

**LEGISLATIVE SERVICE BUREAU
PERSONNEL REPORT**

**NOTIFICATION OF MERIT STEP INCREASES
Since June 14, 1995**

Name	Position	Effective Date	Effective Date
		Previous Grade & Step	Current Grade & Step
Richard Johnson	Deputy Director	6/17/94 41-5	6/16/95 41-6
Loanne Dodge	Iowa Code Editor	6/17/94 38-3	6/16/95 38-4
Thane Johnson	Sr. Research Analyst	6/17/94 38-5	6/16/95 38-6
Richard Schulze	Iowa Code Index Supervisor	6/17/94 28-4	6/16/95 28-5
Pam Worden	Administrative Code Index Supervisor	6/17/94 28-4	6/16/95 28-5
Kathleen Bates	Deputy Administrative Code Editor	6/17/94 35-1	6/16/95 35-2
Andrea Meier	Proofreader Supervisor	6/17/94 22-3	6/16/95 22-4
Kathy Hanlon	Research Analyst 1	6/17/94 29-3	6/16/95 29-4
Susan Crowley	Legal Counsel 1	6/17/94 32-3	6/16/95 32-4
Michael Kuehn	Legal Counsel 1	6/17/94 32-3	6/16/95 32-4
Susan Weddell	Computer Systems Analyst 1	6/17/94 27-2	6/16/95 27-3
Jody Jennings	Sr. Text Processor	6/17/94 25-3	6/16/95 25-4
Shelli Tobis	Sr. Document Processor	12/12/94 22-1	6/16/95* 22-2
Janet Hawkins	Indexer 1	6/17/94 22-2	6/16/95 22-3
Gina Garrett	Proofreader	10/17/94 16-1	6/30/95* 16-2
Judith Kaut	Assistant Editor 1	12/30/94 24-1	6/30/95* 24-2
Gary Thompson	Legislative Info. Officer	7/15/94 24-3	7/14/95 24-4
Anne Ippolito	Proofreader	1/23/95 16-1	9/8/95* 16-2

Name	Position	Effective Date Previous Grade & Step	Effective Date Current Grade & Step
Faith Sherman	Assistant Indexer	3/20/95 19-1	9/22/95* 19-2
Julie Livers	L.I.O. Director	10/7/94 30-5	10/6/95 30-6
Cathy Kelly	Publications Assistant	3/27/95 21-1	10/6/95* 21-2
Betty Shea	Proofreader	5/15/95 16-1	11/17/95* 16-2

*completed 6 months probation

NOTIFICATION OF VACANT POSITIONS FILLED
Since June 14, 1995

Name	Position	Date Filled	Grade & Step
Kregg A. Halstead	Legal Counsel	10/25/95	30-1
Richard S. Nelson	Legal Counsel	11/6/95	30-1
Janet L. Simmons	Legal Counsel	11/15/95	30-1

RESIGNATION/TERMINATION

Carolyn Lumbard - June 15, 1995
 Frances Maust - September 1, 1995
 Leslie Hickey - September 22, 1995
 Anne Ippolito - September 29, 1995
 Jennifer Clark - October 20, 1995
 Chris Burch - November 11, 1995

PART-TIME POSITIONS FILLED

Randy Balch, Proofreader 1, 10/09/95, 16-1
 Dorothea Timm, Proofreader 1, 11/06/95, 16-1

**LEGISLATIVE SERVICE BUREAU
PROPOSED PROMOTIONS**

Name Date of Hire	Current Position		Recommended Position
	Job Title Grade Date Attained	Job Title Grade, Step Last Step Increase	Job Title Grade, Step Effective Date
Douglas Adkisson 12/22/86	Legal Counsel 2 35 12/18/92	Legal Counsel 2 35-6 12/17/93	Senior Legal Counsel 38-5 12/15/95
Mark Johnson 1/24/87	Legal Counsel 2 35 12/18/92	Legal Counsel 2 35-6 12/16/94	Senior Legal Counsel 38-5 12/15/95
Rosemary Drake 10/14/88	Assistant Editor 2 27 12/31/93	Assistant Editor 2 27-3 12/30/94	Assistant Editor 3 30-2 12/29/95
Joanne Walroth 8/24/92	Assistant Editor 2 27 02/25/94	Assistant Editor 2 27-2 02/24/95	Assistant Editor 3 30-1 02/23/96

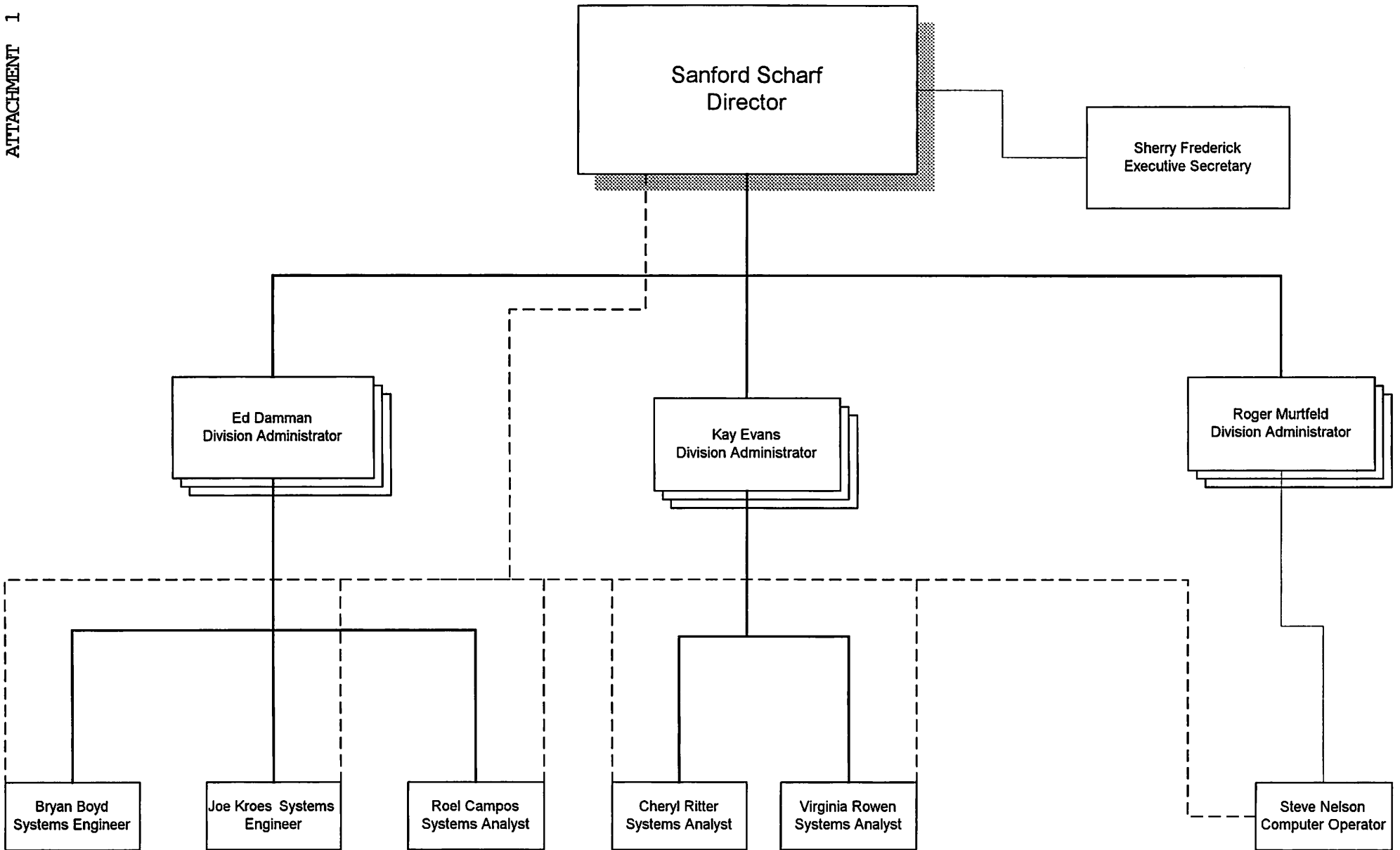
**LEGISLATIVE COMPUTER SUPPORT BUREAU
ANNUAL PERSONNEL REPORT
JUNE 1995**

Reporting Requirement:

- | | |
|--|--------------|
| 1. Organizational Chart | Attachment 1 |
| 2. Position Classification System | Attachment 2 |
| 3. Annual Personnel Report to include: | Attachment 3 |
| a. Employee names, grades/steps | |
| b. Compensatory time earned | |
| 4. Work Attendance Policy & Leave Procedures | Attachment 4 |
| 5. Educational Leave - Costs | Attachment 5 |

Iowa Legislative Computer Support Bureau

ATTACHMENT 1



LEGISLATIVE COMPUTER SUPPORT BUREAU

<u>POSITION CLASSIFICATION</u>	<u>PAY GRADE</u>
Computer Systems Analyst	24
Computer Systems Analyst I	27
Computer Systems Analyst II	29
Computer Systems Analyst III	32
Senior Computer Systems Analyst	35
Computer Operator-Session Only	21
Computer Operator I	21
Computer Operator II	24
Computer Systems Engineer I	29
Computer Systems Engineer II	32
Senior Computer Systems Engineer	35
Administrative Secretary	21
Executive Secretary	24
Division Administrator I	35
Division Administrator II	38

Source: Pay resolution adopted by Legislative Council
Job Descriptions are attached

**LEGISLATIVE COMPUTER SUPPORT BUREAU
ANNUAL PERSONNEL REPORT
FY 1995**

<u>NAME</u>	<u>POSITION</u>	<u>CURRENT GD/STEP</u>	<u>MERIT INCREASE ELIGIBILITY DATE</u>	<u>COMPTIME/OR OVERTIME</u>	<u>OVERTIME HOURS 1994</u>
Scharf, Sanford	Director	00/00		CT	N/A
Boyd, Bryan	Computer Systems Engineer I	29/3	12/16/95	CT	N/A
Campos, Roel	Computer Systems Analyst II	29/3	12/16/95	CT	N/A
Damman, Ed	Division Administrator I	35/2	5/21/95	CT	N/A
Evans, Kay	Division Administrator I	35/6	Maxed	CT	N/A
Frederick, Sherry	Executive Secretary	24/6	Maxed	CT	N/A
Kroes, Joe	Computer Systems Engineer I	29/1	11/17/95	CT	N/A
Murtfeld, Roger	Division Administrator I	35/4	1/12/96	CT	N/A
Nelson, Steve	Computer Operator II	24/4	11/17/95	OT	275.25
Ritter, Cheryl	Computer Systems Analyst II	29/4	6/16/95	CT	N/A
Rowen, Virginia	Computer Systems Analyst I	27/6	Maxed	CT	N/A

Total comptime hours from January 1, 1995 thru June 15, 1995

	<u>Comp Worked</u>	<u>Adjust 1st 40 Hours</u>	<u>Comp/Less Adjust.</u>	<u>Comp. Allowed</u>	<u>Comp. Available</u>
Employee 1	67.00	-40.00	27.00	27.00	27.00
Employee 2	65.50	-40.00	25.50	25.50	5.50
Employee 3	113.75	-40.00	73.75	73.75	72.75
Employee 4	95.75	-40.00	55.75	55.75	55.75
Employee 5	126.25	-40.00	86.25	86.25	69.25
Employee 6	71.75	-40.00	31.75	31.75	8.00
Employee 7	135.00	-40.00	95.00	95.00	59.50
Employee 8	160.50	-40.00	120.00	120.00	68.00
Employee 9	127.00	-40.00	87.00	87.00	87.00

LEGISLATIVE COMPUTER SUPPORT BUREAU WORK ATTENDANCE POLICY

June 5, 1990

1. The regular office hours for employees of the Legislative Computer Support Bureau are from 8:00 a.m. to 4:30 p.m. Flextime arrangements are acceptable provided that arrangements are in writing and agreed to by the Director.
2. All employees are expected to be at their respective work stations as assigned. When an employee expects to be absent from the employee's work station, the employee is expected to notify the Bureau Secretary and use the IO run on the computer system.
3. One-half hour (unpaid) is allowed for lunch. An employee shall normally take the one-half hour lunch period between 11:00 a.m. and 1:30 p.m. unless prior approval from the Director has been obtained.
4. One-half hour is allowed within the eight total paid work hours for both fifteen minute breaks. If an employee does not use either or both of the two fifteen minute break periods, the break time not used may be added to the lunchtime break. If an employee does not use either or both of the fifteen minute break periods during the day, the time is lost and shall not be added to any overtime total. If an employee does not use the one-half hour lunch break, the time is lost and shall be added to any overtime total.
5. In order to assure that staffing requirements are met, it may be necessary to schedule lunchtimes and breaks.
6. Each employee is to complete the employee's timesheet at the end of each working day or the following morning. Timesheets should be submitted to the Bureau Secretary by 9:00 a.m. on the Friday following the end of the pay period.
7. In order to meet the workload demands of the Computer Support Bureau, it may be necessary to require overtime hours of employees on short notice.

**LEGISLATIVE COMPUTER SUPPORT BUREAU
PROCEDURES FOR USE OF LEAVE TIME**

June 5, 1990

1. Employees shall file the standard "Request for Leave" form with the Bureau Secretary at least 24 hours in advance of the starting time of a leave of any type. All leaves must be approved by the Director.
2. A request for use of leave of 8 hours or less need not be submitted in advance.
3. Use of leave time during a legislative session is subject to the prior approval of the Director. Leave time during the legislative interim should be scheduled, to the extent possible, so that the employee does not conflict with the other employees.
4. An employee who will arrive at work more than 20 minutes after the scheduled arrival time must notify the Bureau Secretary and file the appropriate leave form upon arrival.
5. An employee who is sick or injured and cannot report for work must call the Bureau Secretary by 8:30 a.m. and file the appropriate leave form upon returning to work.
6. An absence from work does not comply with the leave policy may, at the discretion of the Director, be considered an unauthorized absence and payment of salary may be withheld for that period.

EDUCATIONAL LEAVE

Educational Leave - Direct & Indirect Costs

Educational funding was granted for Steve Nelson to take the "Netware V3.11" class in the amount of \$99.30.

Educational funding was granted for Cheryl Ritter and Kay Evans to take the "Intro to "C" Programming class in the amount of \$175.90 each.

Legislative Computer Support Bureau is updating and revising the job descriptions for the following job series:

**COMPUTER SYSTEMS ANALYST
COMPUTER SYSTEMS ENGINEER
DIVISION ADMINISTRATOR**

When the new job descriptions are complete, Computer Support Bureau will forward them to the Legislative Service Committee.

LEGISLATIVE FISCAL BUREAU

ANNUAL PERSONNEL REPORT JUNE 1995

**Dennis C. Prouty
Director**

LEGISLATIVE FISCAL BUREAU

ANNUAL PERSONNEL REPORT JUNE 1995

Reporting Requirement

- | | |
|--|---------------|
| 1. Organizational Chart | Attachment 1 |
| 2. Position Classification System | Attachment 2 |
| 3. Annual Personnel Report | |
| a. Employee names, grades/steps | Attachment 3a |
| b. Compensatory time earned | Attachment 3b |
| c. Compensatory time policy for support staff | * |
| 4. Work Attendance Policy and Leave Procedures | * |
| 5. Performance Evaluation Forms | * |
| 6. Educational Leave - Direct and Indirect Costs | * |
| 7. LFB Policies and Procedures Manual | * |
| 8. Merit and Promotion Increases | Attachment 4 |

* No changes have been made during FY 1995. Copies of the current schedules are available upon request.

Iowa Legislative Fiscal Bureau
(515) 281-5279

Dennis Prouty (1-3509)
Director

Revenue Estimating

Tim Faller (1-4615)
Deputy Director

Policy

Dwayne Ferguson (1-6561)
Division Administrator
Justice System Sub.

Leah Churchman (1-7846)
Administration & Reg. Sub.

Angela Frey (1-4612)
Ag. & Natural Resources Sub.

Jon Neiderbach (1-6301)
Human Services Sub.

Dave Reynolds (1-6934)
Trans. & Infrastructure Sub.

Larry Sigel (1-6764)
Human Services Sub.

Fiscal

Holly Lyons (1-7845)
Division Administrator
Appropriations Committee

Margaret Buckton (1-4613)
Health & H.R. Sub.

Darlene Kruse (1-6256)
Ag. & Natural Resources Sub.

Leroy McGarity (1-7942)
Justice System Sub.

Mary Shipman (1-4617)
Education Sub.

Bob Snyder (1-4614)
Health & H.R. Sub.

Valerie Thacker (1-5270)
Administration & Reg. Sub.

Data Base

Glen Dickinson (1-4616)
Division Administrator
Oversight & Audit Sub.

David Hinman (1-6765)
Computer Development

Ray Knapp (1-5335)
Computer Development

Sue Lerdal (1-7794)
Education Sub.

Jon Muller (1-4611)
Ways & Means

Jeff Robinson (1-6767)
Oversight & Audit Sub.

Jon Studer (1-7799)
Education Standing

Administration

Doug Wulf (1-3250)
Division Administrator
Economic Development Sub.

Sandy Laust (1-4594)

Charlotte Mosher (1-5279)

Nicole Navara (1-6766)

LEGISLATIVE FISCAL BUREAU
Position Classification System

<u>POSITION CLASSIFICATION</u>	<u>PAY GRADE</u>
Legislative Analyst	27
Legislative Analyst 1	29
Legislative Analyst 2	32
Legislative Analyst 3	35
Senior Legislative Analyst	38
Division Administrator 1	38
Division Administrator 2	41
Deputy Director	41
Computer System Analyst 1	27
Computer System Analyst 2	29
Computer System Analyst 3	32
Sr Computer System Analyst	35
Administrative Secretary	21
Executive Secretary	24
Page	minimum wage

Source: Pay resolution adopted by Legislative Council

Job descriptions for these classifications are contained in Chapter 1 of the Legislative Fiscal Bureau Policies and Procedures Manual.

LEGISLATIVE FISCAL BUREAU
Eligibility Report for Merit Increases
FY 1996

<u>CLASS/EMPLOYEE NAME</u>	<u>PRESENT GRADE & STEP</u>	<u>EMPLOYMENT DATE</u>	<u>REVIEW DATE</u>
<u>DEPUTY DIRECTOR</u>			
Faller	41 - 6	7/1/74	N/A
<u>DIVISION ADMINISTRATOR II</u>			
Dickinson	41 - 5	7/8/88	3/8/96
Lyons	41 - 5	1/3/84	5/17/96
<u>DIVISION ADMINISTRATOR I</u>			
Wulf	38 - 6	2/11/83	N/A
Ferguson	38 - 6	11/27/87	5/17/96
<u>SENIOR LEGISLATIVE ANALYST</u>			
Lerdal	38 - 2	2/17/89	5/17/96
Neiderbach	38 - 4	12/21/81	4/19/96
Snyder	38 - 2	11/19/84	5/17/96
Robinson	38 - 1	11/17/87	5/3/96
<u>LEGISLATIVE ANALYST III</u>			
Reynolds	35 - 1	9/18/89	12/1/95
Shipman	35 - 1	12/22/89	12/1/95
Studer	35 - 1	9/5/89	12/1/95
<u>LEGISLATIVE ANALYST II</u>			
Sigel	32 - 2	8/20/90	3/8/96
<u>LEGISLATIVE ANALYST I</u>			
McGarity	29 - 3	8/1/90	9/8/95
Muller	29 - 2	10/5/92	12/1/95
<u>LEGISLATIVE ANALYST</u>			
Churchman	27 - 3	9/20/93	3/8/96
Thacker	27 - 3	10/4/93	4/5/96
Kruse	27 - 3	9/20/93	3/8/96
Evans	27 - 2	11/7/94	5/3/96
Frey	27 - 2	11/7/94	5/3/96

LEGISLATIVE FISCAL BUREAU
Eligibility Report for Merit Increases
FY 1996

<u>CLASS/EMPLOYEE NAME</u>	<u>PRESENT GRADE & STEP</u>	<u>EMPLOYMENT DATE</u>	<u>REVIEW DATE</u>
<u>SR. COMPUTER SYS. ANALYST</u>			
Knapp	35 - 6	1/2/76	5/31/96
<u>COMPUTER SYS ANALYST II</u>			
Hinman	29 - 2	11/16/92	5/17/96
<u>EXECUTIVE SECRETARY</u>			
Mosher	24 - 4	7/3/90	12/29/95
Navara	24 - 3	11/13/90	10/6/95
<u>ADMINISTRATIVE SECRETARY</u>			
Laust	21 - 3	7/8/93	12/29/95

**LEGISLATIVE FISCAL BUREAU
OVERTIME and COMPENSATORY TIME
Fiscal Year 1995**

ELIGIBLE FOR PARTIAL COMPENSATION

Professional Staff:

<u>Name</u>	<u>Overtime Hours</u>	<u>Adjustment first 40</u>	<u>Overtime less 40</u>	<u>Compensatory Hours</u>
Employee 1	557.00	40.00	517.00	120.00
Employee 2	444.00	40.00	404.00	120.00
Employee 3	418.00	40.00	378.00	120.00
Employee 4	413.70	40.00	373.70	120.00
Employee 5	332.90	40.00	292.90	120.00
Employee 6	299.50	40.00	259.50	120.00
Employee 7	281.50	40.00	241.50	120.00
Employee 8	259.00	40.00	219.00	120.00
Employee 9	227.00	40.00	187.00	120.00
Employee 10	225.00	40.00	185.00	120.00
Employee 11	223.75	40.00	183.75	120.00
Employee 12	217.50	40.00	177.50	120.00
Employee 13	216.95	40.00	176.95	120.00
Employee 14	208.75	40.00	168.75	120.00
Employee 15	197.00	40.00	157.00	120.00
Employee 16	191.00	40.00	151.00	117.50
Employee 17	188.25	40.00	148.25	106.50
Employee 18	186.00	40.00	146.00	102.00
Employee 19	174.50	40.00	134.50	101.50
Employee 20	166.50	40.00	126.50	100.00
Employee 21	163.27	40.00	123.27	89.00
Employee 22	152.50	40.00	112.50	65.00
Employee 23	73.00	40.00	33.00	38.75
Total Hours	5,816.57	920.00	4,896.57	2,520.25
Average	252.89		212.89	109.58

ELIGIBLE FOR FULL COMPENSATION

Administrative Support Staff:

	<u>Overtime Hours</u>
Employee 1	51.70
Employee 2	43.00
Employee 3	28.00
Total Hours	122.70
Average	40.90

LFB PERSONNEL REPORT
June 15, 1995

PERSONNEL ACTION SINCE LAST REPORT: 11/29/94

SERVICE COMMITTEE REVIEW

MERIT INCREASES:

		<u>Previous Grade/Step</u>	<u>Date Attained</u>	<u>Current Grade/Step</u>	<u>Date Attained</u>
Jeff Robinson	Senior Legislative Analyst	38/-1	5/94	38/1	5/95
Margaret Evans	Legislative Analyst	27/1	11/94	27/2	5/95
Angela Frey	Legislative Analyst	27/1	11/94	27/2	5/95
Jon Neiderbach	Senior Legislative Analyst	38/3	4/94	38/4	4/95
Valerie Thacker	Legislative Analyst	27/2	3/94	27/3	3/95
Leah Churchman	Legislative Analyst	27/2	3/94	27/3	3/95
Glen Dickinson	Div. Administrator II	41/4	3/94	41/5	3/95
Darlene Kruse	Legislative Analyst	27/2	3/94	27/3	3/95
Charlotte Mosher	Executive Secretary	24/3	12/93	24/4	12/94
Sandy Laust	Administrative Secretary	21/2	12/93	21/3	12/94
Ray Knapp	Sen. Computer Sys. Analyst	35/5	6/94	35/6	6/95
Holly Lyons	Div. Administrator II	41/4	5/94	41/5	5/95
Bob Snyder	Senior Legislative Analyst	38/1	5/94	38/2	5/95
Sue Lerdal	Senior Legislative Analyst	38/1	5/94	38/2	5/95

VACANT POSITIONS:

Ed Conwell Page

VACANT POSITIONS FILLED:

None

SICK/PARENTAL LEAVE:

SERVICE COMMITTEE APPROVAL

PROMOTIONS:

	<u>FROM</u>		<u>TO</u>	
	<u>TITLE/ DATE ATTAINED</u>	<u>GRADE & STEP/ DATE ATTAINED</u>	<u>TITLE/</u>	<u>GRADE & STEP/ DATE ATTAINED</u>
None				



DENNIS C. PROUTY
DIRECTOR
515/281-5279
FAX 281-8451

STATE CAPITOL
DES MOINES, IOWA
50319

STATE OF IOWA
LEGISLATIVE FISCAL BUREAU

Memorandum

TO: Service Committee of the Legislative Council
FROM: Dennis C. Prouty, Director
RE: Fiscal Bureau Personnel Report
DATE: June 7, 1995

Attached is the Legislative Fiscal Bureau's Personnel Report for the period November 30 through June 14, 1995. The Report covers all personnel action since the last report, which was submitted November 29, 1994.

PERSONNEL REPORTS

JUNE 14, 1995

LFB PERSONNEL REPORT
June 14, 1995

PERSONNEL ACTION SINCE LAST REPORT: 11/29/94

SERVICE COMMITTEE REVIEW

MERIT INCREASES:

		<u>Previous Grade/Step</u>	<u>Date Attained</u>	<u>Current Grade/Step</u>	<u>Date Attained</u>
Jeff Robinson	Senior Legislative Analyst	38/-1	5/94	38/1	5/95
Margaret Evans	Legislative Analyst	27/1	11/94	27/2	5/95
Angela Frey	Legislative Analyst	27/1	11/94	27/2	5/95
Jon Neiderbach	Senior Legislative Analyst	38/3	4/94	38/4	4/95
Valerie Thacker	Legislative Analyst	27/2	3/94	27/3	3/95
Leah Churchman	Legislative Analyst	27/2	3/94	27/3	3/95
Glen Dickinson	Div. Administrator II	41/4	3/94	41/5	3/95
Darlene Kruse	Legislative Analyst	27/2	3/94	27/3	3/95
Charlotte Mosher	Executive Secretary	24/3	12/93	24/4	12/94
Sandy Laust	Administrative Secretary	21/2	12/93	21/3	12/94
Ray Knapp	Sen. Computer Sys. Analyst	35/5	6/94	35/6	6/95
Holly Lyons	Div. Administrator II	41/4	5/94	41/5	5/95
Bob Snyder	Senior Legislative Analyst	38/1	5/94	38/2	5/95
Sue Lerdal	Senior Legislative Analyst	38/1	5/94	38/2	5/95

VACANT POSITIONS:

Ed Conwell Page

VACANT POSITIONS FILLED:

None

SICK/PARENTAL LEAVE:

None

SERVICE COMMITTEE APPROVAL

PROMOTIONS:

	<u>FROM</u>		<u>TO</u>	
	<u>TITLE/ DATE ATTAINED</u>	<u>GRADE & STEP/ DATE ATTAINED</u>	<u>TITLE/ DATE ATTAINED</u>	<u>GRADE & STEP/ DATE ATTAINED</u>

None

**COMPUTER SUPPORT BUREAU
PERSONNEL REPORT**

June 1995

<u>Employee Name</u>	<u>Position</u>	<u>Previous Gd/Step/Date</u>		<u>Current Gd/Step/Date</u>	
<u>Merit Increase</u>					
Bryan Boyd	Computer Systems Engineer I	29/2	12/93	29/3	12/94
Roel Campos	Computer Systems Analyst II	29/2	12/93	29/3	12/94
Sherry Frederick	Executive Secretary	24/5	12/93	24/6	1/95
Roger Murtfeld	Division Administrator I	35/3	1/94	35/4	1/95
Virginia Rowen	Computer Systems Analyst I	27/5	12/93	27/6	12/94

<u>Resignation</u>	<u>Effective Date</u>
Steve Casey	5/95

<u>New Hire</u>	<u>Effective Date</u>	<u>Current Gd/Step/Date</u>
Joe Kroes	5/95	29/1

<u>Promotions</u>	<u>Current Postion/Proposed Postion</u>	<u>Current Gd Step/Date to Proposed Gd Step/Date</u>		<u>Hired Date/Last Promotion</u>
Bryan Boyd	Computer Systems Engineer I	29/3	12/94	10/90
	Computer Sysems Engineer II	32/2	7/95	12/92
Roel Campos	Computer Systems Analyst II	29/3	12/94	8/90
	Computer Sysems Analyst III	32/2	7/95	12/92

GENERAL ASSEMBLY OF IOWA

LEGAL COUNSELS

Douglas L. Adkisson
Mary M. Carr
Edwin G. Cook
Susan E. Crowley
Patricia A. Funaro
Michael J. Goedert
Leslie E. W. Hickey
Mark W. Johnson
Michael A. Kuehn
Carolyn T. Lumbard
Julie A. Smith

RESEARCH ANALYSTS

Kathleen B. Hanlon
Thane R. Johnson



LEGISLATIVE SERVICE BUREAU

STATE CAPITOL BUILDING
DES MOINES, IOWA 50319
(515) 281-3566
FAX (515) 281-8027

DIANE E. BOLENDER
DIRECTOR

RICHARD L. JOHNSON
DEPUTY DIRECTOR

JOHN C. POLLAK
COMMITTEE SERVICES ADMINISTRATOR

LOANNE DODGE
IOWA CODE EDITOR

PHYLLIS V. BARRY
ADMINISTRATIVE CODE EDITOR

JULIE E. LIVERS
LEGISLATIVE INFORMATION OFFICE DIRECTOR

June 8, 1995

MEMORANDUM

TO: CHAIRPERSON MICHAEL GRONSTAL AND MEMBERS OF THE SERVICE COMMITTEE

FROM: DIANE BOLENDER

RE: JUNE PERSONNEL REPORT

Approval is sought for the following personnel actions:

- For filling a vacancy above the entry level for a permanent Proofreader. Applications were taken for the vacant position and the person selected was a legislative employee holding a temporary position.

Dan Degen from a temporary Proofreader position (grade 16, step 3) to a permanent Proofreader position (grade 16, step 3)
Effective date June 16, 1995

- For promotion from Legal Counsel to Legal Counsel 1

Ed Cook, employment date November 11, 1992
Current grade and step: Grade 30, step 4 (May 19, 1995)
Proposed grade and step: Grade 32, step 3 (1 step increase)
Effective date: June 16, 1995

Notification is made of the personnel actions taken since November 29, 1994, on the enclosed report.

NOTIFICATION OF MERIT STEP INCREASES

Since November 29, 1994

Name	Position	Effective Date Previous Grade & Step	Effective Date Current Grade & Step
Judith Kaut	Publications Asst.	5/31/94 21-1	12/2/94* 21-2
K'Ann Brandt	Finance Officer 1	12/3/93 24-2	12/2/94 24-3
Patty Funaro	Legal Counsel 2	12/17/93 35-4	12/16/94 35-5
Mark Johnson	Legal Counsel 2	12/17/93 35-5	12/16/94 35-6
Bridget Mc Nerney	Document Processor Supervisor	12/17/93 25-2	12/16/94 25-3
Cathie Young	Proofreader 2	12/17/93 19-5	12/16/94 19-6
Rosemary Drake	Assistant Editor 2	12/31/93 27-2	12/30/94 27-3
Jonetta Douglas	Senior Librarian	12/31/93 27-3	12/30/94 27-4
Sue Fetters	Proofreader 2	12/31/93 19-2	12/30/94 19-3
Joanne Walroth	Assistant Editor 2	2/25/94 27-1	2/24/95 27-2
Lucinda Parker	LIO Officer	3/11/94 24-3	3/10/95 24-4
John Pollak	Committee Services Administrator	5/6/94 38-2	5/5/95 38-3
Jennifer Clark	Document Processor 1	5/20/94 16-3	5/19/95 16-4
Edwin Cook	Legal Counsel	5/20/94 30-3	5/19/95 30-4
Betty Snuggs	Document Processor 2	5/20/94 19-4	5/19/95 19-5
Diane Ackerman	Publications Asst.	5/20/94 21-2	5/19/95 21-3
Judy Neff	Assistant Librarian	6/3/94 22-3	6/2/95 22-4
Carolyn Lumbard	Legal Counsel	6/3/94 30-3	6/2/95 30-4

* Completed 6 mo. probation.

PART-TIME

Danny Degen, Proofreader 1, 16-2 to 16-3
 Hazel Schroedel, Proofreader 1, 16-5 to 16-6
 Doris Saf, Proofreader 2, 19-1 to 19-2
 Beverly Burkett, Proofreader 1, 16-2 to 16-3

NOTIFICATION OF VACANT POSITIONS FILLED
Since November 29, 1994

Name	Position	Date Filled	Grade & Step
Judith Kaut	Assistant Editor 1	12/30/94	24-1
Shelli Tobis	Sr. Document Processor	12/12/94	22-1
Faith Sherman	Assistant Indexer	3/20/95	19-1
Cathy Kelly	Publications Assistant	3/27/95	21-1
Betty Shea	Proofreader 1	5/25/95	16-1
Gina Garrett	Proofreader 1	6/16/95	16-1
Catherine Young	Assistant Editor 1	6/16/95	24-1
Katharine Olah	Proofreader 1	6/16/95	16-1

RESIGNATION/TERMINATION

Kathryn Farrell, Capitol Tour Guide, 01/12/95, transferred to General Services
Julie Joyce, Proofreader, 02/09/95
Brent Walker, Page, 02/24/95
Judith Brown, Proofreader, 03/02/95

RETIREMENT

Doris Stoner, Indexer 2, 01/26/95
Sugar Macaulay, Capitol Tour Guide Supervisor, 02/18/95
Hazel Schroedel, Proofreader, 03/23/95

PART-TIME POSITIONS FILLED

Anne Ippolito, Proofreader 1, 01/23/95, 16-1
Tanya Douglas, Page, Minimum wage, 03/06/95
Patricia Arnold, Tour Guide, 03/03/95, 12-1
Ellen Robinson, Tour Guide, 03/28/95, 12-1
Chris Burch, Tour Guide, 03/31/95, 12-1
Frances Maust, Tour Guide, 04/05/95, 12-1

CLASSIFICATION CHANGE

Rosa Snyder, Capitol Tour Guide, 6/2/95, 12-2, Temporary part-time to Permanent part-time

FAMILY LEAVE

Judith Kaut, Assistant Editor in the Administrative Code Division, March 24 through June 6, 1995

STATE OF IOWA



CITIZENS' AIDE/OMBUDSMAN
CAPITOL COMPLEX
215 EAST 7TH STREET
DES MOINES, IOWA 50319-0231
(515) 281-3592

WILLIAM P. ANGRICK II
CITIZENS' AIDE / OMBUDSMAN

In reply, please refer to:

June 13, 1995

Senator Michael Gronstal
Chair, Service Committee
Legislative Council
Capitol Building
LOCAL

Dear Senator Gronstal:

Please consider the following revised items for the June 14, 1995 Service Committee meeting.

ADMINISTRATIVE REPORT

The Clean Air Act Small Business Ombudsman program is progressing well. To date we have conducted informational presentations in Greenfield, Winterset, Newton, and Charles City. Copies of our first two quarterly reports are enclosed. I plan on reapplying for the grant with the Department of Natural Resources later this summer. One potential outcome of this program having legislative impact could be a recommendation to establish an air pollution abatement equipment purchase revolving loan fund similar to the LUST program.

PERSONNEL REPORT

Merit Step Increase

Steven L. Exley, Assistant I, has successfully completed his employee evaluation and will be awarded a one step merit increase from Grade 29 Step 3 to Grade 29 Step 4 on June 16, 1995.

New Hires

Craig Arterburn, Assistant I (Assistant for Environmental Affairs), was hired at Grade 29 Step 1 on January 27, 1995.*

Diane Schinkel, was hired at Grade 19 Step 1 (hourly) as an intern on May 19, 1995.*

*Both Mr. Arterburn and Ms. Schinkel were hired with monies received from a grant in an agreement between this office and the Department of Natural Resources for the Small Business Ombudsman Program pursuant to Section 507 of the Clean Air Act Amendments of 1990.

I request the following position reclassification, meritorious step increase and promotions as listed:

Position Reclassification

<u>Employee Name & Date of Hire</u>	<u>Position & Date of Appointment</u>	<u>Current Grade/Step Date Attained</u>	<u>Anticipated Position</u>	<u>Anticipated Grade/Step & Date Effective</u>
Judith L. Green 07/01/74	Executive Secretary 04/15/88	24/6 11/06/92	Finance Officer I	24/6 06/16/95*

*no fiscal impact; the reclassification more accurately reflects the duties performed

Meritorious Step Increase

<u>Employee Name & Date of Hire</u>	<u>Position & Date of Appointment</u>	<u>Current Grade/Step Date Attained</u>	<u>Anticipated Position</u>	<u>Anticipated Grade/Step & Date Effective</u>
Steven L. Exley 09/16/91	Assistant I 06/17/94	29/3 06/17/94	Assistant I	29/5 06/16/95*


*a one step increase in addition to the annual merit step increase for meritorious performance

Promotions

<u>Employee Name & Date of Hire</u>	<u>Position & Date of Appointment</u>	<u>Current Grade/Step Date Attained</u>	<u>Anticipated Position</u>	<u>Anticipated Grade/Step & Date Effective</u>
Ruth H. Cooperrider 07/09/90	Legal Counsel II 01/01/93	35/2 12/30/94	Sr Legal Counsel	38/1 06/16/95
Connie L. Bencke 08/22/90	Assistant II 07/02/93	32/3 07/01/94	Assistant III	35/2 06/16/95

Should you or any member of the Service Committee have any questions or require additional information please contact me.

Sincerely,


William P. Angrick II

WPA:jg

Enclosures



Quarterly Report Iowa Citizens' Aide/Ombudsman Office Small Business Ombudsman Program

TO: Pete Hamlin, Chief, Air Quality Bureau
Environmental Protection Division
Department of Natural Resources

FROM: William P. Angrick II, Citizens' Aide/Ombudsman

RE: 1st Quarterly Report for the period ending January 15, 1995

Date: January 20, 1995

INTRODUCTION:

The Citizens' Aide/Ombudsman office contracted, pursuant to Iowa Code Chapter 28E, with the Department of Natural Resources to provide the Small Business Ombudsman (SBO) services that are required in Section 507 of the Clean Air Act Amendments of 1990. The agreement was approved by the Environmental Protection Commission November 21, 1994.

Because the Citizens' Aide/Ombudsman is an agency of the Iowa Legislature, approval of the 28E agreement was required from the Legislative Council of the Iowa General Assembly. It was approved by the Legislative Council on November 29, 1994

ORGANIZATION, STAFFING, OPERATIONS, BUDGET:

The Office of Citizens' Aide/Ombudsman was created by the General Assembly in 1972 as an independent, nonpartisan agency empowered to receive and investigate citizen complaints about state and local governments. Each year the office responds to approximately four to five thousand requests for information and assistance. Currently the office is staffed with 12 professional and support personnel. The annual appropriated budget is \$651,097 for FY 95.

The Chapter 28E agreement provides \$74,500 in funds that come from permit fees to be used in establishing the Small Business Ombudsman to comply with the requirements of the Federal Clean Air Act Amendments of 1990. The agreement identified \$34,000 for a full time Assistant ombudsman that would provide the direct services. It additionally provided for a half time secretary for support.

An intense state and nationwide recruitment effort was initiated. Resources from the Iowa Department of Personnel were used. In addition the position was listed internationally through the Federal Department of Defense Outplacement Referral System. Direct mailings were sent to selected colleges and universities identified as having environmental engineering or studies as majors. The job announcement was posted to other public and private sector ombudsman organizations through the Internet. The position was also advertised in the Des Moines Register. Contact was also made with the South Coast Air Quality Management District in California, an agency, considered to be one of the premier air quality agencies in the U.S., which, due to funding problems, recently had to lay off approximately 200 qualified staff.

Forty-seven applications were received and screened by our office. Interviews were held with nine of the applicants. One of the interviews was held in California by the deputy ombudsman who was able to accommodate a short side trip while in that area on personal business. The most disappointing aspect of this recruitment has been that those individuals who were most qualified, by having previous involvement with air programs and engineering backgrounds, either declined offers of employment or withdrew their applications. Several were being paid in either the government or private sector in a range

from \$45,000 to \$68,000 and were not willing to accept our offer of \$34,000. One applicant received an offer of \$41,000 from a private sector business during our consideration of her application.

We are currently re-evaluating the position and expect to offer it to an individual who, while qualified in working with businesses and governmental agencies in the environmental area, has no technical strengths in the air pollution area. We have been surprised at what the national job "market" has been for specialists in this field.

SERVICE PROVIDED/ACTIVITIES CONDUCTED:

Because we have had difficulty in this recruitment, we have received few complaints that can be attributed to this program. A recent Region VII mailing to dry cleaners listing our office as a resource prompted several requests for information and assistance.

We have been active in preparing for the program and its responsibilities during the recruitment process. The following are activities unrelated to administrative support efforts needed to establish the position.

The general office has a toll free number installed that will also be used by the Small Business Ombudsman program. TDD calls for the hearing impaired. A concerted effort has been made to collect brochures from established Clean Air Act programs that will be used for ideas when the new staff member is on board.

<u>Date</u>	<u>Activity</u>	<u>Benefit Derived</u>
8/93	Satellite downlink training session APTI #413 on the Control of Particulate Emissions	Our staff attorney attended this session on the recommendation of DNR officials to get an overview of air pollution issues.
11/93	Small Business Ombudsman Conference in Arlington, VA	This conference attended by the ombudsman was used to learn how other SBO's were implementing their programs and to start networking with them
12/93	Site visit to Iowa Waste Reduction Center at Cedar Falls Iowa.	The ombudsman spent time at the facility becoming orientated as to the role that IRWC plays in the state environmental scene.
1st Quarter 1994	On site visits of commercial dry cleaning and auto-body painting establishments	The ombudsman visited private companies getting their view on the regulatory process and its impact.
9/14/94	Targeted Small Business Workshop held in Des Moines	This was attended by the deputy ombudsman. It provided opportunities to inform staff from the Department of Economic Development how the ombudsman program can help small businesses generally and inform them of our efforts to establish a Clean Air Act ombudsman program.

<u>Date</u>	<u>Activity</u>	<u>Benefit Derived</u>
9/27/94	SBO Conference call with Region VII state SBO's and Region VII staff	Discuss matters of common concern, plan for Roundtable meeting in Kansas City to work on regional plan.
10/4/95	Region VII SBO/Small Business Assistance Roundtable meeting held in Kansas City, Kansas	This was an opportunity to meet face to face with the other SBO's and those involved with the Small Business Assistance program in the region. Beginnings were made in creating a regional plan.
11/8/94	Region VII SBO/Small Business Assistance Roundtable meeting held at the Squaw Creek Federal Wildlife Area, Mo.	This was a continuation of the 10/4 Kansas City meeting where the group met with a facilitator and further refined the regional plan.
11/29/94	Consult with Region VII on dry cleaner brochures	Discussed on the phone various approaches they could use to inform dry cleaners of the resources that are available to them.
1/25-27/95	Joint State Small Business Ombudsman/Small Business Assistance Program Conference. New Orleans, LA (Anticipated)	It is expected this meeting will be attended by the deputy ombudsman. It is another opportunity to network with SBO's nationally and seek information how other states are implementing this program.

STATE PROGRAM EFFECTIVENESS:

The actual service delivery portion of the SBO component has not started as yet. It is anticipated that a staff member will be hired and working in this assignment full time within three weeks.

We are anticipating the small businesses we are in contact with to expect to receive help and services regarding multi-media pollution problems. Our office is concerned how we can appropriately deal with them in light of grant restrictions to provide services only to air pollution problems. We, and other SBO's in Region VII, believe it is of great importance that the small business owners who come to us for help see us as part of the solution rather than part of the problem. They may think the latter if we are unable to provide help to them for technical jurisdictional reasons.

Our office has been having on going discussions with General Services and Micrographics regarding expanding our office space. It is anticipated they will be vacating space adjacent to our office space in late February or March allowing us to be able to better accommodate the new staff person and create space allowing group meetings with affected small businesses and their representatives.



Iowa Citizens' Aide/Ombudsman Office Small Business Ombudsman Program Quarterly Report

TO: Pete Hamlin, Chief, Air Quality Bureau, IDNR
FROM: William P. Angrick II, Citizens' Aide/Ombudsman
RE: Quarterly Report for Period ending March 31, 1995
Date: April 24, 1995

I. INTRODUCTION

The Citizens' Aide/Ombudsman office contracted, pursuant to Iowa Code Chapter 28E, with the Iowa Department of Natural Resources to provide the Small Business Ombudsman (SBO) services required in Section 507 of the Clean Air Act Amendments of 1990, effective December 1, 1994.

II. STAFFING

The Citizens' Aide/Ombudsman's Office is staffed with the ombudsman, his deputy, legal counsel, six trained investigators, and three support staff. Additionally, a staff person, Craig Arterburn, was hired January 27, 1995 as an Assistant in the Citizens' Aide/Ombudsman office whose primary responsibility is to carry out this office's responsibilities under the Section 507 of the Clean Air Act Amendments of 1990.

Mr. Arterburn's qualifications include a background in environmental health/protection including water, wastewater, underground storage tanks and public health. His experience includes 15 years of municipal, county, and state employment and 11 years of full and part-time experience with small businesses in the areas of hazardous waste, personnel, MIS and public health. Mr. Arterburn's education includes associate degrees in Water and Wastewater Technology, Natural Sciences, Business Administration, and a Bachelor's Degree in Management and is completing a Masters in Public Health Administration.

It is our conclusion, based on communications with other states which have a Small Business Ombudsman Program (SBO), the Iowa CA/O has an equivalent or better environmental program and exceptional "Ombudsman" expertise compared to most states even though Iowa's Small Business Ombudsman program is less mature.

III. COMPLETION OF DUTIES

REFERRALS TO THE IOWA AIR EMISSIONS ASSISTANCE PROGRAM (IAEAP)

Referral of small businesses to IAEAP and other appropriate resources: The SBO program has directly referred 7 businesses to the IAEAP and has disseminated information concerning IAEAP through the Small Business Development Center facilitated on the Des Moines Area Community Campus. Further development of the referral service is being planned utilizing the Iowa State University Extension Services, Small Business Development Center on Drake University and through the "Main Street USA" program of the Department of Economic Development. These contacts result in a number of inquiries to the IAEAP but the actual number is difficult to determine and logistically impossible to track.

INVESTIGATIONS & RESOLUTIONS

No complaints or disputes have been brought to the CA/O's office at the close of this quarter. There are several which have been staffed at the start of the current quarter.

REVIEW OF FEDERAL & STATE/LOCAL REGULATIONS

Current regulations are under review, in particular, exemptions from property tax for equipment purchased for the purpose of pollution abatement or reduction. Proposed state legislation is routinely received and reviewed for impact. Federal regulations and notice of proposed regulations are received from the EPA Small Business Ombudsman as they are made aware of regulations.

The CA/O is establishing networks with other states, particularly Nebraska, Minnesota, and Texas to receive proposed regulations from them which may identify problems and solutions for items which Iowa has not yet encountered. The CA/O has established contact with Polk County to become more informed on their Air Quality Program and their methodology of assistance and enforcement.

MEETINGS & CONFERENCES

The deputy ombudsman attended the 1995 State Small Business Ombudsman and Small Business Assistance Program Conference that was held in New Orleans, LA [January 25-27]. This provided an excellent opportunity to meet other state ombudsmen and obtain information and brochures that have been developed. It also provided the opportunity to begin networking with those programs in the United States that were facing issues similar to Iowa.

The Assistant for the SBO Program has coordinated with Brian Button and obtained for reviewed three of the previously taped "Satellite Downlink Presentations" (February) and attended one such presentation [March 1]. The second presentation scheduled to attend was canceled. He has attended a day of orientation with field office 6 [March 6] observing inspection and enforcement activities of the regulated public in that area of the state.

One day of orientation was scheduled and attended at the Iowa Air Emissions Assistance Program (IAEAP) in Cedar Falls [February 17]. A fall-up day was agreed to take place this quarter. This orientation allowed the Ombudsman Office to obtain information for newly hired staff and expand the Assistant Ombudsman's expertise with this organization for future development and joint program development with the IAEAP.

Small Business Administration contacts and the appropriate business and industry associations were identified. A comprehensive database was developed for scheduling contacts and to do mail outs.

DISSEMINATION OF INFORMATION

A news release [March 3] was sent to all small business association contacts and news organizations, (attachment A) which notified the hiring of a Small Business Ombudsman by the Citizens' Aide/Ombudsman Office. The brochure explaining the Citizens' Aide/Ombudsman's Office was revised (attachment B) and a corresponding "Small Business Ombudsman" brochure was developed (attachment C) which explains the SBO program informing the small businesses what the CA/O can and cannot do for them.

Information releases, brochures, guidance documents, and pamphlets have been solicited and received from Iowa Air Emission Assistance Program (IAEAP), Department of Natural Resources (DNR), Federal Small Business Administration (SBA) and US Environmental Protection Agency (EPA) for review and incorporation into future publications from the CA/O to the general public and in particular small businesses in Iowa.

CA/O has requested network connections with Department of Natural Resources in order to pass documents and brochures in an expedient manner to foster communications.

The SBO has routinely responded to questionnaires from other states and EPA concerning program content and services performed.

IOWA AIR EMISSIONS ASSISTANCE PROGRAM (IAEAP)

Discussions have taken place with IAEAP concerning guidance documents and we have agreed with IAEAP to review publications submitted by them for evaluation of "readability" by small business owners and managers. A work plan is being developed to create a committee to solicit information from the small business community to identify helpful items from IAEAP and what other services or information they perceive as being necessary for running their businesses while complying with current and new air regulations. It is anticipated that the "Texas" model will be followed. The intent is to obtain feed back from the small businesses and provide this "feed back" to IAEAP in order for them to continue to expand and improve their program and services.

CLEAN AIR IMPACT REVIEW

A preliminary survey of banking institutions was performed to obtain their perspective of the impact of the Clean Air Act Amendments. A more complete review is anticipated to be performed later in the year after a comprehensive network of Chambers of Commerce and small business entities is established. Without this network in place, information for a review would be sporadic and would not include a complete cross-section of small business concerns giving the "Review" little validity.

REPORTS

Quarterly progress reports are completed and sent to Department of Natural Resources. Information deemed pertinent by the State Ombudsman is included in his Annual Report to the Iowa Legislature. These reports are available to the public. The EPA Small Business Ombudsman has requested two specific types of reports which are currently under review for a response.

GENERAL ASSEMBLY OF IOWA

LEGAL COUNSELS

Douglas L. Adkisson
Mary M. Carr
Edwin G. Cook
Susan E. Crowley
Patricia A. Funaro
Michael J. Goedert
Leslie E. W. Hickey
Mark W. Johnson
Michael A. Kuehn
Carolyn T. Lumbar
Julie A. Smith

RESEARCH ANALYSTS

Kathleen B. Hanlon
Thane R. Johnson



LEGISLATIVE SERVICE BUREAU

STATE CAPITOL BUILDING
DES MOINES, IOWA 50319
(515) 281-3566
FAX (515) 281-8027

DIANE E. BOLENDER
DIRECTOR

RICHARD L. JOHNSON
DEPUTY DIRECTOR

JOHN C. POLLAK
COMMITTEE SERVICES ADMINISTRATOR

LOANNE DODGE
IOWA CODE EDITOR

PHYLLIS V. BARRY
ADMINISTRATIVE CODE EDITOR

JULIE E. LIVERS
LEGISLATIVE INFORMATION OFFICE DIRECTOR

June 8, 1995

MEMORANDUM

TO: CHAIRPERSON MICHAEL GRONSTAL AND MEMBERS OF THE SERVICE COMMITTEE

FROM: DIANE BOLENDER *DB*

RE: CENTRAL STAFF AGENCIES PERSONNEL GUIDELINES MODIFICATIONS

After reviewing the Personnel Guidelines for the Central Legislative Staff Agencies, the following modifications to the Personnel Guidelines are reported to the Service Committee for approval:

1. Amend Part II.B. of the guidelines to read as follows:

B. Service Committee

The Service Committee of the Legislative Council determines policies and exercises oversight relating to the operations of the central legislative staff agencies, subject to the approval of the Legislative Council (Code Section 2.45). ~~Executive branch policies referenced herein shall be accepted as of July 1, 1989. Subsequent changes~~ Changes in executive branch policies that require modifications to these guidelines are subject to review by the Service Committee prior to the policy's adoption. Any reference in these guidelines to a requirement of Service Committee approval also includes a requirement of Legislative Council approval. Such approval by the Council is customarily given by Council adoption of Service Committee recommendations contained in the reports of the Service Committee to the Council.

2. Amend Part VI.C.1.h. by striking paragraph h and relettering the subsequent paragraphs. Paragraph h provides for Olympic leave based on 1993 Code Section 70A.24. That Code section was repealed by 1994 Iowa Acts, chapter 1173, section 42.

3. Amend Part VII.C. (first sentence) to read as follows:

C. Probationary Period

For the purposes of evaluating the performance of new employees (original appointment or reappointment of a returning employee to a permanent or temporary position), a probationary period will be implemented.

4. Add at the end of Part XIX the attached three-page Personal Financial Disclosure Form.

rj/g/PersGuid/6/95

**IOWA GENERAL ASSEMBLY
CENTRAL LEGISLATIVE STAFF AGENCIES**

PERSONAL FINANCIAL DISCLOSURE FORM

Name: _____

Agency: _____

Agency Director: _____

In completing this form, if insufficient space is provided, you may include additional information by attaching full-size sheets of paper to this form.

Division I. Business, Occupation, or Profession.

A. Name of Business, Occupation, or Profession: List each business, occupation, or profession in which you are engaged, regardless of the amount of income derived or time spent participating in the activity.

Examples:

- State the name of the legislative agency in which you are employed.
- If you are also self-employed and are not incorporated or are not doing business under a particular business name, also state that you are self-employed.
- If you are also employed outside of the general assembly by a private individual, state the name of the individual employer.
- If, in addition to your legislative employment, you own your own corporation, are employed by a corporation, or are doing business under a particular business name, state the name of the business or corporation.
- If, in addition to your legislative employment, you are employed by a consulting firm, state the name of the consulting firm.

1 _____
2 _____
3 _____
4 _____
5 _____

B. Nature of Business, Occupation, or Profession: State the nature of each of the businesses, occupations, or professions which you listed in part "A" above, unless the nature of the business, occupation, or profession is already apparent from the information indicated above. The descriptions in this part should correspond by number to the numbers for each of the businesses, occupations, or professions listed in part "A" above.

Examples:

- State your position or job title within your employing legislative agency.

- If you indicated that you were also self-employed in part "A" above, you should list in this part the types of activities that you engage in and the goods or services that you provide.
- If you indicated that you were also employed by a particular private individual in part "A" above, you should indicate in this part the type of services that you provide for the individual. If your position involves the sale of goods or services, the kinds of goods or services sold should also be indicated.
- If you indicated that you were also employed by a corporation or other similar organization in part "A" above, you should indicate your position within the corporation or organization and the kinds of services rendered to or on behalf of the corporation or organization in this part. If you indicated that you are a teacher, the type of school or institution served should also be indicated. If you are providing legal services, the areas of practice should also be indicated.
- If you indicated in part "A" above that you were also employed in a particular consulting firm, in this part you should indicate the kind of services provided and types of clients served.

1 _____
 2 _____
 3 _____
 4 _____
 5 _____

Division II. Sources of Gross Income Subject to Taxation.

In this division, list each source, by general description, from which you receive, or which generates, more than \$1000 in annual gross income in each of the categories listed below. For purposes of this division, a source produces annual gross income if the revenue produced by the source is subject to federal or state income taxes. In completing the items listed below, list the nature or type of each company, business, financial institution, corporation, partnership, or other entity which produces for you more than \$1000 of annual gross income. Neither the amount of income produced nor value of the holding is required to be listed in any of the items. Do not report income received by your spouse or other family members.

A. Securities: State the nature or type of the company in which stock, bonds, or other pecuniary interests are held that generate more than \$1000 in annual gross income. For purposes of this item, income generated by multiple holdings in a single company are deemed received from a single source. For example, if you hold multiple shares of stock in a single corporation, you must add together the income received from all shares to determine the income received from that corporation. Stock "owned" through investment in a mutual fund should be shown by identifying the general nature or type of the mutual fund.

B. Instruments of Financial Institutions: State the types of institutions in which you hold financial instruments that produce annual gross income in excess of \$1000 and indicate the nature of the income source, e.g., savings account, certificate of deposit, etc.

C. Trusts: State the nature or type of any trust from which you receive more than \$1000 of gross income annually. Indicate whether the trust is a family trust. If the income is received from a charitable trust or foundation in the form of a grant, the fact that the trust is a charitable trust should be noted.

D. Real Estate: State the general nature of each real estate interest that generates more than \$1000 of gross income annually, e.g., residential leasehold interest or farm leasehold interest. The size or location of the property interest is not required to be listed.

E. Retirement Systems: State the name of each pension plan or other corporation or company from which you receive more than \$1000 annually in retirement benefits. If you receive a benefit jointly with another person, benefits with an annual value in excess of \$1000 from which you actually benefit must also be listed. The name of the other person or persons is not to be listed, however.

Division III. Other Income Categories.

Other Reported Income: Provide a description of other sources of income producing over \$1000 in annual gross income that have not been reported above, but which must be reported for income tax purposes. The amount or value of the source is not required to be listed.

Employee Signature: _____ Date: _____

Chapter 3. PERSONNEL GUIDELINES FOR THE CENTRAL LEGISLATIVE STAFF AGENCIES

(last updated with June 15, 1994 Legislative Council changes)

I. DEFINITIONS

- "Agency" means the Legislative Service Bureau, the Legislative Fiscal Bureau, the Computer Support Bureau, and the Office of Citizens' Aide/Ombudsman.
- "Director" means the head of an agency as designated by the Legislative Council.
- "Employee" means an employee of an agency, including supervisors, unless the context requires otherwise.
- "Supervisor" means the agency director or the agency employee designated by the agency director to perform supervisory duties with regard to an agency employee or agency employees.

II. POLICY-MAKING AND OVERSIGHT AUTHORITY

A. Legislative Council

The Legislative Council is the policy-making and oversight authority for the central legislative staff agencies under Chapter 2 of the Code of Iowa. Such statutory power can be found in Code Section 2.42, subsections 1, 11, 12, 14, and 17. Code Sections 2.48, 2.58, and 2.100 establish the Legislative Fiscal Bureau, the Legislative Service Bureau, and the Computer Support Bureau, respectively. Code Chapter 2C establishes the Office of the Citizens' Aide, commonly known as Citizens' Aide/Ombudsman. Section 2C.3 makes the Citizens' Aide responsible to the Legislative Council.

B. Service Committee

The Service Committee of the Legislative Council determines policies and exercises oversight relating to the operations of the central legislative staff agencies, subject to the approval of the Legislative Council (Code Section 2.45). ~~Executive branch policies referenced herein shall be accepted as of July 1, 1989. Subsequent changes~~ Changes in executive branch policies that require modifications to these guidelines are subject to review by the Service Committee prior to the policy's adoption. Any reference in these guidelines to a requirement of Service Committee approval also includes a requirement of Legislative Council approval. Such approval by the Council is customarily given by Council adoption of Service Committee recommendations contained in the reports of the Service Committee to the Council.

C. Guidelines Subject to Change

These guidelines are subject to change at any time by the Legislative Council.

III. POSITION CLASSIFICATION SYSTEM AND AGENCY ORGANIZATION

A. Position Classification System

1. Each director shall develop and file with the Service Committee a position classification system covering all authorized positions within the agency of the director. The position classification system shall contain guidelines for eligibility of an employee for promotion from one job title in a series to the next. The Legislative Service Bureau, as the staff agency to the Service Committee, shall keep these on file.
2. The position classification system shall include, but is not limited to, a job title, job description (including duties and qualifications), and grade level for each authorized position classification in an agency.
3. Job titles and job descriptions are at the discretion of each director. Grade levels are determined by the legislative branch comparable worth process. Changes in grade level due to changes in the duties or structuring of existing positions require prior approval by the Service Committee. Grade levels for new positions are set through the comparable worth process by the Service Committee.
4. The Comparable Worth Staff Report of August 1986 shall serve as the reference for the grade level of positions, except for positions whose grade level has been established or changed under the comparable worth process and approved by the Service Committee since the issuance of the report. Grade levels for positions that have been established or changed since the issuance of the report shall be developed in accordance with the factor scores in the comparable worth report.
5. Each director shall provide copies of the position classification system for the agency to the agency's employees.

B. Agency Organization

Each director shall develop and file with the Service Committee a statement of agency organization showing the interrelationship of authorized positions within the agency. The Legislative Service Bureau, as the staff agency to the Service Committee, shall keep these on file. The statement of agency organization may be in the form of an organization chart. Changes in the existing organizational structure of an agency require the prior approval of the Service Committee.

IV. COMPENSATION - SALARY

A. Salary Matrix

All employees, except agency directors, shall be at a grade and step on the legislative branch salary matrix. Grade levels for positions shall be as determined under Part III of these guidelines.

B. Cost-of-Living Increases

Employees shall receive the same cost-of-living increases as are granted to those employees in the executive branch who are not included in a collective bargaining agreement.

C. No Temporary Raises

Unless prior approval of the Service Committee is obtained, a director shall not grant raises for a temporary increase in duties.

D. Annual Merit Increases

1. Employees are eligible for annual one-step merit increases up to and including step six of a grade based upon satisfactory performance according to annual evaluations as provided in Part IX of these guidelines. Such an annual increase may be delayed or denied by a director for performance shortcomings. An additional salary increase may be given to an employee by a director for exceptional job performance with the approval of the Service Committee. The additional salary increase for exceptional job performance shall not exceed one step, shall not be given more than once a year, and shall not result in an increase beyond step six in the employee's grade level. Written justification setting forth the nature of the exceptional job performance shall be maintained on file by the director.
2. Employees who are on step one of a grade may receive a merit step increase after the satisfactory completion of a six-month period of employment. Any merit step increase after step two may be granted to an employee only after completion of at least one full year on a step unless the employee is recommended for a step increase for exceptional job performance.
3. Each director shall file an annual report with the Service Committee listing all employees under their supervision with their current grade and step and the effective date of a merit increase for which they are eligible. Notification of the successful completion of probationary employment and merit increases granted and increases for exceptional job performance shall be made by the director at the next following Service Committee meeting. The effective date for a merit increase is normally the employee's anniversary date at the end of

an employee's probationary period, but a director may specify one or more standard eligibility dates for merit increases other than the anniversary date. Granting of merit increases may be delayed or denied for performance shortcomings. The annual report filed with the Service Committee under this provision indicates eligibility for a merit increase but does not necessarily indicate that a merit increase will be granted.

E. Merit Increases for Part-Time and Temporary Employees

1. Permanent part-time employees are eligible for merit increases as if they were permanent full-time employees.
2. Temporary full-time employees who work intermittently shall have their eligibility for probationary and annual merit increases determined by their cumulative length of service.
3. Temporary part-time employees are eligible for merit increases as if they were temporary full-time employees.

F. Overtime and Compensatory Time

1. At the discretion of the director, support positions are to be designated as eligible for full compensation for overtime. Those positions eligible for full compensation for overtime accrued shall be compensated with either overtime pay or compensatory time at a one and one-half hour rate for each hour of overtime accrued as determined by the director for each particular class of support positions. Employees in support positions shall be notified whether compensation for their positions is overtime pay or compensatory time. Legislative library employees are compensated pursuant to the requirements of federal law. The annual personnel report filed with the Service Committee shall specify the specific support positions designated as eligible for full compensation for overtime accrued.
2. Those professional positions eligible for only partial compensation for overtime accrued shall be compensated with compensatory time on an hour-for-hour basis, computed each pay period, which compensatory time shall be used within a one-year period. Compensatory time is accrued only after the accumulation of 40 hours of overtime and is limited to a maximum accrual of 120 hours.
3. The annual personnel report shall specify the annual period for which employees accrue compensatory time and shall state the compensatory time earned by each employee.
4. Upon the date of termination of employment for any reason, accrued compensatory leave is canceled. The director and the employee shall make every reasonable effort to schedule compensatory leave prior to the

termination date sufficient to prevent any cancellation of unused compensatory leave upon termination.

V. COMPENSATION - BENEFITS

A. Benefits in General

Employees in the central legislative staff agencies are eligible for employee benefits under the same terms and conditions as provided by law for employees in the legislative branch. This includes, but is not limited to, health, dental, life, and long-term disability insurance programs for permanent employees.

B. Workers' Compensation

An employee's supervisor shall be immediately notified if an employee is injured while on the job. The employee shall seek appropriate medical care.

C. Interviewing and Moving Expenses

At the director's discretion, expenses may be paid for interviewing prospective employees. Payment shall be made at the same rate a state employee would be reimbursed in performance of state duties. Also, at the director's discretion, newly hired employees may be reimbursed for moving expenses in accordance with executive branch standards. Reimbursement for moving expenses shall not be made until a new employee is on the state payroll. The payment of such expenses shall be reported to the Service Committee. (See Code Section 70A.16.)

D. Educational Benefits

Permanent employees are eligible for educational leave and educational assistance as provided in Code Section 70A.25 and Part VI of these guidelines. Such benefits are to be granted on a case-by-case basis for each semester-long course based on its relevance to the employee's job duties and the agency's needs. A particular course may or may not be part of a program leading to a degree or a certificate. The granting of such leave and assistance shall be reported to the Service Committee, including the specification of any college courses taken.

VI. COMPENSATION - LEAVE

A. Attendance

The director shall establish a written work attendance policy which shall be provided to all employees and which shall be filed with the Legislative Council. The director or the supervisor shall establish the work schedule, work stations, and required hours of work for employees under the director's or supervisor's supervision. All regulations and

schedules shall be made known to the affected employees. Such regulations and schedules may include "flextime" arrangements at the discretion of the director. All absences of employees, whether permanent, temporary, or probationary, from the established work schedule shall be charged to one of the leave or leave without pay categories.

B. Scheduling of Leave

All leave, such as vacation time, compensatory time, sick leave, or any other form of leave, including leave without pay, must be requested and granted under procedures established by each director and filed with the Legislative Council. Application should be made to the director or the director's designee. Sick leave is the only form of leave that is allowed to be unscheduled and shall be subject to written reporting requirements as established by each director and filed with the Legislative Council. Leave granted by a director in excess of thirty consecutive calendar days shall be reported to the Service Committee.

C. Leave Types

1. Leaves With Pay

a. Vacation Leave

- i. All permanent and probationary employees shall accrue vacation leave according to the rules adopted by the Department of Personnel.
- ii. Vacation leave does not accrue during leave without pay, nor can vacation leave be granted in excess of the amount accumulated.
- iii. The directors of the central legislative staff agencies, in consultation with the secretary of the senate and the chief clerk of the house, may pay employees who have a balance of 160 or more hours of accrued vacation leave on June 1, for up to 40 hours of the accrued vacation leave. The decision to make such payments and the number of hours paid shall be the same for all central legislative staff agencies. Any employee may decline to accept the payment and to retain the hours of accrued vacation leave otherwise paid to eligible employees. The payments shall be made on separate warrants on the payday which represents the last pay period of the fiscal year. The grievance procedure is not applicable to a decision to make or to decline to make payments for accrued vacation leave.

b. Sick Leave

- i. Employees shall accrue sick leave according to rules adopted by the Department of Personnel. Sick leave will not be granted in excess of the amount accrued nor will it accrue during any absence without pay.

- ii. Accrued sick leave may be used during a period in which an employee is unable to perform the employee's duties because of medical disabilities, physical or mental illness, doctor, dentist, or optical examination or treatment, parental or family leave, or when the performance of assigned duties would jeopardize the employee's health or recovery. Pregnancy disability or recovery from pregnancy are covered by sick leave. Absences for sick leave may require verification by an authorized practitioner.
 - iii. Accrued sick leave, not exceeding forty hours per year, may also be used for leaves for temporary care of immediate family members, for child care, or for bereavement leave.
 - iv. Sick leave may be converted to vacation time according to the rules of the Department of Personnel.
- c. **Compensatory Leave**
Compensatory leave is accumulated as provided in Part IV of these guidelines. Sick and vacation leave shall accumulate on compensatory time.
- d. **Holiday Leave**
Holiday leave is granted to all permanent employees. Holidays are observed as specified by statute. (See Code Section 1C.2.) A holiday shall not exceed eight hours for full-time employees. If an employee is required to work on a holiday, the employee may take holiday leave for the hours worked, not exceeding eight, at a future date. Hours worked on a holiday in excess of eight hours shall accrue as overtime hours in the manner overtime hours accrue for that employee.
- e. **Military Leave**
All permanent or probationary employees who are members of the national guard, organized reserve, or any component of the military of the state of Iowa, when ordered by the proper authority to active military service, may serve for 30 days without loss of pay. Leave for inducted employees will be granted up to five years.
- f. **Court/Jury Leave**
When, in obedience to a subpoena, summons, or direction by proper authority, an employee appears as a witness or jury member in public or private litigation, in which the employee is not a party to the proceedings, the employee is entitled to leave from regularly scheduled duty with regular compensation. However, all payments or reimbursements shall be turned over to the director except the amount necessary for travel or personal expense. Hours spent in court outside of scheduled work hours are not subject to this rule. If two or more hours remain in a work day when released for the day, the employee shall return to work. Employees shall notify the director immediately upon receiving a subpoena, summons, or direction. Court/Jury leave does not

apply to those involved in expert testimony outside of their capacity as a state employee.

g. Voting Leave

An employee, who is eligible to vote in a public election in the state of Iowa, may request time off from work with regular pay for a period not to exceed three hours for the purpose of voting. Leave shall be granted only if the employee's work hours do not allow a period of three consecutive hours outside the employee's scheduled work hours during which the voting polls are open. A request for voting leave must be made to the director on or before the employee's last scheduled workday prior to election day. The time during the day to be taken off shall be designated by the director.

h. ~~Olympic Leave~~

~~Employees may request leave for participation in Olympic competition. The maximum leave granted for participation in Olympic competition sanctioned by the U.S. Olympic Committee, including travel and pretraining time, shall not exceed 90 working days. All vacation and sick leave still accrue during this time. Eligibility for pay raises and insurance eligibility remain in force. Olympic leave will not be granted during a legislative session. (See Code Section 70A.24.)~~

i. Business Leave

Absence from the usual workplace in the capitol complex for work-related reasons is to be construed as business leave. Business leave includes absence from the capitol complex to attend public hearings, committee meetings, seminars, workshops, and conferences outside the capitol complex as assigned or approved by the director. Business leave includes reasonable travel time to and from such events. All reasonable effort is to be made to travel at the lowest cost relevant to the circumstances. Reimbursement will be provided for reasonable expenses involved in travel, lodging, meals, and related expenses as approved by the director.

If the hours during a day of an in-state meeting, seminar, workshop, or conference, including reasonable travel time to and from the event, exceed eight, the employee accrues work hours equal to the work time plus travel time.

Accrual of work hours during attendance at out-of-state seminars, workshops, and conferences shall not exceed eight hours per day.

j. Family Death Leave

In the event of the death of an employee's immediate family member, the employee is entitled to five working days' leave of absence, per occurrence, with pay. In the event of the death of an employee's family member, other than the death of an immediate family member, the

employee is entitled to three working days' leave of absence, per occurrence, with pay.

Family death leave is in addition to other leaves available to an employee. An employee is not required to exhaust other leaves available to the employee before taking family death leave.

For purposes of this lettered paragraph, "employee's immediate family member" means an employee's spouse, child, or parent, and "employee's family member" means family member as defined in Part VI.C.3.d.iii. of these guidelines.

k. Transfer Rights

When a central legislative staff agency employee is transferred within state government, including the executive and judicial branches, or promoted or demoted, all accumulated leave times, other than compensatory leave for transfers to another branch of government, shall carry over with the employee. If the employee is terminated or resigns, only accumulated vacation leave will be paid at its respective hourly rate.

2. Leaves Without Pay

a. Leave Without Pay

i. A director, upon written request, may grant any amount of leave without pay in a single period of leave or multiple periods of leave for any reason deemed satisfactory, provided the leave in the aggregate is no greater than six months in any one year. Leave without pay in excess of six months in any one calendar year requires the approval of the Service Committee.

ii. For leave without pay of 30 days or less, the state's share of insurance benefits shall continue and the employee shall accrue seniority as if the employee had not taken the leave. The employee shall not accrue vacation or sick leave.

iii. With the approval of the director, the employee need not have exhausted sick leave with pay and accrued vacation in order to be granted leave without pay.

b. Sick Leave Without Pay

After all sick leave with pay has been exhausted, the director may, upon written request, grant sick leave without pay to an employee for a length of time the director determines is appropriate. If an employee requests to use sick leave without pay in excess of 30 days, the director shall consult the employee's attending physician or other licensed practitioner. The employee may be terminated or must return to work immediately if the director determines that any of the following are true:

- i. The employee fails or refuses to supply requested information about the illness within a stated time.
 - ii. The employee does not show sufficient continued reason to prevent the performance of duties.
 - iii. The employee is performing work or activity incompatible with the purpose for which sick leave was granted.
3. Leaves Which May Be With Pay or Without Pay

a. Educational Leave

- i. Educational leave may be granted at the discretion of the director for the purpose of assisting employees to develop skills that will improve their ability to perform their present job responsibilities or to provide training and development opportunities for employees that will enable the agency to better meet staffing needs. Educational leave with pay requires the approval of the Service Committee. Education financial assistance shall be as provided for executive branch employees.
- ii. Length of leave. Educational leave shall be requested for a period not to exceed 12 consecutive months. Accrued vacation or compensatory leave need not be exhausted before educational leave is granted. The determination to require the exhaustion of any or all accrued leave rests with the director. The director may grant an extension of the original leave for an additional 12 months.
- iii. Selection of applicants. While the selection of applicants is at the discretion of the director, all qualified employees shall be offered an equal opportunity to be considered for educational leave within the limitations imposed by agency staffing requirements.
- iv. Educational institutions. An employee on educational leave may take course work at any accredited educational institution within the state. Attendance at out-of-state institutions may be provided if there are geographical or educational considerations which make attendance at institutions within the state impractical.
- v. Notification. The director shall notify the Legislative Council of all educational leaves within 15 days following the granting of the leave.
- vi. Agency report. Annually, the director shall report to the legislative council the direct and indirect costs to the agency of educational leave granted to employees during the preceding fiscal year.

b. Severe Weather Leave

The provisions relating to severe weather leave contained in the rules of the Department of Personnel apply.

c. Rights of Return

All persons on any form of leave without pay, provided that they return within the specified period of time, will be returned to the vacant position in the classification held prior to the leave or to the class in the same pay grade for which the employee qualifies. However, for military leave without pay, the right of return applies for five years and 90 days after honorable discharge. Failure to return within the specified period of time shall result in demotion or termination.

d. Parental and Family Leave

i. Eligibility and Request for Leave. All permanent, full-time employees are eligible for parental and family leave benefits regardless of their length of service at the Legislature. A request for parental or family leave shall be made in writing by the employee reasonably in advance of the beginning of the leave, unless a planned leave is precluded by an unforeseen circumstance. The request for leave shall state the purpose of the leave, the expected duration of absence, and the intention of the employee to return to work following completion of the leave. An employee's supervisor may agree to an arrangement for reduced working hours in lieu of granting parental or family leave.

ii. Parental Leave. An employee is entitled to parental leave, not to exceed three months in duration, upon the birth or placement for adoption of a child. Parental leave shall begin no later than eight weeks following the birth or placement for adoption of a child.

The employee may use accrued vacation, sick, compensatory, or holiday leave or leave without pay during the period of parental leave. However, an employee on parental leave shall be required to use accrued leave before being granted a leave without pay, except that an employee is entitled to retain 40 hours of vacation leave and 40 hours of sick leave upon the taking of leave without pay as part of the employee's parental leave.

Parental leave includes the period of time that a pregnant employee is absent from work due to physical disability related to pregnancy and childbirth. This period of physical disability is presumed to be two weeks before the birth of the child and six weeks following the birth of the child but may be extended before or after that period of time by a physician's statement of disability.

iii. Family Leave. An employee's supervisor may grant to the employee family leave, not to exceed 160 hours per year, to care for a family member who is seriously ill or upon the death of a family member. Family leave is in addition to the 40 hours per year of accrued sick leave provided for the temporary care of immediate family members,

for child care, or for bereavement leave. See Part VI.C.1.b.iii. of these guidelines.

The employee, at the employee's own option, may use accrued vacation, sick, compensatory, or holiday leave or leave without pay during the period of family leave.

For the purposes of family leave, "family member" means the employee's spouse, children, grandchildren, foster children, stepchildren, legal wards, parents, grandparents, foster parents, stepparents, brothers, foster brothers, stepbrothers, sons-in-law, brothers-in-law, sisters, foster sisters, stepsisters, daughters-in-law, sisters-in-law, aunts, uncles, nieces, nephews, corresponding relatives of the employee's spouse, other persons who are members of the employee's household, and other persons for whom the employee is the primary caretaker.

- iv. Seniority and Benefits During Leave. During any period of authorized parental or family leave, seniority continues to accrue, state benefits continue in force, and the employer's share of state benefit premiums or payments continue to be paid by the employer.
- v. Right of Return. Following any period of authorized parental or family leave, the employee is guaranteed a job at the same position classification at least the same grade and step. Part VI.C.3.c. of these guidelines, entitled "Rights of Return," does not apply to parental and family leave.

D. Vacation Leave Sharing

- 1. The director shall permit a permanent employee to transfer any vacation leave accrued by the employee in excess of eighty hours to another permanent employee of the same or another agency, and the director of that same or other agency shall permit the other permanent employee to receive and use such transferred vacation leave, if all of the following conditions relating to the employee receiving and using the transferred vacation leave are met:
 - a. The employee suffers from, or has a relative or household member suffering from, an illness, injury, impairment, or physical or mental condition which is of an extraordinary or severe nature and which has caused, or is likely to cause, the employee to go on leave without pay status or to terminate employment with the agency.
 - b. The employee has depleted or will shortly deplete the employee's vacation leave, compensatory leave, and sick leave.
 - c. The employee has complied with agency rules regarding sick leave use.

2. An employee receiving vacation leave under this paragraph shall not receive more than 2080 hours of transferred vacation leave per calendar year under this paragraph.
3. While an employee is using vacation leave transferred to the employee under this paragraph, the employee shall be treated as if the employee were using the employee's own vacation leave. As soon as an employee accrues 40 hours of vacation leave while using vacation leave transferred to the employee under this paragraph, the employee shall be required to use that accrued vacation leave and all accrued sick leave before continuing to use the transferred vacation leave.
4. Vacation leave transferred under this section shall be transferred on an hour-for-hour basis without regard to any difference in hourly pay between the employee transferring the vacation leave and the employee receiving the vacation leave. The number of hours of vacation leave transferred by an employee under this paragraph shall be deducted from that employee's accrued vacation leave. The number of hours of vacation leave received by an employee under this paragraph shall be added to that employee's vacation leave.
5. Vacation leave transferred under this paragraph which remains unused for any reason shall be returned to the employee, or to the employees on a pro rata basis, who transferred the vacation leave.
6. Vacation Leave Sharing Policy - Transfer Procedure. (Not approved by Legislative Council but agreed to by all four central legislative staff agency directors on May 1, 1991.)
 - a. Confidential Requests for Transfer. Pursuant to the vacation leave sharing policy adopted by the Legislative Council, a permanent employee of a central legislative staff agency (referred to as the transferring employee or transferring agency) may confidentially request the transfer of a specific number of vacation leave hours accrued by the transferring employee in excess of 80 hours to a specified, named permanent employee of the same or another central legislative staff agency (referred to as the receiving employee or receiving agency) by filing a written request with the director of the transferring agency.
 - b. Notification and Inquiry -- Confidentiality. The director of the transferring agency shall immediately notify the director of the receiving agency, inquiring if the receiving employee is or will be eligible to receive transferred vacation leave and whether the employee would be able to immediately use the vacation leave requested to be transferred. The transferring agency shall not subtract any vacation leave hours from the transferring employee's accrued vacation leave until all or a portion of the vacation leave hours requested to be transferred have been accepted by the receiving agency for actual transfer to the receiving employee. The

request for transfer and any action regarding the request or the use of transferred vacation leave shall be maintained by the directors and finance officers of the transferring and receiving agencies as a confidential personnel record. In administering the transfer procedure, if the transferring and receiving agencies are not one and the same, the director and finance officer of a transferring agency shall not disclose the name of a transferring employee to the director or finance officer of the receiving agency.

- c. **Eligibility Determination and Acceptance or Abeyance of Transfer.** Upon a determination by the director of the receiving agency that the specified, named employee is eligible to receive transferred vacation leave under the vacation leave sharing policy adopted by the Legislative Council, the receiving agency shall determine the time period or periods during which the receiving employee would be able to use transferred vacation leave, and the number of hours which could be transferred to the receiving employee without the receiving employee exceeding the receiving employee's vacation ceiling. At any point in time the directors and finance officers of the transferring and receiving agencies may hold requests for transfer in abeyance if the receiving employee is currently not able to use all of the hours requested to be transferred. The directors and finance officers may periodically transfer such hours when the receiving employee is able to use the hours. If such hours are still being held in abeyance at the end of the calendar year in which the hours were requested to be transferred, the transferring agency's director shall notify the transferring employee that a transfer has not been made and that the request for transfer will be automatically terminated at the end of the calendar year unless the transferring employee files a written request for transfer for the next calendar year.
- d. **Actual Transfer.** The receiving agency's finance officer shall notify the transferring agency's finance officer of the number of hours which can be transferred and, upon approval of the request for transfer by the director of the transferring agency, the transferring agency's finance officer shall subtract that number of hours from the transferring employee's accrued vacation hours and the receiving agency's finance officer shall add that number of hours to the receiving employee's accrued vacation hours, if any.
- e. **Multiple Requests for Transfer.** If the receiving agency has been notified of more than one approved request for the transfer of vacation leave to the receiving employee, the finance officer of each transferring agency shall separate the requests by date of approval. The transferring and receiving agencies' finance officers shall transfer vacation hours, beginning with the requests for transfer approved at the earliest date.
- f. **Pro Rata Return of Unused Hours.** If all or a portion of the vacation leave hours which were actually transferred cannot be used by the receiving

employee, the transferring and receiving agencies' finance officers shall arrange the return of the unused vacation leave hours to the transferring employee, or if more than one transferring employee is involved, to the transferring employees on a pro rata basis.

VII. HIRING

A. General Authority

Each director has discretionary hiring authority for all authorized and funded vacant positions within the agency, provided such hiring is at the entry level salary. Such hirings shall be reported at the time of hiring to the Service Committee and the Legislative Council. Placement of a new employee at higher than entry level salary requires the prior approval of the Service Committee. Entry level salary is step one of the specified grade level of the position for original appointment or, for reappointment of former employees to the same position, the step determined by cumulative prior experience.

B. Affirmative Action - Equal Employment Opportunity

It is the policy of the Legislative Council that equal employment opportunities be provided to all qualified employees and applicants for employment regardless of race, religion, color, sex, national origin, age, sexual orientation, or physical or mental disability. Each agency shall adopt a program of affirmative action designed to provide employment opportunities on the basis of individual capabilities, motivation, and merit, and also designed to encourage women and minorities to seek employment and promotion on these bases. The director of each agency is responsible for that agency's efforts to provide equal employment opportunity. Each agency shall comply with the Iowa Civil Rights Act contained in Chapter 216 of the Code. Each agency shall seek qualified applicants and assist underqualified persons to become qualified within the job classifications of the agency. An agency shall seek applications from qualified women and minorities when vacancies or new positions are filled.

An agency shall adopt procedures to encourage the recruitment, hiring, and promotion of women and minorities. Position announcements shall be posted within the office area of the agency and in other appropriate areas of the capitol complex. The position may be advertised in an appropriate newspaper or newspapers based upon the period of time that has elapsed since a similar position announcement was last published.

The position announcement shall advise the employees that applications for the position must be filed in writing with the director of the agency and shall contain a description of the job and its duties and responsibilities. Applicants may be asked to complete a questionnaire indicating their race or national origin, sex, age, and whether they have a physical or mental disability. The questionnaire responses shall be used solely for periodic review to determine whether a well-qualified and diverse pool of applicants is being attracted.

An agency shall not favor or discriminate against any person in training, professional development, promotional opportunities, salary, or working conditions, because of race, religion, color, sex, national origin, age, sexual orientation, or physical or mental disability. Applicants or employees who believe they have experienced discrimination in hiring, promotion, termination, or other matters pertaining to employment may file a grievance with the Legislative Council. Any person aggrieved by the decision of the Legislative Council may initiate appropriate action through the court system.

C. Probationary Period

For the purposes of evaluating the performance of new employees (original appointment or reappointment of a returning employee to a permanent or temporary position), a probationary period will be implemented. The probationary period is, at the discretion of the director, the first six months of employment or the completion of a legislative session. During this period, the employee shall be ineligible for promotion or demotion. After the probationary period is over, either the director or the employee's supervisor will recommend to continue or terminate the employee. During the probationary period, employees may be terminated at will and the grievance procedure is not applicable to them.

VIII. LAYOFF AND RECALL

A. Layoffs and Order of Layoffs

With the approval of the Service Committee, a director may, due to budgetary requirements or workload demands, lay off an employee. Layoff shall be by job classification in reverse order of seniority.

B. Recall List

1. Each director shall establish and maintain a recall list used for filling vacant positions. Recall lists will be established by job classification and seniority. These lists shall consist of the names of permanent employees who were separated by layoffs. Employees shall be placed on the list in order of seniority (years-months-days of continuous service prior to layoff).
2. Employees shall be removed from the list for any of the following reasons:
 - a. Failure by applicant to maintain a current address as evidenced by the return of a properly addressed letter.
 - b. Failure by applicant to respond to a written inquiry concerning availability for employment within five working days following the inquiry.
 - c. Receipt of a written request that the employee no longer wants to be on a particular list.
 - d. Declination to accept a position for which the employee is eligible.

3. If no recall list exists for a given job class, the director shall follow the procedure for filling vacancies.

IX. PERFORMANCE EVALUATIONS

Each agency shall adopt a performance evaluation form or forms to be used for its employees. Copies of the form shall be provided to the Service Committee and to each employee of the agency.

A review on at least an annual basis, using the evaluation form, shall be made of each employee's performance by the director or a supervisor designated by the director. Attention should be directed to areas of strength and weakness, areas of past improvement or needed future improvement, and suggestions or requirements for further training or development. Exit performance evaluations shall be conducted before the last day of employment covering the period between the last evaluation and the last date of employment. A copy of a completed employee's performance evaluation form, and other documentation, if any, shall be given to the employee at the time of the employee's evaluation. The form shall be signed and dated by both the employee and the supervisor or director. A copy of the signed evaluation form shall be placed in the employee's file. The employee may make a written response relating to the performance evaluation and the response will be placed in the employee's file.

X. PROMOTIONS

A. Applicability

This chapter is not applicable to cost-of-living adjustments and annual merit increases, which are governed by Part IV of the guidelines.

B. Probationary Employees

Probationary employees shall be ineligible for a promotion during their probationary period.

C. Authority and Requirements for a Promotion

Each director shall have the discretion to promote an employee to either a vacant position or a new position when an employee meets the requirements of that position, with the prior approval of the Service Committee. A director may promote an employee to a higher classification and grade level within a job series of position classifications with the prior approval of the Service Committee for such reclassification. To be eligible for a promotion, the employee must at least receive satisfactory ratings on their current job assignment, and the employee must meet the minimum qualifications for the new position. A salary increase due to a promotion is in addition to any salary increase that an employee may receive under Part IV of these

guidelines. A promotion is a change in positions by an employee to a position that has been assigned a higher pay grade level.

D. Post Promotion

For current employees, a new probationary period may be required. For pay purposes, when an employee is promoted, the employee's salary shall be adjusted to step one of the grade level of the new position. If that does not result in at least a one-step increase, then the employee's salary shall be adjusted to the paystep at the new grade level that results in a one-step increase. However, for promotions between classes with a three or more pay grade difference, the employee shall be given a two-step increase in pay or the employee's salary shall be adjusted to step one of the grade level of the new position, whichever is greater.

XI. DEMOTIONS AND TERMINATION

A. Informal Review of Performance Shortcomings

The employee's director or immediate supervisor may at any time, in an informal manner, discuss concerns regarding existing performance problems. The director or supervisor may note in the employee's file the date and reasons for the meeting. The employee is expected to address the specified concerns.

B. Formal Review of Performance Shortcomings

The employee's director or immediate supervisor may make a formal review of performance shortcomings by memorandum, letter of reprimand, annual performance evaluation, or documented discussion. A listing of the employee's shortcomings and any written material relating to the formal review shall be placed in the employee's file. The employee shall be provided time to prepare a written response and the response shall be placed in the employee's file. Failure by the employee to show sufficient progress in addressing the performance shortcoming may result in demotion or termination.

C. Suspension

A director has discretionary authority to suspend an employee with or without pay.

D. Demotion

A director has discretionary authority to demote an employee. Demotion may be in step or in grade. Demotion in step shall be a one-step reduction within the employee's current grade. Demotion in grade shall be to step 6 in the grade of the next lower classification in the employee's job series or career ladder. If that does not result in at least a one-step decrease in salary, then the employee's salary shall be adjusted to the

pay step at the new grade level that results in a one-step decrease in salary. Demotions shall be reported to the Service Committee.

E. Termination

The director has discretionary authority to terminate an employee. All documentation regarding the termination shall be kept for at least two calendar years.

XII. GRIEVANCE PROCEDURES

A. Grievance Procedures - Authority

Pursuant to section 2.42, subsection 14, and section 2C.3, Code 1989, the following rules for hearing and acting upon appeals of aggrieved employees of the Legislative Service Bureau, Legislative Fiscal Bureau, Computer Support Bureau, and the Office of Citizens' Aide are established by the Legislative Council.

B. Definitions

Unless otherwise provided:

1. "Director" means the director of the Legislative Service Bureau, Legislative Fiscal Bureau, Computer Support Bureau, or the Office of Citizens' Aide.
2. "Employee" means a person employed by the Legislative Service Bureau, Legislative Fiscal Bureau, Computer Support Bureau, or the Office of Citizens' Aide. "Employee" does not include the director of the Legislative Service Bureau, the director of the Legislative Fiscal Bureau, the director of the Computer Support Bureau, or the Citizens' Aide.
3. "Committee" means the Service Committee of the Legislative Council.
4. "Council" means the Legislative Council.

C. Grievance Procedures - Rules

These rules shall constitute the procedures for resolving grievances or complaints of employees. Time limits specified within these rules begin the working day following the day an action takes place or is required.

D. Filing of Grievance or Complaint - Right of Employee

An employee may file or submit a grievance or complaint with a director, the Committee, or the Council as provided in these rules without fear of jeopardizing the employee's position or opportunities for advancement or salary increase. The employee involved in the proceeding shall cooperate with the employing authority so

that there will be a minimum of interference with normal operation of the agency's work. Time limits provided in these rules may be altered by mutual agreement.

E. Initiation of Complaint or Grievance

An employee shall file a grievance or complaint in writing with the director within five working days of the incident of the alleged grievance or complaint. The director shall transmit a written decision to the employee within five working days of receipt of the grievance or complaint.

F. Appeal to Committee - Submission in Writing

If the employee is not satisfied with the decision of the director, the employee may within five working days of receipt of the decision of the director file a grievance or complaint in writing with the chairperson of the Committee. A copy of the written grievance or complaint shall be filed with the director at the same time as the filing with the chairperson of the Committee. The director shall file a copy of the director's decision upon notification of the filing of the grievance or complaint with the Committee.

G. Consideration of the Written Grievance or Complaint by the Committee

The Committee shall consider the written complaint or grievance either within 30 days of its receipt, at its next regularly scheduled meeting, at a meeting specially called for such purpose, or at a subsequent meeting as determined by the Committee. The Committee shall make a written decision in regard to the grievance or complaint on the day the complaint or grievance is considered. However, if the Committee desires additional information from any person it may continue the hearing and notify the employee and the director of its decision to continue the hearing. The Committee may then request the additional information from the director or the employee affected. A copy of the written decision shall be filed with the director and employee.

H. Appeal to Council

If the employee is not satisfied with the decision of the Committee, the employee may appeal the Committee's decision to the Council by filing a written appeal with the chairperson and vice chairperson of the Council. A copy of the appeal shall be filed with the director at the same time. The chairperson shall set a time for hearing the written appeal of the grievance or complaint. The hearing may be part of a regular meeting of the Council or may be held during a special meeting called for such purpose. The appeal to the Council must be filed within five working days of the decision of the Committee. The decision of the Council in regard to the grievance or complaint is final. A copy of the written decision shall be filed with the director and employee.

I. Effect of Failure to Proceed

If the employee fails to proceed with the grievance or complaint within the time limits set forth in these rules or special time limits agreed upon, it shall be assumed the grievance or complaint has been settled on the basis of the last decision reached or that the employee does not desire to pursue the matter further. If a director fails to comply with the time limitations, the employee may proceed immediately to the next step as if a decision had been reached with which the employee was not satisfied.

J. Form and Content of Written Appeals

The written appeal shall contain such specific information as will adequately inform a director, the Committee, or the Council of the incident from which the appeal arose. A director, the Committee, or the Council may request additional information and may request the information be presented in a specific form or letter and provided to all parties involved. An employee may request that a third person be present to give evidence or represent the employee, however, the third person may decline to present evidence or represent the employee. All germane information presented at any hearing may be added to and shall become a part of an appeal. All hearings shall be held in an informal manner. Any party, a director, the Committee, or the Council may call witnesses and consider documents and written statements which shall not be limited by legal rules of evidence. Witnesses may decline to participate in the hearing.

K. Notification of Hearing

An aggrieved employee or any person affected shall be given reasonable notice of any hearing so that proper arrangements to attend the hearing can be made. An aggrieved employee shall be allowed time off with pay to attend the hearing.

L. Coercion of Employees

A director or another supervisor shall not coerce an employee into not proceeding with a grievance or a complaint or appearing as a witness at a hearing. An act of coercion shall be considered as a reason for a grievance or complaint which may be combined with the original grievance or complaint.

M. Amendments

A complaint or a grievance may be amended at any time prior to a decision. The amendment must relate directly to the original complaint or grievance and allowance of such amendments shall be within the discretion of the chairperson of the Committee or Council. The Committee or the Council may impose terms or grant a continuance with or without terms as a condition of such allowance. A request for an amendment shall be submitted in writing either to the chairperson of the Committee or the Council, as the case may be, and a copy shall be filed with the affected director.

XIII. NONPARTISAN POLITICAL PARTICIPATION GUIDELINES

In order to maintain fair and effective functioning of the Legislative Service Bureau, the Legislative Fiscal Bureau, the Computer Support Bureau, and the Office of Citizens' Aide, it is necessary that their employees not participate in partisan politics.

A. Participation in Partisan Politics Defined.

Participation in partisan politics means and includes the following:

1. Organizing a political party or club.
2. Actively participating in or attending fund-raising activities for a partisan candidate or partisan political party.
3. Becoming a partisan candidate for or campaigning for an elective public office.
4. Actively working in or managing the campaign of a partisan candidate for public office.
5. Initiating or circulating a partisan nominating petition or soliciting votes for a partisan candidate for public office.
6. Serving as a delegate, alternate, or proxy to a political party caucus or convention.
7. Speaking at political party meetings in support of a partisan candidate for public office or party office.
8. Giving or receiving money for partisan political purposes unless giving the money for political purposes will remain confidential such as is provided in the state income tax law.
9. Endorsing a partisan candidate for public office or political party office in a political advertisement, broadcast, or campaign.
10. Speaking to a political convention, caucus rally, or similar gathering of a political party except when providing information on an objective and nonpartisan basis.

B. Identification as an Advocate

In addition employees must take care that the employee is not identified as an advocate or an opponent of an issue which is subject to legislative debate except as otherwise provided by law.

C. Allowable Political Functions

There are some political functions which can be exercised by legislative staff which will not inhibit the exercise of a person's election franchise or free speech and will not diminish the fair and effective functioning of the agencies. While the following is not intended to be a complete list, it can be used as a guideline regarding allowable political activities. An employee may do the following:

1. Vote at all elections and register as a member of a political party.
2. Discuss publicly legislative issues and matters of public interest so long as discussions are not directed toward party success or failure and so long as the discussion does not promote or downgrade a party or member of a party and lead other persons to believe that the employee favors one party or another.
3. Participate in nonpartisan elections or be politically active in issues which are not specifically identified with any national or political party.
4. Participate in public affairs if the participation does not materially imply that the employee favors one political party or another.
5. Attend political conventions or functions to which the public at large is invited if the employee does not take part in the convention or in the deliberations and refrains from a public display of partisanship.
6. Attend any political meeting such as where political candidates or political figures are attending if the public at large is invited and if the attendance will not result in the appearance to persons that the employee is engaging in a political activity with the result that confidence in that employee could be eroded.
7. a. Participation in the precinct party caucuses for presidential candidate selection is permitted since it is the equivalent of voting in a primary election. Participation at a higher level, such as being a delegate to a county party convention, is not permitted.

b. Behavior while participating in the precinct caucuses is governed by the guidelines, including the specific guidance given in regard to what are allowable activities and what are prohibited activities.

D. Application of Policies to Immediate Family

The policies established shall not apply to the spouse or children of an employee.

E. Consultation with Department Head in Case of Questions

An employee should exercise judgment in participating in any activities that might be construed by others as partisan in nature and which might compromise the belief that

the employee will work on a nonpartisan relationship. If an employee is in doubt about attendance at a particular function or a possible political practice, that employee should consult with the agency director prior to attending the function in order that the employee's right of free speech and association will be maintained and the efficiency and fairness of the offices will not be compromised as a result of a lack of confidence by the persons for whom the employee must work.

F. Penalties

Penalty for violation of any provisions may include a warning, reprimand, demotion, suspension, loss of reclassification, loss of salary increase, or termination of employment. The director shall determine the penalty to be imposed, however, no penalty, except a warning or reprimand, shall be imposed, until the violation and penalty are reviewed by the Service Committee. The Service Committee may change or modify the penalty through the grievance procedures. If a director violates these provisions, the Service Committee shall review the violation and impose the penalty, if any.

XIV. GIFTS AND SALES OF GOODS AND SERVICES

A. Gifts

1. As used in this paragraph A, the words "gift," "honorarium," "immediate family member," "public disclosure," and "restricted donor" have the same meanings as provided in chapter 68B of the Iowa Code.
2. Except as provided in this paragraph A, a restricted donor or donors shall not, directly or indirectly, individually or jointly, offer or make any gift or series of gifts to an employee or an immediate family member of an employee. An employee or the employee's immediate family shall not solicit any gift or series of gifts at any time. An employee shall not seek or accept an honorarium from a restricted donor.
3. Gifts which would otherwise be prohibited may however, be received by an employee if any of the exclusions contained in section 68B.22, subsection 4, of the Iowa Code apply to receipt of the gift.
4. A restricted donor may give, and an employee or an immediate family member of an employee may accept, an otherwise prohibited nonmonetary gift or series of gifts if the gift or series of gifts is donated within 30 days to a public body, a bona fide educational or charitable organization, or the Department of General Services. The employee shall file a report of the gift or series of gifts with the employee's legislative agency. A report required to be filed pursuant to these rules shall be filed by the fifteenth day of the month following the month in which the gift or series of gifts was made or

received. The report shall show the donor, donee, nature, amount, date, and disposition or intended disposition of each gift or series of gifts.

5. Each director shall designate a custodian of the reports filed with that agency. The Legislative Council may request compilations on or copies of those reports. The reports are available for public inspection as provided in Chapter 22 of the Iowa Code.

B. Sales of Goods or Services

1. As used in this paragraph B, the words "legislative employee," "lobbyist," and "person" have the same meanings as provided in chapter 68B of the Iowa Code.
2. A legislative employee shall not sell goods or services with a value in excess of \$2000 to the general assembly, a legislative branch agency, or a state executive branch agency with which the employee has substantial and regular contact, unless the sale has been made pursuant to an award or contract let after public notice and competitive bidding. The public bid requirement does not apply to legislative employees who are instructors at accredited education institutions and who possess the appropriate license and education requirements for that education institution, or to publication of various legal notices and propositions in newspapers that have been designated as the place for publication of legal notices or propositions.
3. Except as provided in this subparagraph, a permanent legislative employee shall not sell, directly or indirectly, any goods or services to individuals, associations, or corporations which employ persons who are registered lobbyists before the general assembly.

A legislative employee who is not the director of a central legislative staff agency may sell goods or services and not be in violation of this paragraph A if all of the following conditions are met:

- a. The employee obtains the prior consent of the director of the employee's agency.
- b. The goods or services to be sold do not include lobbying the general assembly and selling goods or services to the general assembly.
- c. The duties and functions performed by the legislative employee are not related to the legislative authority of the general assembly over the individual, association, or corporation or the duties and functions performed by the legislative employee for the general assembly will not be affected by the proposed sale of goods or services to the individual, association, or corporation.
- d. Either the value of the goods or services is under \$2000, or the value is greater than \$2000 and the contract is let either with someone other

than a state agency, or with a state agency, but has been let after public notice and competitive bidding.

If the legislative employee is the director of a central legislative staff agency, all of the above requirements shall apply, except that prior consent of the Legislative Council shall be required in lieu of consent of the director of the agency.

4. Each director shall specify a procedure for receiving and recording requests by employees for permission to sell goods or services. Records of the requests are available for public inspection as provided in Chapter 22 of the Iowa Code. This chapter shall not apply to goods or services rendered voluntarily by an employee for which no compensation is received. This chapter shall not be construed to permit sales of goods or services which would either constitute an unlawful receipt of an honorarium or would constitute services against the interest of the state in violation of section 68B.6 of the Iowa Code.

REPORT OF GIFTS RECEIVED

Reporting Requirement. An employee of a central legislative staff agency is required to file a report with the employee's agency when any prohibited gift or series of gifts is received from a restricted donor by the employee or an immediate family member of the employee and is subsequently donated to a public body, a bona fide educational or charitable organization, or the Department of General Services. This reporting requirement does not apply to otherwise prohibited gifts for which an exclusion is provided under section 68B.22, subsection 4. A report required to be filed under paragraph A of Part XIV of the Guidelines is due by the 15th of the month following the month in which the gift is received.

Pertinent Statutory Law. Iowa law prohibits the acceptance of any gift or series of gifts from a restricted donor unless an exclusion applies to receipt of the gift. However, otherwise prohibited nonmonetary gifts may be received if the item or items are donated within 30 days to a public body, a bona fide educational or charitable organization, or the Department of General Services. Iowa Code Chapter 68B should be reviewed with respect to the definition of the term "gift", the statutory exclusions, and other pertinent requirements.

GIFTS:

1. Donor/Organization _____
Date Received _____
Nature and Amount _____

Disposition _____

2. Donor/Organization _____
Date Received _____
Nature and Amount _____

Disposition _____

3. Donor/Organization _____
Date Received _____
Nature and Amount _____

Disposition _____

Date

Donee's Signature

XV. EMPLOYEE CONDUCT

Each director shall have the authority to define policies and procedures for the operations of their agencies within the context of these guidelines and each agency's operating requirements. The director shall compile these policies and procedures into an employee handbook that is provided to all employees of the agency.

Such policies and procedures may include, but are not limited to, those relating to dress code, smoking in the workplace, outside employment, and various operating procedures.

Such policies and procedures shall be filed with the Service Committee for its review and approval.

XVI. PERSONNEL RECORDS

The director or the director's designee shall maintain and be custodians of all personnel files on each employee of that agency. These files shall also include but not be limited to performance evaluation records and any disciplinary proceedings against the employee. An employee who is no longer employed by the agency, whether by resignation or termination, shall have the employee's file kept in the agency for a period not to exceed two years, then transmitted to the General Services Records Center. Employees shall have the right to inspect and have copies made of their personnel files during regular business hours. All records shall be held as confidential in accordance with Code Section 19A.15.

XVII. UNAUTHORIZED COMPUTER ACCESS (HACKING)

Unauthorized computer access is the attempt, successful or unsuccessful, to access the legislative computer system without proper authorization from the Legislative Computer Support Bureau. Unauthorized computer access includes but is not limited to: Attempting or using a sign-on belonging to another individual, attempting to access modes and data without proper authorization, or attempting to disrupt the computer system by intentionally causing the computer system to abort or terminate.

Unauthorized computer access is also any attempt to compromise data stored on a microcomputer (pc) within the capitol complex or belonging to the Legislature or any attempt to alter the hardware or software without authorization of the Computer Support Bureau.

Unauthorized access attempts will be monitored by the Legislative Computer Support Bureau and immediate notification will be made to the Secretary of the Senate, Chief Clerk of the House, and the directors of the central staff agencies.

The Legislative Computer Support Bureau will attempt to provide details to help determine where the unauthorized access was made and, if possible, the actual person or persons attempting the unauthorized access.

The Legislative Computer Support Bureau may disable the user-id of any employee found attempting unauthorized access and will restore the user privilege only at the direction of the Service Committee. The Legislative Computer Support Bureau shall notify the employee and the employee's director when a user-id has been disabled.

Penalties for unauthorized access or the attempt of unauthorized access of the legislative computer system or microcomputers may include a warning, reprimand, demotion, suspension, loss of reclassification, loss of salary increase, or termination of employment, as determined by the employee's director. The Service Committee may change or modify the penalty through the grievance procedures prescribed in Part XII of these guidelines.

XVIII.CONFLICTS OF INTEREST

- A. An employee of a central legislative staff agency shall not engage in any outside employment or activity which is in conflict with the employee's official duties and responsibilities and shall seek to avoid all conflicts of interest between the employee's own financial, business, property, or personal interests and the interests of the employee's agency. Depending on the circumstances, the interests of the employee's agency may or may not be synonymous with the interests of the legislative branch or the state in general.
- B. An employee of a central legislative staff agency shall not accept outside employment or enter into a financial, business, property, or personal relationship if the outside employment or financial, business, property, or personal relationship will or may reasonably adversely affect the employee's professional judgment exercised by the employee on behalf of the employee's agency.
- C. An employee of a central legislative staff agency shall not disclose or use confidential information acquired in the course of the employee's professional responsibilities performed on behalf of the employee's agency in order to benefit the employee's outside employment or financial, business, property, or personal relationship.
- D. In determining whether a conflict of interest or potential conflict of interests exists an employee shall take into consideration the following factors:
 - 1. Whether a substantial threat to the employee's independence of judgment has been created by the conflict situation.
 - 2. Whether a substantial likelihood exists that the performance of the employee's professional responsibilities will affect the outside employment or financial, business, property, or personal relationship.

3. Whether the exercise of the employee's professional responsibilities, considering the outside employment or financial, business, property, or personal relationship, would give rise to the appearance of professional impropriety and therefore diminish legislative and public confidence in the employee's conduct or the operations of the employee's agency.
 4. Whether the outside employment or activity involves the use of central legislative staff agency time, facilities, equipment, and supplies or other evidence of central legislative staff agency employment to give the employee or member of the employee's immediate family an advantage or pecuniary benefit that is not available to similarly situated members of the general public.
 5. Whether the outside employment or activity involves the receipt of, promise of, or acceptance of money or other consideration from a source other than the state for the performance of any act that the employee must or should perform as part of their regular duties.
 6. Whether the outside employment or activity is subject to the official control, inspection, review, audit, or enforcement authority of the employee during the performance of the employee's duties.
- E. An employee may consult with the agency director in order to determine whether a conflict of interests or potential conflict of interests exists.
- F. If the director of an employee's agency determines that a conflict of interests or potential conflict of interests exists, the director may require the employee to make full disclosure to the director of all relevant facts relating to the outside employment or financial, business, property, or personal relationship, in order to determine what steps may be necessary to take in order to eliminate the conflict of interests or potential conflict of interests. If the conflict meets the criteria specified in paragraph D, subparagraph 4 or 5, the employee shall cease the activity. If the conflict meets the criteria specified in paragraph D, subparagraph 6, the employee shall either cease the activity or disclose the conflict in the manner required by the director.

XIX. PERSONAL FINANCIAL DISCLOSURE

- A. As used in this part, the words "legislative employee," "personal financial disclosure," and "financial statement" have the same meanings as provided in chapter 68B of the Iowa Code.
- B. The following legislative employees of the central legislative staff agencies are required to file a financial statement containing the information enumerated in paragraph C:

1. Directors of the central legislative staff agencies.
 2. Deputy directors of central legislative staff agencies.
 3. Central legislative staff agency employees who exercise substantial administrative or supervisory authority over other employees.
 4. Central legislative staff agency employees who expend or approve the expenditure of agency funds as part of their regular duties.
- C. The personal financial statements shall be in writing and shall contain the following financial information:
1. A list of each business, occupation, or profession in which the person is engaged and the nature of that business, occupation or profession, unless already apparent.
 2. A list of any other sources of income if the source produces more than one thousand dollars annually in gross income. Sources of income listed pursuant to this subparagraph shall be listed under the following categories:
 - a. Securities.
 - b. Instruments of financial institutions.
 - c. Trusts.
 - d. Real estate.
 - e. Retirement systems.
 - f. Other income categories specified in state and federal income tax regulations.
- D. Personal financial statements required under this section shall be filed annually, on or before February 15 for the most recently completed calendar year, with the Service Committee of the Legislative Council and shall be on file in the Legislative Service Bureau.

**IOWA GENERAL ASSEMBLY
CENTRAL LEGISLATIVE STAFF AGENCIES**

PERSONAL FINANCIAL DISCLOSURE FORM

Name: _____
Agency: _____
Agency Director: _____

In completing this form, if insufficient space is provided, you may include additional information by attaching full-size sheets of paper to this form.

Division I. Business, Occupation, or Profession.

A. Name of Business, Occupation, or Profession: List each business, occupation, or profession in which you are engaged, regardless of the amount of income derived or time spent participating in the activity.

Examples:

- State the name of the legislative agency in which you are employed.
- If you are also self-employed and are not incorporated or are not doing business under a particular business name, also state that you are self-employed.
- If you are also employed outside of the general assembly by a private individual, state the name of the individual employer.
- If, in addition to your legislative employment, you own your own corporation, are employed by a corporation, or are doing business under a particular business name, state the name of the business or corporation.
- If, in addition to your legislative employment, you are employed by a consulting firm, state the name of the consulting firm.

1 _____
2 _____
3 _____
4 _____
5 _____

B. Nature of Business, Occupation, or Profession: State the nature of each of the businesses, occupations, or professions which you listed in part "A" above, unless the nature of the business, occupation, or profession is already apparent from the information indicated above. The descriptions in this part should correspond by number to the numbers for each of the businesses, occupations, or professions listed in part "A" above.

Examples:

- State your position or job title within your employing legislative agency.

- If you indicated that you were also self-employed in part "A" above, you should list in this part the types of activities that you engage in and the goods or services that you provide.
- If you indicated that you were also employed by a particular private individual in part "A" above, you should indicate in this part the type of services that you provide for the individual. If your position involves the sale of goods or services, the kinds of goods or services sold should also be indicated.
- If you indicated that you were also employed by a corporation or other similar organization in part "A" above, you should indicate your position within the corporation or organization and the kinds of services rendered to or on behalf of the corporation or organization in this part. If you indicated that you are a teacher, the type of school or institution served should also be indicated. If you are providing legal services, the areas of practice should also be indicated.
- If you indicated in part "A" above that you were also employed in a particular consulting firm, in this part you should indicate the kind of services provided and types of clients served.

1 _____
 2 _____
 3 _____
 4 _____
 5 _____

Division II. Sources of Gross Income Subject to Taxation.

In this division, list each source, by general description, from which you receive, or which generates, more than \$1000 in annual gross income in each of the categories listed below. For purposes of this division, a source produces annual gross income if the revenue produced by the source is subject to federal or state income taxes. In completing the items listed below, list the nature or type of each company, business, financial institution, corporation, partnership, or other entity which produces for you more than \$1000 of annual gross income. Neither the amount of income produced nor value of the holding is required to be listed in any of the items. Do not report income received by your spouse or other family members.

A. Securities: State the nature or type of the company in which stock, bonds, or other pecuniary interests are held that generate more than \$1000 in annual gross income. For purposes of this item, income generated by multiple holdings in a single company are deemed received from a single source. For example, if you hold multiple shares of stock in a single corporation, you must add together the income received from all shares to determine the income received from that corporation. Stock "owned" through investment in a mutual fund should be shown by identifying the general nature or type of the mutual fund.

B. Instruments of Financial Institutions: State the types of institutions in which you hold financial instruments that produce annual gross income in excess of \$1000 and indicate the nature of the income source, e.g., savings account, certificate of deposit, etc.

C. Trusts: State the nature or type of any trust from which you receive more than \$1000 of gross income annually. Indicate whether the trust is a family trust. If the income is received from a charitable trust or foundation in the form of a grant, the fact that the trust is a charitable trust should be noted.

D. Real Estate: State the general nature of each real estate interest that generates more than \$1000 of gross income annually, e.g., residential leasehold interest or farm leasehold interest. The size or location of the property interest is not required to be listed.

E. Retirement Systems: State the name of each pension plan or other corporation or company from which you receive more than \$1000 annually in retirement benefits. If you receive a benefit jointly with another person, benefits with an annual value in excess of \$1000 from which you actually benefit must also be listed. The name of the other person or persons is not to be listed, however.

Division III. Other Income Categories.

Other Reported Income: Provide a description of other sources of income producing over \$1000 in annual gross income that have not been reported above, but which must be reported for income tax purposes. The amount or value of the source is not required to be listed.

Employee Signature: _____ Date: _____

XX. SEXUAL HARASSMENT

A. Sexual Harassment Policy.

1. Sexual harassment is prohibited under Iowa Code Section 19B.12. As defined in 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. Conduct of a sexual nature that interferes with, or affects employment decisions regarding an employee, or creates an intimidating, hostile, or offensive work environment for an employee, shall constitute unlawful behavior.
2. Sexual harassment shall include, but is not limited to, the following:
 - a. Unsolicited sexual advances by a person toward another person who has clearly communicated the other person's desire not to be the subject of those advances.
 - b. Sexual advances or propositions made by a person having superior authority toward another person within the workplace.
 - c. Instances of offensive sexual remarks or speech or graphic sexual displays directed at a person in the workplace who has clearly communicated objection to that conduct, and where the person is not free to avoid that conduct due to the requirements of employment.
 - d. Dress requirements that bear no relation to the person's employment responsibilities.

B. Applicability.

This policy applies to full-time, part-time, and temporary central legislative staff agency employees as perpetrators or as victims of fellow central legislative staff agency employees. For purposes of this policy, the word "employee" also applies to central legislative staff agency volunteers, interns, and consultants. This policy shall be distributed to all employees at the time of hiring or orientation.

Members, employees, interns, and consultants of the Senate and House of Representatives and lobbyists are subject to the jurisdiction of the Senate and House respectively regarding sexual harassment complaints.

C. Filing a Formal Complaint.

A complaint may be filed with the director of a central legislative staff agency. If the complaint involves the director of a central legislative staff agency or an employee of a

different central legislative staff agency, the complaint may be filed directly with the Service Committee of the Legislative Council.

If the complaint involves a member or an employee of the Senate or House of Representatives or a lobbyist, the complaint should be filed with the Senate or House in accordance with the sexual harassment complaint or grievance procedures established by the Senate or House.

D. Investigation of Complaint.

The director shall begin investigation of a complaint within 48 hours of receipt of the complaint, and shall complete the investigation within 30 calendar days. The director should generally consult with the alleged harasser's supervisor in the investigation of the complaint. If the director determines that sexual harassment has occurred, the director shall take appropriate disciplinary action ranging from a written warning or reprimand, to suspension with or without pay, to termination of employment. A director who neglects to investigate promptly a sexual harassment complaint is also subject to the scope of disciplinary action described in this paragraph, up to and including termination of employment.

The Service Committee shall begin investigation of a complaint within 48 hours of receipt of the complaint, and shall complete the investigation within 30 calendar days. If the Service Committee determines that sexual harassment has occurred, the Service Committee shall take appropriate action. If the Service Committee neglects to investigate promptly a sexual harassment complaint under this policy, the complaint may be refiled with the Legislative Council, which is subject to the same guidelines as the Service Committee.

E. Confidentiality.

Any complaint or investigation of sexual harassment shall be handled confidentially in accordance with Iowa Code Section 19A.15.

F. Evidentiary Standards.

Disciplinary action shall be taken if the evidence, when viewed from the perspective of a reasonable person of the same sex as the victim, supports the claim of the victim. The nature of the disciplinary action shall depend on the severity of the sexual harassment.

G. Retaliation.

Retaliation, intimidation, or reprisal against a central legislative staff agency employee who files a sexual harassment complaint or assists in the investigation of a sexual harassment complaint is prohibited. A person found to be in violation of this

prohibition is subject to appropriate disciplinary action ranging from a written warning or reprimand, to suspension with or without pay, to termination of employment.

H. Training.

Each agency shall establish and submit to the Council a sexual harassment training policy for that agency. The policy shall set out the agency's plan for creating, maintaining, and monitoring a workplace free of harassment, and for advising employees of their rights and duties in participating in a workplace free of harassment.

I. Procedural and Filing Alternatives.

If not satisfied with the results of an investigation, the employee may utilize the grievance procedures established in Part XII of the *Personnel Guidelines for the Central Legislative Staff Agencies*.

SEXUAL HARASSMENT COMPLAINT FORM

Name: _____ Bureau or Office: _____
Job Title: _____ Director: _____

1. Who was responsible for the harassment? _____

2. Describe the sexual harassment:
First Incident: _____

Approximate date, time, and place: _____

What was your reaction/did you take any action? _____

Second Incident: _____

Approximate date, time, and place: _____

What was your reaction/did you take any action? _____

Subsequent Incidents: _____

Approximate dates, times, and places: _____

3. List any witnesses to the harassment: _____

I understand that these incidents will be investigated, but this form will be kept confidential to the highest degree possible and in accordance with Section 19A.15 of the Iowa Code.

Employee Signature _____ Date: _____

XXI.SUBSTANCE ABUSE

A. Prohibitions

1. Prohibitions Subjecting Employees to Summary Discharge.
 - a. Employees of the central legislative staff agencies are prohibited from engaging or participating in any of the following activities:
 - i. Reporting to work during regular work hours while under the influence of alcohol or nonprescribed controlled substances.
 - ii. The illegal manufacture, possession, sale, purchase, transfer, consumption, or use of alcohol or controlled substances while engaged in state business, or on the employer's premises or in state offices.
 - iii. The illegal use or abuse of controlled substances or the consumption of alcohol during the operation of a state vehicle or a personal vehicle when the employee expects to receive reimbursement for mileage from the state; or the illegal use or abuse of controlled substances or the illegal or abusive consumption of alcohol preceding the operation of a state vehicle or a personal vehicle when the employee expects to receive reimbursement for mileage from the state.
 - iv. The abusive use of prescription drugs or controlled substances while engaged in state business or on the employer's premises or in state offices.
 - b. Employees engaging or participating in any of the activities prohibited under this subparagraph 1 are subject to summary discharge, absent mitigating circumstances. Summary discharge means discharge from employment upon completion of a fair and thorough investigation substantiating the egregious conduct. Such discharge need not be preceded by progressive discipline, which includes, but is not limited to, verbal warning, written reprimand, and suspension.
2. Prohibitions Subjecting Employees to Discipline or Discharge.
 - a. Employees of the central legislative staff agencies are prohibited from engaging or participating in any of the following activities:
 - i. Reporting to work or returning to work, during regular work hours following a meal or break period during which alcohol, prescription drugs, or controlled substances are consumed or used, in an impaired condition. Reporting to work outside regular work hours in an impaired condition due to the consumption or use of alcohol, prescription drugs, or controlled substances, without informing the appropriate supervisor of the impaired condition prior to reporting to work.

- ii. Below standard job performance or on-the-job misconduct, including, but not limited to, excessive absenteeism or tardiness, caused by the consumption or use of alcohol, prescription drugs, or controlled substances.
 - iii. Off duty misconduct involving the illegal manufacture, possession, sale, purchase, transfer, consumption, or use of alcohol or controlled substances, the illegal use or abuse of controlled substances or the consumption of alcohol during, or the illegal use or abuse of controlled substances or the illegal or abusive consumption of alcohol preceding, the operation of a vehicle, or the abusive use of prescription drugs or controlled substances, if a nexus exists between the off duty misconduct and the employee's job duties. Nexus means a connection, link, or tie to the employee's job duties, to the ability of the employee to perform the job duties, or to serious damage caused to the reputation of the employer. A nexus may exist for employees of the central legislative staff agencies between off duty conduct which results in any serious or aggravated misdemeanor or felony charge involving alcohol, prescription drugs, or controlled substances and the employees' job duties relating to the work of the legislature as the public institution charged with lawmaking.
- b. Employees engaging or participating in any of the activities prohibited under this subparagraph 2 are subject to discipline or discharge, absent mitigating circumstances.

B. Mitigating Circumstances.

Mitigating circumstances may include, but are not limited to, alcohol or drug dependency, unknowing or mistaken consumption, consumption or use as directed by a practitioner, as defined in chapter 155A, if any restrictions on activity imposed by the practitioner are also complied with, and other factors if raised as a defense in the investigatory meeting by the employee or if the employer has a reasonable belief that a mitigating circumstance is present.

An employee shall be offered an opportunity to seek an evaluation and treatment, if necessary, for the alcohol or drug dependency, unless any of the following apply:

1. The employee's violation of paragraph A, subparagraph 1 or 2 compromises the employee's ability to responsibly perform the employee's job duties or compromises the employer's fulfillment of the agency's mission.
2. The employee has previously violated paragraph A, subparagraph 1 or 2 and has been given a final written warning or is subject to an executed last

chance agreement to refrain from further violation of paragraph A, subparagraph 1 or 2.

3. The employee's violation is so egregious that summary discharge is the appropriate action.

If the employee wishes the alcohol or drug dependency to be considered as a mitigating circumstance, the employee bears the responsibility to seek evaluation and to provide the employer with documentation of an alcohol or drug dependency and treatment recommendations.

During the period of time when the employee is waiting for an evaluation to determine alcohol or drug dependency, the employer may require the employee to take a leave of absence and to use vacation, compensatory, or sick leave, as appropriate, or to request leave without pay. If the results of the evaluation determine that the employee is not alcohol or drug dependent, the employer shall proceed with discipline or discharge as appropriate. If the results of the evaluation determine that the employee is alcohol or drug dependent, the employer may establish successful completion of treatment and abstention from the consumption of alcohol or use or abuse of drugs for a reasonable period of time as a condition of continued employment.

As an alternative to a leave of absence while the employee is waiting for the evaluation, the employer, depending on the circumstances, may discharge the employee and, following an evaluation and successful completion of treatment initiated by the employee, may reinstate the employee conditioned upon the employee's abstention from the consumption of alcohol or use or abuse of drugs for a reasonable period of time.

C. Procedures.

If the employer observes or receives evidence of a violation of paragraph A, subparagraph 1 or 2, the employer shall immediately commence an investigation in order to determine appropriate disciplinary action. The investigation shall be conducted, and any appropriate discipline imposed, independent of any criminal investigation related to the alleged violation. Once the investigation is commenced, the employer shall carefully collect and preserve any relevant evidence and instruct any witnesses to immediately reduce their observations to writing and to sign and date their statements. The investigation must include an opportunity for the employee to meet with the employer. At the meeting the employer must present the alleged violations and allow the employee to respond to the allegations and to any evidence presented, and to offer any mitigating circumstances. The employer may suspend the employee with pay pending the completion of the investigation. Upon completion of the investigation, the

employer must meet with the employee to inform the employee of the imposition of any discipline or of discharge.

Information obtained in the administrative investigation under threat of loss of job or other discipline is generally not admissible in a criminal proceeding. Arrest and incarceration may necessitate temporary removal of an employee from the job with leave charged to the employee or with leave without pay. Reassignment of duties is a possible alternative based on the circumstances. If the employee is incarcerated at the time of completion of the independent administrative investigation or upon conviction for a criminal offense, the employee may be summarily discharged unless extenuating circumstances exist in which case the employer may grant a leave of absence without pay for a limited period of incarceration. However, the employee must request such a leave of absence and, if the employee does not, the employer may discharge the employee for absence from the job without proper authorization.

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ADMINISTRATIVE CODE EDITOR

JULIE E. LIVERS

LEGISLATIVE INFORMATION OFFICE DIRECTOR

June 13, 1995

MEMORANDUM

TO: CHAIRPERSON MICHAEL GRONSTAL AND MEMBERS OF THE SERVICE COMMITTEE

FROM: DIANE BOLENDER

RE: 1995 ANNUAL PERSONNEL REPORTS

Pursuant to the Personnel Guidelines for the central legislative staff agencies adopted by the Legislative Council, enclosed are the following items required to be filed with the Service Committee each June:

1. Position classification system
2. Overtime accrual for employees of the Legislative Service Bureau
3. Employees' names, grades, steps, and merit step eligibility dates

In addition to these information items, the Legislative Service Bureau annually submits a copy of its Policies and Procedures Manual. This manual is unchanged from the manual submitted to members of the Service Committee in June 1994, with the following exceptions:

1. The attached five pages of LSB division charts depict current positions within each division and the employees filling those positions.
2. The attached two pages represent modifications to the job descriptions for the Capitol Tour Guide operation. The modifications more accurately delineate the responsibilities assigned to permanent, part-time Tour Guides and to temporary, part-time Tour Guides.

3. The following modifications are made to the listing of LSB employees subject to the 120-hour compensatory leave limitation:

Amend Ch. 4(III)B(2)a-c to read as follows:

a. Employees in the following positions may accrue up to 120 hours of compensatory time for overtime worked through the legislative session on an hour-for-hour basis, provided that the 120 hours shall not begin to accrue until after these employees have accrued an initial 40 hours of overtime during the legislative session: Director, Deputy Director, ~~Deputy Administrative Code Editor~~, Iowa Code Editor, Deputy Iowa Code Editor, Administrative Code Editor, Deputy Administrative Code Editor, Assistant Editor 3, Legal Services Administrator, Committee Services Administrator, Legal Counsels, Research Analysts, Legislative Information Office Director, Legislative Information Officers, Senior Finance Officer, Finance Officers, and Computer ~~System~~Systems Analysts, and Secretaries.

b. Employees in the following permanent full-time positions accrue one and one-half hours of compensatory time for every hour of overtime worked: Legislative Text Processors, Proofreaders, ~~Secretaries~~, Document Processors, ~~Librarian~~ Librarians, Capitol Tour Guide Supervisor, Assistant Editors 1 and 2 Publication Assistants, and Indexers, ~~and Finance Officer~~.

c. Employees in the following temporary or part-time positions receive one and one-half hours of overtime pay for every hour of overtime worked: ~~Assistant Librarian~~, Capitol Tour Guides, temporary Document Processors, temporary Proofreaders, and Pages.

4. Add the attached one-page Laptop Computer Policy as Part XII to Chapter 4.

cl/persann

LEGISLATIVE SERVICE BUREAU
Position Classification System

<i>POSITION CLASSIFICATION</i>	<i>PAY GRADE</i>
Deputy Director	41
Legal Services Administrator	38
Committee Services Administrator	38
Iowa Code Editor	38
Administrative Code Editor	38
Senior Legal Counsel	38
Senior Research Analyst	38
Legal Counsel 2	35
Research Analyst 3	35
Senior Computer Systems Analyst	35
Deputy Iowa Code Editor	35
Deputy Administrative Code Editor	35
Legal Counsel 1	32
Research Analyst 2	32
Computer Systems Analyst 3	32
Senior Finance Officer	31
Legal Counsel	30
LIO Director	30
Assistant Editor 3	30
Research Analyst 1	29
Computer Systems Analyst 2	29
Index Supervisor	28
Text Processor Supervisor	28
Research Analyst	27
Computer Systems Analyst 1	27
Senior Librarian	27
Assistant Editor 2	27
Confidential Secretary	27
Finance Officer 2	27
Indexer 2	25
Senior Text Processor	25
Document Processor Supervisor	25
Computer Systems Analyst Trainee	24
LIO Officer	24
Assistant Editor 1	24
Librarian	24

LEGISLATIVE SERVICE BUREAU
Position Classification System

<u><i>POSITION CLASSIFICATION</i></u>	<u><i>PAY GRADE</i></u>
Executive Secretary	24
Finance Officer 1	24
Assistant Librarian	22
Indexer 1	22
Text Processor 2	22
Senior Document Processor	22
Proofreader Supervisor	22
Publications Assistant	21
Administrative Secretary	21
Assistant Finance Officer	21
LIO Assistant	19
Assistant Indexer	19
Text Processor 1	19
Document Processor 2	19
Proofreader 2	19
Document Processor 1	16
Proofreader 1	16
Capitol Tour Guide Supervisor	14
Assistant Document Processor	13
Capitol Tour Guide	12
LSB Page	minimum wage

Job descriptions for these classifications are contained in Chapter 2 of the Legislative Service Bureau Policies and Procedures Manual.

**LEGISLATIVE SERVICE BUREAU
MANAGERS & DRAFTERS OVERTIME
01/01/95 - 06/01/95**

ELIGIBLE FOR PARTIAL COMPENSATION

<u>Employee</u>	<u>Overtime Hours</u>	<u>Adjustment first 40</u>	<u>Overtime less 40</u>	<u>Compensatory Hours</u>
1	531.00	40.00	491.00	120.00
2	355.75	40.00	315.75	120.00
3	341.50	40.00	301.50	120.00
4	322.50	40.00	282.50	120.00
5	322.25	40.00	282.25	120.00
6	320.75	40.00	280.75	120.00
7	304.75	40.00	264.75	120.00
8	242.75	40.00	202.75	120.00
9	218.00	40.00	178.00	120.00
10	214.50	40.00	174.50	120.00
11	212.75	40.00	172.75	120.00
12	199.00	40.00	159.00	120.00
13	188.50	40.00	148.50	120.00
14	188.50	40.00	148.50	120.00
15	182.00	40.00	142.00	120.00
16	171.50	40.00	131.50	120.00
Total Hours	4,316.00	640.00	3,676.00	1,920.00
Average	269.75	40.00	229.75	120.00

LEGISLATIVE INFORMATION OFFICE

1	353.50	40.00	313.50	120.00
2	181.00	40.00	141.00	120.00
3	101.25	40.00	61.25	61.25
Total Hours	635.75	120.00	515.75	301.25
Average	211.92	40.00	171.92	100.42

OTHERS

1	75.00	40.00	35.00	35.00
2	65.00	40.00	25.00	25.00
3	60.50	40.00	20.50	20.50
Total Hours	200.50	120.00	80.50	80.50
Average	66.83	40.00	26.83	26.83

**LEGISLATIVE SERVICE BUREAU
PERMANENT FULL-TIME SUPPORT STAFF OVERTIME
01/01/95 - 06/01/95**

ELIGIBLE FOR FULL COMPENSATION

<u>Employee</u>	<u>Overtime Hours</u>	<u>Compensatory Hours</u>
1	297.25	445.88
2	236.75	355.13
3	177.50	266.25
4	157.50	236.25
5	152.75	229.13
6	151.50	227.25
7	151.00	226.50
8	140.50	210.75
9	136.75	205.13
10	96.75	145.13
11	50.50	75.75
Total Hours	1,748.75	2,623.15
Average	158.98	238.47

**LEGISLATIVE SERVICE BUREAU
ADMINISTRATIVE CODE DIVISION
PROFESSIONAL AND SUPPORT STAFF OVERTIME
07/01/94 - 06/01/95**

ELIGIBLE FOR PARTIAL COMPENSATION

<u>Employee</u>	<u>Overtime Hours</u>	<u>Adjustment first 40</u>	<u>Overtime less 40</u>	<u>Compensatory Hours</u>
1	155.00	40.00	115.00	115.00
2	56.00	40.00	16.00	16.00
Total Hours	211.00	80.00	131.00	131.00
Average	105.50	40.00	65.50	65.50

**PERMANENT FULL-TIME SUPPORT STAFF OVERTIME
07/01/94 - 06/01/95**

<u>Employee</u>	<u>Overtime Hours</u>	<u>Compensatory Hours</u>
1	38.00	57.00
2	32.50	48.75
3	27.75	41.63
4	24.50	36.75
5	11.00	16.50
6	10.00	15.00
7	2.50	3.75
Total Hours	146.25	219.38
Average	20.89	31.34

**LEGISLATIVE SERVICE BUREAU
IOWA CODE DIVISION
PROFESSIONAL AND SUPPORT STAFF OVERTIME
07/01/94 - 03/31/95**

ELIGIBLE FOR PARTIAL COMPENSATION

<u>Employee</u>	<u>Overtime Hours</u>	<u>Adjustment first 40</u>	<u>Overtime less 40</u>	<u>Compensatory Hours</u>
1	130.25	40.00	90.25	90.25
2	118.75	40.00	78.75	78.75
Total Hours	249.00	80.00	169.00	169.00
Average	124.50	40.00	84.50	84.50

**PERMANENT FULL-TIME SUPPORT STAFF OVERTIME
07/01/94 - 03/31/95**

<u>Employee</u>	<u>Overtime Hours</u>	<u>Compensatory Hours</u>
1	95.75	143.63
2	34.00	51.00
3	31.00	46.50
4	9.75	14.63
5	9.50	14.25
6	3.00	4.50
Total Hours	183.00	274.51
Average	30.50	45.75

**LEGISLATIVE SERVICE BUREAU
TEMPORARY OR PART-TIME SUPPORT STAFF OVERTIME
01/01/95 - 06/01/95**

<u>Employee</u>	<u>Total Overtime Worked</u>
1	106.00
2	86.50
3	70.00
4	40.00
5	28.50
6	10.00
Total Hours	341.00

LEGISLATIVE SERVICE BUREAU
Eligibility Report for Merit Increases
FY 1996

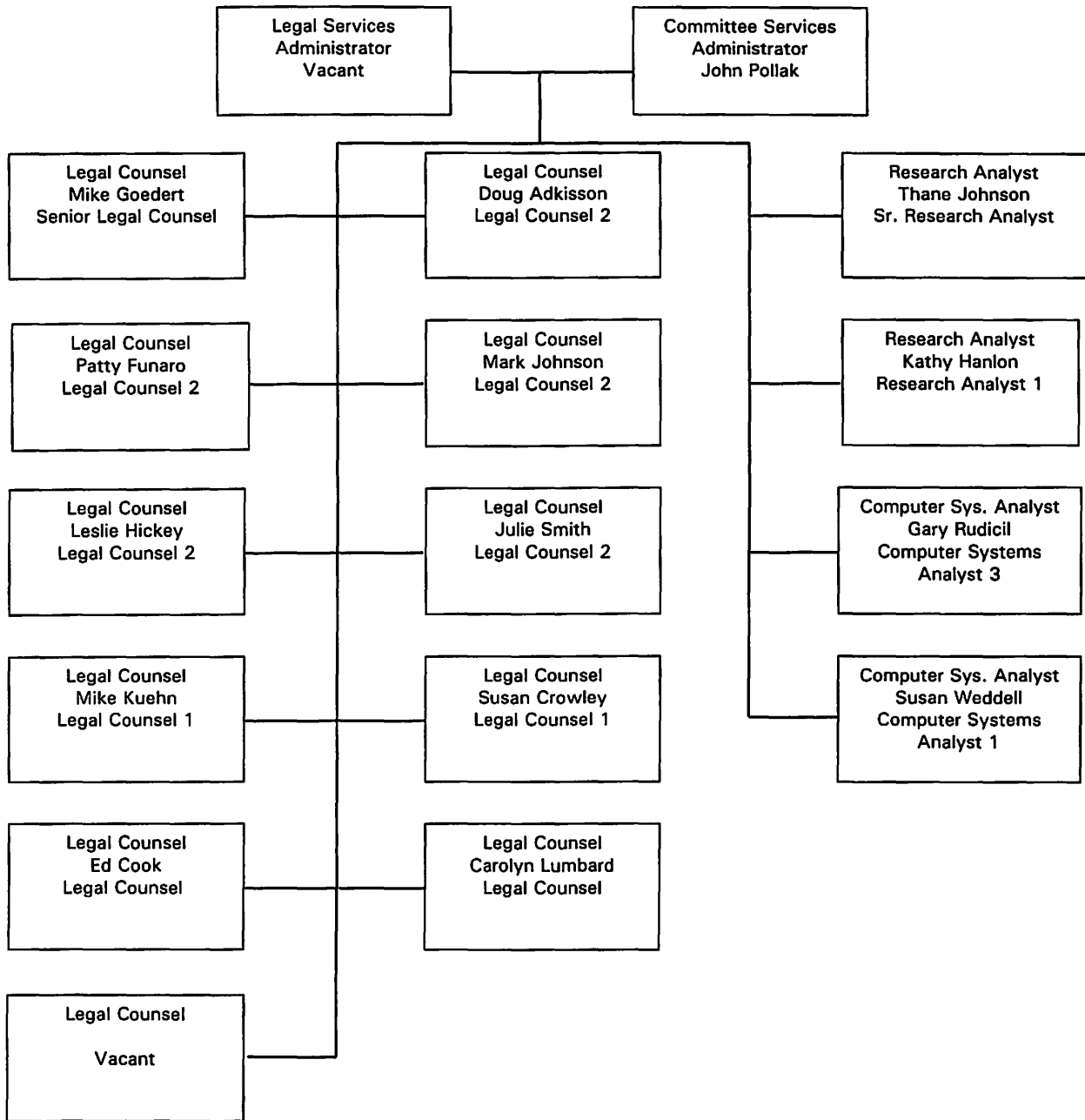
<u>Employee</u>	<u>Present Grade & Step</u>	<u>Employment Date</u>	<u>Review Date</u>
<u>Director</u>			
Bolender	00-0	09/11/67	00/00/00
<u>Deputy Director</u>			
Johnson, R.	41-5	07/10/78	06/16/95
LEGAL AND COMMITTEE SERVICES DIVISION			
<u>Legal Services Administrator</u>			
Vacant	38		
<u>Committee Services Admin.</u>			
Pollak	38-3	11/16/87	05/03/96
<u>Senior Legal Counsel</u>			
Goedert	38-6	07/14/76	00/00/00
<u>Legal Counsel 2</u>			
Johnson, M.	35-6	01/24/87	00/00/00
Adkisson	35-6	12/22/86	00/00/00
Hickey	35-6	02/01/88	00/00/00
Funaro	35-5	12/17/86	12/15/95
Smith	35-4	12/07/89	12/29/95
<u>Legal Counsel 1</u>			
Crowley	32-3	10/08/90	06/16/95
Kuehn	32-3	10/22/90	06/16/95
<u>Legal Counsel</u>			
Cook	30-4	11/09/92	05/17/96
Lumbard	30-4	11/23/92	05/31/96
<u>Senior Research Analyst</u>			
Johnson, T.	38-5	08/01/69	06/16/95
<u>Research Analyst 1</u>			
Hanlon	29-3	01/21/91	06/16/95
<u>Computer Systems Analyst 3</u>			
Rudicil	32-4	07/05/89	12/29/95

<u>Employee</u>	<u>Grade & Step</u>	<u>Employ- ment Date</u>	<u>Review Date</u>
<u>Computer Systems Analyst 1</u> Weddell	27-2	11/06/87	06/16/95
IOWA CODE DIVISION			
<u>Code Editor</u> Dodge	38-3	01/14/80	06/16/95
<u>Deputy IA Code Editor</u> Wilson	35-6	12/01/83	00/00/00
<u>Legal Counsel 2</u> Carr	35-4	10/09/89	12/29/95
<u>Assistant Editor 2</u> Walroth	27-2	08/24/92	02/23/96
<u>Assistant Editor 1</u> Young Vacant	24-1 24	01/03/89	12/15/95
<u>Iowa Code Index Supervisor</u> Schulze	28-4	06/27/86	06/16/95
<u>Indexer 2</u> Dubec	25-6	10/09/87	00/00/00
<u>Publications Assistant</u> Ackerman	21-3	11/19/93	05/17/96
<u>Assistant Indexer</u> Sherman	19-1	03/20/95	09/22/95
<u>Proofreader 1</u> Shea Olah	16-1 16-1	05/15/95 06/16/95	11/17/95 12/15/95
ADMINISTRATIVE CODE DIVISION			
<u>Admin. Code Editor</u> Barry	38-6	10/01/64	00/00/00
<u>Deputy Admin. Code Editor</u> Bates	35-1	06/13/86	06/16/95

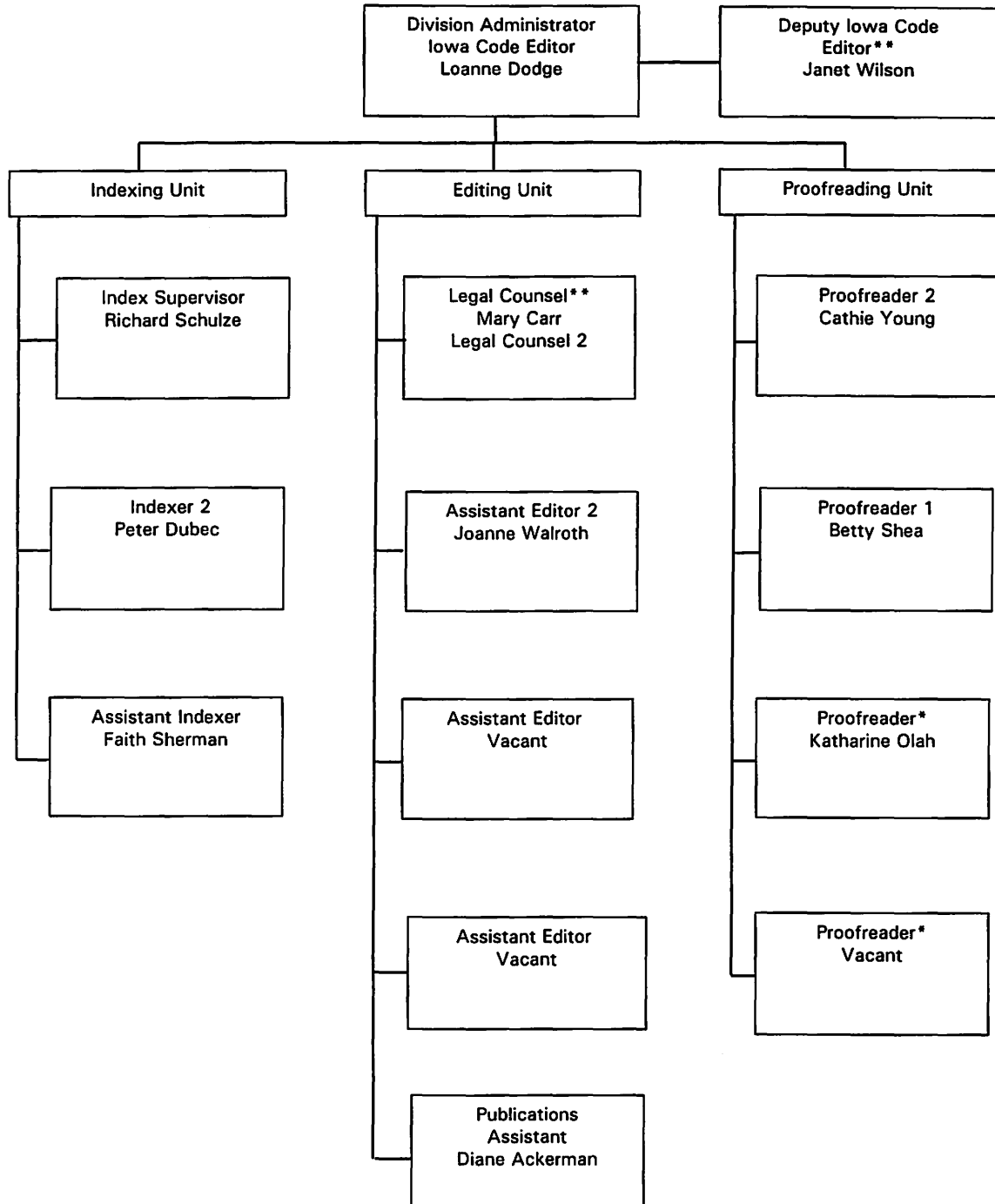
<u>Employee</u>	<u>Grade & Step</u>	<u>Employment Date</u>	<u>Review Date</u>
<u>Assistant Editor 2</u> Drake	27-3	10/14/88	12/29/95
<u>Assistant Editor 1</u> Kaut	24-1	05/31/94	6/30/95
<u>Publications Assistant</u> Kelly	21-1	03/27/95	10/06/95
<u>Admin. Code Index Supervisor</u> Worden	28-4	04/27/72	06/16/95
<u>Legislative Text Processor 2</u> McKnight	22-2	02/15/93	02/09/96
<u>Legislative Text Processor 1</u> Kauffman Vacant	19-1 19	09/23/94	07/14/95
<u>Indexer 1</u> Hawkins	22-2	07/31/92	06/16/95
<u>Document Processor 2</u> Snuggs	19-5	03/25/85	05/17/96
INFORMATION SERVICES DIVISION			
<u>Legislative Information Director</u> Livers	30-5	04/09/90	10/06/95
<u>Legislative Information Officer</u> Parker Thompson	24-4 24-3	09/05/89 01/08/90	03/08/96 07/14/95
<u>Senior Librarian</u> Douglas	27-4	10/23/89	12/29/95
<u>Assistant Librarian</u> Neff	22-4	12/01/92	05/31/96
<u>Capitol Tour Guide Supervisor</u> Arnett	14-5	01/23/76	02/23/96
<u>Capitol Tour Guide</u> Nichols Snyder	12-6 12-2	10/15/76 06/29/93	00/00/00 12/01/95

<u>Employee</u>	<u>Grade & Step</u>	<u>Employment Date</u>	<u>Review Date</u>
SUPPORT SERVICES DIVISION			
<u>Confidential Secretary</u>			
Greenwood	27-6	12/16/72	00/00/00
<u>Senior Finance Officer</u>			
Knudsen	31-6	11/29/66	00/00/00
<u>Finance Officer 1</u>			
Brandt	24-3	06/01/90	12/01/95
<u>Senior Document Processor</u>			
Tobis	22-1	12/12/94	06/16/95
<u>Document Processor 1</u>			
Clark	16-4	11/09/92	05/17/96
<u>Legis. Text Processor Super.</u>			
Wyer	28-6	01/01/67	00/00/00
<u>Senior Legis. Text Processor</u>			
Craig	25-6	11/06/78	00/00/00
Fisher	25-6	11/16/74	00/00/00
Jennings	25-3	11/11/88	06/16/95
<u>Legislative Text Processor 2</u>			
DeBartolo	22-2	10/19/92	12/29/95
Vacant	22		
<u>Legislative Proofreader Super.</u>			
Meier	22-3	12/30/87	06/16/95
<u>Proofreader 2</u>			
Fetters, S.	19-3	09/27/91	12/29/95
<u>Proofreader 1</u>			
Garrett	16-1	06/16/95	06/30/95
Vacant	16		

B. Legal and Committee Services Division



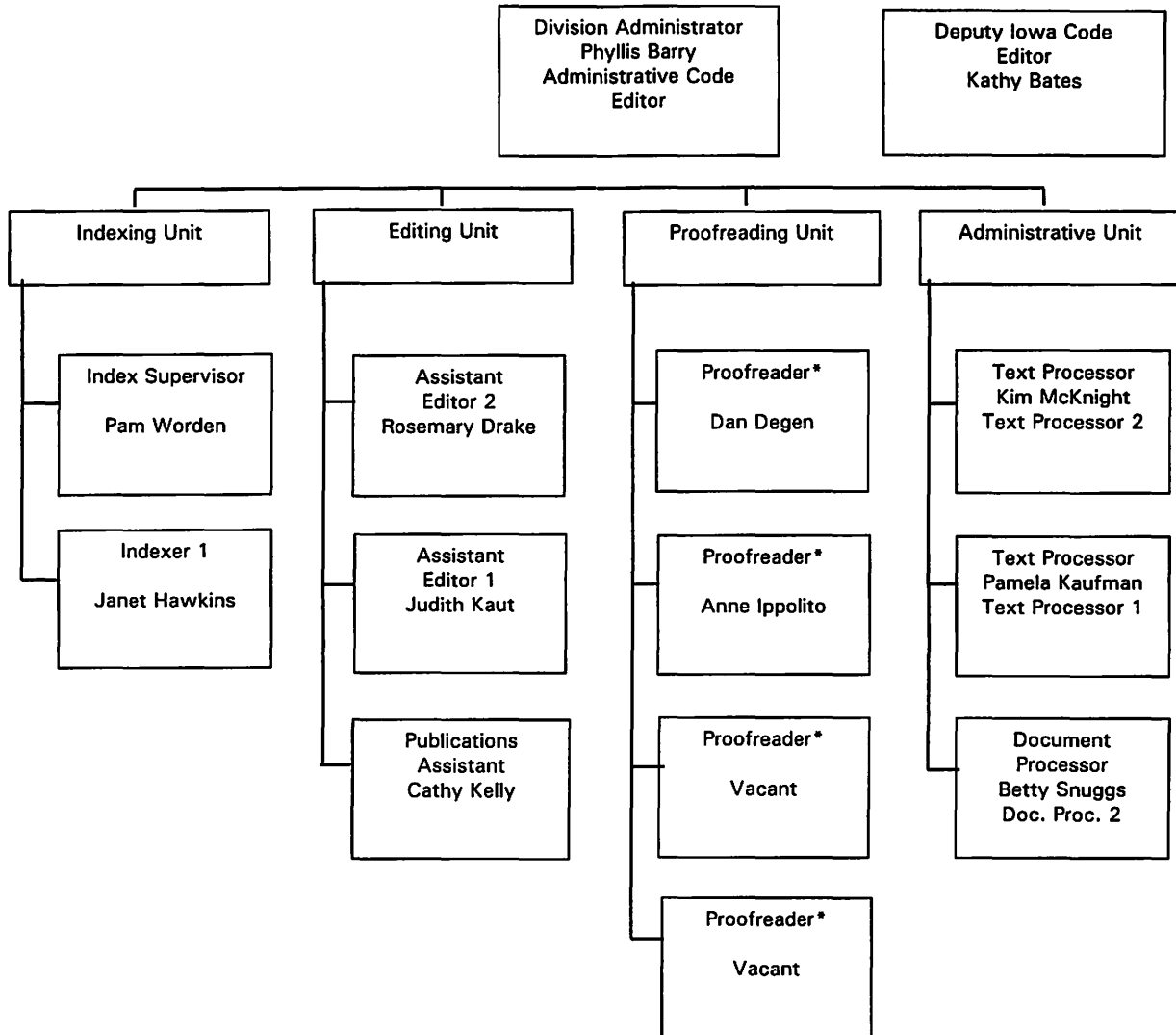
C. Iowa Code Division



* These positions are not permanent full-time positions.

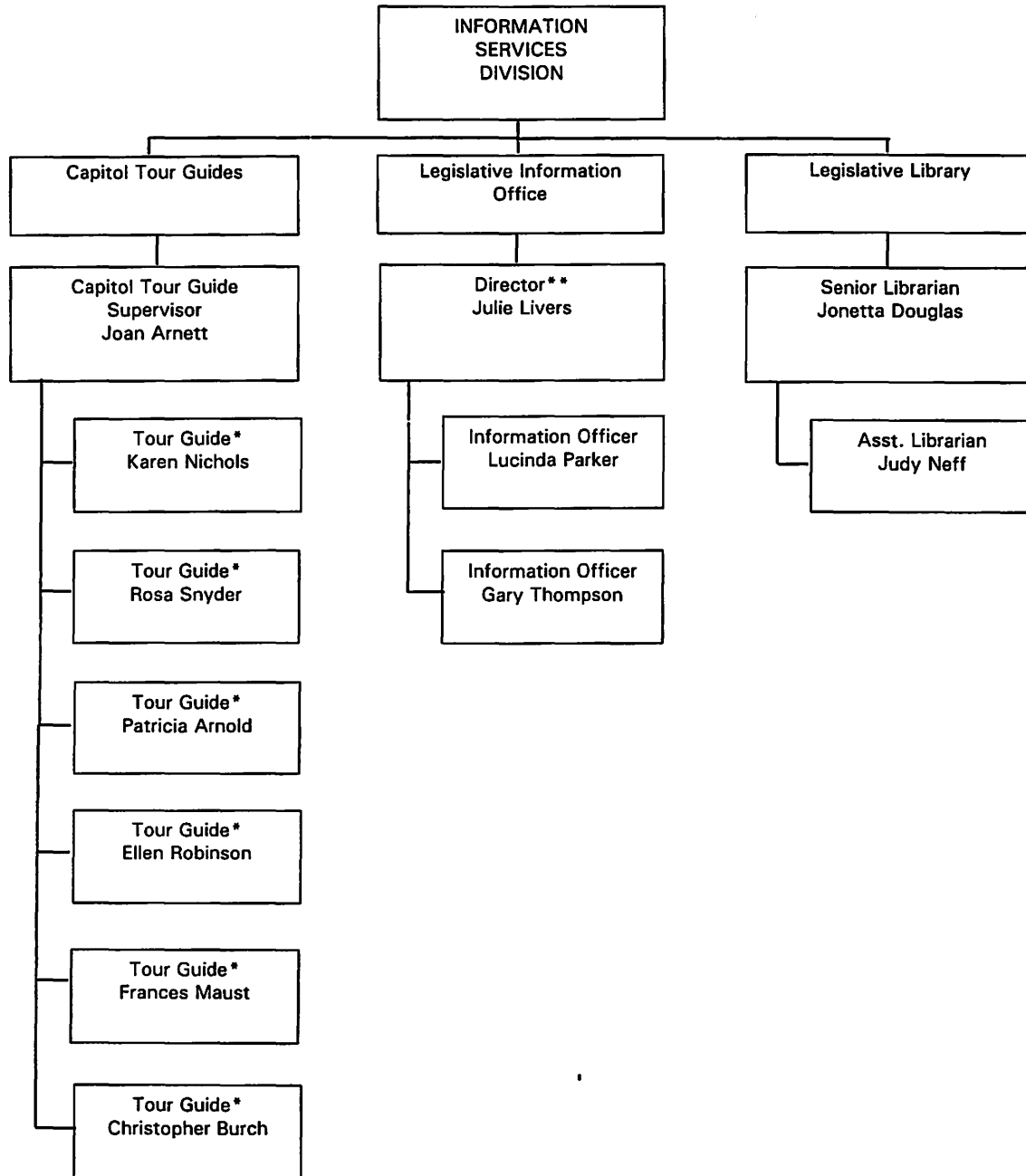
** These positions are half-time positions.

D. Administrative Code Division



*These positions are not permanent full-time positions.

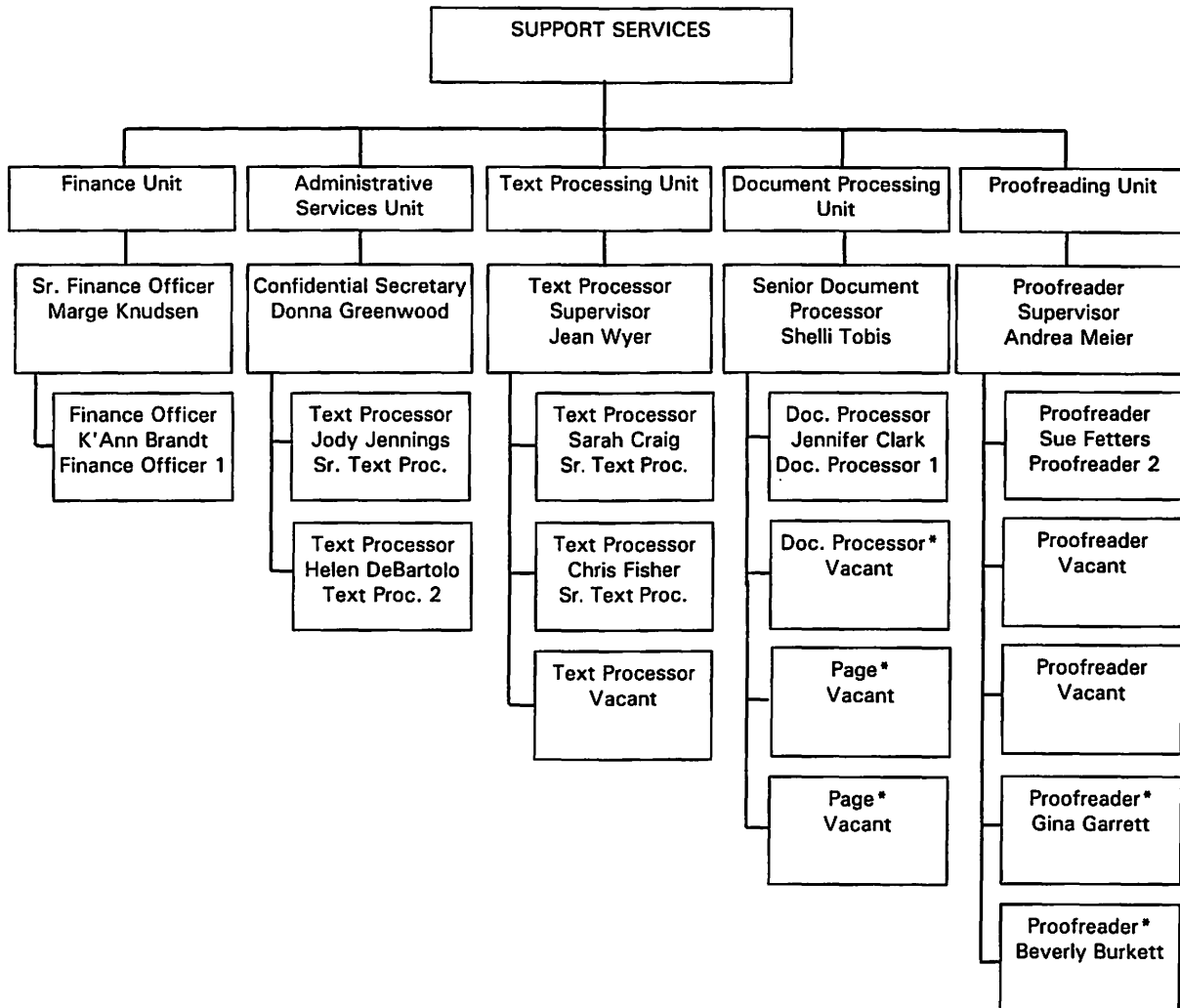
E. Information Services Division



*These positions are not permanent full-time positions.

**This position assists in personnel work for the Capitol Tour Guides.

F. Support Services Division



*These positions are not permanent full-time positions.

NOTE: The specific positions may be transferred among the five work units and other divisions as needed.

CAPITOL TOUR GUIDES

1. Capitol Tour Guide Supervisor

Salary rate: Grade 14

a. Qualifications, Skills, and Abilities: Permanent, full-time position. Knowledge or ability to learn about the history of the State Capitol, artworks, display items, functions and responsibilities of government offices, legislative process, and Iowa and related national history. Able to present tours in a clear, audible, and pleasant voice. Knowledge of current events. Able to create a positive impression and image of the State Capitol, the Iowa General Assembly and state government in general. Able to communicate with people of various ages (particularly young children) and backgrounds and relate to large groups of people. Minimum of five years' experience as a Tour Guide is required. Experience elsewhere may be considered depending upon the type and degree of experience. Must possess the ability to perform administrative duties, including coordinating the work and scheduling of the Tour Guides and training new Tour Guides. Must possess the ability to evaluate, update, develop and implement materials and information concerning the State Capitol and assist the other Tour Guides in using it. Must possess the ability to learn and utilize the computer systems for the Iowa General Assembly. Physically able to climb the 130 steps to give dome tours. Emergency medical knowledge or training desirable.

b. Duties: In consultation with the LSB Director and LIO Director supervise the Capitol Tour Guide operation which provides tours Monday through Saturday and coordinate the operation with the work of the LIO as appropriate. Conduct tours of the State Capitol, provide historical facts and anecdotes. Cooperate with various offices and branches of government while conducting tours so as not to unduly disturb their work. Schedule tours of the State Capitol and coordinate tours with those of other buildings. Provide information including but not limited to tour times, parking, hours, tour times for other attractions in the city, special events, parks, shopping, hotels and restaurants. Research historical information and document information. Supervise, schedule work hours, and verify time sheets of the other Tour Guides. With the approval of the LSB Director, hire Tour Guides, and in consultation with the LIO Director, supervise Tour Guides and provide training for them. Communicate with convention groups and others in providing information and establishing tours and communicate with other governmental offices in establishing policies and procedures for tours. Work with Capitol Police in maintaining the security of the Capitol.

2. Capitol Tour Guides.

Salary rate: Grade 12

a. Qualifications, Skills, and Abilities: Permanent, part-time position. Knowledge or ability to learn about the history of the State Capitol, artworks, display items, functions and responsibilities of government offices, legislative process, and Iowa and related national history. Able to present tours in a clear, audible, and pleasant voice. Knowledge of current events. Able to create a positive impression and image of the State Capitol, the Iowa General Assembly and state government in general. Able to communicate with people of various ages (particularly young children) and backgrounds and relate to large groups of people. Minimum of two years' experience as a Tour Guide is required. Experience elsewhere may be considered depending upon the type and degree of experience. Must possess the ability to

learn and utilize the computer systems for the Iowa General Assembly. Physically able to climb the 130 steps to give dome tours. Emergency medical knowledge or training desirable.

b. Duties: Conduct tours of the State Capitol, provide historical facts and anecdotes. Cooperate with various offices and branches of government while conducting tours so as not to unduly disturb their work. Schedule tours of the State Capitol and coordinate tours with those of other buildings. Provide information including but not limited to tour times, parking, hours, tour times for other attractions in the city, special events, parks, shopping, hotels and restaurants. Assist supervisor in developing and implementing a variety of tours and new programs. Research historical information and document information. Compile and maintain records of number of tours and visitors. Contact legislators regarding groups from their respective districts. Send confirmations and pre-visit information to teacher and tourism directors. Assist supervisor in development and implementation of policies and procedures and new programs. Perform other related duties and duties in the absence of the supervisor as assigned by the supervisor.

3. Capitol Tour Guides.

Salary rate: Grade 12

a. Qualifications, Skills, and Abilities: Temporary, part-time position. Knowledge or ability to learn about the history of the State Capitol, artworks, display items, functions and responsibilities of government offices, legislative process, and Iowa and related national history. Able to present tours in a clear, audible, and pleasant voice. Knowledge of current events. Able to create a positive impression and image of the State Capitol, the Iowa General Assembly and state government. Able to communicate with people of various ages (particularly young children) and backgrounds and relate to large groups of people. Must possess the ability to learn and utilize the computer systems for the Iowa General Assembly. Physically able to climb the 130 steps to give dome tours. Emergency medical knowledge or training desirable.

b. Duties: Conduct tours of the State Capitol, provide historical facts and anecdotes. Cooperate with various offices and branches of government while conducting tours so as not to unduly disturb their work. Schedule tours of the State Capitol and coordinate tours with those of other buildings. Provide information including but not limited to tour times, parking, hours, tour times for other attractions in the city, special events, parks, shopping, hotels and restaurants. Assist supervisor in developing and implementing a variety of tours and new programs. Research historical information and document information. Perform other related duties as assigned by the supervisor.

Julie

XII. LAPTOP COMPUTER POLICY

For security and optimal availability, the following guidelines for usage of the laptops apply:

- A. Laptops are stored in a locked cabinet upstairs from the front office and may be reserved through LSB front office staff or a Computer Systems Analyst. They are available on a first-come, first-served basis. If a laptop is unavailable when an employee requires one, the employee may check with the employees who have reserved them to determine if arrangements can be made. An employee who is unable to check out a laptop when one is required may talk to the Director, Deputy Director, or Committee Services Administrator.
- B. Laptops should be picked up and returned on time. An employee is responsible for the laptop from the time the laptop is checked out until it has been checked in.
- C. If an employee is not familiar with the operation of the laptops, the employee should schedule time with a Computer Systems Analyst for a brief explanation.
- D. Employees must return laptops directly to a Computer Systems Analyst or front office staff because they must be locked up at all times when not checked out to an employee. If none of these people are available, the employee should retain possession of the laptop.
- E. Checking out or reserving a laptop is for a single night only or for a specified portion of a work day, except for the weekends. The laptop must be returned the next work day, or that work day if checked out for a specified portion of the work day only, and checked back in for others to use. The exceptions to this requirement are for an employee who is traveling out-of-town or an employee who is ill. If an employee fails to return a laptop as scheduled, the employee may be requested to retrieve the laptop on the employee's own time.

g/dgreenwd/lap

STATE OF IOWA



CITIZENS' AIDE/OMBUDSMAN
CAPITOL COMPLEX
215 EAST 7TH STREET
DES MOINES, IOWA 50319-0231
(515) 281-3592

WILLIAM P. ANGRICK II
CITIZENS' AIDE / OMBUDSMAN

In reply, please refer to:

June 13, 1995

Senator Michael Gronstal
Chair, Service Committee
Iowa Legislative Council
State Capitol
LOCAL

Dear Senator Gronstal:

Enclosed please find the following report for the Service Committee meeting on June 14, 1995.

Annual Agency Report including:

1. organizational chart showing the interrelationships of the authorized positions;
2. position classification system containing job titles, job descriptions, and grade levels for all authorized position classifications;
3. annual personnel report including:
 - a. employees' names, grades and steps, and merit increase eligibility dates,
 - b. annual accrual period for compensatory time and compensatory time earned,
 - c. support staff positions designated as eligible for full compensation for overtime accrued and whether the compensation is overtime pay or compensatory time,
 - d. direct and indirect costs of educational leave during the preceding fiscal year;
4. employee handbook of policies and procedures.

Please let me know if you or any member of the Service Committee have questions or require additional information.

Sincerely,

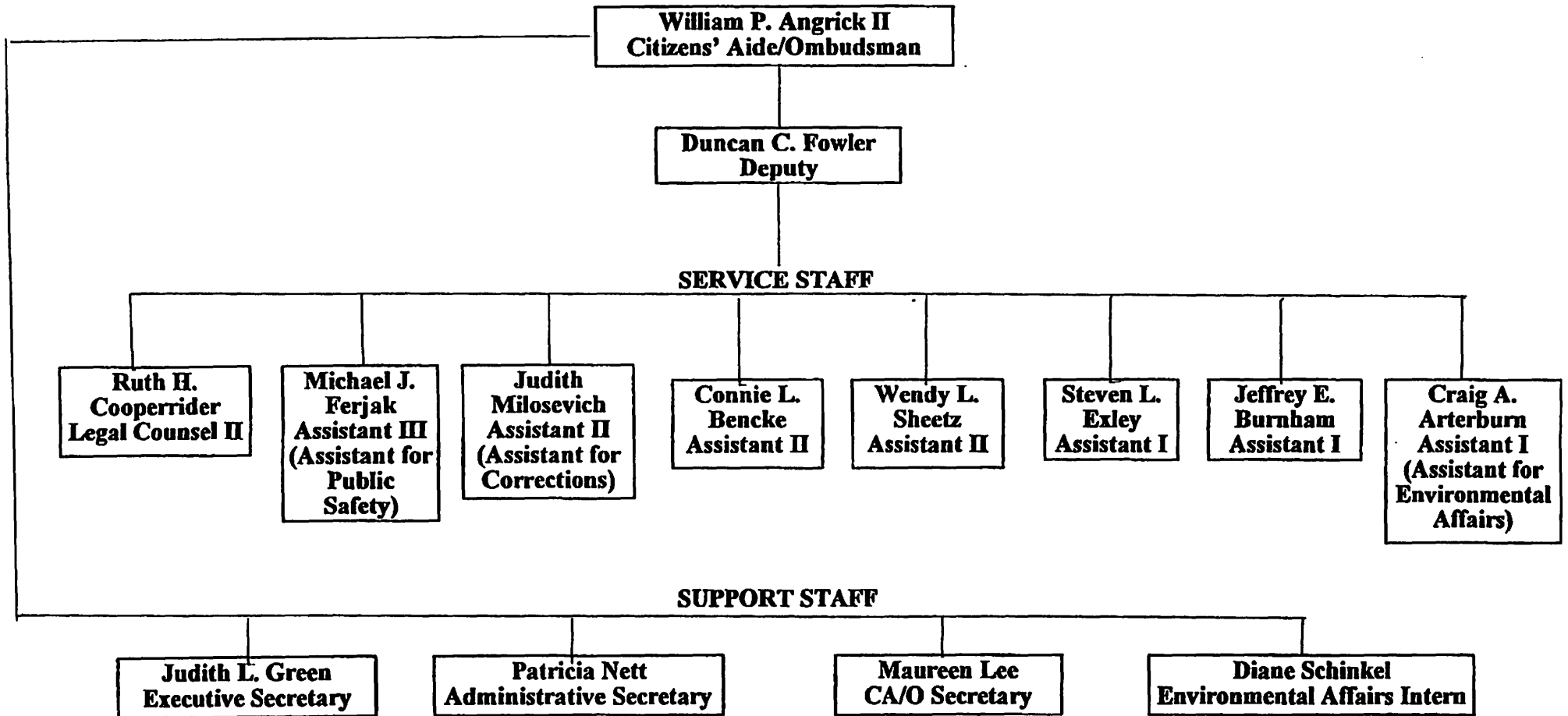


William P. Angrick II

WPA:jg

Enclosures
sc95ltr

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
TABLE OF ORGANIZATION**



SPECIAL ASSIGNMENTS

Michael J. Ferjak

Local Marshals and Police
Local Fire Protection and Emergency Response Units
County Sheriffs
County and Municipal Jails
Department of Public Safety [DPS] (State Patrol, Capitol Police, Division of Criminal Investigation, and State Fire Marshal)
Department of Natural Resources [DNR] Conservation Officers
Department of Transportation [DOT] Enforcement Officers
State Fair Security Police
Regents Institutions Campus Security Police
Law Enforcement Academy
Regional Police Academies

Ruth H. Cooperrider

Affirmative Action/ADA Compliance Officer
Office Designee to the Child Support Advisory Committee

Connie L. Bencke

Mental Health Institute [MHI] - Cherokee
Mental Health Institute [MHI] - Clarinda
Mental Health Institute [MHI] - Independence
Mental Health Institute [MHI] - Mt. Pleasant
Iowa Veterans' Home [IVH] - Marshalltown
Correctional Treatment Unit [CTU] - Clarinda

Wendy L. Sheetz

Glenwood State Hospital/School [GSHS] - Glenwood
Woodward State Hospital/School [WSHS] - Woodward
Iowa Juvenile Home [IJH] - Toledo
State Training School [STS] - Eldora

Judith Milosevich*

Iowa State Penitentiary [ISP] - Ft. Madison
John Bennett Correctional Center [JBCC] - Ft. Madison
Iowa Correctional Institution for Women [ICIW] - Mitchellville
Mt. Pleasant Correctional Facility [MPCF] - Mt. Pleasant
Eight Judicial Districts, Department of Correctional Services (Probation and Parole Services, Residential Correctional Services, OWI Facilities and Work Release Facilities)
Correctional Release Center [CRC] - Newton

Steven L. Exley

Iowa State Men's Reformatory [ISMR] - Anamosa
Luster Heights [LH] - Harpers Ferry
Iowa Medical and Classification Center [IMCC] - Oakdale
North Central Correctional Facility [NCCF] - Rockwell City

*As the Assistant for Corrections, is not routinely responsible for a non-institutional caseload.

**CITIZENS' AIDE/OMBUDSMAN
POSITION CLASSIFICATIONS AND PAY GRADES**

POSITION CLASSIFICATION	PAY GRADE	FTE
Deputy	38	filled (1.0 FTE)
Legal Counsel II	35	filled (1.0 FTE)
Assistant III	35	filled (1.0 FTE)
Assistant II	32	filled (3.0 FTE)
Assistant I	29	filled (3.0 FTE)
Executive Secretary	24	filled (1.0 FTE)
Administrative Secretary	21	filled (1.0 FTE)
Citizens' Aide/Ombudsman Secretary	19	filled (1.0 FTE) (1 intermittent)

The agency has 14.0 FTE's authorized (including the Citizens' Aide) and currently employs 13.0 FTE's (including the Citizens' Aide) and one intermittent intern.

**CITIZENS' AIDE/OMBUDSMAN
ANNUAL PERSONNEL REPORT**

NAME	POSITION	EMPLOY DATE	CURRENT GRADE/ STEP	REVIEW DATE
Fowler, D	Deputy	06/10/94	38/2	12/15/95
Cooperrider, R	Legal Counsel II	07/09/90	35/2	12/29/95
Ferjak, M	Assistant III (Assistant for Public Safety)	12/11/87	35/2	12/29/95
Milosevich, J	Assistant II (Assistant for Corrections)	01/16/91	32/4	12/01/95
Bencke, C	Assistant II	08/22/90	32/3	06/14/96
Sheetz, W	Assistant II	09/14/90	32/2	12/15/95
Exley, S	Assistant I	09/16/91	29/3	06/14/96
Burnham, J	Assistant I	06/05/92	29/2	12/01/95
Arterburn, C	Assistant I	01/27/95	29/1	07/28/95
Green, J	Executive Secretary	07/01/74	24/6*	11/03/95
Nett, P	Administrative Secretary	01/17/72	21/6*	06/14/96
Lee, M	CA/O Secretary	06/22/89	19/6*	12/15/95
Schinkel, D	Environmental Affairs Intern	05/19/95	19/1	11/17/95

*These individuals are at the top of the Grade/Step and are not eligible for merit increases in their present positions.

**CITIZENS' AIDE/OMBUDSMAN
ANNUAL COMPENSATORY TIME REPORT**

Employees of the office of Citizens' Aide/Ombudsman accrue compensatory time on a calendar year basis (January 1 to December 31).

CALENDAR YEAR 1994

Compensatory time accrued after the accumulation of forty hours of overtime.

<u>EMPLOYEE</u>	<u>COMPENSATORY TIME EARNED</u>
1	72.00 hours
2	10.00 hours

SUPPORT STAFF ANNUAL OVERTIME REPORT

Support staff of the office of Citizens' Aide/Ombudsman are eligible for overtime pay on a calendar year basis (January 1 to December 31).

CALENDAR YEAR 1994

<u>EMPLOYEE</u>	<u>OVERTIME PAID</u>
1	1.25 hours
2	21.00 hours

EDUCATIONAL LEAVE REPORT

FISCAL YEAR 1994

No educational leave was taken by Citizens' Aide/Ombudsman staff during Fiscal Year 1994.

EMPLOYEE HANDBOOK OF POLICIES AND PROCEDURES

There have been three additions to the Citizens' Aide/Ombudsman employee handbook of policies and procedures since the June 1994 annual report to the Service Committee:

- Citizens' Aide/Ombudsman Emergency Action Plan
- Department of General Services Vehicle Rate Policy
- Citizens' Aide/Ombudsman Calling Card Policy

A copy of the Employee Handbook is enclosed.

June 1995

JOB DESCRIPTION

Position: Senior Deputy
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 41

General skills, knowledge and abilities: Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Has at least five years CA/O employment, with at least three years as CA/O Deputy and/or other directly related experience. Able to perform duties with minimal direct supervision.

Duties summarized: The Senior Deputy has all the powers, responsibilities, and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor. The Senior Deputy acts for the CA/O in his/her absence.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Reports directly to the CA/O. Advises CA/O and assists in the preparation of drafts of critical, special and annual reports.

Supervises CA/O clerical staff. Serves as primary training officer for newly appointed Assistants. In so doing, is expected to effectively plan, coordinate, and review the work of other staff members.

In addition to the duties summarized for the Deputy position may be assigned specific administrative and institutional responsibilities. In this capacity is responsible for coordinating travel and investigations stemming from the assignments and caseload.

Cannot be active in partisan affairs. Cannot enter into and maintain business relationships with individuals in positions over which CA/O has jurisdictions.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and/or conferences in order to maintain or expand expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Shall keep a valid driver's license or be able to provide an alternate ability to travel at no additional cost to the office.

Revised June, 1993

JOB DESCRIPTION

Position: Deputy
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 38

General skills, knowledge and abilities: Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Duties summarized: The Deputy has all the powers, responsibilities, and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor. The Deputy acts for the CA/O in his/her absence.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Reports directly to the CA/O. Advises CA/O and assists in the preparation of drafts of critical, special and annual reports.

Supervises CA/O clerical staff. Serves as primary training officer for newly appointed Assistants. In so doing, is expected to effectively plan, coordinate, and review the work of other staff members.

May be assigned specific institutional responsibilities. In this capacity is responsible for coordinating travel and investigations stemming from the assignment(s) and caseload.

Cannot be active in partisan affairs. Cannot enter into and maintain business relationships with individuals in positions over which CA/O has jurisdictions.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and/or conferences in order to maintain or expand expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Shall keep a valid driver's license or be able to provide an alternate ability to travel at no additional cost to the office.

Revised June, 1993

JOB DESCRIPTION

Position: Senior Assistant
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 38

General skills, knowledge, and abilities

Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Has at least two years of CA/O Assistant III or other investigatory agency employment and/or experience. Maintains an active caseload with minimal direct supervision.

Duties summarized

The Senior Assistant has all the powers, responsibilities, and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Reports to CA/O or designee for caseload assignment and case investigation review. Reports directly to CA/O if and when case investigation indicates that extraordinary procedures or findings may result, i.e., the use of a subpoena, a formal hearing, or the possible issuance of a recommendation, critical or special report. Assists CA/O in the preparation of drafts of critical, special and annual reports.

In addition to the duties summarized for the Assistant III position is capable of assuming the responsibilities as field investigation team leader, if assigned. May be called upon to train or supervise other staff investigators. May be assigned special responsibilities and duties by the CA/O.

Cannot be active in partisan affairs. Cannot enter into and maintain business or employment relationships with individuals in positions over which CA/O has jurisdiction.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and/or conferences in order to maintain or expand expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Should have valid Iowa driver's license or be able to provide alternate travel ability at no cost to the agency.

Revised June, 1993

JOB DESCRIPTION

Position: Senior Legal Counsel
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 38

General skills, knowledge, and abilities: Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Has at least three years CA/O Legal Counsel II employment and/or other directly related experience. Able to maintain a caseload with little direct supervision.

Special skills, knowledge, and abilities: Must have graduated from an accredited school of law, be licensed to practice law in the State of Iowa, and be admitted to practice before the United States District Court for the Northern and Southern Districts in Iowa. Is expected to acquire continuing legal education credits annually, as required to maintain license to practice.

Duties summarized: The Senior Legal Counsel has all the powers, responsibilities and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor.

Serves as the primary legal advisor and attorney to the CA/O and staff in the office. Represents CA/O in all litigation. Must be able to analyze legal problems relating to state and local government and to formulate interpretations and recommendations to the CA/O. In this capacity reports directly to the CA/O.

Reviews all proposed and promulgated rules under the Iowa Administrative Procedures Act. Reviews all proposed and pending legislation affecting the office of CA/O. Maintains such additional responsibilities as, from time to time, are assigned by CA/O.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Advises CA/O and assists in the preparation of drafts of critical, special, and annual reports.

In addition to the duties summarized for the Legal Counsel II position may be assigned specific responsibilities. In this capacity is responsible for coordinating travel and investigations stemming from the assignment(s) and caseload.

Cannot be active in partisan affairs. Cannot enter into and maintain business relationships with individuals in positions over which CA/O has jurisdiction.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and conferences in order to maintain or expand expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Shall keep a valid driver's license or be able to provide an alternate ability to travel at no additional cost to the office.

Revised June, 1993

JOB DESCRIPTION

Position: Assistant III
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 35

General skills, knowledge, and abilities

Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Has at least two years of CA/O Assistant II or other investigatory agency employment and/or experience. Maintains an active caseload with minimal direct supervision.

Duties summarized

The Assistant III has all the powers, responsibilities, and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Reports to CA/O or designee for caseload assignment and case investigation review. Reports directly to CA/O if and when case investigation indicates that extraordinary procedures or findings may result, i.e., the use of a subpoena, a formal hearing, or the possible issuance of a recommendation, critical or special report. Assists CA/O in the preparation of drafts of critical, special and annual reports.

In addition to the duties summarized for the Assistant II position is capable of assuming the responsibilities as field investigation team leader, if assigned. May be assigned specific institutional responsibilities. In this capacity is responsible for coordinating travel and investigations stemming from the assignment(s) and caseload. May be assigned special responsibilities and duties by the CA/O.

Cannot be active in partisan affairs. Cannot enter into and maintain business or employment relationships with individuals in positions over which CA/O has jurisdiction.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and/or conferences in order to maintain or expand expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Should have valid Iowa driver's license or be able to provide alternate travel ability at no cost to the agency.

Revised June, 1993

JOB DESCRIPTION

Position: Legal Counsel II
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 35

General skills, knowledge, and abilities: Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Has at least two years as CA/O Legal Counsel I employment and/or directly related experience. Able to maintain a caseload with little direct supervision.

Special skills, knowledge, and abilities: Must have graduated from an accredited school of law, be license to practice law in the State o Iowa, and be admitted to practice before the United States District Court for the Northern and Southern Districts in Iowa. Is expected to acquire continuing legal education credits annually, as required to maintain license to practice.

Duties summarized: The Legal Counsel II has all the powers, responsibilities and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor.

Serves as the primary legal advisor and attorney to the CA/O and staff in the office. Represents CA/O in all litigation. Must be able to analyze legal problems relating to state and local government and to formulate interpretations and recommendations to the CA/O. In this capacity reports directly to the CA/O.

Reviews all proposed and promulgated rules under the Iowa Administrative Procedures Act. Reviews all proposed and pending legislation affecting the office of CA/O. Maintains such additional responsibilities as, from time to time, are assigned by CA/O.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Advises CA/O and assists in the preparation of drafts of critical, special, and annual reports.

In addition to the duties summarized for the Legal Counsel I position may be assigned specific responsibilities. In this capacity is responsible for coordinating travel and investigations stemming from the assignment(s) and caseload. May be assigned special responsibilities and duties by the CA/O.

Cannot be active in partisan affairs. Cannot enter into and maintain business relationships with individuals in positions over which CA/O has jurisdiction.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and conferences in order to maintain or expand expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Shall keep a valid driver's license or be able to provide an alternate ability to travel at no additional cost to the office.

Revised June, 1993

JOB DESCRIPTION

Position: Assistant II
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 32

General skills, knowledge, and abilities

Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Has at least two years of CA/O Assistant I or other investigatory agency employment and/or experience. Able to maintain a caseload with little direct supervision.

Duties summarized

The Assistant II has all the powers, responsibilities, and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Reports to CA/O or designee for caseload assignment and case investigation review. Reports directly to CA/O if and when case investigation indicates that extraordinary procedures or findings may result, i.e., the use of a subpoena, a formal hearing, or the possible issuance of a recommendation, critical or special report. Assists CA/O in the preparation of drafts of critical, special and annual reports.

In addition to the duties summarized for the Assistant I position may be assigned specific institutional responsibilities. In this capacity is responsible for coordinating travel and investigations stemming from the assignment(s) and caseload.

Cannot be active in partisan affairs. Cannot enter into and maintain business or employment relationships with individuals in positions over which CA/O has jurisdiction.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and/or conferences in order to maintain or expend expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Should have valid Iowa driver's license or be able to provide alternate travel ability at no cost to the agency.

May be assigned special responsibilities and duties by the CA/O.

Revised June, 1993

JOB DESCRIPTION

Position: Legal Counsel I
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 32

General skills, knowledge, and abilities

Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Has at least two years as CA/O Legal Counsel employment and/or other directly related experience. Able to maintain a caseload with little direct supervision.

Special skills, knowledge, and abilities

Must have graduated from an accredited school of law, be licensed to practice law in the State of Iowa, and be admitted to practice before the United States District Court for the Northern and Southern Districts in Iowa. Is expected to acquire continuing legal education credits annually, as required to maintain license to practice.

Duties summarized

The Legal Counsel I has all the powers, responsibilities and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor.

Serves as the primary legal advisor and attorney to the CA/O and staff in the office. Represents CA/O in all litigation. Must be able to analyze legal problems relating to state and local government and to formulate interpretations and recommendations to the CA/O. In this capacity reports directly to the CA/O.

Reviews all proposed and promulgated rules under the Iowa Administrative Procedures Act. Reviews all proposed and pending legislation affecting the office of CA/O. Maintains such additional responsibilities as, from time to time, are assigned by CA/O.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Advises CA/O and assists in the preparation of drafts of critical, special, and annual reports.

In addition to the duties summarized for the Legal Counsel position may be assigned specific responsibilities. In this capacity is responsible for coordinating travel and investigations stemming from the assignment(s) and caseload.

Cannot be active in partisan affairs. Cannot enter into and maintain business relationships with individuals in positions over which CA/O has jurisdiction.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and conferences in order to maintain or expand expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Shall keep a valid driver's license or be able to provide an alternate ability to travel at no additional cost to the office.

Revised June, 1993

JOB DESCRIPTION

Position: Legal Counsel
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 30

General skills, knowledge, and abilities

Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Special skills, knowledge, and abilities

Must have graduated from an accredited school of law, be licensed to practice law in the State of Iowa, and be admitted to practice before the United States District Court for the Northern and Southern Districts in Iowa. Is expected to acquire continuing legal education credits annually, as required to maintain license to practice.

Duties summarized

The Legal Counsel has all the powers, responsibilities and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor.

Serves as the primary legal advisor and attorney to the CA/O and staff in the office. Represents CA/O in all litigation. Must be able to analyze legal problems relating to state and local government and to formulate interpretations and recommendations to the CA/O. In this capacity reports directly to the CA/O.

Reviews all proposed and promulgated rules under the Iowa Administrative Procedures Act. Reviews all proposed and pending legislation affective the office of CA/O. Maintains such additional responsibilities as, from time to time, are assigned by CA/O.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Advises CA/O and assists in the preparation of drifts of critical, special, and annual reports.

Cannot be active in partisan affairs. Cannot enter into and maintain business relationships with individuals in positions over which CA/O has jurisdiction.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and conferences in order to maintain or expand expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Shall keep a valid driver's license or be able to provide an alternate ability to travel at no additional cost to the office.

Revised June, 1993

JOB DESCRIPTION

Position: Assistant I
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 29

General skills, knowledge, and abilities

Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Has at least two years of CA/O Assistant or other investigatory agency employment and/or experience. Able to maintain a caseload with little direct supervision.

Duties summarized

The Assistant I has all the powers, responsibilities, and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Reports to CA/O or designee for caseload assignment and case investigation review. Reports directly to CA/O if and when case investigation indicates that extraordinary procedures or findings may result, i.e., the use of a subpoena, a formal hearing, or the possible issuance of a recommendation, critical, or special report. Assists CA/O in the preparation of drafts of critical, special, and annual reports.

May be assigned specific institutional responsibilities. In this capacity is responsible for coordinating travel and investigations stemming from the assignment(s) and caseload under the supervision of the CA/O or designee.

Cannot be active in partisan affairs. Cannot enter into and maintain business or employment relationships with individuals in positions over which CA/O has jurisdiction.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and/or conferences in order to maintain or expand expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Should have valid Iowa driver's license or be able to provide alternate travel ability at no cost to the agency.

May be assigned special responsibilities and duties by the CA/O.

Revised June, 1993

JOB DESCRIPTION

Position: Assistant
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 27

General skills, knowledge, and abilities

Must be able to analyze problems of administration, law, and policy as they pertain to Iowa state and local government. Must be able to communicate effectively, both orally and in writing.

Duties summarized

The Assistant has all the powers, responsibilities, and duties of the CA/O as prescribed by law with the exception of issuing reports to the General Assembly and the Governor.

Maintains a regular caseload including intake, investigation, and complaint resolution. Keeps case closures current. Must be willing and able to communicate courteously and effectively with the public. Reports to CA/O or designee for caseload assignment and case investigation review. Reports directly to CA/O if and when case investigation indicates that extraordinary procedures or findings may result, i.e., the use of a subpoena, a formal hearing, or the possible issuance of a recommendation, critical, or special report. Assists CA/O in the preparation of drafts of critical, special, and annual reports.

May be assigned specific institutional responsibilities. In this capacity is responsible for coordinating travel and investigations stemming from the assignment(s) and caseload under the supervision of the CA/O or designee.

Cannot be active in partisan affairs. Cannot enter into and maintain business or employment relationships with individuals in positions over which CA/O has jurisdiction.

May be called upon, from time to time, to make public speeches or appearances in behalf of CA/O. Is expected to, from time to time as needed, attend workshops, seminars, and/or conferences in order to maintain or expand expertise in governmental law, policy, and administration.

May be required to travel, from time to time, in order to fulfill the duties and responsibilities of office. Should have valid Iowa driver's license or be able to provide alternate travel ability at no cost to the agency.

May be assigned special responsibilities and duties by the CA/O.

Revised June, 1993

JOB DESCRIPTION

Position: Finance Officer I
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 24

General skills, knowledge, and abilities required

Knowledge of, and skill in, accounting principles and accounting transactions; prepare reports; acquire knowledge of changes or specialized procedures of state accounting; advise CA/O employees in the operation of the state accounting system and regarding benefits for staff. Good math skills. Has good working relationships with CA/O employees and other state agencies. Has computer and other office machine experience. Able to assist CA/O in agency budget preparation; knowledge of accounting forms and their preparation and purchasing procedures. Knowledge of policies and procedures regarding state personnel, employees' benefit programs and form preparation. Good written and oral communication skills.

Must have two years' experience as an Assistant Finance Officer and a higher degree of competency, knowledge and skill. Experience elsewhere may be substituted. Must have ability to train and supervise other staff in accounting and personnel matters.

Duties: Maintain all records relating to CA/O personnel and finances with guidance from the CA/O. Maintain records on purchases, payrolls, expense claims, budgets, leave of CA/O staff, and inventory, and process all forms connected with them and similar items. In cooperation with the CA/O, prepare the CA/O budget, and generally inform CA/O of budget status monthly. Inform other employees of new or revised policies and procedures relating to employee benefits.

Revised June, 1993

JOB DESCRIPTION

Position: Executive Secretary
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 24

General skills, knowledge, and abilities required

Knowledge of, and skill in, general office practices and procedures including: grammar; punctuation; spelling and word usage; office machines and equipment (computer [word-processing, database and legislative mainframe], laser printer, typewriter, transcriber, copy machine, fax, shredder, and telecommunication device for the deaf); and general bookkeeping principles.

Ability to work independently and organize work according to priorities; deal tactfully and effectively with others; understand governmental structure and process; maintain office confidentiality; interpret rules and procedures which pertain to the duties required of the position.

Duties summarized

Administrative - Serves as office bookkeeper and personnel secretary. Assists CA/O in organizing and coordinating matters relating to the general operation of the office including:

Bookkeeping duties. Maintains books of all CA/O accounts, compares with Department of Revenue and Finance (DORF) computer printouts for accuracy, and calls any discrepancies to the immediate attention of the CA/O. Makes up purchase orders. Checks and processes all claims for payment and after approval by CA/O or designee enters into the Iowa Financial Accounting System (IFAS) via computer onlining. Distributes warrants. Maintains office accounting files. Assists in preparation of budget requests for submission to Iowa Legislative Council for approval. Keeps DORF Accounting Policies and Procedures manual and IFAS manual up-to-date.

Maintains employee personnel files. Keeps vacation, sick leave, and comp time records. Processes all payroll information (raises, deductions, etc.), checks payroll for accuracy and distributes checks. Prepares Employer's Quarterly Contribution and Payroll Report for Gibbons Company. Prepares health insurance, OSHA and worker's compensation reports. Attends payroll and personnel meetings held by DORF and Iowa Department of Personnel (IDOP). Types and distributes employee identification cards. Keeps IDOP Personnel and Payroll Procedures manual up-to-date. Maintains recruitment files and correspondence. Assigns and oversees work of temporary and volunteer help with CA/O approval.

Maintains office inventory. Tags all inventory items in office. Prepares annual office inventory for State Auditor's Office.

Maintains data base file of CA/O contact statistics. Updates file monthly with cases and logs. Prepares monthly printouts for each staff member. Compiles statistics for inclusion in CA/O Annual Report.

Secretarial duties. As needed, as backup for CA/O Secretary and Administrative Secretary, types correspondence, reports, sworn testimony, mailing lists, etc., prepares case files and case lists, finalizes case summaries, does xeroxing as needed, answer telephone, route calls, take messages, and does miscellaneous filing.

Revised June, 1993

JOB DESCRIPTION

Position: Assistant Finance Officer
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 21

General skills, knowledge, and abilities required

Knowledge of, and skill in, accounting principles and accounting transactions; prepare reports; acquire knowledge of changes or specialized procedures of state accounting; advise CA/O employees in the operation of the state accounting system and regarding benefits for staff. Good math skills. Has good working relationships with CA/O employees and other state agencies. Has computer and other office machine experience. Able to assist CA/O in agency budget preparation; knowledge of accounting forms and their preparation and purchasing procedures. Knowledge of policies and procedures regarding state personnel, employees; benefit programs and form preparation. Good written and oral communication skills.

Duties: Maintain all records relating to CA/O personnel and finances with guidance from the CA/O. Maintain records on purchases, payrolls, expense claims, budgets, leave of CA/O staff, and inventory, and process all forms connected with them and similar items. In cooperation with the CA/O, prepare the CA/O budget, and generally inform CA/O of budget status monthly. Inform other employees of new or revised policies and procedures relating to employee benefits.

Revised June, 1993

JOB DESCRIPTION

Position: Administrative Secretary
Office of Citizens' Aide/Ombudsman

Salary Rate: Grade 21

Basic skills, knowledge, and abilities

Knowledge of, and skill in, general office practices and procedures including: grammar; punctuation; spelling and word usage; office machines and equipment (computer [word-processing, database and legislative mainframe], laser printer, typewriter, transcriber, copy machine, fax, shredder, and telecommunication device for the deaf).

Ability to work independently and organize work according to priorities; deal tactfully and effectively with others; understand governmental structure and process; maintain office confidentiality; transcribe and type accurately from handwritten or roughly drafted (typed) copy, and dictation tapes; interpret rules and procedures which pertain to the duties required of the position.

Duties summarized

Administrative - Assists CA/O in organizing and coordinating matters relating to the general operation of the office including: maintenance of CA/O case files from opening to closure. Orders office supplies and maintains an accurate account of supplies used. Assigns and oversees work of temporary and volunteer help with CA/O approval.

Opens mail for CA/O's review. Keeps record of calls for case files at State Archives and returns same.

Maintains a current and accurate office filing system including: Complaint case files; Attorney General (AG) Opinions; Iowa Administrative Procedures Act (IAPA) rules and changes; Iowa Court Rules; and House and Senate bills, amendments, journals, and enrolled bills during legislative session. Maintains CA/O press clipping books. Maintains other miscellaneous filing responsibilities such as information regarding agencies under CA/O jurisdiction; newsletters; and other specific filing assignments which, from time to time, will be made by CA/O. Maintains institutional policy and procedures manuals and departmental manuals as assigned.

Orders state pool car from State Vehicle Dispatcher when needed. Makes travel and hotel/motel reservations for CA/O staff personnel and maintains a record of staff meetings, speeches, etc. for outreach file.

Assists other office clerical, when necessary, or provides skills needed to backup other office clerical when those individuals are on sick leave or vacation.

Receptionist duties. Answers telephone in pleasant manner, routes call to appropriate staff member, takes accurate and clear messages when staff is unavailable. Courteously greets and assists office visitors and directs them to the appropriate staff person.

Revised June, 1993

JOB DESCRIPTION

Position: CA/O Secretary
Office of Citizens' Aide/Ombudsman (CA/O)

Salary Rate: Grade 19

Basic skills, knowledge, and abilities

Knowledge of, and skill in, general office practices and procedures including: grammar; punctuation; spelling and word usage; office machines and equipment (computer [word-processing, database and legislative mainframe], laser printer, typewriter, transcriber, copy machine, fax, shredder, and telecommunication device for the deaf); and general bookkeeping principles.

Ability to work independently and organize work according to priorities; deal tactfully and effectively with others; understand governmental structure and process; maintain office confidentiality; transcribe and type accurately from handwritten or roughly drafted (typed) copy, and dictation tapes; interpret rules and procedures which pertain to the duties require of the position.

Duties summarized

Administrative. Assists CA/O in organizing and coordinating matters relating to the general operation of the office including:

Secretarial duties. Types all correspondence, letters, memos, reports, forms, summaries, etc. from tapes or handwritten copy. Types legal documents. Transcribes sworn testimony. Types annual, critical and special reports as assigned. Does xeroxing as needed. Maintains annual report and other mailing lists.

Assists Executive Secretary as needed in statistical data base entry on computer, typing monthly case lists, online entry into the Iowa Financial Accounting System (IFAS) on computer, legislative computer access for legislative information.

Assists Administrative Secretary as needed in making up case files, typing case closures and update of files, press clippings, etc.

Receptionist duties. Serves as backup for Administrative Secretary in answering phone, routing calls, and greeting visitors.

Revised June, 1993

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
OVERTIME/COMPENSATORY TIME POLICY**

See Chapter 4 (Compensation - Salary) of the PERSONNEL GUIDELINES FOR THE CENTRAL LEGISLATIVE STAFF AGENCIES DATED November 2, 1989.

Permanent full-time employees of the office of Citizens' Aide/ Ombudsman (CA/O) may participate in an overtime/compensatory time (comp time) program at the discretion of the CA/O.

Clerical staff are eligible for full compensation for overtime. This overtime shall be compensated with either overtime pay or comp time at a one and one-half hour rate for each hour of overtime accrued. All overtime for clerical staff must be approved in advance by the clerical supervisor.

Professional staff are eligible for partial compensation and shall be compensated on an hour-for-hour basis. Comp time shall be accrued after the accumulation of 40 hours of overtime to a maximum of 120 hours and shall be used within one year.

Comp time can be earned for assigned work completed above the normal state employment day and the normal state payroll period of 80 hours.

Comp time may be earned under the following circumstances:

- a. for each 15 minute increment worked beyond the normal state work day if:
 1. the work is a normal assumption of work responsibilities, i.e. intake of a case after the normal state employment day has ended,
 2. the work undertaken assumes part of the employee's normal work day break or lunch,
 3. the work is undertaken to meet a deadline or other responsibility required of the employee by the CA/O.
 4. the work is undertaken to meet a deadline to insure timely resolution of a matter being investigated by the CA/O, or
 5. the work is undertaken on a state holiday or weekend and meets the above criteria.
- b. an assistant who "covers" for the assigned intake person during lunch and foregoes all or part of his/her normal lunch break,

- c. staff who "cover" the telephone in the receptionist area during their lunch break,
- d. travel time spent on the road for institutional visits, conference attendance, site visits, etc., and
- e. any comp time claimed in the amount of or exceeding three hours on any given normal employment day must be approved by the CA/O before accrual.

Comp time will normally not be accrued if the employee attends a conference program, either in-state or out-of-state, at his/her request and with the permission of the CA/O. Comp time may be accrued if the employee attends a conference at the direction of the CA/O and the conference extends beyond the normal state employment day as long as the employee receives no additional benefits, i.e. continuing legal education credits, college credit, or any other occupational or professional continuing education credit.

Comp time shall not accrue for media appearances outside the normal state employment day unless such appearance is at the direction of the CA/O and part of Project Outreach.

Comp time must be used in the calendar year earned. Any unused comp time after December 31st of the calendar year earned shall be lost to the employee.

Any comp time taken for a consecutive period of more than one-half day must be requested on the CA/O Leave Request form.

Comp time does not enjoy the same status as unused vacation time and persons leaving the employ of the CA/O are not entitled to receive remuneration in lieu of comp time used.

Comp time may not be negatively accrued.

Comp time may not be used to replace negative vacation or sick leave accumulations.

Comp time may be used prior to expenditure of vacation and/or sick leave time.

Each employee shall maintain and turn in, each 80 hour pay period, a signed time sheet (sample attached). This sheet shall accurately reflect actual arrival, departure, break and work time in 15 minute intervals. If this sheet is not timely filed, the employee may experience a delay in pay. Timely filed is defined as early morning on the Friday preceeding payday, Friday which is the first day of the next pay period. This will allow the leave hours taken to be recorded and sent to the Centralized Payroll Division in Friday morning's mail.

On those occasions when this Friday is a state holiday or the employee is otherwise out of the office, the time sheet shall be turned in at the end of the employee's last day in the office before the end of the pay period. In cases of unexpected absences from the office the employee shall complete the time sheet by phone with the appropriate clerical staff. The employee shall sign the time sheet upon return to the office. One employee shall not ask another employee to sign his/her time sheet.

The CA/O office has a flex time policy which allows employees to work an 8 hour day, Monday through Friday, or a 10 hour day either Monday through Thursday or Tuesday through Friday. During the normal employment day employees are entitled to two 15 minute breaks and a 30 minute lunch. Employees may elect to take a 60 minute lunch if they forego the two 15 minute breaks.

Revised June, 1993

CITIZENS' AIDE/OMBUDSMAN TIME SHEET

EMPLOYEE NAME			PAY PERIOD				YEAR		
Date	Day	Time In	A.M.* Break	Lunch		P.M.* Break	Time Out	Hours Worked	Remarks
				Out	In				
	Eri								
	Sat								
	Sun								
	Mon								
	Tues								
	Wed								
	Thurs								

Employee's Signature _____ SubTotal _____

	Eri								
	Sat								
	Sun								
	Mon								
	Tues								
	Wed								
	Thurs								

Employee's Signature _____ Sub Total _____

Date Turned In _____
 Supervisor's Signature _____
 Date Approved _____

Total Hours Worked _____
 Personal Sick Leave Taken _____
 Family Sick Leave Taken _____
 Vacation Leave Taken _____
 Other Leave Taken (specify) _____
 Comp Time Taken _____
 Comp Time Accrued _____
 Comp Time Approved _____

*If normal break time is taken the column shall be marked "x"; if employee worked during that break time it shall be noted as "w".

DATE	DESTINATION	MODE OF TRAVEL	REASON FOR TRIP/REMARKS

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
WORK ATTENDANCE POLICY**

See Chapter 6 (Compensation - Leave) of the PERSONNEL GUIDELINES FOR THE CENTRAL LEGISLATIVE STAFF AGENCIES dated November 2, 1989.

Each employee is expected to report to work on a regularly and timely basis and to utilize the appropriate leave request policies when necessary. The normal work schedule for the office is 8:00 a.m. to 4:30 p.m., Monday through Friday, except for designated state holidays or declared weather emergencies. This is an eight hour day, five day work week, yielding 80 hours per pay period. For those permanent, full-time employees electing to participate in a ten hour day, four day work week the work schedule will be Monday through Thursday or Tuesday through Friday in which the work day begins at 7:00 a.m. and ends at 5:30 p.m. This will allow the office to remain open and responsive to telephone and in-person contacts an additional ten hours per week. On those intake days when the intake assistant has elected to work five eight hours days, staff on the four day work schedule will be responsible to receive intake contacts during the two hours not covered by the daily intake staff person. Similar adjustments will be made among the clerical staff. Any exceptions to this schedule must have the approval of the CA/O.

During a work day each employee is entitled to two fifteen minute breaks, one to be taken in the a.m., the other in the p.m., and a thirty minute lunch break. The two fifteen minute breaks and the lunch break may be combined and taken as a sixty minute lunch break.

The CA/O reserves the right to request employees to work outside of the normal or elected work schedule for which the employee will receive compensatory time credit or, if eligible, overtime pay.

If an employee fails to show up for scheduled work on three consecutive days without having notified either the CA/O or designee, that employee shall be deemed to have abandoned his/her employment.

All leave (except unexpected sick leave) taken by employees for more than one-half day shall first be requested and approved by the CA/O or designee on the CA/O Leave Request form.

CA/O LEAVE REQUEST

I request leave from work for
the following inclusive dates:

- _____ Earned Vacation
- _____ Compensatory
- _____ Sick
- _____ Funeral
- _____ Unpaid Leave
- _____ Jury Duty
- _____ Military/National
Guard
- _____ Other (specify)

This leave _____ will _____ will not affect my normal assignments
and the following arrangements have been made to fulfill agency
responsibilities:

Current work load since last monthly review is:

_____ Up to date _____ Needs attention, explain:

During this leave I can be
reached at this number(s):

Date of request _____ Signature _____

Date of approval _____ Signature _____

OFFICE OF CITIZENS' AIDE/OMBUDSMAN
VACATION LEAVE POLICY

See Chapter 6 (Compensation - Leave) of the PERSONNEL GUIDELINES FOR THE CENTRAL LEGISLATIVE STAFF AGENCIES dated November 2, 1989.

Vacation leave shall be accrued according to the number of years employed in Iowa state government. The current amounts of vacation time which can be earned are as follows:

<u>Years of Employment</u>	<u>Vacation Entitlement</u>	<u>Holidays*</u>	<u>Pay Period (hrs)</u>		
			<u>1st</u>	<u>2nd</u>	<u>3rd</u>
0-4	80 hours	16 hours	3.69	3.69	3.72
5-11	120 hours	16 hours	5.23	5.23	5.24
12-19	160 hours	16 hours	6.77	6.77	6.76
20-24	176 hours	16 hours	7.39	7.38	7.38
25+	200 hours	16 hours	8.31	8.31	8.28

*In addition to regularly scheduled holidays granted by the Executive Council yearly, state employees have been granted two (2) additional unscheduled holidays a year. These additional days of paid leave will be accrued as vacation and scheduled by employees in the same way as vacation.

Citizens' Aide/Ombudsman (CA/O) professional staff shall submit written vacation requests to the CA/O for approval. Clerical staff vacation requests are to be submitted to the clerical supervisor in the same manner. Requests should be submitted on the CA/O Leave Request form. Vacation requests for less than one-half day may be requested and approved orally. Staff are urged to submit vacation requests as soon as they know their anticipated vacation plans. Final approval for the dates of vacation rests with the CA/O. Requests will be given consideration as received and those with the earlier date will be given priority in the event of schedule conflicts.

The following prohibitions shall be in force: The CA/O and his/her Deputy should not schedule concurrent vacations. Normally, no more than three staff members will be allowed concurrent vacations.

In the event of a vacation schedule change from a previously approved vacation plan, the staff member shall inform the CA/O as soon as possible; however, his/her request for alternative vacation dates becomes subservient to any other submitted requests for the same time period.

Staff members shall leave information concerning vacation schedules and, if possible, telephone numbers and dates where the individual can be reached, if necessary. Interruptions of vacations shall be only for extremely important matters. Before an Assistant leaves for vacation longer than three (3) working days, he/she shall provide the CA/O or designee with a listing of open cases and anticipated responses. During that period of time, another staff member will assume responsibility for monitoring and/or acting upon the open case files. At no time shall a vacationing Assistant take his/her open case files with him/her during the vacation.

The CA/O reserves the managerial discretion to alter staff vacation plans if the needs of the office so warrant.

Vacation time is expected to be used during the year earned. It should not be "banked." If a staff member fails to use all of his/her annual vacation time during the year earned, he/she must specifically request that time from the CA/O. All "banked" vacation time requests remain subservient to current year requests regardless of the date requested.

(NOTE: All accruals automatically stop when employees reach twice their annual entitlement in addition to the non-designated holidays.)

Staff members may take vacation time accrued as part of their termination arrangements, however, all necessary caseload and other office business must be complete prior to this vacation time being granted.

Under the provisions of the Code of Iowa (Chapter 79.1) and the Department of Personnel Rules (Chapter 14.2[e]) it is a requirement that any employee eligible to accrue vacation time is paid for the time accrued but not taken at his termination of employment.

Employees who have accrued over thirty (30) days (240 hours) sick leave may convert that into vacation leave (if no sick leave was used during the previous month) at the rate of twelve (12) hours sick leave to four (4) hours vacation. Employees will be allowed to accumulate up to an additional twelve (12) days (96 hours) beyond twice their annual vacation and unscheduled holiday entitlement. Such requests to convert shall be made in writing to the CA/O and will be given to the office clerical staff responsible for keeping vacation and sick leave records.

The CA/O may also permit a permanent employee to transfer vacation leave accrued to another permanent employee for use as sick leave as described in the Vacation Leave Sharing Policy of the Personnel Guidelines for the Central Legislative Staff Agencies (Chapter 6[D]).

Revised June, 1993

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
SICK LEAVE POLICY**

See Chapter 6 (Compensation - Leave) of the PERSONNEL GUIDELINES FOR THE CENTRAL LEGISLATIVE STAFF AGENCIES dated November 2, 1989.

The current annual accrual rate for all state employees is eighteen (18) days. The biweekly accrual rate is as follows:

<u>Pay Date</u>	<u>Hourly Accrual</u>
1st	5.54
2nd	5.54
3rd	5.52

Personal Sick Leave: Any Citizens' Aide/Ombudsman (CA/O) staff member who becomes ill shall have a call made to the CA/O or designee within one-half hour after the employee's normal starting time on the day the sick leave is to be used. A message may be left on phone mail or given to the person answering the telephone. To the extent possible, staff members shall indicate the expected hours or days to be used when making this initial call. Sick leave which shall be taken under a physician's direction for exhaustion or similar recuperative conditions shall be substantiated by a written communication from the physician. Staff members suffering from serious debilitating conditions, or who are recovering from surgery, must have a physician's statement indicating that they are able to return to work full-time before they will be allowed to return to their full-time responsibilities.

When a staff member is ill, he/she is expected to use sick leave. This is a small office and we cannot afford lengthy absences resulting from one not taking the necessary sick leave when a condition requires rest and treatment, nor can we afford contagious infections being spread among other staff members. If this directive is not followed voluntarily, it shall be enforced by the CA/O or designee.

Extended sick leave is available without pay if the staff member expends all of his/her accrued sick leave. Individuals so stricken shall inform the CA/O or designee of anticipated sick leaves of this duration and he/she shall attempt to work out a suitable arrangement for continued employment, if possible. Accrued vacation time may be used to afford the staff member with the longest possible employment period prior to these special circumstances being considered.

Vacation time and sick leave are separate situations. Staff members shall not use sick leave to extend vacation periods. Such situations will be dealt with as unauthorized absences from employment.

Employees who have accrued over thirty (30) days (240 hours) sick leave may convert that into vacation leave (if no sick leave was used during the previous month) at the rate of twelve (12) hours sick leave to four (4) hours vacation. Employees will be allowed to accumulate up to an additional twelve (12) days (96 hours) beyond twice their annual vacation and unscheduled holiday entitlement. Such requests to convert shall be made in writing to the CA/O and will be given to the office clerical staff responsible for keeping vacation and sick leave records.

The CA/O may also permit a permanent employee to transfer vacation leave accrued to another permanent employee to use as sick leave as described in the Vacation Leave Sharing Policy of the Personnel Guidelines for the Central Legislative Staff Agencies (Chapter 6[D]).

Enforced (family) Sick Leave: The Personnel Guidelines for the Central Legislative Staff Agencies (Chapter 6 [D]) states that accrued sick leave, not exceeding forty (40) hours per year, may be used for leaves for the temporary care of, or necessary attention to members of the immediate family members, for child care, or for bereavement leave. Immediate family member means an employee's spouse, child, or parent.

Also under the Personnel Guidelines for the Central Legislative Staff Agencies (Chapter [D]) an employee's supervisor may grant to the employee family leave, not to exceed one hundred sixty hours per year, to care for a family member who is seriously ill or upon the death of a family member. Family leave is in addition to the forty hours per year of accrued sick leave provided for the temporary care of immediate family members, for child care, or for bereavement leave.

The employee, at the employee's own option, may use accrued vacation, sick, compensatory, or holiday leave or leave without pay during the period of family leave.

For the purposes of family leave, family member means the employee's spouse, children, grandchildren, foster children, stepchildren, legal wards, parents, grandparents, foster parents, stepparents, brothers, foster brothers, stepbrothers, sons-in-law, brothers-in-law, sisters, foster sisters, stepsisters, daughter-in-law, sisters-in-law, aunts, uncles, nieces, nephews, corresponding relatives of the employee's spouse, other persons who are members of the employee's household, and other persons for whom the employee is the primary caretaker.

Staff shall designate in the remarks column of the CA/O timesheet whether sick leave used is personal or enforced (family).

When sick leave to be used is known in advance (hospitalization, disabilities, parental or family leave, etc.) such leave shall be requested on the CA/O Leave Request form.

Revised June, 1993

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
EDUCATIONAL LEAVE POLICY**

See Chapter 6 (Compensation - Leave) of the PERSONNEL GUIDELINES FOR THE CENTRAL LEGISLATIVE STAFF AGENCIES dated November 2, 1989.

Employees of the office of Citizens' Aide/Ombudsman (CA/O) may be eligible for educational leave and assistance pursuant to the preceding guidelines adopted by the Legislative Council.

DEFINITIONS:

Educational leave is that time away from the employee's normal work hours while in attendance at an accredited course of study at an approved educational institution.

Part-time educational leave is defined to include no more than a maximum of six credit hours at any one time.

Full-time educational leave is that which requires the employee to be in attendance more than six credit hours at any one time and a full-time leave-of-absence from employment responsibilities.

Educational assistance is that financial reimbursement to the employee for the cost of tuition, books and other course-related materials.

PURPOSE AND PHILOSOPHY:

The educational leave and assistance program of the office of CA/O is designed to accomplish the following objectives:

1. To provide for CA/O needs, in relation to areas of staff development which will allow the agency in better accomplishing its objectives of investigating and resolving citizen complaints against government.
2. To insure that the CA/O staff members have knowledge and skill to fill needed critical positions within the agency and to maintain that knowledge and skill at the necessary levels of expertise.
3. To stimulate interest in and provide incentive to staff members, who have special abilities and responsibilities in critical areas, to increase their knowledge and skill so they may have the opportunity to achieve their potential in their current positions.
4. To provide added incentive to supervisory personnel to maximize their management potential.

ELIGIBILITY:

Any full-time permanent employee of the CA/O office who is not in probationary status at the time.

An employee receiving other financial assistance such as scholarship aid, G.I. funds, etc., will be eligible to receive educational assistance to the extent that the sum total of all methods of reimbursement do not exceed 100% of tuition.

ACCEPTABLE COURSES OF STUDY:

The educational leave/assistance policy of the state is designed for agency related courses of study. Any course of study must be in an area which has a relationship to the mission and objectives of the office of CA/O, the tasks accomplished within the office, the requirements of the position the individual currently holds, and/or is required to learn for which the department has need.

These courses of study shall be presented by the individual staff member to the CA/O for his or her approval. The CA/O may request individual staff members to consider a specific educational course of study in order to generate or maintain a needed knowledge or skill base within the staff.

EDUCATIONAL LEAVE:

A staff member may be granted educational leave if he/she demonstrates that the specific course of study is not offered at evening or on weekends, or that such sections of the specific course of study have been effectively closed to the staff member due to enrollment limitations. Each staff member is expected to have aggressively sought those sections of the course of study which do not require time away from his/her job responsibilities before requesting leave from the job.

When leave is granted, the individual's work schedule will be modified to the extent feasible to accommodate class hours. However, as much as possible, the individual will be expected to make up the time.

REIMBURSEMENT:

1. A staff member will be reimbursed for tuition and fees upon submission of an original paid receipt from the academic institution to the CA/O. Reimbursement for books and other course-related materials will be made, upon the discretion of the CA/O, and presentation of an original paid receipt for such books or materials. Any books and other non-consumed course-related materials become the property of CA/O and the State of Iowa.

2. Prior to reimbursement, the staff member must provide proof of his or her successful completion of the course. Proof will be established by submission of an original copy of the course grade report or an official copy of the student's transcript from the educational institution.

(a) Successful completion of a graduate course shall require attainment of at least a "C" grade.

(b) Successful completion of a graduate course shall require attainment of at least a "B" grade.

(c) Successful completion of a vocational or correspondence course shall be recorded by submittal of an official certificate.

(d) A staff member will not be reimbursed for course work that is incomplete, in progress, or from which there was a withdrawal.

PROCEDURE FOR SELECTION AND PARTICIPATION:

The decision to grant educational leave and/or assistance rests with the CA/O.

Staff members interested in being considered for educational leave/assistance shall submit a memorandum to the CA/O in which they identify the course, including its formal description, the time and dates offered, an estimate of its cost, and justify their reason for requesting educational leave/assistance for that particular course of study.

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION PLAN**

See Chapter 7 (Hiring) of the PERSONNEL GUIDELINES FOR THE CENTRAL LEGISLATIVE STAFF AGENCIES dated November 2, 1989.

Equal Employment Opportunity (EEO) Policy Statement

It is the policy of the Office of Citizens' Aide/Ombudsman (CA/O) to extend the equal employment opportunities to all employees and all applicants for employment who meet the qualifications established for the class or position for which the application is made. In so doing, it is the policy of the office of CA/O not to discriminate against any employee or applicant for employment on the basis of race, religion, color, sex, natural origin, age, or physical or mental disability.

Evaluation does not indicate that any present or past organizational discrimination exists within the office. However, should any such knowledge arise, immediate steps will be taken to rectify and remedy those effects of past discrimination.

The office of CA/O is a small agency of state government. It presently employs nine professional, including the CA/O, who is appointed by the Legislative Council of the General Assembly, and three clerical. Present budgetary authorizations and appropriations do not anticipate any growth among the FTE. Employee turnover has been relatively stable. Presently there is no unfilled FTE vacancy.

The office of CA/O shall design and implement an EEO/Affirmative Action program which affects all employment practices.

In order that this commitment and these goals achieve the appropriate degree of attention within the office of CA/O, the office legal counsel is designated as the EEO/Affirmative Action officer for the agency. This designee is Ruth H. Cooperrider who is officed at 215 E. 7th Street, Des Moines, Iowa 50319.

Assignment of Responsibility

It is the responsibility of the EEO/Affirmative Action officer to disseminate the policy statement and monitor implementation of the EEO/Affirmative Action program for the agency.

Program Implementation Plans

EEO/Affirmative Action goals shall be attained through an ongoing process of making available, as time and financial resources allow, educational and skilled advancement opportunities to the presently employed staff of the office of CA/O. Such opportunities will be provided to those individuals having responsibilities within the organization which require knowledge and skill enhancement, and/or to those individuals who need to develop such knowledge and/or skills, in order to make them eligible for consideration to different job levels within the organization.

EEO/Affirmative Action goals shall be attained in the application recruitment process, when job openings occur by insuring that there is the broadest dissemination of job opening information.

For each position within the agency there has been written, and shall be updated as needed, a job description which shall be disseminated with any announcement of a job opening. That job description carefully defines the range of responsibilities and performance levels as well as the generally anticipated levels of educational and experiential preparation.

When a position is available the CA/O will make a concerted effort to publicize that position so that all the necessary information concerning the job vacancy is available to minority and other protected groups. As part of the recruitment process, an advertisement will be placed in those publications recommended by the Iowa Civil Rights Commission. Also, notice will be sent to all groups and organizations identified as informational conduits by the Iowa Civil Rights Commission for the various protective classes.

To assess the effectiveness of the CA/O EEO/Affirmative Action efforts a survey is used to evaluate the CA/O performance. The survey is sent to all applicants and is strictly voluntary. The responses are kept separate from the applications and are kept confidential. A copy of the survey form is attached.

Revised June, 1993

EQUAL EMPLOYMENT OPPORTUNITY SURVEY
OFFICE OF THE CITIZENS' AIDE/OMBUDSMAN

As an office of Iowa State Government, we are committed to equal employment opportunity and affirmative action. We ask that you complete this survey to assist our office in assessing the effectiveness of our equal opportunity and affirmative action efforts. Your response is strictly voluntary and will be kept confidential. The survey responses are maintained separately from the applications and will not affect our interviewing and hiring decision.

Position applied for: _____

How did you learn about this position: _____

SEX: () Male () Female

ETHNIC OR RACIAL GROUP (check one):

- () White: Persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- () African-American: Persons having origins in any of the black racial groups in Africa.
- () Latino: Persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.
- () Asian or Pacific Islanders: Persons having origins in any of the original peoples of the Far East, Southeast Asia, Indian Subcontinent, or the Pacific Islands.
- () American Indian or Alaskan Native: Persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

AGE CATEGORY: () 18-29 () 30-39 () 40-49
() 50-59 () 60-69 () 70 and over

DISABILITY: Do you have a disability that is a physical or mental impairment which substantially limits one or more major life activities, or do you have a record of such an impairment, or are you regarded as having such an impairment?

() Yes () No

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
PERFORMANCE EVALUATION POLICY**

See Chapter 9 (Performance Evaluations) of the PERSONNEL GUIDELINES FOR THE CENTRAL LEGISLATIVE STAFF AGENCIES dated November 2, 1989.

Each employee of the office of Citizens' Aide/Ombudsman (CA/O) shall have their job performance evaluated on a yearly basis on the anniversary date of their last merit increase or promotion. New hires shall be evaluated after the six-month probationary period and then on a yearly basis.

The employees shall be evaluated by the CA/O and Deputy and a copy of the evaluation shall be placed in the employee's personnel file.

A copy of the Performance Evaluation Worksheet for the CA/O office is attached.

Revised June, 1993

CITIZENS' AIDE/OMBUDSMAN
PERFORMANCE EVALUATION WORKSHEET

NAME _____

CLASSIFICATION TITLE _____

PERIOD COVERED BY THIS EVALUATION: BEGINNING _____ THROUGH _____

GUIDELINES FOR PERFORMANCE EVALUATIONS

The purpose of performance evaluation is to provide a systematic evaluation of staff members with respect to their job performance for future development. The primary objectives are:

- To provide a factual basis for determining the job performance of probationary and permanent staff members.
- To inform a staff member of how well they are doing and/or to suggest changes in behavior, attitudes, skills, or job knowledge.
- To coach and counsel staff members in identifying areas of concern and opportunities for growth and development.
- To provide a means to assure that CA/O objectives are being met.

This evaluation worksheet provides an opportunity for the supervisor and staff member to mutually review and discuss performance criteria standards and evaluations. The process provides the opportunity to continually review performance and to communicate whether the performance standards are being met. The staff member's performance is evaluated according to the following guidelines:

Performance is unsatisfactory...The staff member is generally not fulfilling job requirements. The employee is to be counseled regarding job expectations and advised of specific methods of improvement.

Performance needs improvement...The staff member's job performance is deficient in specific areas. The employee will be advised of the steps that are necessary to fully meet expectations.

Performance is satisfactory...The staff member is meeting the requirements of the position. The employee will be informed of ways in which performance could exceed expectations.

Performance is good...The staff member is meeting the requirements of the position and often goes beyond the basic requirements. The employee will be informed of the strengths and accomplishments which have been observed.

Performance is outstanding...The staff member generally exceeds the requirements of the position. The employee will be informed of the strengths and accomplishments which have been observed, and commended on performance.

The completed form is signed by the supervisor and staff member and retained in departmental files.

EVALUATION FACTOR GROUPINGS

1. General Performance Characteristics
2. General Work Skills and Communication Skills
3. Work-related Interpersonal Skills
4. Work-related Attitudinal Factors
5. Decision-making Ability
6. Work Output: Quality
7. Work Output: Quantity
8. Work Output: Timeliness
9. Managerial Characteristics
10. Legal Characteristics

1. GENERAL PERFORMANCE CHARACTERISTICS

OUTSTANDING GOOD SATISFACTORY NEEDS IMPROVEMENT UNSATISFACTORY

COMMENT (optional):

- a. ATTENDANCE AND PUNCTUALITY - Record of work attendance, with emphasis on important work periods; timeliness of attendance.
- b. CAREER DEVELOPMENT - Interests and actions regarding self-improvement and professional enrichment, either formal or informal.
- c. CARE OF PROPERTY - Care of work materials and government property.
- d. JOB STAMINA - The physical and mental ability to stay abreast of the demands of the job.
- e. KNOWLEDGE - The total accumulation of education and experience for which the individual is employed.
- f. LOYALTY - Conduct which reflects a commitment to the basic purpose for which the individual is employed.
- g. OBSERVANCE OF RULES - Familiarity with and acceptance of guidelines, regulations, and procedures.
- h. PERSONAL APPEARANCE - The selection of personal business attire, grooming and cleanliness.
- i. PERSONAL INTEGRITY - Adherence to a code of moral values and principles which impact the organization; does not abuse privileges or authority.
- j. PERSONAL ORGANIZATION - The order, appearance, and overall condition of an individual's work area; coordination of person matters to minimize disruption of work duties and responsibilities; uses time efficiently.
- k. PROFESSIONALISM - The individual's ability to order one's conduct in such a manner that all persons dealing with the individual are aware of the individual's maturity, integrity, and commitment to job.
- i. RELIABILITY - The confidence which may be placed in the individual's professional opinions, recommendations, and analyses.

2. GENERAL WORK SKILLS AND COMMUNICATION SKILLS

OUTSTANDING GOOD SATISFACTORY NEEDS IMPROVEMENT UNSATISFACTORY

COMMENT (optional):

- a. COMMUNICATION, AURAL - The ability to learn from the words of others now they think or feel, the ability to pick up cues from others.
- b. COMMUNICATION, ORAL - The ability to orally develop and convey thoughts clearly and concisely to others, with acceptable English usage.
- c. COMMUNICATION, WRITTEN - The ability to convey written thoughts clearly and concisely, with little difficulty regarding interpretation, and with acceptable English usage.
- d. CONCENTRATION - The ability to stick with a given task to the end of the task; ability to renew concentration after interruption.
- e. FOLLOW-THROUGH - Timely follow-up and aggressive pursuit of assignments and issues to see each matter through to a satisfactory disposition.
- f. INITIATIVE - The extent to which the individual pursues important work without close supervision and generates ideas helpful to the organization; the extent to which the individual is a "self-starter".
- g. INQUIRING MIND - Curiosity in one's work, the ability to pose questions and seek information beyond the obvious.
- h. JOB KNOWLEDGE - Possesses a clear knowledge of the responsibilities and the task to be performed; proficient in skills required to perform job.
- i. PERCEPTION, UNDERSTANDING, and INSIGHT - The ability to comprehend information, situations, circumstances, and complex problems; the ability to grasp larger issues while not losing sight of details.
- j. PLANNING - Setting realistic goals and organizing resources to achieve them; ability to schedule and organize time and effort for short-range or long-range assignments; predicting problems or questions before they occur.
- k. PROBLEM SOLVING/CREATIVITY/RESOURCEFULNESS - Uses sound judgment in analyzing problem situation; generates ideas; provides constructive suggestions towards solution; independent recognition of problems and proposal of solution; the degree of

originality or ingenuity of ideas; independence of thinking; ability to connect ingenuity with work-related projects.

1. TIME EFFECTIVENESS - The ability to meet deadlines and accomplish objectives by efficient allotment of time; assignments completed by deadlines.

3. WORK-RELATED INTERPERSONAL SKILLS

OUTSTANDING GOOD SATISFACTORY NEEDS IMPROVEMENT UNSATISFACTORY

COMMENT (optional):

- a. COOPERATION WITHIN AGENCY - The willingness with which the individual works with colleagues in a common effort; reaction to coworker suggestions of requests; takes direction well; works well with others; promotes agency effort; willingly assists other employees within agency.

- b. COOPERATION OUTSIDE AGENCY - The willingness and spirit with which the individual works with others toward a common goal. The ability to develop and maintain a working relationship that is characterized by open communication enhancing the work flow among the different agencies, levels of government and citizenry.

- c. INTERPERSONAL SKILLS - Communicates and listens effectively; keeps others informed when necessary; promotes favorable relations with others in and outside the agency.

- d. WORKING WITH SUPERIORS - The ability to accept direction and perform tasks in a friendly and businesslike manner; can be entrusted responsibility and authority; inspires confidence and respect from superiors and coworkers.

4. WORK-RELATED ATTITUDINAL FACTORS

OUTSTANDING GOOD SATISFACTORY NEEDS IMPROVEMENT UNSATISFACTORY

COMMENT (optional):

- a. ACCEPTANCE OF CRITICISM - The personal and professional reaction of the individual to constructive suggestions which may improve performance or effectiveness of the individual.
- b. COMMITMENT TO JOB - The individual's overall attitude toward the job and the individual's expression of responsibility and dedication to duty; an involvement "above and beyond" the call of duty when required.
- c. COMPOSURE AND SELF-CONTROL - The ability to work under pressure, to maintain a level temper, to refrain from showing emotion under stress, to react in a good-natured manner under adverse conditions.
- e. COURTESY - The characteristic of dealing with fellow employees, members of the legislative community, and the general public in accordance with the principles of common courtesy and consideration.
- f. FLEXIBILITY - The personal and professional willingness to accept new assignments and increased responsibility; attitude toward change; willing to master new duties, methods, and technologies.
- g. OBJECTIVITY - The ability to remain impartial in dealing with others, within and outside the agency.
- d. PROFESSIONALISM - The ability to deal fairly and directly with facts, establish a rapport with other individuals, develop a reliable and consistent performance that enables others to depend upon the individual for advice, analysis, and recommendations.
- h. TACT - The ability to work with others in a manner that is not offensive, that builds a base of cooperative participation, and that results in achievement of basic purpose; listens to input before making a decision.

5. DECISION-MAKING ABILITY

OUTSTANDING GOOD SATISFACTORY NEEDS IMPROVEMENT UNSATISFACTORY

COMMENT (optional):

- a. **DECISIVENESS** - The ability to resolve problems encountered in daily work and to properly complete work assignments without excessive reliance upon supervision or interruption of others.

- b. **INDEPENDENCE** - The ability not only to work alone, i.e., without close supervision, but to be free from dependence upon sole sources for information and others in making analyses or recommendations.

- c. **JUDGMENT** - The ability to resolve work problems by applying accumulated training, experience, common sense, and understanding the individual has acquired; application of such training experience, understanding, and common sense; achieving balanced and fair solutions to problems.

- d. **KEEPING OTHERS INFORMED** - Knowing when to bring matters to the attention of others, particularly superiors and other key personnel within the organization, so that adequate information is made available at the proper levels in the organization.

6. MANAGERIAL ABILITY

OUTSTANDING GOOD SATISFACTORY NEEDS IMPROVEMENT UNSATISFACTORY

COMMENT (optional):

- a. DELEGATION - The ability to entrust responsibility and authority to others while retaining control and fixing accountability for unexpected results.

- b. LEADERSHIP - The ability to inspire confidence, productivity, and teamwork; fair and consistent use of discipline and authority; respect for the individual.

- c. MOTIVATING OTHERS - The ability to positively affect an organization and stimulate others through personal conduct and example.

7. WORK OUTPUT: Quality

WORK PRODUCT QUALITY - Work products are thorough, precise, clear, and well documented. Sets high standards of neatness and accuracy and achieves high quality results.

In general:	OUT	GOOD	SAT	NEEDS IMP	UNSAT
Intake.....					
Logwork.....					
Casework.....					
Institutional assignments.....					
Subject area assignments.....					
Special projects.....					
Secretarial and receptionist duties.....					
Proofreading.....					
Management duties.....					
Legal duties.....					
Outreach.....					
Miscellaneous.....					

COMMENT (optional):

8. WORK OUTPUT: Quantity

WORK PRODUCT QUANTITY - The amount of usable work accomplished in a given period of time. Produces expected volume consistently; willing to go beyond normal production requirements. Providing information not necessarily requested but useful once received.

In general:	OUT	GOOD	SAT	NEEDS IMP	UNSAT
Intake.....					
Logwork.....					
Casework.....					
Institutional assignments.....					
Subject area assignments.....					
Special projects.....					
Management duties.....					
Secretarial and receptionist duties.....					
Proofreading.....					
Legal duties.....					
Outreach.....					
Miscellaneous.....					

COMMENT (optional):

9. WORK OUTPUT: Timeliness

WORK PRODUCT TIMELINESS - Proper completion of assigned work within applicable and appropriate time frames:

In general:	OUT	GOOD	SAT	NEEDS IMP	UNSAT
Intake.....					
Logwork.....					
Casework.....					
Institutional assignments.....					
Subject area assignments.....					
Special projects.....					
Secretarial and Receptionist duties.....					
Proofreading.....					
Management duties.....					
Legal duties.....					
Outreach.....					
Miscellaneous.....					

COMMENT (optional):

CONCLUSION -- FINAL COMMENTS

Designated time/month for next evaluation _____

Date _____

Employer's signature _____

Employee's signature* _____

*The signature of the employee indicates receipt of the evaluation. It does not necessarily indicate agreement with the evaluation. An employee may file written comments in response to an evaluation within seven days of receiving such evaluation.

PERFORMANCE STANDARDS COMMENTS

A. Supervisor's Comments:

B. Staff Member:

I have had an opportunity to read the contents of this evaluation and have discussed it with my supervisor. I wish to make additional comments:

I do not wish to make additional comments.

Signature of Supervisor _____ Date _____

Signature of Staff Member _____ Date _____

4. List any responsibilities you think you should have; responsibilities you do not have now, but would prefer to have and are convinced you could handle, if any.

5. What kinds of responsibilities do you think should not be assigned to you? Why?

6. State what you consider to be your best achievement's or accomplishments in your area of work in the past twelve months.

7. Indicate what you consider to be your worst performances in your area of work in the past twelve months.

8. Do you believe you get adequate feedback on your work, both substantive and editorial? If not, how could this situation be improved?

9. Please identify any training or professional development needs you might have, including conferences you wish to attend.

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
OUTSIDE EMPLOYMENT POLICY**

It shall be the general policy of this office that employment outside the Citizens' Aide/Ombudsman (CA/O) office is permitted subject to the guidelines established thereto, pursuant to section 2C, Code of Iowa. Such outside employment shall not be in conflict with any duties performed as an employee of CA/O.

A request form, subject to the approval of the CA/O, shall be completed prior to assuming other employment.

Any employment which could be viewed as an extension of the CA/O office and/or its duties is to be considered as "Outreach" and will not be allowed as private employment for remuneration. This would encompass out-of-state as well as in-state employment. However, it would be permissible to accept expense money and/or a commemorative award for such outreach programs.

State resources of any kind cannot be used in connection with outside employment. This would include, but not limited to, office equipment, personnel services, and state vehicles.

Should they coincide, state business concerns should take precedence over private employment unless arrangements are approved by the CA/O, i.e., comp time.

The request form shall include the following: nature of work, name and location of employer, hours and days of work. The CA/O may request additional information if necessary such as phone number of employer in case of an emergency.

OFFICE OF CITIZENS' AIDE/OMBUDSMAN
EMPLOYEE REQUEST FOR PERMISSION
TO ENGAGE IN OUTSIDE EMPLOYMENT

Permission is requested to engage in outside employment for remuneration, subject to the following:

1. Kind of work

2. Name of employer

Address

Phone

3. Hours of employment

Days of week

Hours of day

4. This request is submitted with the understanding that approval, if granted, will apply only to the job, duration and hours as listed above.

Signature

Date

Approved by

Date

**DEPARTMENT OF GENERAL SERVICES
FLEET AND MAIL DIVISION
PRIVATE VEHICLE RATE POLICY**

EFFECTIVE DATE: APRIL 1, 1995

State of Iowa employees are encouraged to utilize State owned vehicles whenever possible to meet their vehicular travel needs in the conduct of State business. Chapter 18.117, Code of Iowa, however, does provide that the State Vehicle Dispatcher may approve the payment to State officers and employees for the use of their privately owned vehicle to conduct State business at a rate not to exceed the maximum allowable under the federal internal revenue service rules. Pursuant to these statutory provisions, the State Vehicle Dispatcher establishes the following payment rates for fiscal 1995:

1. \$.24 per business mile will be authorized to State of Iowa employees submitting a Certificate of Non-availability OR having on file a Certificate of Medical Waiver issued by the State Vehicle Dispatcher OR filing a claim in which the accumulated mileage on their private vehicle PER ROUND TRIP does not exceed fifty miles.
2. \$.21 per business mile will be authorized to State of Iowa employees who elect to use their private vehicle when a State vehicle was available for their use.
3. Other rates of payment may be authorized by the Director of the Department of General Services for the State business use of privately owned vehicles which have been substantially modified or specially equipped as required for use by persons with disabilities.

Certificate of Non-Availability:

State of Iowa employees who must use their own vehicle to conduct State business because a State vehicle was not available shall attach a properly authorized Certificate of Non-availability to their travel voucher to be eligible for the "full" rate of payment. Employees who "opt" to use their own vehicle when a State vehicle was available, or fail to attach a Certificate of Non-availability to their travel voucher, will be paid at the lesser rate.

Departments may designate in writing to the State Vehicle Dispatcher, at least once every two years, those managers authorized to issue Certificates of Non-availability. Prior to executing a Certificate of Non-availability to an employee, managers shall verify that a State vehicle is not in their local area. In the Des Moines metropolitan area, this shall include a verification of non-availability of vehicles from the Department of General Services Motor Pool.

Certificate of Medical Waiver:

Disabled employees who drive their own specially equipped vehicles will be issued annually a medical waiver by the State Vehicle Dispatcher authorizing them to receive payment for the business use of their private vehicles at the full rate. Employees who are permanently disabled need to provide a medical statement (stating that they are permanently disabled) only once during their career in State service; however, they must annually renew their request for waiver.

Certificate on Non-Availability of State Motor Vehicle

I certify that I am authorized by my department

to report that for the period(s) listed below, no state vehicle was available

for business use by _____

First Name

Last Name

DATE

DESTINATION

AUTHORIZED BY

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

REVENUE COPY - White — EMPLOYEE COPY - Canary — DEPARTMENT COPY - Pink

3-part NCR

Certificate on Non-Availability of State Motor Vehicle

I certify that I am authorized by my department

to report that for the period(s) listed below, no state vehicle was available

for business use by _____

First Name

Last Name

DATE

DESTINATION

AUTHORIZED BY

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

REVENUE COPY - White — EMPLOYEE COPY - Canary — DEPARTMENT COPY - Pink

**DEPARTMENT OF GENERAL SERVICES
FLEET AND MAIL DIVISION
PRIVATE VEHICLE RATE POLICY**

EFFECTIVE DATE: APRIL 1, 1995

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2. \$.21 per business mile will be authorized to State of Iowa employees who elect to use their private vehicle when a State vehicle was available for their use.
3. Other rates of payment may be authorized by the Director of the Department of General Services for the State business use of privately owned vehicles which have been substantially modified or specially equipped as required for use by persons with disabilities.

Certificate of Non-Availability:

State of Iowa employees who must use their own vehicle to conduct State business because a State vehicle was not available shall attach a properly authorized Certificate of Non-availability to their travel voucher to be eligible for the "full" rate of payment. Employees who "opt" to use their own vehicle when a State vehicle was available, or fail to attach a Certificate of Non-availability to their travel voucher, will be paid at the lesser rate.

Departments may designate in writing to the State Vehicle Dispatcher, at least once every two years, those managers authorized to issue Certificates of Non-availability. Prior to executing a Certificate of Non-availability to an employee, managers shall verify that a State vehicle is not in their local area. In the Des Moines metropolitan area, this shall include a verification of non-availability of vehicles from the Department of General Services Motor Pool.

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TERRY E. BRANSTAD, GOVERNOR

DEPARTMENT OF GENERAL SERVICES
JANET E. PHIPPS, DIRECTOR

MEMORANDUM

TO: State Agency Directors
FROM: Janet E. Phipps, Director
SUBJECT: New Private Vehicle Rate Policy
DATE: February 22, 1995

Effective April 1, 1995, executive branch agencies are authorized to reimburse their employees for the official use of their personal vehicles under the terms of the attached Private Vehicle Rate Policy.

The new policy, reviewed by a committee representing a cross section of departments, will continue the \$.21 rate for an employee who uses his or her own vehicle when a State vehicle is available. However, if a State vehicle is not available for the employee to use, the employee will be paid at the rate of \$.24 per mile.

Training for the new policy will be offered by Dale Schroeder, Administrator of the Fleet and Mail Division, and Lori McClanahan, Chief of the Pre-Audit Section of the Department of Revenue and Finance.

I am pleased to conclude this announcement with the news that the Department of General Services' Motor Pool is on target for a mid-April introduction of its on-line vehicle reservation system.

JEP:dks:jmh

enclosure

cc: Elected Officials
Business Managers
Financial Officers

c/j/vehrate1

RECEIVED

FEB 28 1995

CITIZENS' AIDE/OMBUDSMAN

OFFICE OF CITIZENS' AIDE/OMBUDSMAN
AUTOMOBILE POLICY

It shall be the general policy of the Citizens' Aide/Ombudsman (CA/O) office that on-the-job travel by automobile will be with a pool car owned and operated through the Vehicle Dispatcher for the State of Iowa. Exceptions to this rule must be cleared through the CA/O or designee before they will be considered for reimbursement on a personal basis.

Upon the occasion that two or more individuals shall be traveling on any particular day to the same destination car pooling shall be utilized. The use of personal vehicles is allowed with the approval of the CA/O or designee.

All travel schedules which involve routine visits to the various state institutions shall be submitted to the CA/O or designee as soon as travel arrangements are made and are to be included on the monthly staff schedule. All other travel, including conferences, one-day meetings, site visits, etc. shall be approved by the CA/O or designee and placed on the monthly staff schedule as they occur. Any changes in travel schedules shall be noted to the CA/O. Travel schedule changes that need to be made out in the field shall be called in and either reported to the CA/O or designee.

Individuals requesting the use of a Vehicle Dispatcher pool car shall complete a requisition form for CA/O's or designee's signature and mail or deliver to the Vehicle Dispatcher. Only on the occasion of an emergency situation, or one that requires irregular assignment of time, shall a private automobile be considered as the proper mode of transportation. Each of those usages of a private automobile for travel reimbursement must be cleared through the CA/O or designee if the use of a personal automobile is to be considered reimburseable.

The pool automobile shall be used only for the official business of the state and shall not be used for the private or personal activities in transportation. Minimal and routine travel and stoppage with the automobile for personal reasons that do not detract from the normal use of the automobile in its official capacity shall be allowed on an individual and limited basis.

The state-owned automobiles shall not be driven by anyone other than the assigned agency personnel. Also, while in the field, agency personnel responsible for the automobile shall take all proper care and precautions for their safety. This includes responsibilities to uphold the traffic laws of the State of Iowa and the appropriate rules and regulations governing the use of state-owned automobiles. Agency personnel shall not pick up hitchhikers or other casual riders while operating state-owned automobiles. Non-agency personnel may be permitted to ride in the state automobiles under the responsibility of agency personnel so long as that activity is one that is conjunctive

with the operation of the CA/O office and only with the prior approval of the CA/O or designee, and the signing of a general waiver form by the non-agency passenger.

Upon completion of an authorized trip, the agency staff member responsible shall return the pool car to the motor pool garage if during normal work hours. If the trip is completed after normal working hours the pool car shall be parked on Kasson Street and the keys placed in the mail slot at the Vehicle Dispatcher's office along with a note stating the time the vehicle was returned.

In order to avoid additional rental charges for pool vehicles, the Vehicle Dispatcher's office shall be notified as soon as the cancellation is known, preferably one day in advance, and pool vehicles shall not be kept after the return date on the original requisition. Any requests for changing dates, pick up or return times must be made on a new requisition with the authorized signature. Exceptions will be made if the vehicle is detained out-of-town and the Vehicle Dispatcher's office is notified in advance.

Any vehicles checked out late in the day for early departure the next day must be parked on Kasson Street and left overnight. Employees are not authorized to take vehicles to their homes before the start of a trip or upon their return.

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
CASE/LOG MANAGEMENT PROCEDURE**

Daily intake normally will be received by the clerical personnel who will refer the telephone, mail and visit contacts to the assigned intake person. Such assignments will be posted on the Citizens' Aide/Ombudsman (CA/O) monthly staff calendar. Any changes in that scheduling will be noted to CA/O, the case management supervisor, and the clerical personnel. The intake person will be responsible for securing a substitute if he/she is unavailable to intake for short periods of time. It shall be the responsibility of the intake person to inform the clerical personnel of the duration of his/her short term absence and to whom intake is to be directed during that absence.

The general exception to this procedure is that those assistants with specific state, county and local institutional and departmental assignments will receive those contacts. In their absence those contacts will be referred to the individual assistant's backup person or the intake person in that order. These contacts may then be referred to the assigned assistant upon their return to the office.

Each assistant, regardless of speciality, will be responsible for initially determining whether a contact shall be considered a log or a case file. Case file determinations shall be made in a timely fashion. Log and case file determinations are subject to change upon direction from the CA/O or designee.

All log contacts will be maintained in monthly folders by each employee, including clerical staff. Each monthly folder shall be taken to the monthly case review meetings for review and count. Logs are then entered into the statistical database by clerical staff and filed for easy retrieval.

As the need arises, on a daily basis, assistants desiring to have a case file initiated will bring the intake form to the clerical station, attaching the intake form to a blank folder. The clerical personnel shall then be responsible for transferring all pertinent intake form information to the case file summary sheet. It shall be the responsibility of each assistant to insure all pertinent information appears on the intake form, including a concise summary of the case. The clerical personnel shall return for completion all such forms lacking the required information. Any previously recorded log contacts which become case files should be brought to the attention of the clerical staff doing statistical recording to avoid a double count.

While the case file is being worked all outgoing information pertaining to the case shall be duplicated and a copy placed in the file if it is a typed communication. If it is a phone or face-to-face communication between the assistant and others involved, then such notation shall be placed in the file. All information shall be maintained in the file in an ascending

chronological order. Files awaiting correspondence, or those not currently being worked, shall be maintained in the case file system rather than in the individual assistant's work area.

On a monthly basis the assigned clerical staff member shall prepare a monthly listing of all open cases by assistant. This listing shall include breakouts of the open cases by year. Copies of that listing shall be provided to each assistant, the assigned case manager, and the CA/O. These listings should be prepared before the monthly case review meetings.

The open case file listing shall be reviewed by CA/O, the case file manager and the assistant during the monthly case review meetings. During the course of this review the CA/O will discuss the status of each open case with the assigned assistant.

The CA/O and assistant under review will complete the monthly case status sheet and shall identify by count and assigned number the various activities to be completed by the next monthly review. These activities shall include case closures, active correspondence and/or investigation work. The original of this signed review sheet will be kept by the CA/O and a second copy will be provided to the assistant under review.

In a timely fashion each assistant will be responsible for determining that a case is to be considered for closure. At such time the assistant will review the case file in its entirety and prepare a case closure summary.

After completion of the closure summary the file will be reviewed by the case management supervisor who will determine if any further work needs to be done on the case. After review of the case has been completed the clerical staff stamps the case "Closed", refiles the open file card into the closed file, copies the designated summary sheets for inclusion in the annual report and records statistical information into the data base.

Open, closed-but-not-recorded, and closed-statistics recorded filing categories will be maintained by year by the clerical personnel.

At the end of each calendar year clerical staff shall compile statistics from the data base for inclusion in the annual report.

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
LOG OVERSIGHT POLICY**

The Citizens' Aide/Ombudsman (CA/O) and case management supervisor will meet daily with the staff person on intake the previous day to record the status of each new contact. Decisions will be made as to whether to decline a complaint, the jurisdictional status and whether it should be worked as a log or in a case file. A full staff meeting will be held each Tuesday for administrative issues. The individual contact review will follow the staff meeting.

Any staff member who receives several intakes on a day which is not their scheduled day for intake or who received a complaint they believe to be either involved or sensitive, may ask to be reviewed the following day along with the regular intake person.

All logs will be taken to the case review meetings which are held the week of the second Monday of each month. Following are the log categories:

1. **PENDING:** this means you have done what you need to do and you are awaiting a response, ie., letter from the complainant, information from a department or agency, legal memo from our staff attorney, etc. These logs will be kept in a folder with a purple label, showing **PENDING** with your initials.

2. **WORKING:** this means that you must take some action on this contact, ie., write a letter, make a telephone call, research, etc. These contacts will be kept in a folder with an orange label, showing **WORKING** with your initials.

3. **CLOSED:** this means no further action is anticipated. All information has been entered on the intake sheet. These logs will be kept in an expando folder in your work area.

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
CASE FILE SECURITY MANAGEMENT**

As need and workload demand, professional staff may take case files out of the Citizens' Aide/Ombudsman (CA/O) office. Normally this would be done by assistants on their routine field circuits to assigned institutions, by professional staff engaged in a specific field investigation, and occasionally by staff desiring to work at home on weekends or evenings. Case files shall not be taken with the staff member while in attendance at out-of-state conferences. Case files may be taken with the staff member attending in-state conferences only if that attendance proceeds or follows specific field assignment or routine institutional field circuit and the security measures stated below are maintained.

If a professional staff member has in his/her custody CA/O case files and is away from the central office, he/she shall take reasonable precautions to insure the safety and integrity of those files. If the assistant is in transit by automobile, the files shall be kept in a container of suitable construction to insure their safety and integrity. If the assistant leaves the automobile parked for any extended period of time and does not keep the files actually in his/her custody, then that container shall be removed from the interior of the automobile and placed in the trunk of the automobile. If the automobile does not have a trunk, all doors shall be locked.

If the assistant is to remain away from the central office overnight, the container and files shall either be locked in the trunk, taken to the hotel/motel room and therein locked, or deposited in the hotel/motel vault or safe.

If the assistant and files are in transit by a mode other than an automobile, then said files shall be kept in his/her personal custody. Such files and containers shall not be checked or transported as baggage in airport, train, or bus terminals. If for some reason the files in the container cannot be carried while the staff member is awaiting an airplane flight or bus/train trip, they may be deposited in a secure baggage lock area to be retrieved at the time of the scheduled trip or flight.

If such files and containers are in the custody of an assistant while away from the office and he/she is in transit from an airport/bus/train terminal to a hotel/motel or from the hotel/motel to the airport/bus/train terminal, said files and containers shall not be transported separately from the assistance in any sort of shuttle or taxi service. They may be transported in the trunk of a taxi if the assistant insures the security of the container at each and every embarkation of passengers.

While in the custody of a professional staff member and away from the central office of CA/O, case files and any materials contained therein shall not be shared with anyone in a manner inconsistent with the normal management of case files and their content in Des Moines.

If a file(s) or the container is lost or damaged, the staff member shall immediately notify CA/O or designee and a memo accounting for the loss or damage shall be written describing the circumstances and extent of the loss or damage. The assistant in question shall make all reasonable efforts to recover any lost files.

Including institutional field circuits and specific field investigations, all cases which are physically removed from the CA/O office will be notated by number and date removed. This can be a signed handwritten listing and shall be deposited with one of the clerical personnel. A file of these lists will be kept in the front office area.

Generally, assistants are expected to limit the number of case files kept at their desks to a manageable number actively being worked or for which closure summaries are being dictated.

Listings are not necessary under such circumstances; however, files shall be returned to the appropriate to-be-typed area or the central files if the assistant is to be out of the office for any reason for a period longer than three days.

If a file is removed by anyone on the CA/O staff for any reason from a closed-file cabinet, an OUT FILE card with the appropriate three sections filled out shall be inserted. Upon return of the file to the appropriate filing cabinet, the notation shall be lined-out. Closed files may be returned by the assistant(s) and the card returned to the idle location, or they can be given to the clerical staff to return. Whichever method is used, the files are to be returned promptly after they have been used.

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
OUTREACH SPEAKING ENGAGEMENTS POLICY**

All acceptances and scheduling of speaking engagements both in Des Moines and throughout the state, if they are to occur during normal working hours, must be approved by the Citizens' Aide/Ombudsman (CA/O) or designee.

The proper procedure for an individual who has been contacted by some group or news media wishing his or her participation would be to establish the date, time, distance and possible impact on the assistant's regular office responsibilities including whether institutional trips would have to be postponed, delayed, cut short or if someone would not be in the rotation on a scheduled day, or out of the office while off of rotation.

This directive does not affect the assistant's participation in such speaking engagements outside of the normal office hours of the agency as long as such voluntary participation does not require the use of a state pool vehicle. If a state pool vehicle or reimbursement for travel while using one's personal car is contemplated, then this procedure should be used.

The outreach engagement procedure will require a request be placed in writing as in the vacation request procedure.

All approved speaking engagements will be noted on the office calendar maintained the the office clerical staff.

Upon completion of the speaking engagement a short summary of the speaking engagement showing date, location and attendance shall be placed in the office Outreach file.

Revised June, 1993

OFFICE OF CITIZENS' AIDE/OMBUDSMAN
TRAVEL POLICY

IN-STATE TRAVEL

All in-state institutional, conference or other work related travel by employees of the Citizens' Aide/Ombudsman (CA/O) shall be approved in advance by the CA/O or designee and shall be by state pool or personal vehicle. When two or more employees are traveling to the same destination, travel shall be in the same vehicle unless otherwise approved by the CA/O or designee. When overnight lodging is warranted, employees of the same sex shall share a room. Personal vehicle mileage, overnight lodging, meal, conference registration, and other miscellaneous expenses shall be reimbursed at the current state rate according to policies and procedures of the Department of Revenue and Finance (DORF). Although meal expense receipts are not required by the DORF, meal receipts shall be submitted to CA/O for reimbursement.

It is the responsibility of the staff person to inform clerical staff of all approved travel for inclusion on the monthly staff calendar. All postponed or cancelled travel should also be reported to clerical staff. All travel shall be listed on the individual staff member's time sheet to aid in compiling CA/O office travel statistics.

OUT-OF-STATE TRAVEL

All out-of-state travel to conference and related activities which is done on agency time must be approved prior to attendance by the CA/O. Travel requests will be honored when they are demonstrated to pertain to the educational advancement of the individual and the needs of the agency and if there are sufficient appropriations to accommodate the costs to be incurred. Travel attendance to conferences is not to be assumed as a bonus or fringe benefit but must have demonstrable value to the agency. Therefore, each assistant is asked to review the activities of pertinent professional and related associations and to bring the appropriate conferences and meetings to the attention of the CA/O for consideration and possible approval.

Specific requests for out-of-state travel shall be in writing to the CA/O and should contain the following information: title of conference or meeting, sponsoring association, dates and place, estimated costs, justification for attendance, and a statement how the staff member's caseload will be handled in his/her absence.

The attendance at conferences will be determined by the CA/O on a priority basis: firstly, the informational and educational needs of the agency, and secondly, the informational and educational needs of a staff member of the agency.

The normal logic and approval of attendance to out-of-state conferences shall be as follows: information or education which is not presently on hand at the agency and is needed; information or education which is not well developed within the agency and is needed; information or education which is needed by the agency and may be the domain of one individual in his/her speciality or interest area, but is not distributed in a balanced fashion throughout the rest of the agency; information, and/or contacts, which would be useful in the normal activities of the agency; information of a related professional development for agency members.

Upon the conclusion of the conference and within one week of having returned to the office, the staff member(s) who attended an out-of-state conference shall provide a written synopsis of that meeting and its pertinent informational points for the agency and the rest of the staff. If the information is of a sufficiently important nature, the individual who attended the meeting may be asked by CA/O to present a noon luncheon lecture to the rest of the staff.

All information and conference materials which are paid for by the agency or which are part of the registration fee shall become the property of the office of CA/O. Any information, or materials which are purchased by the individual staff member, for which he/she does not receive reimbursement, shall remain as the personal professional property of that individual.

All written documents or materials brought back from the conferences or meetings shall be given to the clerical staff for proper identification and integration into the CA/O informational system.

Out-of-state travel may be by air (coach) or when feasible and cost saving by state pool vehicle. When using a state pool vehicle, staff shall travel together. Persons of the same sex shall share lodging accommodations.

Out-of-state travel reimbursement claims are expected to be filed promptly with the appropriate clerical staff upon return to a normal work schedule. All reimbursements for out-of-state travel shall be made at the current state rate pursuant to DORF policies and procedures.

**CITIZENS' AIDE/OMBUDSMAN
CALLING CARD POLICY**

Each service staff member of the office of Citizens' Aide/Ombudsman shall be issued an IN-WATS calling card issued by the Department of General Services Communications Division and an AT&T Corporate calling card.

The IN-WATS calling card is to be used for calling into the Capitol Complex while in in-state travel status. Any complex office can be called as long as the extension number is known.

The AT&T Corporate calling card is to be used for conducting state business when out of the Citizens' Aide/Ombudsman office.

Each call made on these calling cards will be charged to the individual staff extension numbers and will be paid on the monthly communications billing received from the Department of General Services. No personal calls shall be made on the calling cards except in an extreme emergency and reimbursement shall be made to the office upon receipt of the telephone billing.

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
TELEPHONE USE POLICY**

The Citizens' Aide/Ombudsman (CA/O) telephone lines are to be used for the official business of the state. This does not exclude the use of the telephone lines for the making or canceling of personal appointments, but, as best possible, such use shall be limited and the staff is asked to use their own personal home telephones while making such appointments. However, if the normal working hours of those whose services are sought will not accommodate the use of the private personal telephone before or after office hours, then staff is permitted to make such appointments, but to keep them at a minimum. Professional staff shall not ask clerical staff to make a personal or private appointment. Upon the necessity, and especially for staff who travel on a regular basis, the office clerical personnel may be used to cancel personal appointments.

The state telephone lines shall not be used to make personal, private long distance telephone calls on the out-going state Wats, Fax, or TDD lines. Professionally related long distance telephone calls may be made if they correspond to the normal business of the CA/O, such as, for Bar Association, Correctional Association, or Ombudsman Association activities. Professional staff may also use the telephone lines and the services of clerical staff to aid in communication concerning other on-the-job professional or educational activities.

When a staff member is on vacation, out-of-the-office ill, or otherwise not in the regular duties of the office, information relating where he/she is should not be given out to callers. If the caller persists in obtaining such information, that call is to be routed either to the CA/O, or designee, or the daily intake person. Normally, however, the response shall be "... is out of the office today, may I take a message and have him/her return your call or may I transfer you to so-and-so who is taking calls today."

When staff are in the field callers should not be given information as to their location unless that call has been routed through the CA/O, or designee, or the daily intake person. This includes those individuals at routine institutional sites, such as prisons, MHI's, etc.

Information concerning the normal and regular telephone calls for a traveling staff member shall be communicated to that individual upon his/her normal daily call-in communication with the office. In the event of an emergency or extremely persistent or hostile callers, such calls are to be immediately directed to the CA/O, or designee, or daily intake person.

Calls from media personnel are to be handled in the same fashion and these individuals should not be given information as to the site location of the traveling staff person by anyone other than the CA/O or designee.

Information received from telephone callers for out-of-the-office staff may be communicated to that staff member on a case-by-case basis depending upon the importance and nature of the information. Such information that has an immediate bearing on an open case which is being handled in the field; information relating to change in field scheduling, such as an appointment that will not be kept later in the day or the next day; or changes in personal or private appointments that could have an effect on the individual unless they are relayed quickly, should be communicated directly. Unless such information is of an emergency or of extreme importance, they shall be called to the staff member at the institutional sites and should be made in the following fashion: "so-and-so be given this information or that he/she is to call the Citizens' Aide/Ombudsman office at his/her earliest convenience." In addition, a telephone message is to be placed with the same information on the staff members message clip.

Staff members on assignment in the field may vary these general directions for particular instances. They may alert the clerical staff that certain callers are to be given specific information as to their whereabouts, their expected times of departure or arrival, and their field lodging accommodations.

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
LETTER AND DOCUMENT DRAFT REVIEWS**

If it is the intent of one Assistant to have another Assistant, the Deputy, or the Citizens' Aide/Ombudsman (CA/O) review a letter or other correspondence for comment, then the document to be reviewed should be in draft rather than final form.

If one staff member, or a team of staff members, is drafting a letter or other document for signature by the CA/O, then that document should be reviewed in draft form by the person who will ultimately sign it, rather than having it presented in final form for signature and being seen by the signer for the first time.

In a situation where one staff member asks another to review his/her own letter it also tends to stymie candor and constructive criticism if the document being reviewed is already in final form.

This will eliminate the need for corrections in a long and complicated letter and also the waste of paper and clerical time in order to accommodate minor stylistic changes.

**OFFICE OF CITIZENS' AIDE/OMBUDSMAN
CREDENTIALS POLICY**

The following is a statement of official policy governing the use and control of the credentials issued by the office of Citizens' Aide/Ombudsman (CA/O).

1. The credentials are the property of the CA/O. Upon termination of employment with the CA/O, the credentials shall be surrendered to the CA/O.
2. The CA/O or designee shall be the chief custodian of the credentials. Access to blank credential forms shall be restricted to the CA/O or designee. All credentials, upon issue, will be signed by the CA/O.
3. Those staff members who are issued CA/O credentials will adhere to the following restrictions in the use of their credentials:
 - a. Credentials will be displayed only for purposes of identification required in the course of duties directly relating to the CA/O.
 - b. All staff members issued credentials will have them on their person or readily accessible when performing duties on behalf of the CA/O.
 - c. When required, credentials will be displayed in a courteous manner, they will not be "flashed".
 - d. If any credential is lost, stolen, or damaged, that information will be made known to the CA/O or designee immediately, and the facts surrounding the loss, theft, or damage of the credentials shall be documented in a written statement the following working day unless an extension is expressly granted.
 - e. Credentials will not be altered in any manner by any staff member.
4. Failure to adhere to this policy and its restrictions may result in disciplinary action.

Revised June, 1993

OFFICE OF CITIZENS' AIDE/OMBUDSMAN
INTERVIEWING AND MOVING EXPENSES

Interviewing Expenses

As provided in Chapter V (Compensation - Benefits) of the Personnel Guidelines for the Central Legislative Staff Agencies dated October 27, 1993, at the discretion of the Citizens' Aide/Ombudsman (CA/O), a person who interviews for employment may be reimbursed for expenses incurred for the employment interview. Reimbursement for interview expenses shall be made at the same rate at which a state employee is reimbursed for expenses incurred during the performance of state business or duties.

Moving Expenses

As provided in Chapter V (Compensation - Benefits) of the Personnel Guidelines for the Central Legislative Staff Agencies dated October 27, 1993, at the discretion of the Citizens' Aide/Ombudsman (CA/O), a newly hired employee may be reimbursed for moving expenses incurred after the new employee is on the state payroll. Reimbursement for moving expenses shall be made at the same rate provided for a state employee who is reassigned and in accordance with executive branch policies and procedures, as provided by Procedure No. 220.100, Employee Expenses - Employee Moving Expense, of the Accounting Policy and Procedures Manual, and related informational memoranda, which are prepared and issued by the Iowa Department of Revenue and Finance.

The employee shall sign a Moving Expenses Agreement (attached) before incurring any moving expenses which are to be reimbursed. In the event the employee terminates employment with the Office of Citizen's Aide/Ombudsman within two years of employment, the employee shall reimburse the State of Iowa in accordance with the schedule provided in the Moving Expenses Agreement.

OFFICE OF CITIZENS' AIDE/OMBUDSMAN

MOVING EXPENSES AGREEMENT

It is agreed between the State of Iowa, Office of Citizens' Aide/Ombudsman (State) and _____, a newly hired employee (Employee) of the State, that the cost of expenses incurred by the Employee in relocating from _____ to Des Moines, Iowa, will be reimbursed by the State, provided that:

1. The Employee has been officially placed on the State of Iowa payroll,
2. The Employee has followed procedures under Procedure No. 220.100, Employee Expenses - Employee Moving Expense, of the Iowa Department of Revenue and Finance's Accounting Policy and Procedures Manual, for making arrangements for the move and for obtaining reimbursement of the moving expenses.
3. The total amount of authorized reimbursement shall not exceed \$ _____.

It is further agreed that, if the Employee voluntarily terminates employment with the State in less than two (2) years after the date of employment, the Employee will refund to the State a percentage of the reimbursement in accordance with the following schedule:

- a. 100% if termination occurs before completing 6 months;
- b. 75% if termination occurs after 6 months and before 12 months;
- c. 50% if termination occurs after 12 months and before 18 months;
- d. 25% if termination occurs after 18 months and before 2 years;
- e. 0% if termination occurs after 2 years.

Termination for reasons due to misconduct does not excuse the Employee from liability for reimbursement within the rates specified above. The State shall have the right to deduct from the undersigned Employee's final paycheck the balance of the amount owed to the State in accordance with the above terms, or to recover that amount by other legal means.

(Name of Employee), Employee

Date

William P. Angrick II, Citizens Aide/Ombudsman

Date



Memorandum
Iowa Citizens' Aide/Ombudsman Office

TO: All CA/O Staff Members
FROM: William P. Angrick II, Director
RE: Appointment of Assistant Office Safety Manager
Date: February 16, 1995

In accordance with the Emergency Action Plan dated February 8, 1995 for the Office of Citizens' Aide/Ombudsman, Michael J. Ferjak is appointed as the Assistant Office Safety Manager.

William P. Angrick II
Citizens' Aide/Ombudsman

Copies to:
Emergency Action Plan File
Each Staff Member
Bulletin Board

TO: ALL CAO STAFF MEMBERS
FROM: WILLIAM P. ANGRICK II - DIRECTOR
RE: OFFICE EMERGENCY ACTION PLAN
Date: February 8, 1995

CITIZENS' AIDE/ OMBUDSMAN
POLICY MEMORANDUM

EMERGENCY ACTION PLAN

This EMERGENCY ACTION PLAN is designed for response to anticipated emergencies at 215 East 7th Street, Des Moines, Iowa at the location identified as the Citizens' Aide/Ombudsman office. Training for emergency procedures will be conducted in accordance with the requirements of 29CFR 1910.38(a) and (b) and the plan posted for employee review in a prominent location. The Director shall serve as the office safety manager and will designate in writing an alternate office safety manager. This plan will be reviewed annually with all staff members for any changes in operation or personnel.

MEDICAL EMERGENCIES:

In the event of a medical emergency; activate the 9-1-1 system by dialing 9- 9-1-1. Report the location and nature of the problem to emergency services personnel. All first aid injuries will be referred to Des Moines General Hospital due to the close proximity of medical services. A staff member designated by the Director or senior staff member present, will remain with the affected person[s] until such time as medical support is on site or otherwise arranged.

WEATHER EMERGENCIES:

In the event of a tornado warning for the immediate area, employees are directed to seek shelter in the interior portion of the building preferably under an item offering overhead protection. Do not open windows or place yourself near any window or door. Staff members will remain in the sheltered position until notified the danger is past. In the event the building is struck the Director or a designee will account for all staff and visitors at the earliest opportunity. Medical attention should be secured for injured personnel as soon as possible. *Rescue or extrication efforts by staff members is not recommended.*

FIRE EMERGENCIES:

In the event of a fire all employees shall be notified by voice communication and an immediate evacuation of the building will take place. Do not take time to collect personal possessions. Evacuate to a safe distance and activate the 9-1-1 system by calling 9-9-1-1 or 9-1-1 if calling from a phone off the capitol complex. Report the location of the fire to emergency services personnel. The Director or a designee will account for all employees and visitors as soon as possible. *Fire suppression actions and or re-entry into the building for rescue efforts by staff members is not recommended.*

Date: 8 February 95

Prepared by: M. Ferjak, Assistant for Public Safety, State Ombudsman's Office

SOLID LINE - PRIMARY ROUTE
BROKEN LINE - ALTERNATE ROUTE IF PRIMARY IS BLOCKED

STORAGE

