implementation of various messaging products to be used for both claimant and employer messaging. Iowa implemented several employer messaging products and communications, including unemployment fraud videos, a billboard campaign radio ads, electronic billboards, and unemployment insurance fraud videos. The DOL Toolkit is one primary source of information for Iowa.</p> <p>Iowa does not have quantifiable data to determine the effectiveness and cost benefit of employer messaging implementation. Iowa has stated this was not a requirement or condition of the grant application.</p>
---------------------------	---	--------------------------	--

<p>Employment Service (ES) Registration and Work Search</p>	<p>Implementing technology or other solutions designed to address improper payments due to a claimant's failure to register with the state's Employment Service or job bank in accordance with the state's UI law and simultaneously provide more opportunities for reemployment.</p> <p>Objective: Prevention</p> <p>(Implemented April 30, 2012)</p>	<p>Implemented</p>	<p>Section 4011(b)(4) of the Emergency Unemployment Compensation (EUC) Act requires claimants to be able to work, available to work, and actively seeking work. Section 4011(h)(l) of the EUC Act specifies the definition of actively seeking work, which includes registering for employment services as prescribed the state agency, engaging in an active work search for appropriate employment and through making the required contacts with employers, maintain work search records, and provide such work search records upon request.</p> <p>Section 871, Chapter 24.2(1), of the unemployment security law of Iowa describes the requirements for initial registration for unemployment by claimants, as well as the requirements for continuation of benefits, including work search.</p> <p>Iowa received \$100,000 in October 2012 to implement technology to allow full-registration at the time of the initial submission of unemployment claims and also to simultaneously provide more opportunities for reemployment at the time of, and subsequent to, the registration process. Increasing opportunities for reemployment included the display of job opportunities that match claimants' registration criteria at the time online claims are filed and at each time the online system is accessed for continued claim filing.</p> <p>Iowa does not have quantifiable data to determine the effectiveness and cost benefit of employment service registration and work search implementation. Iowa has stated this was not a requirement or condition of the grant application.</p>
---	--	--------------------	---

<p>State-Specific Strategies</p>	<p>Implementation of state-specific solutions to prevent improper payments and reduce the state's improper payment rates in key root cause areas.</p>	<p>See Section II.</p>	<p>State-Specific Strategies</p>
<p>Treasury Offset Program (TOP)</p>	<p>TOP allows the state to offset federal tax refund payments to collect unemployment compensation debts.</p> <p>Objective: Recovery</p> <p>(Implemented in Iowa in September 2013)</p>	<p>Implemented 9/30/13, outside of audit scope period.</p>	

II. Status of Iowa's Implementation of State-Specific Strategies

Strategy	Description	Status	Results/Comments
State Identification Data Inquiry	<p>This is a database established for interstate cross-match. The database is used to process wage information requested from employers outside of the state related to claimants who have filed claims within the state. Typically, the state will request 18 months of wage data to be uploaded to this database. Employers typically have 30 days to provide the requested wage information, and then the cross-match takes an additional 30 days to complete. This cross-match is run on a quarterly basis.</p> <p>Objective: Detection (Implemented 2003)</p>	Fully implemented	Iowa does not have quantifiable data to determine the effectiveness and cost benefit of state identification data inquiry implementation.

Fraud Detection as a Service	<p>In 2008, the division began to utilize the social security administration to verify claimant information at the same time as registration, and thus, became a part of the claimant profile. The division also utilizes the Designated Overpayments Teams, which the division refers to as a Fraud Unit, to match the same type of demographic information and help to detect overpayments and fraud. Based on the matching done, fraud investigators that work closest to the claimant would be assigned to the cases and facilitate in-person interviews if deemed necessary. Both of these products are free services. It is our understanding Iowa will be utilizing the Department of Transportation's records for identity verification in addition to the SSA data. If unable to verify, a third party to authentication service will be used, which requires a fee for use. As of the time of the audit, the division had not yet begun to use the third-party provision of this service. Finally, this strategy also involves the ability to contract with an outside vendor to use division data to detect potential fraud, which has also not yet been implemented.</p> <p>Objective: Detection and Prevention (Implemented 2008 through 2013)</p>	Fully implemented	Iowa does not have quantifiable data to determine the effectiveness and cost benefit of fraud detection as a service implementation. Iowa has not paid fees for utilization of third parties to obtain verification of claimant profiles as this has not yet been used.
------------------------------	---	-------------------	---

Unemployment Compensation Fraud Link	<p>Tipsters can report incidents of fraud on the Iowa unemployment compensation website, iowaworkforce.org.</p> <p>Objective: Detection and Prevention (Implemented March 22, 2012)</p>	Fully implemented	<p>Incidents get transmitted directly to David Eklund, manager of the Unemployment Integrity Division. Mr. Eklund will review all tips and assign investigators to the applicable territory, if deemed necessary.</p> <p>Iowa does not have quantifiable data to determine the effectiveness and cost benefit of the implementation of the unemployment compensation fraud link as they are not tracked separately in their system.</p> <p>See Exhibit I.A</p>
Interstate Benefit Cross-Match	<p>Interstate cross-match, run quarterly, compares the records of claimants who file UC claims in Iowa with wage record data from other states.</p> <p>Implemented June 2005</p>	Fully implemented	Iowa does not have quantifiable data to determine the effectiveness and cost benefit of interstate benefit cross-match implementation as this data has not been maintained separately in their system. See Exhibit I.A

Incarceration Roster Review	<p>The purpose of this cross-match is to find claimants who are receiving federal or state benefits while they are incarcerated in Iowa's county jails. It's a manual process that involves a cross-match with the Department of Corrections. It involves 99 counties in</p>	Fully implemented	Iowa does not have quantifiable data to determine the effectiveness and cost benefit of incarceration roster review implementation as this
-----------------------------	--	-------------------	--

	<p>Iowa performed by benefit payment control investigators. Investigators perform the search on those who were incarcerated at least three days.</p> <p>Objective: Detection and Prevention</p> <p>Implemented 1995</p>		<p>Iowa does not have quantifiable data to determine the effectiveness and cost benefit of SAVE implementation.</p>
--	---	--	---

<p>Systematic Alien Verification for Entitlements (SAVE)</p>	<p>This cross-match reveals individuals who have entered a permit number, indicating they are an alien, rather than a driver's license onto the online claims system. Individuals who are matched under this system receive a form asking for verification of employment and authorization for legal residence. Aliens can be asked only one time during the initial application for unemployment benefits whether they are a United States citizen. The division has no right to verify this information, as the burden for this verification falls to the employer. This process is performed prior to benefits being processed so it doesn't result in detection of overpayments but ensures that claimants are eligible to receive payments.</p> <p>Objective: Prevention</p> <p>Implemented 1990</p>	<p>Fully Implemented</p>	<p>Iowa does not have quantifiable data to determine the effectiveness and cost benefit of SAVE implementation.</p>
--	---	--------------------------	---

<p>Business Process Analysis</p>	<p>The purpose of utilizing a third party to analyze business processes is to enhance the authentication of claimants in the benefit eligibility process, improve the overall ability to detect both underpayments and overpayments, and thus, improve the overall performance measures as measured by the Department of Labor, and find additional efficiencies to potentially free up capital and staffing that can that can be reallocated to improve other unemployment divisions services.</p> <p>Objective: Prevention and Detection</p> <p>(Implemented in 2012)</p>	<p>Fully Implemented</p>	<p>Iowa utilized a third-party consultant named CapTech to perform an overall analysis of its business processes related to unemployment system integrity in 2012. Several suggestions were formulated throughout all areas of the unemployment integrity division, with the focus being on claimant authentication and payment processes and on opportunities for potential redeployment of resources to aid efficiencies within the department.</p>
----------------------------------	---	--------------------------	---

<p>Employer Quarterly Wages Cross match</p>	<p>Each quarter the state compares the listing of beneficiaries for the year with the listing of employees reported by employers to identify individuals who drew benefits while employed.</p> <p>Objective: Detection</p> <p>(Implemented in the 1980's)</p>	<p>Fully Implemented</p>	<p>Based on ETA 227 reports received from IWD, approximately 27,000 cases totaling approximately \$14.6 million in overpayments have been detected using this strategy during the audit period.</p> <p>See Exhibit I.A</p>
<p>Tips and Leads</p>	<p>This program allows for internal and external sources to provide information about potential claimants who are receiving benefits but are potentially ineligible.</p> <p>Objective: Prevention and Detection</p> <p>(Implemented in the 1950's)</p>	<p>Fully Implemented</p>	<p>Iowa does not have quantifiable data to determine the effectiveness and cost benefit of tips and leads implementation.</p> <p>All cases identified from tips and leads are not tracked separately in their system.</p> <p>See Exhibit I.A</p>
<p>Legal Presence</p>	<p>Not implemented.</p>	<p>Not Implemented</p>	<p>Not implemented</p>

<p>Amnesty</p>	<p>If overpayments are not the fault of claimants, they may make written requests for hardship waivers. Claimants must show that repayment would</p>	<p>Fully implemented</p>	<p>Based on the ETA 227 reports received from the IWD, approximately \$400,000 in</p>
----------------	--	--------------------------	---

	<p>be against good conscience, denying them of essentials, such as food, shelter, necessary medications, and other items.</p> <p>Objective: Recovery</p> <p>(Implemented in the late 1930's)</p>		<p>overpayments were waived during the audit period.</p> <p>Iowa does not have quantifiable data to determine the effectiveness and cost benefit of amnesty implementation on either the improper payment rate or the recovery rate.</p>
Benefit Offset	<p>Benefit offsetting provides for collection of receivables. If claimants have overpayments and they are eligible for unemployment benefits, IWD offsets 100% of these benefits until the debt is satisfied. The overpayment could be due or not due to fraud.</p> <p>Objective: Detection</p> <p>(Implemented in the late 1930's)</p>	Fully Implemented	<p>Based on ETA 227 reports received from the IWD, approximately \$21.3 million of overpayments has been recovered using this strategy during the audit period.</p> <p>See Exhibit I.B</p>

Collection of Payments by Credit or Debit Card over the Telephone	<p>Method implemented to recover overpayments from claimants.</p> <p>Objective: Collection</p> <p>(Contract signed in December 2013; Website has not been activated as of current)</p>	Not implemented during the scope period.	Statistics are not available as IWD did not use this method during the period under audit.
State income or other tax offset	<p>State income tax refunds and similar distributions are used to offset receivables. Mostly an automated process, in which state income tax refunds are flagged in a report from the Iowa Department of Treasury through a matching of the workforce development database with the tax database utilizing social security numbers. If the return is a joint return, then the refund is split through a manual calculation.</p> <p>Objective: Collection</p> <p>(Federal income tax offset – implemented October 2013; State income tax offset – implemented in the 1960's)</p>	State income tax offset – fully implemented; Federal income tax offset – not implemented during the scope period.	<p>Based on ETA 227 reports received from the IWD, approximately \$4.5 million of overpayments has been recovered using the audit strategy during the audit period.</p> <p>See Exhibit I.B</p>

Lottery, Homestead, and Gambling Offsets	<p>The state of Iowa vendor offset system is used to generate an alert that notifies the state when a social security match occurs with a person who has won money through a casino or lottery or who is a state vendor and owes back unemployment benefits. The funds will be held pending a decision. The state can authorize an internal exchange transfer that applies the winnings to the recovery amount.</p> <p>Objective: Collection</p> <p>(Lottery implemented in the 1980's)</p>	Lottery - fully implemented; Homestead – not implemented; Gambling offsets – not implemented	For 2013, IWD has averaged approximately \$17,000 per month in collections using lottery winnings. Iowa did not provide any additional information related to the amounts tracked from this collection method.
Voluntary repayment programs.	<p>This is a manual process in which claimants can either make voluntary payments by mail, in person, or online through the use of credit cards.</p> <p>Objective: Collection</p> <p>(Credit cards implemented in October 2013; other voluntary payments began in the 1930's)</p>	Fully implemented	IWD did not provide collection results for this strategy, however based on ETA 227 reports received from IWD, we were able to calculate that approximately \$7.8 million has been collected using this strategy over the audit period.

--	--	--	--

Interstate Recovery	Iowa participates in the Interstate Reciprocal Overpayment Recovery Arrangement (IRORA) program, which includes 38 states. IRORA is a cooperative agreement amount participating members to act as agents for each other in a reciprocal arrangement for the recovery of overpaid benefits. When another state requests Iowa wages and a match is found in the overpayment system, a manual process is used to send a form to the other state requesting that the other state withhold the overpayment. That state will set up the overpayment and will send a check to Iowa when/if it is collected. No further follow-up is done regarding these claims. Objective: Collection (Implemented in the late 1980's)	Fully implemented; A new state recovery system, TOPS, was implemented in September 2013, which was not within the scope period.	Iowa does not have quantifiable data to determine the effectiveness and cost benefit of interstate recovery implementation. See Exhibit I.B
---------------------	---	---	--

Credit Bureau Reporting	Not implemented	Not implemented	Not implemented
Third-party Collection Agents	Not implemented	Not implemented	Not implemented
Wage Garnishment and Civil Action	The IWD would file a lien, which would then have a 25-day period to cure, followed by an additional 10-day period to cure. Once the legal department would sign off, the garnishment request would be sent through the appropriate county courthouse based on the employer location, and the county sheriff would serve the paperwork on the employer. Any monies garnished were paid by the employer to the county clerk until either the debt is settled, the yearly maximum has been reached, or employment has been terminated. Objective: Collection (Implemented in the early 1980's)	Fully implemented through the audit period, but terminated as of July 1, 2013 due to violation of Unemployment Insurance Program Letter 22-96, <i>Immediate Deposit and Withdrawal Standards.</i> "	Iowa did not provide quantifiable data to show the determination of the effectiveness and cost benefit of utilizing the wage garnishment and civil action strategy for collections.

Referral to OIG and other Law Enforcement Agencies	This is a manual process and is done only as deemed appropriate (e.g. amounts greater than \$100,000). Objective: Collection (Implemented in the early 1960's)	Fully implemented	Iowa does not have quantifiable data to determine the effectiveness and cost benefit of referrals to the OIG and other law enforcement agencies.
Skip-Tracing Tools	Not implemented	Not implemented	Not implemented
State and Federal Prosecution	This is done as appropriate through a manual process. Cases are submitted through the county attorney. Objective: Collection (Implemented for many years)	Fully implemented	No statistics are available for monetary judgments on cases. Various categories of prosecution in terms of number of cases are listed throughout the ETA 227 reports.
Interest and penalties onto overpayment	Started to enforce a 15% penalty onto overpayments to try to entice quick repayment of overpayments. Objective: Collection (Implemented July 2013)	Not implemented in the scope period.	No statistics are available.

Property liens	The state can pay \$14 to file a lien with the county, with the filing fee also passed along to	Fully implemented	Iowa does not have quantifiable data to determine the effectiveness and cost
----------------	---	-------------------	--

the claimant through a manual process.	benefit of property liens implementation.
Objective: Collection	
(Implemented in the 1970's)	

Bankruptcy/Estates/ Probate	The state is notified by the business or claimant that they are in bankruptcy or the state receives a Notice of Discharge. The notice causes the state to cease collection/billing efforts. If the State determines the overpayment to be non-fraud related, no further collection efforts are made. If it is coded a fraud, then the overpayment cannot be discharged in bankruptcy, and a case can be developed to collect. A fraudulent overpayment can be criminal or an error. The state must prove criminal fraud, which is very rare. Collection is rare, which is why this method is not considered to be overly effective.	Partially implemented (Bankruptcy non-fraud cases implemented; all others not implemented)	No statistics are available.
	Objective: Collection		
	(Implemented for many years)		

III. Potential weaknesses or limitations in preventing, detecting, recovering, and reporting of UI improper Payments

A. Design and Execution of ETA 227 Report Controls

We noted the following issues in the ETA 227 and ETA 227 EUC reporting process.

- Iowa Workforce Development (IWD) does not consistently retain support for filed ETA 227 and ETA 227 EUC reports either electronically or in hard copy. Due to system limitations, this information cannot be reproduced after the fact. As a result, accuracy of reports submitted cannot be determined for two of the four quarters selected for ETA 227 test work (September 30, 2009 and June 30, 2010).
- The information retained from the IWD system to support the amounts in the ETA 227 and ETA 227 EUC was a summary level report. IWD could not provide the detail behind the totals or the source code of the report to determine that amounts were being classified and accumulated accurately. Similarly, IWD does not reconcile the ETA 227 and ETA 227 EUC to the accounts receivable sub-ledger to determine the accuracy of the information generated from the IWD system.
- The quarterly mainframe report used to complete the ETA 227 and ETA 227 EUC reports is at times a) inaccurate and requires IWD to “plug” the ETA 227 or ETA 227 EUC (sometimes these are coding errors) or b) does not produce the needed information to complete the ETA 227 or ETA 227 EUC. We also noted data entry errors. IWD believes the reasons for the discrepancies is related to the cause that is originally put into the system, versus the final outcome of the investigation (in which the cause may change based upon the investigation). We were unable to verify this. IWD completes the ETA 227 and ETA 227 EUC even if certain information is not available. Examples based on the sample of ETA 227 and ETA 227 EUC reports tested of where IWD determined the a) mainframe report was inaccurate and therefore reported a different number or b) the mainframe report does not produce the needed information for ETA 227 and ETA 227 EUC are as follows:
 - o September 30, 2011 ETA 227 – Line 203
 - o September 30, 2011 ETA 227 EUC – Line 302 (Data entry error)
 - o June 30, 2012 ETA 227 – Line 102
 - o June 30, 2012 ETA 227 – Line 506 (aging schedule variation)
 - o ETA 227 Line 401 to 408- IWD system does not show cases by Unemployment Compensation for Federal Employees (UCFE), Unemployment Compensation for Ex-Service Members (UCX), and Federal. All cases are reported in UI column. (During onsite fieldwork, IWD stated the mainframe report does show cases by UCFE and UCX, however IWD has stated there has been no UCFE and UCX criminal or civil cases for several years. We were not able to verify this.)
- IWD did not timely implement required changes as specified in UIPL 08-12 due to availability of resources. The mainframe system was not updated to produce the needed information until August 2013. UIPL 08-12 required the changes to be implemented to the extent possible for the March 31, 2012 data which was due by May 31, 2012 and to be implemented no later than August 31, 2012.
- IWD does not have a review process for the completion of the ETA 227 and ETA 227 EUC. One person completes and submits the report without an additional level of review, due to staffing constraints. Additionally, there is no evidence that the ETA 227 and ETA 227 EUC are used by IWD to track performance of the program, however management at IWD has asserted the reports are used by the Division to evaluate the program’s performance.
- IWD submitted two of the ETA 227 reports tested late (June 30, 2010 ETA 227 and June 30, 2010 ETA 227 EUC). The ETA 227 for June 30, 2010 was submitted on February 9, 2011 and the ETA 227 EUC for June 30, 2010 was submitted on August 8, 2010. These late reports resulted in the DOL not receiving this information timely.
- The ETA 227 and ETA 227 EUC indicate there are significant amounts removed or written off from the ETA 227 and ETA 227 EUC as they were not recovered. Although amounts are written off on these reports, IWD still tracks these amount in their system for 10 years. Significant activity recorded on lines 308 through 312 (e.g., waived, written-off, additions, subtractions or removed) for the period Feb 2009 to December 2012 was a \$14 million net subtraction on the ETA 227 reports and a \$7 million net subtraction on the ETA 227 EUC reports. See tables below where the “other” amount is the non-recovered amount. The “other” amount is primarily administrative adjustments and receivables written off after three years of activity as required by the DOL.
 - o Line 308 is the amount actually “waived” and is allowed by Iowa code.

- o Line 309 is the amount written off because of the age of the overpayment. US DOL expects each state to "write off" debt after three years of no activity. IWD retains the debt and attempts to collect for 10 years. The funds in line 309 are debt that is 10 years old and uncollectable after no activity.
- o Lines 310 and 311 are administrative adjustments primarily due to appeals. These are not overpayments that the department chose to "write off".

		ETA Reg UI
Beg Line 301 3/31/09	11,732,648	
Line 101 and 103 Established	56,339,759	
Line 302 Recovered	(35,007,685)	
Other (lines 308-312)	(14,242,728)	
Ending Line 313 12/31/12	18,821,994	
		ETA 227 EUC 08
Beg Line 301 3/31/09	156,534	
Line 101 and 103 Established	20,701,531	
Line 302 Recovered	(9,709,166)	
Other (lines 307-312)	(7,264,740)	
Ending Line 313 12/31/12	3,884,159	

B. Design and Execution of ETA 2112 Report Controls

While appropriate procedures were in place to complete ETA 2112 reports, there was not a formalized review process. We noted the specific variance listed below:

- The totals from the ETA 2112 reports provided to us by IWD do not agree to the amounts reported per the ETA Website. There is a variance in the amount reported for EB of \$1,248,088 and a variance of \$20,239,832 for EUC. This could be due to numbers on the ETA 2112 being net figures.

•	• Period Covered	• ARRA	• Non-ARRA	• Total
• EB – Benefits	• Feb. 2009 – Dec. 2012	• -	• 1,248,088	• 1,248,088
• EUC – Benefits	• Feb. 2009 – Dec. 2012	• 1,301,916,263	• (20,239,832)	• 1,281,676,431

- The amounts reported on the ETA 2112 for ARRA do not tie to the amounts reported on the Schedule of Expenditures of Federal Awards for our audit scope period February 2009 to December 2012. Differences ranged from \$20 million per fiscal year to \$92 million.

•	• 2009	• 2010	• 2011	• 2012
• Line 38, 39 and 42a per 2112	• 124,365,313	• 566,162,552	• 415,462,304	• 264,794,137
• ARRA amount per SEFA	• 103,818,217	• 493,538,204	• 323,717,194	• 215,397,068
• Un-reconciled	• (20,547,096)	• (72,624,348)	• (91,745,110)	• (49,397,069)

C. IWD System reports are not used for analyzing effectiveness of core and state strategies

IWD does not use the reports generated from the IWD system to regularly analyze the effectiveness of core and state strategies. While certain data elements are available from the system, analyzing the effectiveness is not completed regularly due to staffing constraints. Additionally, overpayments in appeals are not separately identified or tracked by IWD and therefore cannot be reported in accordance with ETA guidance.

D. State Quality Service Plans

Per inquiry, the IWD has set aggressive milestones as they believe the expectations set by the DOL are challenging for them to achieve based upon the budget they are operating under.

E. Core Performance Measurements Were Not Met

The IWD has not met the core performance measurement for the improper payment rate (<10%) or for the overpayment detection rate (> or = 50% to 95%) during the audit period. To date, IWD has not been penalized through a lack of funding related to not meeting these core performance measurements.

F. Lack of Tracking the Effects of Integrity Measures

Iowa was not able to provide data to reflect determinations as to the effectiveness of the integrity measures and other operational changes. No data regarding cost savings or benefit analysis was provided by Iowa Workforce Development.

Through inquiry, we also determined that IWD was not able to provide support for how they base its decisions for the implementation of new strategies and operations on a formalized cost-benefit analysis. We noted no documentation of such analysis in integrity reports or other resources.

Through inquiry, we noted that IWD has limited resources to focus on collections. They believe the impending full implementation of the Treasury Offset Program will result in much improved results for collections.

G. Iowa State Specific Law Limitations

State law requires that face-to-face fact finding interviews be conducted, and that claimants are allowed at least three days' notice to prepare their defense to the potential conflict identified before future benefits can be withheld. This greatly limits the ability of Iowa Workforce Development to stop future payments to claimants with identified potential conflicts. When investigators identify that an overpayment exists based on employer returned forms, no hold can be put on the claim. They must send out a form with a set appointment for claimant response and this date always falls after the next claim is paid.

This same law also limits the use of SIDES, as noted above. Only a portion of the SIDES product has been implemented and is being utilized as of current. This state law, requiring one-on-one meetings during the fact-finding portion for work separation, has limited the full functionality of this product. While the unemployment integrity division plans on utilizing additional capabilities of SIDES in the future, the system is currently limited in its use to help prevent, detect, and collect improper unemployment benefits.

H. State Information Data Exchange System (SIDES)

Per the Supplemental Budget Request dated September 2, 2009 for funds related to implementation of SIDES, estimated total savings for the year were projected to be approximately \$270,000 per year from utilization of this product. However, per data for fiscal year 2012, the first year of implementation, total savings were estimated to be only approximately \$4,300 per year. To date, the lower than expected savings from SIDES appears to be due primarily to a combination of the low volume of employers that are currently participating in the SIDES function, technology challenges in the development of a user-friendly interface for the access of records by staff, and due to Iowa law requiring one-on-one fact-finding interviews with claimants.

I. Timeliness of Processing Employer Returned Quarterly Wage Benefit Audits

During our testing Moss Adams noted that employer returned wage benefit forms were not input into the mainframe in a timely manner (we noted examples that took up to a month). This stems from the lack of staff available to process these forms, and also the volume of forms returned in the first month after they are mailed out. Iowa currently has only one staff member available to process the over 20,000 forms that are sent out and returned each quarter. In most instances noted in our testing, forms received in the first part of the quarter take about one month to be processed and assigned to investigators and potential overpayments may be paid out during this time lag.

J. Lack of Investigation of All Potential Overpayments

As noted above, Iowa struggles with lack of resources due to the loss of experienced personnel with the early retirement option in 2010 as well as the decrease in state funding that hit in 2012. Currently, only four of the nine territories have investigators assigned to them.

During our testing it was noted that some cases selected were closed without any investigation as the claimant resided in a vacant territory, and in other instances, cases with overpayments in vacant territories were not assigned or worked by remaining employees in a timely manner. Also, the lack of monetary resources does not allow for all cases assigned to an investigator to be worked and often, a dollar threshold will be established and cases with identified overpayments under this threshold are closed without any review. This threshold varies by quarter, depending upon the workload, however \$800 was often used. However, Iowa attempts to make maximum recovery by working larger cases first. See Exhibit I.A below to see the overpayments by source that shows the decrease of investigations and overpayments after 2010, however due to the lack of resources, this strategy does not appear to be very effective. Iowa is unable to run reports that list investigations that were closed without being worked and therefore we are unable to quantify the impact of this.

K. Lack of Support for All Investigations

Only cases where an employer verification audit was returned and overpayment was established by an investigator had complete supporting documentation available. No data regarding which claimants were initially identified as having potential overpayments from the various detection methods was available, as this information is not kept and cannot be recreated. Additionally, the case management software used within the mainframe is set to automatically purge data one year after last activity. Both of these issues stem from the lack of monetary resources available to Iowa Workforce Development. Testing was performed over cases from 2012 as the system automatically purges case data after one year. It was also

found during testing that cases that were closed in which no overpayment was established the supporting documentation for this conclusion was not retained, such as the employer returned wage verification form, to support the validity of the investigator's conclusion. Supporting information is only retained for cases in which an overpayment is actually established. As supporting documentation is not maintained for cases in which the investigator determines there was not an overpayment, we were unable to corroborate the conclusions reached. In addition, as cases are written off without an investigation (due to being under a specified dollar threshold as noted earlier in this report) there is potential for additional overpayments that are never reported.

L. Ineffective Tracking of the Effectiveness of Recovery of Improper Payments

Iowa uses a variety of automated and manual methods to recover improper payments, however, there is insufficient data to determine the effectiveness of those recoveries. A variety of reports on recoveries can and were produced periodically and reviewed, however, the reports were not reconciled, used for monitoring or retained. The IT system used for tracking recoveries does not retain historical data so reports cannot be reproduced, and reduced staffing limits the monitoring process.

M. Payment of Claims

We noted that due to new legislation passed that allows claims to be paid that are greater than 52 weeks old, the IWD has much higher inherent risk that the same weeks could end up being paid on multiple past claims if sufficient, manual research is not being performed by staff. No safeguards are currently in place to prevent these overpayment errors from taking place.

N. Cross-functional Unemployment Integrity Task Force

The Cross-functional Unemployment Integrity Task Force was implemented in September 2011. However, the task force was not utilized during fiscal year 2012 and did not conduct any documented meetings during that timeframe. In addition, the task force also did not meet from January 2013 through May 2013 and July 2013 through August 2013. Through inquiry, we noted that the task force was not utilized due to an overall lack of resources throughout the unemployment integrity division, requiring the full utilization of all members of the task force.

O. Background Checks

Per inquiry, we noted that the IWD does not have policies for conducting background investigations on prospective employees that have access to funds, authority to approve or issue payments, or have the ability to receive, process, or record overpayments and recoveries.

P. Claimant and Employer Messaging

We noted that in the initial supplemental budget request in 2011 for purposes of claimant and employer messaging, the department indicated that it was going to utilize surveys to gage effectiveness of its implemented methods utilized for its messaging campaign. However, the IWD did not ultimately utilize surveys as part of its messaging campaign, and thus, did not comply with the provisions outlined in the original funding letter.

EXHIBITS

Exhibit I.A – Overpayments during 2009-2012 by Detection Source

Note: Numbers were obtained from the quarterly 227 reports submitted by Iowa. Testing was performed over reporting to the ETA during our audit, see findings above related to the 227 reports. However, as no documentation is retained by Iowa, these reports contained the only historical data available to perform the analysis in table below.

	2009	2010	2011	2012
Wage-Benefit	10,672	7,267	2,766	3,829
<u>No. of Cases</u>	\$4,743,302	\$4,895,001	\$2,238,319	\$2,715,125
<u>Dollar Amt.</u>				
Interstate-Benefit	211	236	111	71
<u>No. of Cases</u>	\$199,817	\$234,466	\$107,046	\$91,431
<u>Dollar Amt.</u>				
NDNH/SDNH*	1,451	1,280	775	829
<u>No. of Cases</u>	\$533,687	\$533,029	\$320,280	\$319,268
<u>Dollar Amt.</u>				
Other**	301	340	481	430
<u>No. of Cases</u>	\$93,192	\$144,061	\$200,104	\$232,730
<u>Dollar Amt.</u>				
Non-Controllable	14,009	10,433	8,145	9,230
<u>No. of Cases</u>	\$11,396,188	\$8,785,765	\$7,884,068	\$8,852,879
<u>Dollar Amt.</u>				
Total	26,644	19,556	12,278	14,389

No. of Cases	\$16,966,186	\$14,592,322	\$10,749,817	\$12,211,433
Dollar Amt.				

*Note: Case management software is set up to track three categories of overpayment sources: Quarterly Wage-Benefit Crossmatch, Iowa Centralized Employer Registry (ICER), and all others. As ICER matching has been performed since the 1980's and when NDNH matching began in Iowa in 2008 no separate category was set up and all state and national new hire hits are grouped together.

**Note: IWD utilizes only three categories in their software to track the detection source of overpayments. This category encompasses all sources other than the those listed out specifically and includes overpayments established using Interstate-Benefit Crossmatch, Incarceration Roster Review and Tips and Leads, as discussed in section II.

Exhibit I.B – Recovery of Overpayments by Source

Note: Numbers were obtained from the quarterly 227 reports submitted by Iowa. Testing was performed over reporting to the ETA during our audit, see findings above related to the 227 reports. However, as no documentation is retained by Iowa, these reports contained the only historical data available to perform the analysis in table below.

Collection Method	Collections for Year-Ended 12/31/09 (Percent of Total Recoveries)	Collections for Year-Ended 12/31/10 (Percent of Total Recoveries)	Collections for Year-Ended 12/31/11 (Percent of Total Recoveries)	Collections for Year-Ended 12/31/12 (Percent of Total Recoveries)
Benefit Offset	\$7,630,220 (70.1%)	\$6,573,325 (61.9%)	\$3,721,904 (57.7%)	\$7,051,162 (49.5%)
State Income Tax Offset	\$841,761 (7.7%)	\$1,805,877 (17.0%)	\$640,379 (9.9%)	\$3,488,625 (17.3%)
Interstate Recovery	\$34,366 (.3%)	\$29,802 (.3%)	\$34,804 (.5%)	\$35,650 (.5%)

APPENDIX 1 – ACRONYMS

- ARRA** American Recovery and Reinvestment Act of 2009
- DOL** Department of Labor
- DOT** Designated Overpayment Teams
- ES** Employment Services
- ETA** Employment and Training Administration
- EUC** Emergency Unemployment Compensation
- FAC** Federal Additional Compensation
- ICER** Iowa Centralized Employee Registry
- IRORA** Interstate Reciprocal Overpayment Recovery Arrangement
- IWD** Iowa Workforce Development
- NDNH** National Directory of New Hires
- OIG** Office of Inspector General
- PRWORA** Personal Responsibility and Work Opportunity Reconciliation Act of 1996
- ROP** Recommended Operating Procedures
- SAVE** System Alien Verification for Entitlements
- SDNH** State Directory of New Hires
- SIDES** State Information Data Exchange System
- SQSP** State Quality Service Plan
- SWA** State Workforce Agency
- TOP** Treasury Offset Program
- UC** Unemployment Compensation
- UI** Unemployment Insurance program
- UCFE** Unemployment Compensation for Federal Employees
- UCX** Unemployment Compensation for Ex-Service Members
- UIPL** Unemployment Insurance Program Letter