

[REDACTED]

From: Hinch, Matt [IGOV]
Sent: Friday, January 10, 2014 2:49 PM
To: Johnson, Larry [IGOV]; Findley, Brenna [IGOV]; Vande Hoef, Julie [IGOV]; Overton, Cord [IGOV]
Subject: FW: States with HOS
Attachments: image001.jpg; ATT00001.htm; Scan0127.pdf; ATT00002.htm

From: Brad C. Epperly [<mailto:BCEpperly@nyemaster.com>]
Sent: Friday, January 10, 2014 2:38 PM
To: Hinch, Matt [IGOV]
Subject: Fwd: States with HOS

Hours of service status for all states. I believe Nebraska is the only neighbor state that has not yet extended it again.

Sent from my iPad

Begin forwarded message:

From: Deb Grooms <dgrooms@iapropane.org>
Date: January 10, 2014 at 2:27:28 PM CST
To: "Brad Epperly (bcepperly@nyemaster.com)" <bcepperly@nyemaster.com>
Subject: States with HOS

See attached!

Debra A. Grooms
Executive Director



Delivering Value Through Advocacy



ABOUT US MEMBERSHIP GOVERNMENTAL AFFAIRS PROPANEPAC CODES & STANDARDS CETP CERTIFICATION MEETINGS & CONVENTIONS NEWS & MEDIA

Hours-of-Service Exemptions
Winter 2013-2014

The 2013-2014 heating season began on October 1, 2013 and officially ends on March 31, 2014. State authorities issue HOS exemptions to a company's drivers during time of emergencies. These HOS exemptions affect certain sections of the FMCSA rules, which govern the operating hours for drivers of commercial motor vehicles.



The exemptions allow marketers to deliver critical propane heating supplies to their customers during times of severe weather, when bad roads cause significant delays in travel time to a customer's tank location.

NPGA strives to provide the most current listings. However, we need your assistance to do so. If an HOS waiver is issued in your state and you do not see it posted on our website, please forward a copy of the relevant waiver or exemption document to the following at NPGA: Tara Falls at tfa@npga.org or fax to 202-466-7205.

Current Exemptions

State(s)	Issuing Authority	Effective Dates	Copy of Exemption
Arkansas	State of Arkansas Office of the Governor	January 3 - January 17, 2014	PDF
Connecticut	State of Connecticut VT Motor Dept. of Vehicles	January 10 - January 16, 2014	PDF
Delaware	Delaware Emergency Mgmt Agency	January 10 - January 13, 2014	PDF
Iowa	Iowa Department of Transportation	January 4 - January 10, 2014	PDF
Indiana	State of Indiana Office of the Governor	January 3 - January 17, 2014	PDF
Kansas	State of Kansas Office of the Governor	January 9 - January 14, 2014	PDF
Kentucky	Kentucky Transportation Cabinet	January 8 - January 23, 2014	PDF
Maine	State of Maine Office of the Governor	December 21 - January 18, 2014	PDF
Maryland	MD Department of Transportation	January 10 - January 13, 2014	PDF
Massachusetts	State of Massachusetts Office of the Governor	January 8 - January 12, 2014	PDF
Michigan	State of Michigan Office of the Governor	December 20 - January 10, 2014	PDF
Minnesota	State of Minnesota Office of the Governor	December 9 - February 7, 2014	PDF
Missouri	Missouri Dept. of Public Safety	January 7 - January 13, 2014	PDF
New Jersey	State of New Jersey Office of the Governor	December 23 - January 31, 2014	PDF
New Hampshire	State of New Hampshire Department of Safety	January 7 - January 21, 2014	PDF
New York	State of New York Office of Motor Safety & Security	December 13 - January 11, 2014	PDF
New York	State of New York Office of Motor Safety & Security	December 18 - January 31, 2014	PDF
North Dakota	State of North Dakota Office of the Governor	January 7 - February 6, 2014	PDF
Ohio	Transportation Dept. Public Utilities Commission	January 10 - January 17, 2014	PDF
Oklahoma	State of Oklahoma Office of the Governor	January 6 - February 5, 2014	PDF
Pennsylvania	State of Pennsylvania Office of the Governor	January 9 - January 26, 2014	PDF
Vermont (Modification)	State of Vermont, VT Motor Dept. of Vehicles	January 2 - January 13, 2014	PDF
Wisconsin (Extension)	State of Wisconsin Office of the Governor	December 24 - January 22, 2014	PDF

South Dakota Jan 8 - Feb 8
 IL extended theirs until 1/16
 Michigan is extending theirs too.

Expired Exemptions:

State	Issuing Authority	Effective Dates and Conditions	Copy of Exemption
Connecticut	State of Connecticut VT Motor Dept. of Vehicles	January 2 - January 9, 2014	PDF
Delaware	Delaware Emergency Mgmt Agency	January 7 - January 10, 2014	PDF
Illinois	Iowa Dept. of Transportation	December 24 - December 30, 2013	PDF
Indiana (Extension)	State of Indiana Office of the Governor	November 7 - November 20, 2013	PDF
Iowa (Extension - Press Release)	State of Iowa Office of the Governor	October 25 - November 14, 2013	PDF
Iowa	State of Iowa Office of the Governor	December 19 - January 2, 2014	PDF
Maryland	MD Department of Transportation	January 3 - January 9, 2014	PDF
Massachusetts	State of Massachusetts Office of the Governor	December 17 - December 23, 2013	PDF
Massachusetts	State of Massachusetts Office of the Governor	January 2 - January 7, 2014	PDF
Minnesota (Extension)	State of Minnesota Office of the Governor	October 20 - November 22, 2013	PDF
Missouri	State of Missouri Office of the Governor	December 12 - December 19, 2013	PDF
Montana	State of Montana Office of the Governor	October 24 - November 14, 2013	PDF
Nebraska	State of Nebraska Office of the Governor	October 26 - November 24, 2013	PDF
Nebraska	State of Nebraska Office of the Governor	November 24 - November 30, 2013	PDF
North Dakota	State of North Dakota Office of the Governor	November 18 - December 5, 2013	PDF
North Dakota	State of North Dakota Office of the Governor	December 11 - January 7, 2014	PDF
Ohio	Transportation Dept. Public Utilities Commission	January 8 - January 10, 2014	PDF
Oklahoma	State of Oklahoma Office of the Governor	December 5 - January 4, 2014	PDF
Rhode Island	State of Rhode Island and Providence Plantations	January 3 - January 5, 2014	PDF
South Dakota	State of South Dakota Office of the Governor	October 21 - November 30, 2013	PDF
South Dakota	State of South Dakota Office of the Governor	December 10 - December 11, 2013	PDF

Home Back to Top

Navara, Nicole [LEGIS]

From: Hinch, Matt [IGOV]
Sent: Friday, January 10, 2014 2:53 PM
To: Johnson, Larry [IGOV]; Findley, Brenna [IGOV]; Vande Hoef, Julie [IGOV]; Overton, Cord [IGOV]
Subject: FW: supply update
Attachments: image001.jpg

From: Brad C. Epperly [<mailto:BCepperly@nyemaster.com>]
Sent: Friday, January 10, 2014 2:34 PM
To: Hinch, Matt [IGOV]
Subject: Fwd: supply update

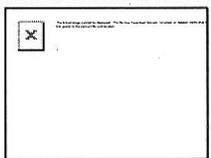
Wait times will vary and be anecdotal. Here is one report from a member.

Sent from my iPad

Begin forwarded message:

From: Deb Grooms <dgrooms@iapropane.org>
Date: January 10, 2014 at 2:30:11 PM CST
To: "Brad Epperly (bcepperly@nyemaster.com)" <bcepperly@nyemaster.com>
Subject: FW: supply update

Debra A. Grooms
Executive Director



Iowa Propane Gas Association Phone: 515-564-1260
P.O. Box 57188 Cell: 515-681-7338
Des Moines, IA 50317 Fax: 515-564-1262

E-mail: dgrooms@iapropane.org

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From: Hansch, Scott (Star Energy) [<mailto:shansch@starnrgy.com>]
Sent: Thursday, January 09, 2014 4:31 PM

To: Deb Grooms
Subject: supply update

Deb-

Wanted to give you a quick update. We had trucks at Ogden, Sanborn and Whiting today and in a 24 hour period, between the three terminals, we were only able to get 6 loads. Had orders for 20 loads.

Just wanted to keep you in the loop.

Thanks,

Scott Hansch | Director of Marketing | STAR Energy a division of GROWMARK, Inc. | Ph: 712-469-3708 |
Fx: 712-469-2609 | shansch@starnrgy.com

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[REDACTED]

From: Hinch, Matt [IGOV]
Sent: Friday, January 10, 2014 2:54 PM
To: Johnson, Larry [IGOV]; Findley, Brenna [IGOV]; Vande Hoef, Julie [IGOV]; Overton, Cord [IGOV]
Subject: FW: ONS Terminal Update 1/10 08:30
Attachments: image001.jpg

From: Brad C. Epperly [mailto:BCEpperly@nyemaster.com]
Sent: Friday, January 10, 2014 2:33 PM
To: Hinch, Matt [IGOV]
Subject: Fwd: ONS Terminal Update 1/10 08:30

This shows the supply today, which is basically none.

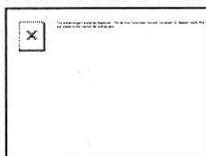
Sent from my iPad

Begin forwarded message:

From: Deb Grooms <dgrooms@iapropane.org>
Date: January 10, 2014 at 2:29:08 PM CST
To: "Brad Epperly (bcepperly@nyemaster.com)" <bcepperly@nyemaster.com>
Subject: FW: ONS Terminal Update 1/10 08:30

Debra A. Grooms

Executive Director



Iowa Propane Gas Association
P.O. Box 57188
Des Moines, IA 50317

Phone: 515-564-1260
Cell: 515-681-7338
Fax: 515-564-1262

E-mail: dgrooms@iapropane.org

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From: george@plainsmidwest.com [mailto:george@plainsmidwest.com]
Sent: Friday, January 10, 2014 8:51 AM
Subject: FW: ONS Terminal Update 1/10 08:30

From: Dawson, Tara [mailto:Tara.Dawson@oneok.com]

Sent: Friday, January 10, 2014 8:28 AM

To: Aston, Kari D.; Chia, Nicholas J.; Dawson, Tara; Henderson, Michael D.; King, Tim; Lehman, Joseph; Lollar, Michael L.; McElhaney, Alan B.; Miller, Katherine A.; Mills, Danny; Mock, Brad A.; Morton, David S.; ONS Des Moines Operators; ONS Lemont Operators; ONS Morris Operators; ONSPLC; Pirtle, Jaret M.; Porter, Richard H.; Sauer, Jon M.; Shafer, Jarek D.; Shafer, Jeffrey D.; Southwick, Ronald W.; Swenson, Jon A.; Tasharski, Daniel G.; Topliff, Gene D.; Williams, John S.

Subject: ONS Terminal Update 1/10 08:30

1/10/2014 8:27 CST

Propane Terminal Updates

	Des Moines	Clear Lake	Tampico	Rockford	Iowa City	Plattsm
Terminal Phone Numbers:	(515) 262-3186 X 630	(641) 357-2189	(815) 438-7202	(815) 962-8683	(319) 351-6350	(402) 298 X22
Current Propane Inventories	569	316	597	998	817	
Current Loads Available	0	-	-	-	-	
ETA Next Batch	**See Below	**See Below	1/12/13 11:00	**See Below	**See Below	Nov
Estimated Loads Next Batch			45			37

Notes:

**The Des Moines cavern, which supplies CL, DM, IC, and RKFD terminals, is EMPTY due to increased demand. Supply should arrive at ~14:00CS ONS will only be able to supply one terminal at a time until 23:00CST this evening. Supply will be rotated between CL, DM, IC, and RKFD every CL will receive supply first at 14:00CST. DM will receive supply at 16:00CST. IC will receive supply at 18:00CST and RKFD will receive supply at will repeat until 23:00CST when additional resupply arrives at DM.

<u>ETA to DM</u>	<u>Loads Received</u>
10-Jan	128
11-Jan	203
12-Jan	131
13-Jan	86
14-Jan	91
15-Jan	32
16-Jan	281

Tara Dawson : North System Scheduler : Oneok Pipeline
(w) 918.591.5106 : (C) 918.261.4700

Nayana, Nicole [LEGIS]

From: Hinch, Matt [IGOV]
Sent: Monday, January 13, 2014 7:04 PM
To: IGOV-Branstad All Staff [IGOV]
Subject: FY15 Budget Audjusted Program and Budget

Team,

On your desk is the FY15 Adjusted Program and Budget. This is confidential until after the Governor concludes his Condition of the State remarks.

Thanks,

mh

Matt Hinch
Chief of Staff
Office of Governor Terry E. Branstad
State of Iowa
Direct Dial: 515.725.3535
Main Line: 515.281.5211
matt.hinch@iowa.gov

Iowa, Nicole [LEGIS]

From: Roederer, David [IDOM]
Sent: Tuesday, January 14, 2014 4:12 PM
To: Hinch, Matt [IGOV]
Cc: Fardal, David [IDOM]
Subject: FW: Iowa Central Legislative brochure...and Supplemental weighting

From: Kersten, Jim [mailto:Kersten@iowacentral.edu]
Sent: Tuesday, January 14, 2014 3:41 PM
To: Roederer, David [IDOM]
Subject: FW: Iowa Central Legislative brochure...and Supplemental weighting

Hi Dave, sorry for the delay in getting back to you. The status of the workforce metrics is that all the plans for the new programs have been created and submitted and now being implemented. Since much of the new funding was not released until mid to late fall we don't have hard numbers yet on workers touched and trained but will by next January. Therefore, there is no money remaining in the Workforce fund as it has been distributed to all cc's and is being invested as I type so we should allow those efforts to move forward with consistent funding and monitor over the next 2 years.

The beauty of allowing supplemental weighting to be used during the summer is it will allow for almost year round students who are interested in technical skills and STEM related courses helping us reach our collective goal of providing skilled workers now in demand in Iowa.

Great speech today! Of course we would have liked to see some type of increase in state general aid but we look forward to working with you as the session moves forward. The apprenticeship effort should help us reach our mutual goals!

Best wishes.

Jim K

From: Roederer, David [IDOM] [David.Roederer@iowa.gov]
Sent: Thursday, January 09, 2014 12:44 PM
To: Kersten, Jim
Subject: RE: Iowa Central Legislative brochure...and Supplemental weighting

Thanks Jim. What is the status of the metrics for skilled workers fund and how do you know how much is remaining in the fund for FY14. We may want to adjust the fund for FY15. The supplemental weighting total cost is \$745,000 with \$652,000 from state aid and \$93,000 from property taxes. Every 10% increase in enrollment adds about \$74,500 total; \$65,200 state aid.

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

From: Kersten, Jim [mailto:Kersten@iowacentral.edu]
Sent: Wednesday, January 08, 2014 7:57 PM
To: Roederer, David [IDOM]; Fandel, Linda [IGOV]
Subject: Iowa Central Legislative brochure...and Suppoemental wegting

FYI only. We are using this brochure as well ramp up the workforce training pipeline in our area.

Also, I was wondering what you learned about allowing use of supplemental weighting during summer months at the expanding career academies across the state....it just seems to make so much sense. Thanks and good luck this year!

Jim

Privileged/Confidential Information may be contained in this message. If you are not the addressee indicated in this message (or responsible for delivery of the message to such person), you may not copy or deliver this message to anyone. In such case, you should destroy this message and kindly notify the sender by reply email. Please advise immediately if you or your employer do not consent to Internet email for messages of this kind. Opinions, conclusions and other information in this message that do not relate to the official business of my organization shall be understood as neither given nor endorsed by it.

NAVY, NICKOLSON

From: LG.KKR
Sent: Thursday, January 16, 2014 1:02 PM
To: Bonnie Hall
Subject: **Message you sent violated policy**
Attachments: original.eml

Email Notification:

To: Bonnie Hall <bonniemaehall@gmail.com>

Subject: Re: picture from last night

Time: Thu, 16 Jan 2014 13:01:29 -0600

In compliance with the [State of Iowa's Information Security Policies](#), your email message has been
Notice: **BLOCKED** by the state's email filter system and has **NOT BEEN DELIVERED.**

Reason: The email you are attempting to send possibly contains personal/confidential information such as SSN, credit card number or HIPAA privacy data. The only means you can send this information via email is through a secure encrypted manner or to convey the information in a non-electronic means.

Assistance: Please contact DAS-ITE Service Desk for assistance at ITE.ServiceDesk@iowa.gov.

From: LG.KKR
Sent: Thursday, January 16, 2014 1:02 PM
To: Jen Fagan; Charles Strawn; Kim Reynolds; Nicole Springer
Subject: ****Message you sent violated policy****
Attachments: original.eml

Email Notification:

To: Jen Fagan <jenfagan@gmail.com>, Charles Strawn <cstrawn@netins.net>, Kim Reynolds <kreynolds@iowatelecom.net>, Nicole Springer <nicole.springer@cerner.com>

Subject: Fwd: picture from last night

Time: Thu, 16 Jan 2014 13:02:11 -0600

In compliance with the State of Iowa's Information Security Policies, your email message has been
Notice: **BLOCKED** by the state's email filter system and has **NOT BEEN DELIVERED.**

Reason: The email you are attempting to send possibly contains personal/confidential information such as SSN, credit card number or HIPAA privacy data. The only means you can send this information via email is through a secure encrypted manner or to convey the information in a non-electronic means.

Assistance: Please contact DAS-ITE Service Desk for assistance at ITE.ServiceDesk@iowa.gov.

Navara, Nicole [LEGIS]

From: Hunter, Caleb [DAS]
Sent: Friday, January 17, 2014 2:56 PM
To: Royce, Joseph [LEGIS]
Cc: Findley, Brenna [IGOV]; Pettengill, Dawn [LEGIS]
Subject: Update
Attachments: Copy of Report of Employees Changed from Merit to Non-Merit Jan2013-Jan2014.pdf

Joe,

Attached is the January confidential employee update and a brief note regarding the changes to the positions at the Iowa Veterans Home:

In an effort to improve overall efficiencies of care provided to Iowa's Veterans at the Iowa Veteran's Home, two Nurse Supervisor Directors were added to the management team of the Nursing Division Administrator in December 2013. As a result of this restructure, nurse supervisors no longer serve on the Nursing Division Administrator's management team and therefore no longer meet the definition of confidential employee.

Thanks,
Caleb

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 13- January 14

Dept #	Department Name	Effective Date	Job Classification
212	Commerce-Alcoholic Beverages Division	1/18/2013	Public Service Executive 3
212	Commerce-Alcoholic Beverages Division	1/18/2013	Public Service Executive 3
212	Commerce-Alcoholic Beverages Division	1/18/2013	Public Service Executive 2
212	Commerce-Alcoholic Beverages Division	1/18/2013	Executive Officer 2
219	Commerce-Utilities	2/1/2013	Utility Administrator 2
671	Iowa Veterans Home	2/1/2013	Food Service Director 3
671	Iowa Veterans Home	2/1/2013	Public Service Executive 3
671	Iowa Veterans Home	2/1/2013	Information Technology Administrator 3
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 2**
671	Iowa Veterans Home	2/1/2013	Nurse Supervisor 1**
671	Iowa Veterans Home	2/1/2013	Public Service Supervisor 3
671	Iowa Veterans Home	2/1/2013	Public Service Executive 1
671	Iowa Veterans Home	2/1/2013	Public Service Executive 1
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Transportation Engineer Executive

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 13- January 14

Dept #	Department Name	Effective Date	Job Classification
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Senior Transportation Engineer
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Public Service Executive 6

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 13- January 14

Dept #	Department Name	Effective Date	Job Classification
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
167	Iowa Civil Rights Commission	2/15/2013	Public Service Executive 1
167	Iowa Civil Rights Commission	2/15/2013	Public Service Executive 3
642	Office of Drug Control Policy	3/1/2013	Public Service Executive 3
297	Aging	3/1/2013	Executive Officer 2
297	Aging	3/1/2013	Executive Officer 2
336	Iowa Communications Network	3/1/2013	Telecommunications Administrator
336	Iowa Communications Network	3/1/2013	Telecommunications Administrator
336	Iowa Communications Network	3/1/2013	Telecommunications Administrator
595	Public Safety	3/15/2013	Criminal Intelligence Analyst Supervisor
595	Public Safety	3/15/2013	Information Technology Specialist 4
595	Public Safety	3/15/2013	Crime Laboratory Administrator
595	Public Safety	3/15/2013	Information Technology Administrator 3
595	Public Safety	3/15/2013	Information Specialist 3
595	Public Safety	3/15/2013	Public Service Executive 3
595	Public Safety	3/15/2013	Public Service Executive 3
595	Public Safety	3/15/2013	Public Service Executive 3
595	Public Safety	3/15/2013	Electrical Inspector Supervisor
595	Public Safety	3/15/2013	Construction Design Engineer Senior
553	IPERS	4/12/2013	Pension System Attorney
553	IPERS	4/12/2013	Executive Officer 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Public Service Executive 5

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 13- January 14

Dept #	Department Name	Effective Date	Job Classification
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Administrative Law Judge 3
309	Iowa Workforce Development	4/26/2013	Public Service Executive 3
005	Administrative Services	4/26/2013	Public Service Executive 4
005	Administrative Services	4/26/2013	Fiscal & Policy Analyst Senior
005	Administrative Services	4/26/2013	Executive Officer 4
005	Administrative Services	4/26/2013	Information Technology Administrator 3
005	Administrative Services	4/26/2013	Information Technology Administrator 4
005	Administrative Services	4/26/2013	Information Technology Administrator 4
005	Administrative Services	4/26/2013	Public Service Executive 1
005	Administrative Services	4/26/2013	Public Service Executive 4
005	Administrative Services	4/26/2013	Accountant 4
005	Administrative Services	5/10/2013	Public Service Executive 4
005	Administrative Services	5/10/2013	Public Service Executive 4
259	Cultural Affairs	3/1/2013	Public Service Executive 3
259	Cultural Affairs	2/15/2013	Public Service Executive 2
005	Administrative Services	5/24/2013	Public Service Executive 2
005	Administrative Services	5/24/2013	Executive Officer 1
005	Administrative Services	5/24/2013	Public Service Supervisor 3
005	Administrative Services	5/24/2013	Public Service Executive 4
005	Administrative Services	5/24/2013	Public Service Executive 2
005	Administrative Services	5/24/2013	Program Planner 2
005	Administrative Services	5/24/2013	Public Service Executive 1
005	Administrative Services	5/24/2013	Public Service Executive 1
216	Commerce-Insurance	6/7/2013	Public Service Executive 4
216	Commerce-Insurance	6/7/2013	Public Service Executive 3
216	Commerce-Insurance	6/7/2013	Public Service Executive 4
216	Commerce-Insurance	6/7/2013	Public Service Executive 4

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 13- January 14

Dept #	Department Name	Effective Date	Job Classification
216	Commerce-Insurance	6/7/2013	Executive Officer 2
216	Commerce-Insurance	6/7/2013	Executive Officer 3
216	Commerce-Insurance	6/7/2013	Compliance Officer 2
216	Commerce-Insurance	6/7/2013	Compliance Officer 2
216	Commerce-Insurance	6/7/2013	Compliance Officer 2
583	Homeland Security	5/24/2013	Executive Officer 3
583	Homeland Security	5/24/2013	Information Specialist 3
583	Homeland Security	5/24/2013	Information Specialist 2
583	Homeland Security	5/24/2013	Public Service Executive 4
583	Homeland Security	5/24/2013	Public Service Executive 4
583	Homeland Security	5/24/2013	Public Service Executive 4
583	Homeland Security	5/24/2013	Public Service Executive 3
583	Homeland Security	5/24/2013	Public Service Executive 3
427	Inspections and Appeals-EAB	7/5/2013	Attorney 3
427	Inspections and Appeals-CAB	7/5/2013	Public Service Executive 3
427	Inspections and Appeals	7/5/2013	Public Service Executive 6
427	Inspections and Appeals	7/5/2013	Attorney 3
427	Inspections and Appeals	7/5/2013	Executive Officer 1
427	Inspections and Appeals	7/5/2013	Public Service Executive 5
427	Inspections and Appeals	7/5/2013	Public Service Executive 5
427	Inspections and Appeals	7/5/2013	Public Service Executive 4
427	Inspections and Appeals	7/5/2013	Executive Officer 1
427	Inspections and Appeals	7/5/2013	Accountant 4
427	Inspections and Appeals	7/5/2013	Public Service Executive 4
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 13- January 14

Dept #	Department Name	Effective Date	Job Classification
427	Inspections and Appeals	7/5/2013	Public Service Executive 4
427	Inspections and Appeals	7/5/2013	Public Service Executive 3
429	Iowa Racing and Gaming Commission	7/5/2013	Public Service Executive 4
429	Iowa Racing and Gaming Commission	7/5/2013	Public Service Executive 1
284	Iowa College Student Aid Commission	7/5/2013	Executive Officer 3
284	Iowa College Student Aid Commission	7/5/2013	Information Technology Administrator 1
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Executive Officer 4
542	Natural Resources	7/19/2013	Executive Officer 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Health Dental Director
588	Public Health	11/22/2013	Executive Officer 3
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 13- January 14

Dept #	Department Name	Effective Date	Job Classification
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Information Technology Administrator 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Executive Officer 4
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Executive Officer 4
588	Public Health	11/22/2013	Executive Officer 3
588	Public Health	11/22/2013	Physician Assistant
588	Public Health	11/22/2013	Chief Health Profession Investigator
588	Public Health	11/22/2013	Chief Health Profession Investigator
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Executive Officer 1
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Attorney 2

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 13- January 14

Dept #	Department Name	Effective Date	Job Classification
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Property Appraiser 4
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 2
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Executive Officer 4
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Public Service Executive 3

* Original incumbent left-position refilled as non-merit

** Reorganization effective 1/3/2014-Positions no longer meet definition of confidential and have been made merit-covered

Updated since last report

Nayara, Nicole [LEGIS]

From: Roederer, David [IDOM]
Sent: Monday, January 27, 2014 10:00 AM
To: Findley, Brenna [IGOV]; Johnson, Larry [IGOV]
Subject: FW: information needed for Personal Financial Disclosure Statement
Attachments: PFD 2014.xls

Importance: High

From: Wright, Sharon [IECD]
Sent: Monday, January 27, 2014 8:11 AM
To: Wright, Sharon [IECD]
Subject: information needed for Personal Financial Disclosure Statement
Importance: High

To: All Designated Agency Contacts
From: Sharon Wright, Iowa Ethics & Campaign Disclosure Board

RE: Personal Financial Disclosure information needed

Dear Contact:

1. Pursuant to Iowa Code section 68B.35 certain officials and employees in the executive branch are required to file Personal Financial Disclosure Forms with the Board.
2. You have been designated by your agency to be the contact person for this process. If you are not the designated contact, please **forward** this letter to that person and notify me of that change.
3. The attached excel spreadsheet is a listing of people who filed last year. Please look through the list and provide me with an updated list. Remember the form for this year covers calendar year 2013. If someone was employed or served in a covered position in 2013 **he or she needs to file the form even if he or she is no longer in a covered position.**
4. **There is no need to file the form yet.** We are simply trying to update the list of who is going to file. You can send me an email with names, positions, and email addresses of those who are required to file this year. **PLEASE SEND YOUR UPDATED LIST BY MARCH 4, 2013.** We will then communicate with those people who need to file.

5. Under the law, **the following persons are required to file:**

- A. Statewide elected officials.
- B. Executive or administrative head(s) of the agency.
- C. Deputy executive or administrative head(s) of the agency.
- D. Head of a major subunit of an agency whose position involves a substantial exercise of administrative discretion OR expenditure of public funds.
- E. Members of the following boards/commission:

The banking board, the ethics and campaign disclosure board, the credit union review board, the economic development board, the employment appeal board, the environmental protection commission, the health facilities council, the Iowa finance authority, the Iowa public employees' retirement system investment board, the board of the Iowa lottery authority, the natural resource commission, the board of parole, the petroleum underground storage tank fund board, the public employment relations board, the state racing and gaming commission, the state board of regents, the tax review board, the transportation commission, the office of consumer advocate, the utilities board, the Iowa telecommunications and technology commission, and any full-time members of other boards and commissions as defined under section 7E.4 who receive an annual salary for their service on the board or commission.

6. If you have any questions about who needs to file or about the process please let me know.

Sharon

Sharon Wright
Administrative Assistant
IECDB
www.iowa.gov/ethics
(515) 281-4028 (phone)
(515) 281-4073 (fax)

First Name	Last Name	Agency	Department/Division	Position	email	address	Comments
Jeannie	Adams	Administrative Services	Administration	Senior Resource Manager	jeannie.adams@iowa.gov		
Mike	Carroll	Administrative Services	Administration	Director	mike.carroll@iowa.gov		
Charlee	Cross	Administrative Services	Administration	Senior Resource Manager	charlee.cross@iowa.gov		
Tera	Granger	Administrative Services	Administration	Senior Resource Manager	tera.granger@iowa.gov		
Caleb	Hunter	Administrative Services	Administration	Public Information Officer	caleb.hunter@iowa.gov		
Thomas	Lamb	Administrative Services	Administration	Legal Counsel	ryan.lamb@iowa.gov		
Michelle	Minnehan	Administrative Services	Administration	Chief Operating Officer	michelle.minnehan@iowa.gov		
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Lon	Anderson	Administrative Services	Finance	Chief Information Officer	lon.anderson@iowa.gov		
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Ben	Brackett	Administrative Services	GSE	Manager GSE	ben.brackett@iowa.gov		
Paul	Carlson	Administrative Services	GSE	Administrator	paul.carlson@iowa.gov		
Brant	Carr	Administrative Services	GSE	Administrator	brant.carr@iowa.gov		
		Administrative Services	GSE	State Procurement Director			
Steve	Gross	Administrative Services	GSE	Administrator	steven.gross@iowa.gov		
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Deborah	O'Leary	Administrative Services	GSE/ITE	Administrator	debbie.oleary@iowa.gov		
Edward	Holland	Administrative Services	HRE	Director	ed.holland@iowa.gov		
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Stefanie	Pirkl	Administrative Services	HRE	Program Administrator	stefanie.pirkl@iowa.gov		
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Stephen	Moline	Agriculture and Land Stewa	Division of Consumer Protection	Director	stephen.moline@iowaagriculture.gov		
Jim	Gillespie	Agriculture and Land Stewa	Division of Soil Conservation	Director	Jim.Gillespie@iowaagriculture.gov		
Jay	Johnson	Agriculture and Land Stewa	None/Not Applicable	Deputy Secretary	Jay.Johnson@iowaAgriculture.gov		
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Steve	Ferguson	Agriculture Development A	None/Not Applicable	Director	Steve.Ferguson@iowa.gov		
Scott	Brown	Attorney General	Area Prosecutions	Special Assistant Attorney General			
William	Brauch	Attorney General	Consumer Protection	Director	bbrauch@ag.state.ia.us		
Martha	Anderson	Attorney General	Crime Victim Assistance	Director		legislator, files at the statehouse	
Kevin	Cmelik	Attorney General	Criminal Appeals	Division Director			
David L.	Gorham	Attorney General	None/Not Applicable	Deputy Attorney General			

Pamela	Griebel	Attorney General	None/Not Applicable	Director, License & Admin Law	
Thomas Henry	Miller	Attorney General	None/Not Applicable	Deputy Attorney General	
Tom	Miller	Attorney General	None/Not Applicable	Attorney General	
Tam	Ormiston	Attorney General	None/Not Applicable	Deputy AG Policy Development	
Julie	Pottorff	Attorney General	None/Not Applicable	Deputy Attorney General, Public Protection	
David	Sheridan	Attorney General	None/Not Applicable	Director, Environmental Law	
Eric	Tabor	Attorney General	None/Not Applicable	Chief of Staff	
Jeffrey	Thompson	Attorney General	None/Not Applicable	Deputy Attorney General, Civil Justice	
Mark	Schuling	Attorney General	Office of the Consumer Advocate	Consumer Advocate	
Corwin	Ritchie	Attorney General	Prosecuting Attorneys Training Coordinator	Coordinator	
Donald	Stanley	Attorney General	Revenue	Division Director	
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Tami	Kusian	Auditor of State	None/Not Applicable	Deputy, Performance Investigation	
Andrew	Nielsen	Auditor of State	None/Not Applicable	Deputy, Financial Audit	andy.nielsen@auditor.state.ia.us
David	Vaudt	Auditor of State	None/Not Applicable	Auditor of State	
Roger	Erpelding	Blind, Department for the	Blind Enterprises Program	Program Administrator	
Bruce	Snethen	Blind, Department for the	None/Not Applicable	Deputy Director	
Richard	Sorey	Blind, Department for the	None/Not Applicable	Director	
Donald	Boddicker	Board of Regents	Iowa Braille & Sight Saving School	Business Operations Director	
Patrick	Clancy	Board of Regents	Iowa Braille & Sight Saving School	Superintendent	
James	Heuer	Board of Regents	Iowa School for the Deaf	Director, Business Affairs	
Jeanne Glidden Prickett		Board of Regents	Iowa School for the Deaf	Superintendent	
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Jonathan	Wickert	Board of Regents	Iowa State University	Senior Vice President & Provost	
Nicole	Carroll	Board of Regents	None/Not Applicable	Regent	
Bob	Donley	Board of Regents	None/Not Applicable	Executive Director	
Robert	Downer	Board of Regents	None/Not Applicable	Board Member	bobd@meardonlaw.com
Jack	Evans	Board of Regents	None/Not Applicable	Board Member	
Ruth	Harkin	Board of Regents	None/Not Applicable	Board Member	
Greta	Johnson	Board of Regents	None/Not Applicable	Board Member	
Craig	Lang	Board of Regents	None/Not Applicable	Board Member	
David	Miles	Board of Regents	None/Not Applicable	Regent President	
Hannah	Walsh	Board of Regents	None/Not Applicable	Board Member	
Katie	Mulholland	Board of Regents	Regent	Board Member	
Bruce	Rastetter	Board of Regents	Regent	Board Member	
Cynthia	Bartels	Board of Regents	University of Iowa	Director, Treasury Operations	

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George	Hollins	Board of Regents	University of Iowa	Business Manager	
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Sally	Mason	Board of Regents	University of Iowa	President	
Jean	Robillard	Board of Regents	University of Iowa	VP, Medical Affairs	
Douglas	True	Board of Regents	University of Iowa	Senior Vice President	
Debbie	Zumbach	Board of Regents	University of Iowa	Purchasing Agent	
Benjamin	Allen	Board of Regents	University of Northern Iowa	President	
Kelly	Flege	Board of Regents	University of Northern Iowa	Director, Finance	
Patricia	Geadelmann	Board of Regents	University of Northern Iowa	Special Assistant to the President for Board and Governmental Relations	
Gloria	Gibson	Board of Regents	University of Northern Iowa	Executive VP and Provost	
Michael	Hager	Board of Regents	University of Northern Iowa	VP Admin & Finance	
Terrence	Hogan	Board of Regents	University of Northern Iowa	VP Education & Student Services	
Daniel	Reed	Board of Regents	University of Northern Iowa	VP, Research & Economic Development	
Gary	Shontz	Board of Regents	University of Northern Iowa	Controller, Sec & Treasurer	
Beth	Townsend	Civil Rights Commission	None/Not Applicable	Director	
Karen	Misjak	College Student Aid Commi	Not Applicable	Executive Director	
Karen	Freund	Commerce	Alcoholic Beverages Division	Operations Manager	
Stephen	Larson	Commerce	Alcoholic Beverages Division	Administrator	
Tina	Norris	Commerce	Alcoholic Beverages Division	Deputy Administrator of Spirits	
Doug	Webb	Commerce	Alcoholic Beverages Division	PSE 3	
Kevin	Brooks	Commerce	Banking Division	Banking Council Member	kbrooks@southstorybank.com 2716 NW 158th Avenue, Slater, IA 50244
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Rodney	Reed	Commerce	Banking Division	Finance Bureau Chief	rod_reed@idob.state.ia.us Iowa Division of Banking, 200 East Grand Avenue, Suite 300, Des Moines, IA 50309-1827
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Sally	Kreamer	Corrections	5th Judicial District	District Director	
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James	Wayne	Corrections	7th Judicial District	District Director	
Daniel	Fell	Corrections	8th Judicial District	District Director	
John	Fayram	Corrections	Anamosa	Warden	
John	Baldwin	Corrections	Central Office	Director	
Jerry	Bartruff	Corrections	Central Office	Deputy Director, Offender Services	
Dan	Clark	Corrections	Central Office	Deputy Director, Prison Industries	
Brad	Hier	Corrections	Central Office	Deputy Director, Administration	
Diann	Wilder-Tomlinson	Corrections	Central Office	Deputy Director, Eastern Region	
Jim	McKinney	Corrections	Ft Dodge	Warden	
Nick	Ludwick	Corrections	Ft Madison	Warden	
Dan	Craig	Corrections	Iowa Medical & Classification Center	Warden	
Patti	Wachtendorf	Corrections	Mitchellville	Warden	
Terry	Mapes	Corrections	Newton	Warden	
John	Chalstrom	Corrections	None/Not Applicable	Board Member	jchalstrom@ccsd.k12.ia.us 728 W. Cedar Street, Cherokee, IA 51012-1319
Michael	Coleman	Corrections	None/Not Applicable	Board Vice Chair	
Sheryl Anne Co	Griffith	Corrections	None/Not Applicable	Board Member	
Johnie	Hammond	Corrections	None/Not Applicable	Board Member	
Charles	Larson, Sr.	Corrections	None/Not Applicable	Board Member	
Nancy	Turner	Corrections	None/Not Applicable	Board Member	
Cornell	Smith	Corrections	Rockwell City	Warden	
Mark	Lund	Corrections (DHS/DOC)	Clarinda	Superintendent	
Ron	Mullen	Corrections (DHS/DOC)	Mt. Pleasant Correctional Facility	Superintendent	
Matt	Harris	Cultural Affairs	Iowa Arts Council	Administrator	matthew.harris@iowa.gov
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Robert	Denson	Des Moines Area Communit	Des Moines Area Community College - I	President	
Laura	Douglas	Des Moines Area Communit	Des Moines Area Community College - I	Provost, Urban Campus	
Mary	Entz	Des Moines Area Communit	Des Moines Area Community College - I	Provost, Newton Campus	
Tom	Lee	Des Moines Area Communit	Des Moines Area Community College - I	Provost, Boone Campus	
Kim	Linduska	Des Moines Area Communit	Des Moines Area Community College - I	VP Academic Affairs	
Gregory	Martin	Des Moines Area Communit	Des Moines Area Community College - I	VP Information Solutions	
Anthony	Paustian	Des Moines Area Communit	Des Moines Area Community College - I	Provost, West Campus	
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Douglas	Williams	Des Moines Area Communit	Des Moines Area Community College - I	VP Business Services	

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Jeffrey	Armstrong	Eastern Iowa Community Cc	Muscatine Community College	President	dswanson@eicc.edu
Teresa	Paper	Eastern Iowa Community Cc	Scott Community College	President	
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Pete	Brownell	Economic Development	None/Not Applicable	Board Member	peteb@brownells.com 225 16th Avenue, Grinnell, IA 50112
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Larry	Den Herder	Economic Development	None/Not Applicable	Board Member	larry.denherder@interstates.c 1081 Teres View Dr., Sioux Center, IA 51250
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Terry	Roberson	Economic Development	None/Not Applicable	Administrator	terry.roberson@iowa.gov 200 East Grand Avenue, Des Moines, IA 50309
Dan	White	Economic Development	None/Not Applicable	Board Member	dwhite7696@aol.com 2919 Elm St., Dubuque, IA 52001
Gail	Sullivan	Education	Communication and Information Service	Interim Administrator	jody crane does these for all education
Roger	Utman	Education	Community Colleges	Administrator	jody crane does these for all education
Jeremy	Varner	Education	Community Colleges	Administrator	jody crane does these for all education
Kevin	Fangman	Education	Learning and Results	Deputy Director	jody crane does these for all education
David	Tilly	Education	Learning and Results	Administrator	jody crane does these for all education
Jason	Glass	Education	None/Not Applicable	Director	jody crane does these for all education
Jeff	Berger	Education	School Finance and Support Services	Deputy Director	jody crane does these for all education
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Matt	Coulter	Education	Vocational Rehabilitation Services	Administrative Consultant	jody crane does these for all education
David	Mitchell	Education	Vocational Rehabilitation Services	Administrator	jody crane does these for all education
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Carole	Tillotson	Ethics & Campaign Disclosure	None	Board Member	
Megan	Tooker	Ethics & Campaign Disclosure	None	Executive Director	
Saima	Zafar	Ethics & Campaign Disclosure	None	Board Member	
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Heather	Armstrong	Finance Authority	IFA	Board Member	
Darlys	Baum	Finance Authority	IFA	Board Member	
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Michel	Nelson	Finance Authority	IFA	Board Member	
Eric	Peterson	Finance Authority	IFA	Board Member	
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San	Wong	Human Rights	None/Not Applicable	Director	
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Jason	Smith	Human Services	CCUSO & Cherokee MHI	Superintendent	
Marc	Baty	Human Services	Cedar Rapids Area	Service Area Manager	
Pat	Penning	Human Services	Des Moines Service Area	Service Area Manager	
Charles	Palmer	Human Services	DHS	Director	
Thomas	Huisman	Human Services	DHS Chief Information Officer	Division Administrator	
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Jennifer	Vermeer	Human Services	Medical Services	Medicaid Director	
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David	Creighton, Sr	IPERS	Investments	Board Member	sent to Melinda McElroy
Phyllis	Peterson	IPERS	Investments	Board Member	
Marlene	Sprouse	IPERS	Investments	Board Member	also files under Indian Hills College
Lisa	Stange	IPERS	Investments	Board Member	
Dennis	Young	IPERS	Investments	Board Member	
Darla	Iverson	IPERS	None/Not Applicable	Chief Financial Officer	
Karl	Koch	IPERS	None/Not Applicable	Chief Investment officer	
		IPERS	None/Not Applicable	General Counsel	terminated 2012
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Donna	Mueller	IPERS	None/Not Applicable	Chief Executive Officer	
Leon	Schwartz	IPERS	None/Not Applicable	Chief Operations Officer	
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Michael	Quinn	Law Enforcement Acadmey	None/Not Applicable	Assistant Director	
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Ken	Sharp	Public Health	Environmental Health	Division Director	
Roberta	Chambers	Public Health	Health Facilities Council	Member	
Vergene	Donovan	Public Health	Health Facilities Council	Member	
Marc	Elcock	Public Health	Health Facilities Council	Member	
Karen	Hope	Public Health	Health Facilities Council	Member	
Bob	Lundin	Public Health	Health Facilities Council	Member	
Bill	Thatcher	Public Health	Health Facilities Council	Member	
Marionette	Miller-Meeks	Public Health	None/Not Applicable	Director	
Julie	McMahon	Public Health	Nursing Board	Division Director	
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started January 2013

4/12/2011

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Dr. Michael	Ash	Southeastern Iowa Commur	Southeastern Iowa Community College	President	mash@sccciowa.edu	
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Bill	Taylor	Southwestern Community C	Southwestern Community College - SW	Vice President of Instruction	taylor@swccciowa.edu	
Michael	Blouin	Transportation	Commission	Commissioner	msblouin300@gmail.com	
Barry	Cleaveland	Transportation	Commission	Commissioner	bcleaveland@ssgi.com	
Loree	Miles	Transportation	Commission	Commissioner	loreemiles@hotmail.com	
Amy	Reasner	Transportation	Commission	Commissioner	areasner@lynchdallas.com	
David	Rose	Transportation	Commission	Commissioner	rosesclinton@yahoo.com	
Donald	Wiley	Transportation	Commission	Commissioner	dwiley@jcwiley.net	
Charese	Yanney	Transportation	Commisson	Commissioner	ceydog@aol.cm	
John	Adam	Transportation	Highway	Division Director	john.adam@dot.iowa.gov	
Barbara	Espelund	Transportation	Information Technology	Division Director	barbara.espelund@dot.iowa.gov	

Mark	Lowe	Transportation	Motor Vehicle	Division Director	mark.lowe@dot.iowa.gov
John	Selmer	Transportation	None/Not Applicable	Division Director	john.selmer@dot.iowa.gov
Paul	Trombino	Transportation	None/Not Applicable	Director	paul.trombino@dot.iowa.gov
Lee	Wilkinson	Transportation	Operations & Finance	Division Director	lee.wilkinson@dot.iowa.gov
Stuart	Anderson	Transportation	Planning & Programming & Modal	Division Director	stuart.anderson@dot.iowa.gov
Karen	Austin	Treasurer	None/Not Applicable	Deputy Treasurer	
Stefanie	Devin	Treasurer	None/Not Applicable	Deputy Treasurer	
Michael	Fitzgerald	Treasurer	None/Not Applicable	State Treasurer	also IPERS Board
David	Worley	Veteran's Affairs	Iowa Veteran's Homes	Commandant	
Jodi	Tymeson	Veteran's Affairs	Veteran Affairs	Executive Director	
Terry	Murrell	Western Iowa Tech Commu	Western Iowa Tech Community College	President	
Paul	Mikkelsen	Workforce Development	Administrative Services	Division Administrator	
Steve	Slater	Workforce Development	Iowa Division of Labor	Deputy Labor Commissioner	
Michael	Mauro	Workforce Development	Labor	Labor Commissioner	
Jude	Igbokwe	Workforce Development	Labor Market and Workforce Informati	Division Administrator	
Joseph	Bervid	Workforce Development	Legal Counsel	Attorney	
Gary	Bateman	Workforce Development	None/Not Applicable	Information Bureau Chief	
Kerry	Koonce	Workforce Development	None/Not Applicable	Communications Director	
Teresa	Wahlert	Workforce Development	None/Not Applicable	Director	
Edward	Wallace	Workforce Development	None/Not Applicable	Deputy Director	
Joseph	Walsh	Workforce Development	None/Not Applicable	Appeals Bureau Chief	
Michael	Wilkinson	Workforce Development	Unemployment Insurance Services	Division Administrator	
Christopher	Godfrey	Workforce Development	Worker's Compensation	Commissioner	
Lori	Adams	Workforce Development	Workforce Services	Division Administrator	

Lavara, Nicole [LEGIS]

From: Hunter, Caleb [DAS]
Sent: Thursday, February 20, 2014 1:08 PM
To: Royce, Joseph [LEGIS]
Cc: Findley, Brenna [IGOV]; Pettengill, Dawn [LEGIS]
Subject: Update
Attachments: Report of Employees Changed from Merit to Non-Merit Jan13-Jan14.pdf

Joe,

Attached is the January confidential employee update.

Thanks,
Caleb



Caleb Hunter, Communications Director
Iowa Department of Administrative Services
Office: (515) 725-2017
FAX: (515) 281-6140
caleb.hunter@iowa.gov

 **BE GREEN**
Please consider the environment before printing this email

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

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
212	Commerce-Alcoholic Beverages Division	1/18/2013	Public Service Executive 3
212	Commerce-Alcoholic Beverages Division	1/18/2013	Public Service Executive 3
212	Commerce-Alcoholic Beverages Division	1/18/2013	Public Service Executive 2
212	Commerce-Alcoholic Beverages Division	1/18/2013	Executive Officer 2
219	Commerce-Utilities	2/1/2013	Utility Administrator 2
671	Iowa Veterans Home	2/1/2013	Food Service Director 3
671	Iowa Veterans Home	2/1/2013	Public Service Executive 3
671	Iowa Veterans Home	2/1/2013	Information Technology Administrator 3
671	Iowa Veterans Home	2/1/2013	PSE 3
671	Iowa Veterans Home	2/1/2013	Public Service Supervisor 3
671	Iowa Veterans Home	2/1/2013	Public Service Executive 1
671	Iowa Veterans Home	2/1/2013	Public Service Executive 1
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Information Tech Admin 2

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Senior Transportation Engineer
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
167	Iowa Civil Rights Commission	2/15/2013	Public Service Executive 1
167	Iowa Civil Rights Commission	2/15/2013	Public Service Executive 3
642	Office of Drug Control Policy	3/1/2013	Public Service Executive 3
297	Aging	3/1/2013	Executive Officer 2
297	Aging	3/1/2013	Executive Officer 2
336	Iowa Communications Network	3/1/2013	Telecommunications Administrator
336	Iowa Communications Network	3/1/2013	Telecommunications Administrator
336	Iowa Communications Network	3/1/2013	Telecommunications Administrator
595	Public Safety	3/15/2013	Criminal Intelligence Analyst Supervisor
595	Public Safety	3/15/2013	Information Technology Specialist 4

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
595	Public Safety	3/15/2013	Crime Laboratory Administrator
595	Public Safety	3/15/2013	Information Technology Administrator 3
595	Public Safety	3/15/2013	Information Specialist 3
595	Public Safety	3/15/2013	Public Service Executive 3
595	Public Safety	3/15/2013	Public Service Executive 3
595	Public Safety	3/15/2013	Public Service Executive 3
595	Public Safety	3/15/2013	Electrical Inspector Supervisor
595	Public Safety	3/15/2013	Construction Design Engineer Senior
553	IPERS	4/12/2013	Pension System Attorney
553	IPERS	4/12/2013	Executive Officer 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Public Service Executive 5
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Public Service Executive 3
005	Administrative Services	4/26/2013	Public Service Executive 4
005	Administrative Services	4/26/2013	Fiscal & Policy Analyst Senior
005	Administrative Services	4/26/2013	Executive Officer 4
005	Administrative Services	4/26/2013	Information Technology Administrator 3
005	Administrative Services	4/26/2013	Information Technology Administrator 4
005	Administrative Services	4/26/2013	Information Technology Administrator 4
005	Administrative Services	4/26/2013	Public Service Executive 1
005	Administrative Services	4/26/2013	Public Service Executive 4
005	Administrative Services	4/26/2013	Accountant 4
005	Administrative Services	5/10/2013	Public Service Executive 4
005	Administrative Services	5/10/2013	Public Service Executive 4
259	Cultural Affairs	3/1/2013	Public Service Executive 3

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
259	Cultural Affairs	2/15/2013	Public Service Executive 2
005	Administrative Services	5/24/2013	Public Service Executive 2
005	Administrative Services	5/24/2013	Executive Officer 1
005	Administrative Services	5/24/2013	Public Service Supervisor 3
005	Administrative Services	5/24/2013	Public Service Executive 4
005	Administrative Services	5/24/2013	Public Service Executive 2
005	Administrative Services	5/24/2013	Program Planner 2
005	Administrative Services	5/24/2013	Public Service Executive 1
005	Administrative Services	5/24/2013	Public Service Executive 1
216	Commerce-Insurance	6/7/2013	Public Service Executive 4
216	Commerce-Insurance	6/7/2013	Public Service Executive 3
216	Commerce-Insurance	6/7/2013	Public Service Executive 4
216	Commerce-Insurance	6/7/2013	Public Service Executive 4
216	Commerce-Insurance	6/7/2013	Executive Officer 2
216	Commerce-Insurance	6/7/2013	Executive Officer 3
216	Commerce-Insurance	6/7/2013	Compliance Officer 2
216	Commerce-Insurance	6/7/2013	Compliance Officer 2
216	Commerce-Insurance	6/7/2013	Compliance Officer 2
583	Homeland Security	5/24/2013	Executive Officer 3
583	Homeland Security	5/24/2013	Information Specialist 3
583	Homeland Security	5/24/2013	Information Specialist 2
583	Homeland Security	5/24/2013	Public Service Executive 4
583	Homeland Security	5/24/2013	Public Service Executive 4
583	Homeland Security	5/24/2013	Public Service Executive 4
583	Homeland Security	5/24/2013	Public Service Executive 3
583	Homeland Security	5/24/2013	Public Service Executive 3
427	Inspections and Appeals-EAB	7/5/2013	Attorney 3
427	Inspections and Appeals-CAB	7/5/2013	Public Service Executive 3
427	Inspections and Appeals	7/5/2013	Public Service Executive 6

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
427	Inspections and Appeals	7/5/2013	Attorney 3
427	Inspections and Appeals	7/5/2013	Executive Officer 1
427	Inspections and Appeals	7/5/2013	Public Service Executive 5
427	Inspections and Appeals	7/5/2013	Public Service Executive 5
427	Inspections and Appeals	7/5/2013	Public Service Executive 4
427	Inspections and Appeals	7/5/2013	Executive Officer 1
427	Inspections and Appeals	7/5/2013	Accountant 4
427	Inspections and Appeals	7/5/2013	Public Service Executive 4
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Public Service Executive 4
427	Inspections and Appeals	7/5/2013	Public Service Executive 3
429	Iowa Racing and Gaming Commission	7/5/2013	Public Service Executive 4
429	Iowa Racing and Gaming Commission	7/5/2013	Public Service Executive 1
284	Iowa College Student Aid Commission	7/5/2013	Executive Officer 3
284	Iowa College Student Aid Commission	7/5/2013	Information Technology Administrator 1
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Executive Officer 4
542	Natural Resources	7/19/2013	Executive Officer 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Health Dental Director
588	Public Health	11/22/2013	Executive Officer 3
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Information Technology Administrator 3
588	Public Health	11/22/2013	Public Service Executive 3

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Executive Officer 4
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Executive Officer 4
588	Public Health	11/22/2013	Executive Officer 3
588	Public Health	11/22/2013	Physician Assistant
588	Public Health	11/22/2013	Chief Health Profession Investigator
588	Public Health	11/22/2013	Chief Health Profession Investigator
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Executive Officer 1
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Property Appraiser 4
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 2
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Public Service Executive 3

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
625	Revenue	12/6/2013	Executive Officer 4
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
402	Human Services	1/17/2014	Public Service Executive 4
401	Human Services	1/17/2014	Public Service Executive 3
402	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Info Technology Administrator 2
401	Human Services	1/17/2014	Info Technology Administrator 2
401	Human Services	1/17/2014	Info Technology Administrator 2
401	Human Services	1/17/2014	Info Technology Administrator 2
401	Human Services	1/17/2014	Public Service Executive 4
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Executive Officer 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
406	Human Services	1/17/2014	Deputy Superintendent
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
402	Human Services	1/17/2014	Public Service Executive 2

**Employees Changed from Merit to Non-Merit
Definition of Confidential Employee Rule Change**

January 2013-January 2014

Dept # Department Name

Effective Date Job Classification

Updated since last report

Navara, Nicole [IGOV]

From: Roederer, David [IDOM]
Sent: Thursday, February 20, 2014 4:04 PM
To: Hinch, Matt [IGOV]
Subject: FW: Question regarding Academic Building Revenue Bonds
Attachments: Defeasance ABRBs.docx; Outstanding ABR Principal 2 1 14.xlsx

From: Donley, Robert [BOARD] [<mailto:bdonley@iastate.edu>]
Sent: Thursday, February 20, 2014 3:47 PM
To: Roederer, David [IDOM]
Subject: FW: Question regarding Academic Building Revenue Bonds

FYI - Bob

From: Berg, Brad A [BOARD]
Sent: Thursday, February 20, 2014 1:01 PM
To: Brad.Trow@legis.iowa.gov
Cc: Racki, Joan [BOARD]; Keith Saunders (keith-saunders@uiowa.edu); Jeneane Beck (jeneane.beck@uni.edu); Murphy, Joseph D [GOV R]; Donley, Robert [BOARD]; Friedrich, Jean [BOARD]; Sayre, Patrice M [BOARD]
Subject: RE: Question regarding Academic Building Revenue Bonds

Mr. Trow – Thank you for your inquiry regarding the possible defeasement of some Academic Building Revenue Bonds (ABRBs).

I have attached the information supplied to Senate Democrat staff which contained all outstanding Regent ABRBs that are callable on 7/1/2015 and 7/1/2016.

The ABRBs have a commingled debt service reserve fund rather than each bond issue having its own dedicated reserve fund. After the defeasance of selected bond issues, the needed reserve funds would be recalculated and the funds no longer needed would be deducted from the tuition replacement requirement in the succeeding year.

I also have attached a spreadsheet showing the current outstanding principal and the year callable (if applicable) for each ABRB by University. The annual debt services ranges from year to year and this range is provided in total for each University.

Thank you and please let me know if you need additional information.

Brad Berg
Board of Regents, State of Iowa
11260 Aurora Ave
Urbandale, IA 50322
(515) 281-3936 Voice
(515) 281-6420 Fax
baberg@iastate.edu
<http://www.regents.iowa.gov>

From: Donley, Robert [BOARD]
Sent: Thursday, February 20, 2014 11:32 AM
To: Friedrich, Jean [BOARD]; Sayre, Patrice M [BOARD]
Cc: Racki, Joan [BOARD]; Berg, Brad A [BOARD]; Keith Saunders (keith-saunders@uiowa.edu); Jeneane Beck (jeneane.beck@uni.edu); Murphy, Joseph D [GOV R]
Subject: FW: Question regarding Academic Building Revenue Bonds
Importance: High

Legislative Data Request just came in. Bob
Robert Donley
Executive Director
Board of Regents, State of Iowa
Phone: 515-281-6426
Fax: 515-281-6420

From: Donley, Robert [BOARD]
Sent: Thursday, February 20, 2014 11:29 AM
To: Trow, Brad [LEGIS] (Brad.Trow@legis.iowa.gov)
Subject: FW: Question regarding Academic Building Revenue Bonds
Importance: High

Will do Brad. We will get right on this. What is your timeframe expectation?

Regards, Bob

Robert Donley
Executive Director
Board of Regents, State of Iowa
Phone: 515-281-6426
Fax: 515-281-6420

From: Trow, Brad [LEGIS] [<mailto:Brad.Trow@legis.iowa.gov>]
Sent: Thursday, February 20, 2014 10:59 AM
To: Donley, Robert [BOARD]
Cc: Soderberg, Chuck [LEGIS]
Subject: Question regarding Academic Building Revenue Bonds
Importance: High

It is my understanding that the Board office has supplied Senate Democrat staff with information about the potential for the state to defease some Academic Building Revenue Bonds. Your financial advisor gave the Board defeasance schedules for all ABRB's that are callable in FY 2016 and FY 2017. I have a couple of questions that we need information on:

Does the bond estimate include using the funds escrowed for debt service to reduce the amount needed for defeasement? What is the amount currently held in escrow for debt service for each of these bonds?

Can we get a listing of all Academic Building Revenue Bonds that the state is paying off via the Tuition Replacement appropriation, annual debt service, remaining principle, and other pertinent information?

- Springsted Inc., the Board of Regent's Financial Advisor, has completed defeasance schedules for all Regent Academic Building Revenue Bonds (ABRBs) that are callable on 7/1/2015 or 7/1/2016. Due to current low interest rates that would be earned in the escrow account, bonds callable in these years make the most financial sense.
- The following contains all outstanding Regent ABRBs that are callable on 7/1/2015 or 7/1/2016. The schedules are based on a settlement date of 8/1/2014, which is after the July 1, 2014 tuition replacement payment.

ACADEMIC BUILDING REVENUE BOND DEFEASANCE CANDIDATES (assumes 8/1/14 settlement)

UNIVERSITY	YEAR OF ISSUE	PRINCIPAL OUTSTANDING	FINAL MATURITY	AVG ANNUAL DEBT SERVICE	CALLABLE	CURR ESTIMATED DEFEASANCE
						DEPOSIT AMT
ISU	2005	16,550,000	2027	1,701,459	7/1/2015	17,262,244
SUI	2005	3,575,000	2020	683,128	7/1/2015	3,724,080
UNI	2005 Ref	2,100,000	2020	408,052	7/1/2015	2,193,791
ISU	2007	12,910,000	2027	1,307,526	7/1/2016	13,872,466
UNI	2005	10,185,000	2027	1,027,010	7/1/2016	10,919,968
UNI	2007	6,745,000	2027	682,123	7/1/2016	7,246,481
TOTAL						\$ 55,219,030

- An escrow deposit currently estimated at \$55.2 million would be needed to defease all of the above ABRBs. The defeasement amounts are subject to change depending on deposit earning rates at the time of defeasement. Defeasement of these bonds would reduce annual debt service payments totaling approximately \$67.9 million from 2015 through 2027.

FISCAL YEAR	TUIT REPLACEMENT REDUCTION
2015	5,587,000
2016	5,833,000
2017	5,848,000
2018	5,832,000
2019	5,850,000
2020	5,825,000
2021	4,707,000
2022	4,710,000
2023	4,726,000
2024	4,718,000
2025	4,737,000
2026	4,752,000
2027	4,758,000
TOTAL	67,883,000

- Schedules may be adjusted to include only a portion of the above listed ABRBs at your request.

OUTSTANDING ACADEMIC REVENUE BONDS
(as of February 1, 2014)

University	Year of Issue	Principal Outstanding	Payout Year	Callable	Debt Service - All Outstanding ABRBs
UNI	1994	360,000	2015	7/1/2004	
UNI	*1995	582,862	2015	none	
UNI	2002	950,000	2015	7/1/2012	
UNI	2003	1,830,000	2015	7/1/2013	
UNI	2005	2,400,000	2020	7/1/2015	
UNI	2005	10,770,000	2027	7/1/2016	
UNI	2007	7,130,000	2027	7/1/2016	
UNI	2008	11,850,000	2035	7/1/2018	
UNI	2009	<u>13,860,000</u>	2035	7/1/2019	
SUBTOTAL UNI		49,732,862			Ranges from \$6.1M in FY14 to \$6.5M in FY15, and de
		*Capital Appreciation Bonds (not callable)			
ISU	2005	17,475,000	2027	7/1/2015	
ISU	2006	1,400,000	2015	none	
ISU	2007	13,810,000	2027	7/1/2016	
ISU	2008	24,400,000	2035	7/1/2018	
ISU	2008	24,850,000	2030	7/1/2019	
ISU	2009	15,165,000	2019	none	
ISU	2009	26,000,000	2035	7/1/2020	
ISU	2010	28,225,000	2035	7/1/2020	
ISU	2013	<u>6,000,000</u>	2020	none	Ranges from \$13.2M in FY14 to \$13.7M in FY19, and c
SUBTOTAL ISU		157,325,000			
SUI	2002	2,915,000	2015	7/1/2012	
SUI	2004	1,570,000	2015	none	
SUI	2005	4,100,000	2020	7/1/2015	
SUI	2007	24,275,000	2028	7/1/2017	
SUI	2008	24,925,000	2030	7/1/2017	
SUI	2010	9,945,000	2033	7/1/2020	
SUI	2012	26,830,000	2033	7/1/2022	
SUI	2013	18,780,000	2024	none	
SUI	2013	<u>30,100,000</u>	2034	7/1/2023	
SUBTOTAL SUI		143,440,000			Ranges from \$11M in FY14, to 12.2M in FY20, and de

declines to \$2.1 in FY35

declines to \$6.6 in FY35

declines to \$2.3M in FY35

From: Roederer, David [IDOM]
Sent: Tuesday, February 25, 2014 10:41 AM
To: Hinch, Matt [IGOV]; Gregg, Adam [IGOV]
Subject: FW: woodwork effect and hospital rebasing

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

From: Hurtado-Peters, Sandra [IDOM]
Sent: Tuesday, February 25, 2014 10:35 AM
To: Roederer, David [IDOM]
Subject: FW: woodwork effect and hospital rebasing

Dave,

Here is the correspondence between Jess & Greg at IHA regarding the \$26M.

Sandi

From: Benson, Jess [LEGIS] [Jess.Benson@legis.iowa.gov]
Sent: Tuesday, February 25, 2014 10:22 AM
To: Hurtado-Peters, Sandra [IDOM]
Subject: Fwd: woodwork effect and hospital rebasing

Begin forwarded message:

From: "Boattenhamer, Greg" <boattenhamerg@ihaonline.org<<mailto:boattenhamerg@ihaonline.org>>>
Date: February 24, 2014 at 12:23:17 PM CST
To: "Benson, Jess [LEGIS]" <Jess.Benson@legis.iowa.gov<<mailto:Jess.Benson@legis.iowa.gov>>>
Subject: RE: woodwork effect and hospital rebasing

Jess – I appreciate the clarification. We did have a paragraph to that effect in one of our newsletters, but we certainly were under the impression that this was what LSA presented at a committee meeting. In fact, I remember asking for clarity on that fact before we published that particular article. In any event, we will make sure that we clarify with anyone asking us about woodwork in the future. We also met with Jennifer Vermeer last week where IME calculated the upper payment limitations related to Medicaid rebasing and expect that our “ask” for state funds on that topic will now significantly less than the \$14.5 million previously reported. Thanks for all your great work. GB

Greg Boattenhamer
Senior Vice President, Government Relations & Advocacy Iowa Hospital Association
100 E Grand Ave Suite 100
Des Moines, IA 50309
(515) 288-1955
boattenhamerg@ihaonline.org<<mailto:boattenhamerg@ihaonline.org>>

Confidentiality Statement

This e-mail message, including any attachments, is for the sole use of the intended recipient(s) and may contain confidential and privileged information. Any unauthorized review, use, disclosure or distribution is prohibited. If you have received this message in error, please advise the sender immediately by reply e-mail and delete this message.

From: Benson, Jess [LEGIS] [<mailto:Jess.Benson@legis.iowa.gov>]
Sent: Monday, February 24, 2014 11:23 AM
To: Boattenhamer, Greg
Subject: woodwork effect and hospital rebasing

Greg-

I saw as part of an IHA newsletter and also heard second hand through the Governor's Office that IHA says the Governor's allocated \$26.0 million for woodwork as a result of the ACA and that the number of new Medicaid beneficiaries has not increased in any significant way, so the \$26.0 million the governor has allocated for this expenditure could be vastly over-estimated and possibly used to fund hospital rebasing.

I'm not sure where the \$26.0 million dollar figure came from but I heard it came from me and I wanted to clarify that the Governor didn't recommend any funding in his budget for the woodwork effect in FY 2014 or FY 2015. The Medicaid forecasting group does include \$4.0 million in FY 2014 and \$22.0 million in FY 2015 for woodwork but it has yet to be funded anywhere.

If you have any questions about this I would be happy to go over any numbers with you.

Jess

Navara, Nicole [IGOV]

From: Findley, Brenna [IGOV]
Sent: Thursday, February 27, 2014 1:46 PM
To: Roederer, David [IDOM]
Subject: FW: Rules
Attachments: Chapter_15_Rules_Update.docx

David, should someone in DOM review this?

From: Elming, Becky [IGOV]
Sent: Thursday, February 27, 2014 1:36 PM
To: Findley, Brenna [IGOV]
Subject: Rules

I believe this is a rule Larry would have looked at. Would you take a look at it and let me know if it is ok. If you think it needs to go to someone else let me know and I will forward it on.

Thank you,

Becky Elming
Executive Assistant to the Chief of Staff
Office of Governor Terry E. Branstad
515-725-3535
Becky.Elming@iowa.gov

TREASURER OF STATE[781]

Notice of Intended Action

Twenty-five interested persons, a governmental subdivision, an agency or association of 25 or more persons may demand an oral presentation hereon as provided in Iowa Code section 17A.4(1)“b.”

Notice is also given to the public that the Administrative Rules Review Committee may, on its own motion or on written request by any individual or group, review this proposed action under section 17A.8(6) at a regular or special meeting where the public or interested persons may be heard.

Pursuant to the authority of Iowa Code section 12B.10C, the Treasurer of State hereby gives notice to amend Chapter 15, “Required Public Funds Custodial Agreement Provisions,” Iowa Administrative Code.

Iowa Code chapter 12B.10C directs the Treasurer of State to adopt rules, in consultation with the Attorney General. The following amendments are necessary to comply with law and to reflect changes in market practice since that time

Any interested person may make written suggestions or comments on this amendment on or before April 8, 2014. Such written comments or suggestions should be directed to Jake Friedrichsen, Iowa Treasurer of State, 1007 E. Grand Ave., Des Moines, Iowa 50319. E-mail may be sent to Jake.Friedrichsen@iowa.gov.

After analysis and review of this rule making, no impact on jobs has been found.

This amendment is intended to implement Iowa Code chapter 12.

The following amendment is proposed.

Amend 781—Chapter 15 as follows:

781—15.1(12B) Scope.

15.1(1) Iowa Code section 12B.10C requires the treasurer of state to adopt rules requiring the inclusion in public funds custodial agreements of any provisions necessary to prevent loss of public funds. As used in this chapter, “public funds custodial agreement” means any public funds custodial agreement as-is defined in Iowa Code section 12B.10C, as any contractual agreement pursuant to which one or more persons including, but not limited to, investment advisors, investment companies, trustees, agents and custodians, are authorized to act as a custodian of or to designate another person to act as a custodian of public funds or any security or document of ownership or title evidencing public funds investments.

15.1(2) ~~These rules~~ This chapter shall apply to any public unit, as defined in 781—Chapter 13, which uses a public funds custodial agreement for or relating to the investment of public funds. As used in this chapter, “pPublic funds” means public funds as-are defined in Iowa Code section 12C.1(2)“b” as moneys of the state or a political subdivision or instrumentality of the state including a county, school corporation, special district, drainage district, unincorporated town or township, municipality, or municipal corporation or any agency, board, or commission of the state or a political subdivision; any court or public body noted in Iowa Code section 12C.1(1); a legal or administrative entity created pursuant to Iowa Code chapter 28E; or an electric power agency as defined in Iowa Code section 28F.2.

15.1(3) A public unit may only enter into a public funds custodial agreement if the custodian is a state or national bank located in the state of Iowa which has a safekeeping or trust department. ~~contractual arrangement pursuant to which a person is authorized to act as a custodian of public funds or any security or document of ownership or title evidencing public funds investments (including the safekeeping of investments owned by a public unit) if that person is the trust or safekeeping department of a national or state bank located in the state of Iowa that lawfully possesses and exercises fiduciary powers under applicable federal laws or the laws of the state of Iowa. Provided, however~~ Notwithstanding the foregoing, the treasurer of state may exercise its discretion under Iowa Code section 12C.4 to enter into public funds custodial agreements with a custodian located outside the state of Iowa ~~Iowa that lawfully possesses and exercises fiduciary powers under applicable federal or state laws.~~ Each public unit that enters into whose investments involve the use of a public funds custodial agreement shall require the inclusion in the public funds custodial agreement those provisions

contained in rule 15.2(12B) of this chapter or substantially equivalent provisions.

~~15.1(4) Investments of public funds that are invested under the provisions of a resolution or indenture for the issuance of bonds, notes, certificates, warrants, or other evidences of indebtedness are not subject to these rules.~~

~~15.1(5) This chapter does not apply to those entities described in Iowa Code section 12B.10C(4) or any other entities that may otherwise be exempted by law. The public safety peace officers' retirement system governed by Iowa Code chapter 97A, the Iowa public employees' retirement system governed by Iowa Code chapter 97B, investments by the Iowa finance authority governed by Iowa Code chapter 16, the state fire and police retirement system governed by Iowa Code chapter 411, and the judicial retirement system governed by Iowa Code chapter 602, article 9, are not subject to these rules. These rules also do~~ This chapter does not apply to public funds custodial agreements entered into by the treasurer of state when such agreements are on behalf of the aforementioned entities, any of the entities specified in this section.

~~15.1(6) These rules do~~ This chapter does not apply to custodial agreements between an open-end management investment company registered with the Federal Securities Exchange Commission under the Federal Investment Company Act of 1940, 15 U.S.C. Sec. 80(a) and a custodian bank.

~~15.1(7) These rules do~~ This chapter does not apply to any custodial agreements entered into by a public unit or the treasurer of state for the purposes of securing public funds deposits under Iowa Code chapter 12C.

~~15.1(8) These rules do~~ This chapter does not apply to Treasury Direct accounts established by a public unit with a Federal Reserve Bank for the purpose of making direct purchases of United States Treasury bills, notes or bonds.

781—15.2(12B) Required provisions for inclusion in public funds custodial agreements. All public funds custodial agreements shall be in writing and shall include the following provisions:

~~15.2(1) The custodian shall represent and warrant that it lawfully possesses and exercises fiduciary powers under applicable federal laws or the laws of the state of Iowa, unless such a custodian is located out of state and is used by the treasurer of state for purposes permitted in Iowa Code section 12C.4, and that it has the resources and expertise to act as the custodian of public funds or any security or document of ownership or title evidencing public funds investments and to perform its responsibilities under the public funds custodial agreement.~~

~~15.2(2) The scope of duties and services to be performed by the custodian shall be described in detail satisfactory to the public unit and shall include, as applicable, custodial, settlement, collection of income and investment proceeds, reporting, and securities valuation services.~~

~~15.2(3) The custodian shall agree to provide the public unit with receipts, advices or other written confirmation or acknowledgment of its custody, on behalf of the public unit, of all assets delivered to it for the account of the public unit and subject to the public funds custodial agreement.~~

~~15.2(4) The custodian shall agree to segregate the public fund's assets separate from bank the custodian's own assets and to maintain records adequate to describe the fiduciary capacity of the custodian and the public unit's ownership of or beneficial interest in the assets held by the custodian by the public unit.~~

~~15.2(5) The custodian shall agree to maintain adequate records regarding a description of the assets, all receipts, deliveries and locations of the assets, together with a current inventory thereof, all purchases and sales, all receipts and disbursements of cash and all debits and credits pertaining to transactions relating to the assets, including but not limited to interest payments. The custodian shall agree to conduct periodic inspections in order to verify the accuracy of the inventory, including the securities, if any, held by a subcustodian.~~

~~—15.2(6) The custodian shall agree to maintain and make available to the public unit, its employees and its designees, accurate, current, and complete records that sufficiently and properly document the custodian's performance under the public funds custodial agreement, including records that document all fees and other amounts charged and all transactions occurring during the term of the agreement. The custodian shall, at a minimum, agree to allow the public unit or its designees, at no charge, to access, examine and audit any directly pertinent records of the custodian relating to or created as a result of the public funds custodial agreement, that all records of investment transactions, documentation, orders and reports, whether in written or machine readable form, relating to the public funds custodial agreement and the services provided thereunder, regardless of who performs the services, shall be considered records of the public unit and open to inspection~~

and examination by the public unit, its employees and its designees. To the extent records are maintained by others, the custodian shall agree to obtain from the other person an identical right to examination and inspection of the records and to obtain the information and records upon request of the public unit and to enforce its rights in order to obtain any records held by another person. The custodian shall agree to make all such records available upon reasonable request for inspection and audit by the public unit, its employees or designees, and to allow these records or excerpts of these records to be copied and removed to facilitate the audit or to comply with public records requirements.

15.2(76) If the custodian proposes to use a sub-custodian or other agent to perform any services in connection with the public funds custodial agreement, the custodian shall agree to take appropriate action to recover losses incurred by the public unit as a result of the acts or omissions of any sub-custodian that it shall be responsible for the acts or omissions of any subcustodians or other agent used as though the acts and omissions of any subcustodian or agent were the acts and omissions of the custodian.

15.2(87) The custodian shall settle all transactions on a payment-versus-delivery settlement basis except those specifically exempted in the agreement or unless such settlement is not market practice or unless otherwise directed by the public unit, agree that it will receive all assets purchased by or for the public unit from the persons through or from whom the same were purchased, and only upon receipt thereof (delivery versus payment basis) pay, out of assets held on account of the public unit, the total amount payable on the purchase as set forth in the instructions received by the custodian. The custodian shall agree to secure possession of all investment instruments that are the subject of or are the underlying obligations for any repurchase agreement.

15.2(9) The custodian shall agree that it will transfer assets for sale pursuant to instructions delivered to the custodian only upon receipt of the total amount payable to the public unit in connection with the settlement of the transaction, provided that the same conforms to the total amount payable to the public unit as shown in the instructions with respect to such sale. No assets may be delivered out of the account of the public unit without full payment (no "free deliveries" of investment securities shall be permitted).

15.2(408) If a public unit has engaged an investment advisor or investment manager, the public funds custodial agreement must limit the authority of the investment manager or advisor to authorizing a sale or purchase of an investment on a delivery versus payment basis pursuant to an instruction procedure which is consistent with the requirements of the public funds custodial agreement and the internal control policies of the public unit. The public funds custodial agreement shall not permit an investment manager or investment advisor to deliver, transfer, or move cash or securities to another account, location or entity.

15.2(419) The delivery, transfer or movement of cash or securities held in custody for the public unit (except for trades on a delivery versus payment basis) shall only be made pursuant to instructions given to the custodian by the treasurer of the public unit, its employees or designees or other employees designated by the treasurer, consistent with the internal controls established by the public unit.

15.2(4210) The public funds custodial agreement shall specify in satisfactory detail the procedures for instructions to be furnished to the custodian in connection with the sales or purchases of securities and the delivery, transfer or movement of cash or securities held in the custody account. The instruction provisions must be consistent with the internal control policies established by the public unit. At a minimum, these procedures must certify specify the individual or individuals authorized to issue instructions, the scope of their authority, require current specimen signatures of authorized individuals to be maintained by the custodian and require written instructions to be furnished to the custodian. If oral instructions are permitted, the procedures or protocol for them must be specified in detail and must address verification and confirmation procedures and follow-up written instructions required by the custodian and the public unit.

15.2(4311) At a minimum, the public funds custodial agreement shall require the custodian to furnish the following reports to the public unit: A monthly report describing in satisfactory detail the inventory of the account and transaction history during the preceding month; and other reports at such times as may be adequate to satisfy the public unit's internal control procedures for reconciliation. In addition, the custodian shall, to the extent not prohibited by law, provide written notice to the public unit (within a time period acceptable to the public unit) of custodian's receipt of an audit by an independent or internal auditor or regulatory authority which indicates that there is a material weakness in the custodian's internal control

~~structure or receipt of a regulatory order or sanction which relates to the type of work performed under the public funds custodial agreement. The custodian shall include in the written notice a detailed description of the comment or sanction and any curative measures which the custodian proposes to take in response thereto and written notice to the public unit within 30 days of receipt of all communications from the person performing the audit of the custodian or any regulatory authority of a material weakness in internal control structure, or regulatory orders or sanctions against the custodian, with regard to the services being performed under the public funds custodial agreement.~~

~~15.2(14) The custodian shall agree to furnish to the public unit the audited financial statements and related report on internal control structure as required by Iowa Code section 11.6(1) "b"(2) as amended and recodified from time to time.~~

~~—15.2(1512) The public funds custodial agreement shall not provide for the compensation of the custodian based on investment performance.~~

~~15.2(1613) The custodian shall agree to comply with all applicable federal, state, and local laws, rules and regulations and all applicable laws and administrative rules of the state of Iowa, including all amendments to laws, regulations and rules adopted following the execution and delivery of the when performing within the scope of the public funds custodial agreement at any time during the term of the public funds custodial agreement.~~

~~15.2(17) The public funds custodial agreement shall require that all investments shall be made in accordance with the laws of the state of Iowa, as then in effect.~~

~~—15.2(1814) At a minimum, the custodian shall agree to exercise the standard of care expected of a prudent professional custodian of public funds in holding, maintaining and servicing the securitiespublic fund's assets and cash and in performing its duties and obligations under the public funds custodial agreement.~~

~~15.2(19) The provisions described in these rules shall not be limited or avoided by other contractual provisions in the public funds custodial agreement.~~

~~—15.2(20) Any provisions limiting the liability of the custodian shall not relieve the custodian of liability as a result of its own negligence, lack of good faith or willful misconduct.~~

~~—15.2(21) If the custodian intends to perform services pursuant to the public funds custodial agreement in its safekeeping department, the custodian shall represent and warrant that it performs similar services for other customers in its safekeeping department.~~

781—15.3(12B) Optional provisions which public units should consider. The provisions set forth in rule 15.2(12B) are minimum requirements and are not exclusive. A public unit should determine whether the services performed by the custodian (except for any custodian hired by the treasurer of state pursuant to Iowa Code section 12C.4) pursuant to the public funds custodial agreement will be performed in the safekeeping department or the trust department and, based upon the advice of its counsel, should also consider other appropriate or more favorable provisions that may customarily be included in a public funds custodial agreement. Such things include, but are not limited to: additional representations and warranties; agreements or covenants pertaining to insurance and fidelity bond of the custodian and its employees; permitted use of sub-custodians; adequate description of fees and expenses and billing procedures; the requirement of additional reports including advices of transactions; conditions to the effectiveness of the public funds custodial agreement regarding deliveries of related documents and certificates; a higher standard of care; the ability of the public unit to terminate the public funds custodial agreement on a short-term basis without cause; and indemnification and default provisions, including recovery of attorneys' fees.

781—15.4(12B) Custodial functions. The required provisions contained in rule 15.2(12B) address only custodial functions and do not purport to address discretionary authority pertaining to the investments which shall be set forth in a separate written contract with the investment manager or advisor.

781—15.5(12B) Implementation deadline. Public units shall have until January 31, 1993July 1, 2015, to incorporate the required provisions contained in rule 15.2(12B) into existing public funds custodial agreements. Any new public funds custodial agreement executed after the effective date of these rules shall contain the provisions of rule 15.2(12B).

Navara, Nicole [LEGIS]

From: Roederer, David [IDOM]
Sent: Thursday, February 27, 2014 2:17 PM
To: Lunde, Joel [IDOM]
Cc: Findley, Brenna [IGOV]
Subject: FW: Rules
Attachments: Chapter_15_Rules_Update.docx

Please review. It appears straight forward to me.

From: Findley, Brenna [IGOV]
Sent: Thursday, February 27, 2014 1:46 PM
To: Roederer, David [IDOM]
Subject: FW: Rules

David, should someone in DOM review this?

From: Elming, Becky [IGOV]
Sent: Thursday, February 27, 2014 1:36 PM
To: Findley, Brenna [IGOV]
Subject: Rules

I believe this is a rule Larry would have looked at. Would you take a look at it and let me know if it is ok. If you think it needs to go to someone else let me know and I will forward it on.

Thank you,

Becky Elming
Executive Assistant to the Chief of Staff
Office of Governor Terry E. Branstad
515-725-3535
Becky.Elming@iowa.gov

TREASURER OF STATE[781]

Notice of Intended Action

Twenty-five interested persons, a governmental subdivision, an agency or association of 25 or more persons may demand an oral presentation hereon as provided in Iowa Code section 17A.4(1)“b.”

Notice is also given to the public that the Administrative Rules Review Committee may, on its own motion or on written request by any individual or group, review this proposed action under section 17A.8(6) at a regular or special meeting where the public or interested persons may be heard.

Pursuant to the authority of Iowa Code section 12B.10C, the Treasurer of State hereby gives notice to amend Chapter 15, “Required Public Funds Custodial Agreement Provisions,” Iowa Administrative Code.

Iowa Code chapter 12B.10C directs the Treasurer of State to adopt rules, in consultation with the Attorney General. The following amendments are necessary to comply with law and to reflect changes in market practice since that time

Any interested person may make written suggestions or comments on this amendment on or before April 8, 2014. Such written comments or suggestions should be directed to Jake Friedrichsen, Iowa Treasurer of State, 1007 E. Grand Ave., Des Moines, Iowa 50319. E-mail may be sent to Jake.Friedrichsen@iowa.gov.

After analysis and review of this rule making, no impact on jobs has been found.

This amendment is intended to implement Iowa Code chapter 12.

The following amendment is proposed.

Amend 781—Chapter 15 as follows:

781—15.1(12B) Scope.

15.1(1) Iowa Code section 12B.10C requires the treasurer of state to adopt rules requiring the inclusion in public funds custodial agreements of any provisions necessary to prevent loss of public funds. As used in this chapter, “public funds custodial agreement” means any public funds custodial agreement as is defined in Iowa Code section 12B.10C, as any contractual agreement pursuant to which one or more persons including, but not limited to, investment advisors, investment companies, trustees, agents and custodians, are authorized to act as a custodian of or to designate another person to act as a custodian of public funds or any security or document of ownership or title evidencing public funds investments.

15.1(2) ~~These rules~~ This chapter shall apply to any public unit, as defined in 781—Chapter 13, which uses a public funds custodial agreement for or relating to the investment of public funds. As used in this chapter, “pPublic funds” means public funds as are defined in Iowa Code section 12C.1(2)“b” as moneys of the state or a political subdivision or instrumentality of the state including a county, school corporation, special district, drainage district, unincorporated town or township, municipality, or municipal corporation or any agency, board, or commission of the state or a political subdivision; any court or public body noted in Iowa Code section 12C.1(1); a legal or administrative entity created pursuant to Iowa Code chapter 28E; or an electric power agency as defined in Iowa Code section 28F.2.

15.1(3) ~~A public unit may only enter into a public funds custodial agreement if the custodian is a state or national bank located in the state of Iowa which has a safekeeping or trust department. contractual arrangement pursuant to which a person is authorized to act as a custodian of public funds or any security or document of ownership or title evidencing public funds investments (including the safekeeping of investments owned by a public unit) if that person is the trust or safekeeping department of a national or state bank located in the state of Iowa that lawfully possesses and exercises fiduciary powers under applicable federal laws or the laws of the state of Iowa. Provided, however~~ Notwithstanding the foregoing, the treasurer of state may exercise its discretion under Iowa Code section 12C.4 to enter into public funds custodial agreements with a custodian located outside the state of Iowa Iowa that lawfully possesses and exercises fiduciary powers under applicable federal or state laws. Each public unit that enters into whose investments involve the use of a public funds custodial agreement shall require the inclusion in the public funds custodial agreement those provisions

and examination by the public unit, its employees and its designees. To the extent records are maintained by others, the custodian shall agree to obtain from the other person an identical right to examination and inspection of the records and to obtain the information and records upon request of the public unit and to enforce its rights in order to obtain any records held by another person. The custodian shall agree to make all such records available upon reasonable request for inspection and audit by the public unit, its employees or designees, and to allow these records or excerpts of these records to be copied and removed to facilitate the audit or to comply with public records requirements.

15.2(76) If the custodian proposes to use a sub-custodian or other agent to perform any services in connection with the public funds custodial agreement, the custodian shall agree to take appropriate action to recover losses incurred by the public unit as a result of the acts or omissions of any sub-custodian that it shall be responsible for the acts or omissions of any subcustodians or other agent used as though the acts and omissions of any subcustodian or agent were the acts and omissions of the custodian.

15.2(87) The custodian shall settle all transactions on a payment-versus-delivery settlement basis except those specifically exempted in the agreement or unless such settlement is not market practice or unless otherwise directed by the public unit. The custodian shall agree that it will receive all assets purchased by or for the public unit from the persons through or from whom the same were purchased, and only upon receipt thereof (delivery versus payment basis) pay, out of assets held on account of the public unit, the total amount payable on the purchase as set forth in the instructions received by the custodian. The custodian shall agree to secure possession of all investment instruments that are the subject of or are the underlying obligations for any repurchase agreement.

15.2(9) The custodian shall agree that it will transfer assets for sale pursuant to instructions delivered to the custodian only upon receipt of the total amount payable to the public unit in connection with the settlement of the transaction, provided that the same conforms to the total amount payable to the public unit as shown in the instructions with respect to such sale. No assets may be delivered out of the account of the public unit without full payment (no "free deliveries" of investment securities shall be permitted).

15.2(408) If a public unit has engaged an investment advisor or investment manager, the public funds custodial agreement must limit the authority of the investment manager or advisor to authorizing a sale or purchase of an investment on a delivery versus payment basis pursuant to an instruction procedure which is consistent with the requirements of the public funds custodial agreement and the internal control policies of the public unit. The public funds custodial agreement shall not permit an investment manager or investment advisor to deliver, transfer, or move cash or securities to another account, location or entity.

15.2(419) The delivery, transfer or movement of cash or securities held in custody for the public unit (except for trades on a delivery versus payment basis) shall only be made pursuant to instructions given to the custodian by the treasurer of the public unit, its employees or designees or other employees designated by the treasurer, consistent with the internal controls established by the public unit.

15.2(4210) The public funds custodial agreement shall specify in satisfactory detail the procedures for instructions to be furnished to the custodian in connection with the sales or purchases of securities and the delivery, transfer or movement of cash or securities held in the custody account. The instruction provisions must be consistent with the internal control policies established by the public unit. At a minimum, these procedures must certify specify the individual or individuals authorized to issue instructions, the scope of their authority, require current specimen signatures of authorized individuals to be maintained by the custodian and require written instructions to be furnished to the custodian. If oral instructions are permitted, the procedures or protocol for them must be specified in detail and must address verification and confirmation procedures and follow-up written instructions required by the custodian and the public unit.

15.2(4311) At a minimum, the public funds custodial agreement shall require the custodian to furnish the following reports to the public unit: A monthly report describing in satisfactory detail the inventory of the account and transaction history during the preceding month; and other reports at such times as may be adequate to satisfy the public unit's internal control procedures for reconciliation. In addition, the custodian shall, to the extent not prohibited by law, provide written notice to the public unit (within a time period acceptable to the public unit) of custodian's receipt of an audit by an independent or internal auditor or regulatory authority which indicates that there is a material weakness in the custodian's internal control

~~structure or receipt of a regulatory order or sanction which relates to the type of work performed under the public funds custodial agreement. The custodian shall include in the written notice a detailed description of the comment or sanction and any curative measures which the custodian proposes to take in response thereto and written notice to the public unit within 30 days of receipt of all communications from the person performing the audit of the custodian or any regulatory authority of a material weakness in internal control structure, or regulatory orders or sanctions against the custodian, with regard to the services being performed under the public funds custodial agreement.~~

~~15.2(14) The custodian shall agree to furnish to the public unit the audited financial statements and related report on internal control structure as required by Iowa Code section 11.6(1) "b"(2) as amended and recodified from time to time.~~

~~—15.2(1512) The public funds custodial agreement shall not provide for the compensation of the custodian based on investment performance.~~

~~15.2(1613) The custodian shall agree to comply with all applicable federal, state, and local laws, rules and regulations and all applicable laws and administrative rules of the state of Iowa, including all amendments to laws, regulations and rules adopted following the execution and delivery of the when performing within the scope of the public funds custodial agreement at any time during the term of the public funds custodial agreement.~~

~~15.2(17) The public funds custodial agreement shall require that all investments shall be made in accordance with the laws of the state of Iowa, as then in effect.~~

~~—15.2(1814) At a minimum, the custodian shall agree to exercise the standard of care expected of a prudent professional custodian of public funds in holding, maintaining and servicing the securities public fund's assets and cash and in performing its duties and obligations under the public funds custodial agreement.~~

~~15.2(19) The provisions described in these rules shall not be limited or avoided by other contractual provisions in the public funds custodial agreement.~~

~~—15.2(20) Any provisions limiting the liability of the custodian shall not relieve the custodian of liability as a result of its own negligence, lack of good faith or willful misconduct.~~

~~—15.2(21) If the custodian intends to perform services pursuant to the public funds custodial agreement in its safekeeping department, the custodian shall represent and warrant that it performs similar services for other customers in its safekeeping department.~~

781—15.3(12B) Optional provisions which public units should consider. The provisions set forth in rule 15.2(12B) are minimum requirements and are not exclusive. A public unit should determine whether the services performed by the custodian (except for any custodian hired by the treasurer of state pursuant to Iowa Code section 12C.4) pursuant to the public funds custodial agreement will be performed in the safekeeping department or the trust department and, based upon the advice of its counsel, should also consider other appropriate or more favorable provisions that may customarily be included in a public funds custodial agreement. Such things include, but are not limited to: additional representations and warranties; agreements or covenants pertaining to insurance and fidelity bond of the custodian and its employees; permitted use of sub-custodians; adequate description of fees and expenses and billing procedures; the requirement of additional reports including advices of transactions; conditions to the effectiveness of the public funds custodial agreement regarding deliveries of related documents and certificates; a higher standard of care; the ability of the public unit to terminate the public funds custodial agreement on a short-term basis without cause; and indemnification and default provisions, including recovery of attorneys' fees.

781—15.4(12B) Custodial functions. The required provisions contained in rule 15.2(12B) address only custodial functions and do not purport to address discretionary authority pertaining to the investments which shall be set forth in a separate written contract with the investment manager or advisor.

781—15.5(12B) Implementation deadline. Public units shall have until January 31, 1993 July 1, 2015, to incorporate the required provisions contained in rule 15.2(12B) into existing public funds custodial agreements. Any new public funds custodial agreement executed after the effective date of these rules shall contain the provisions of rule 15.2(12B).

contained in rule 15.2(12B) of this chapter or substantially equivalent provisions.

~~15.1(4) Investments of public funds that are invested under the provisions of a resolution or indenture for the issuance of bonds, notes, certificates, warrants, or other evidences of indebtedness are not subject to these rules.~~

~~15.1(5) This chapter does not apply to those entities described in Iowa Code section 12B.10C(4) or any other entities that may otherwise be exempted by law. The public safety peace officers' retirement system governed by Iowa Code chapter 97A, the Iowa public employees' retirement system governed by Iowa Code chapter 97B, investments by the Iowa finance authority governed by Iowa Code chapter 16, the state fire and police retirement system governed by Iowa Code chapter 411, and the judicial retirement system governed by Iowa Code chapter 602, article 9, are not subject to these rules. These rules also do not apply to public funds custodial agreements entered into by the treasurer of state when such agreements are on behalf of the aforementioned entities.~~ This chapter does not apply to any of the entities specified in this section.

~~15.1(6) These rules do not apply to custodial agreements between an open-end management investment company registered with the Federal Securities Exchange Commission under the Federal Investment Company Act of 1940, 15 U.S.C. Sec. 80(a) and a custodian bank.~~

~~15.1(7) These rules do not apply to any custodial agreements entered into by a public unit or the treasurer of state for the purposes of securing public funds deposits under Iowa Code chapter 12C.~~

~~15.1(8) These rules do not apply to Treasury Direct accounts established by a public unit with a Federal Reserve Bank for the purpose of making direct purchases of United States Treasury bills, notes or bonds.~~

781—15.2(12B) Required provisions for inclusion in public funds custodial agreements. All public funds custodial agreements shall be in writing and shall include the following provisions:

~~15.2(1) The custodian shall represent and warrant that it lawfully possesses and exercises fiduciary powers under applicable federal laws or the laws of the state of Iowa, unless such a custodian is located out of state and is used by the treasurer of state for purposes permitted in Iowa Code section 12C.4, and that it has the resources and expertise to act as the custodian of public funds or any security or document of ownership or title evidencing public funds investments and to perform its responsibilities under the public funds custodial agreement.~~

~~15.2(2) The scope of duties and services to be performed by the custodian shall be described in detail satisfactory to the public unit and shall include, as applicable, custodial, settlement, collection of income and investment proceeds, reporting, and securities valuation services.~~

~~15.2(3) The custodian shall agree to provide the public unit with receipts, advices or other written confirmation or acknowledgment of its custody, on behalf of the public unit, of all assets delivered to it for the account of the public unit and subject to the public funds custodial agreement.~~

~~15.2(4) The custodian shall agree to segregate the public fund's assets separate from bank the custodian's own assets and to maintain records adequate to describe the fiduciary capacity of the custodian and the public unit's ownership of or beneficial interest in the assets held by the custodian by the public unit.~~

~~15.2(5) The custodian shall agree to maintain adequate records regarding a description of the assets, all receipts, deliveries and locations of the assets, together with a current inventory thereof, all purchases and sales, all receipts and disbursements of cash and all debits and credits pertaining to transactions relating to the assets, including but not limited to interest payments. The custodian shall agree to conduct periodic inspections in order to verify the accuracy of the inventory, including the securities, if any, held by a subcustodian.~~

~~15.2(6) The custodian shall agree to maintain and make available to the public unit, its employees and its designees, accurate, current, and complete records that sufficiently and properly document the custodian's performance under the public funds custodial agreement, including records that document all fees and other amounts charged and all transactions occurring during the term of the agreement. The custodian shall, at a minimum, agree to allow the public unit or its designees, at no charge, to access, examine and audit any directly pertinent records of the custodian relating to or created as a result of the public funds custodial agreement. that all records of investment transactions, documentation, orders and reports, whether in written or machine readable form, relating to the public funds custodial agreement and the services provided thereunder, regardless of who performs the services, shall be considered records of the public unit and open to inspection~~

Nava, Nicole [LEGIS]

From: Buck, Brad [IDOE]
Sent: Monday, March 10, 2014 10:07 PM
To: Fandel, Linda [IGOV]; Berger, Jeff [IDOE]
Cc: Hinch, Matt [IGOV]
Subject: RE: Letter from Assistant Secretary Delisle re: Preventing Fraud, Waste, and Abuse

Thank you Linda!
Brad

From: Fandel, Linda [IGOV]
Sent: Monday, March 10, 2014 4:19 PM
To: Buck, Brad [IDOE]; Berger, Jeff [IDOE]
Cc: Hinch, Matt [IGOV]
Subject: FW: Letter from Assistant Secretary Delisle re: Preventing Fraud, Waste, and Abuse

Brad and Jeff,
You may have already received the letter below, but in case not I am sending your way.
Thank you.
Linda

Linda Fandel
Special assistant for education
Office of Governor Terry E. Branstad
Office: 515-725-3522
Linda.Fandel@iowa.gov<mailto:Linda.Fandel@iowa.gov>

From: Bartel, Christine [IGOV]
Sent: Monday, March 10, 2014 3:55 PM
To: Buck, Brad [IDOE]; Fandel, Linda [IGOV]; Berger, Jeff [IDOE]
Cc: Hoelscher, Doug [IGOV]
Subject: FW: Letter from Assistant Secretary Delisle re: Preventing Fraud, Waste, and Abuse

FYI.

From: Honeysett, Adam [mailto:Adam.Honeysett@ed.gov]
Sent: Monday, March 10, 2014 4:44 PM
Subject: Letter from Assistant Secretary Delisle re: Preventing Fraud, Waste, and Abuse

Dear governors' education policy advisors,

The following letter was recently sent to your Chief State School Officers. We wanted to make sure you received a copy as well. Please let us know if you have any questions.

Best,

Adam Honeysett

Office of Communications and Outreach/

Intergovernmental Affairs

U.S. Department of Education

From: Honeysett, Adam

Sent: Monday, March 10, 2014 2:58 PM

Subject: Letter from Assistant Secretary Delisle re: Preventing Fraud, Waste, and Abuse

Dear Colleague:

On October 31, 2013, the U.S. Department of Education's (Department's) Office of Inspector General (OIG) issued a Management Information Report titled "Fraud in Title I-Funded Tutoring Programs" (see Enclosure). In this report, OIG presented the findings and results of investigations and audits conducted on the provision of Supplemental Educational Services (SES) in multiple States over the past decade. As described in more detail below, OIG found serious instances of fraud, waste, and abuse of Federal funds in the provision of SES. While the OIG's report addresses the results of investigations relating to the provision of SES, it is important to note that identified issues are relevant to any Department program that allows grantees to contract with third parties to deliver services, particularly when services are billed on a per-child basis.

The Office of Elementary and Secondary Education (OESE) is gravely concerned by the nature of the findings presented in the report, and is deeply committed to working with States to prevent fraud, waste, and abuse. As part of these efforts, we are issuing this letter to present the findings outlined in the OIG report and to provide suggested measures that may be useful in preventing and prosecuting fraud and abuse in the use of Federal education funds. Given the threat the activities identified in the report pose to the effectiveness and reputation of our educational system, we encourage you to implement the recommendations provided in this letter within your organization.

Background

Under section 1116(e) of Title I, Part A of the Elementary and Secondary Education Act of 1965, as amended (ESEA), Local Educational Agencies (LEAs) must offer SES to low-income students who attend Title I schools that are in their second year of having been designated as in need of school improvement or are in corrective action or restructuring status.[1] Unless a lesser amount is needed to meet demand, an LEA must spend at least an amount equal to 20 percent

of its Title I, Part A allocation on SES and transportation for students who exercise the public school choice option under Section 1116(b)(1)(E) of the ESEA.[2]

Between School Year (SY) 2007-2008 and SY 2011-2012, the number of students receiving SES and the amount of funding used to provide SES increased markedly. According to the Department's ED Data Express, 927,153 students received SES services during SY 2011-2012, an approximately 60 percent increase from the 580,500 students who received SES in 2007-2008. As a result of the increase in the number of students receiving SES, total spending for SES increased during the same period, with SES funding levels rising from over \$800 million in SY 2007-2008 to approximately \$1.04 billion in SY 2011-2012.[3]

In February 2012, the Department began approving SEAs' requests for ESEA flexibility, a process that provides SEAs with waivers of certain ESEA requirements including, among other things, an LEA's responsibility to provide SES to eligible students. However, several SEAs have not received ESEA flexibility and some SEAs that have received ESEA flexibility have chosen to continue to allow LEAs to provide SES or similar academic services to eligible students, which LEAs may pay for using ESEA funds. Nonetheless, the types of behaviors and activities identified in the OIG report could occur in a multitude of other large Department programs that allow grantees or subgrantees to contract with third parties to deliver services on a per-child basis. As such, we hope that all SEAs and LEAs, irrespective of whether they are still required to provide SES, will appreciate the significance of the report's findings and give appropriate consideration to our suggestions.

OIG Findings

The OIG report covers approximately 10 years of audit work and 5 years of investigative work across numerous States and involves a diverse range of SES providers. OIG previously audited SES implementation in six States from 2003 to 2005[4] and examined SES providers in five California LEAs in 2005.[5] In addition, the U.S. Government Accountability Office (GAO) released reports in 2006 and 2007 highlighting concerns regarding SES implementation and encouraging increased Federal and State monitoring of SES services.[6] However, despite the publication of these OIG and GAO reports detailing concerns regarding SES implementation, the need for additional OIG SES investigations increased substantially in recent years. In 2009, OIG had only one SES investigation; as of August 2013, OIG had received complaints and opened investigations into another 31 individual matters involving over 50 different SES providers. During this time, OIG SES investigations resulted in the criminal prosecution of 13 individuals and one corporation, as well as 8 civil fraud actions.

As a result of these investigations, OIG has recovered more than \$19 million in fraudulently obtained funds through criminal restitution, civil judgments, civil settlements, and fines. Of particular note, over 68 percent of the investigations OIG conducted involve the knowing falsification of attendance and billing records by an SES provider and/or its employees. The recently released OIG report presents details on several of these cases, with the following representing a few notable examples:

- In New York, a national SES provider agreed to a \$10 million civil fraud settlement and two former directors pled guilty and agreed to pay more than \$1 million for their individual roles in the fraud. The fraud in this case involved the

SES provider instructing employees, including several public school employees, to falsify student attendance records and submit billings for SES services that it did not provide.

- In Michigan, a former director of State and Federal programs for a school district was convicted on bribery charges and sentenced to 5 years in prison followed by 3 years of supervised probation for receiving money and other items from an SES provider owned by her brother-in-law in exchange for the awarding of a contract for services.

- An SES provider in New York City agreed to a \$1.725 million civil fraud settlement and one of its managers pled guilty and agreed to a \$2.3 million civil judgment in response to civil and criminal fraud complaints alleging that the SES provider defrauded the New York City schools.

- The owner of an SES provider in Ohio was indicted on fraud-related charges after allegedly billing a school district for tutoring sessions that were not provided and submitting more than \$50,000 in fraudulent claims.

As of the date of its report, OIG had 19 open investigations and 6 other complaints involving allegations of fraud in SES that were being evaluated for investigative merit. Representing an especially concerning trend, 36 percent of these investigations and complaints involved allegations that public school teachers working as SES tutors after hours directly and materially participated in SES fraud schemes. For example, an investigation in Arkansas involved an SES provider who allegedly paid a public school teacher to falsify SES billing and student attendance records. Another investigation in Oklahoma produced an initial finding that up to 20 public school teachers who were working as SES tutors submitted false invoices for tutoring services for students who never received any tutoring.

OESE Recommendations

As the OIG report indicates, fraudulent schemes perpetrated through SES have the potential to seriously undermine the public trust, weakening the reputation of our nation's education system within our communities. Given that many of the instances noted in the OIG report involve public school employees, there is a clear threat to parent and student confidence in teachers and administrators, essential prerequisites for successful educational outcomes. Equally important, fraudulent misappropriation of Title I funds directly prevents those funds from being used for their intended purpose: providing essential support for the education of our nation's students with the greatest needs. Taking steps to prevent, detect, and prosecute the types of fraud noted in the OIG report can help SEAs and LEAs ensure that students receive the full benefit of SES and other similar academic services.

Federal regulations require grantees to monitor all grant supported activities, including the provision of SES.[7] While Federal regulations do not prescribe the exact method or extent of monitoring that SEAs must perform over SES, there is a clear requirement that SEAs must monitor the provision of SES and other grant supported activities. As the OIG report indicates, the extent and nature of the fraudulent schemes uncovered through previous and ongoing investigations raises concerns about the extent of SEA and LEA oversight of SES beyond the initial approval process. To that end, we encourage SEAs to carefully screen SES providers prior to approval and for SEAs and LEAs to invest greater time and resources in monitoring SES activities.

In addition to more rigorous subrecipient monitoring, SEAs and LEAs should consider taking steps to strengthen protections against fraud and corruption. The suggestions we provide below, if effectively implemented, may help prevent the types of situations noted in the OIG report from occurring, and would greatly facilitate identification,

prosecution, and recovery of funds where fraud is committed. By implementing some or all of these suggestions, we believe that SEAs and LEAs will be better able to ensure that students receive the full benefit of SES or other similar services.

1. Facilitating Fraud Reporting

Beyond actively increasing monitoring of SES providers, OESE strongly believes that the most important step SEAs and LEAs can take to detect and facilitate the prosecution of fraud is to support whistleblowers. The types of actions and schemes noted in the audit report are by their very nature predicated on deception and subterfuge, making it essential for individuals who become aware of the fraud to come forward with any information they might have. Given the importance of whistleblowers in recognizing these types of fraudulent schemes, it is essential that SEAs and LEAs take steps to help members of their organizations and communities understand the significance of their role in reporting fraudulent behaviors to protect the interests of the victims of these schemes – the children who are the beneficiaries of the services. To assist that process, if they have not done so already, SEAs and LEAs should consider creating a whistleblower hotline and implementing other policies and procedures intended to encourage whistleblowers.

In addition to encouraging reporting of fraud to SEAs and LEAs, it is also important to ensure that allegations of fraud in the provision of SES are reported to the OIG, as the Department has a critical interest in the outcomes of any investigations. The OIG has the potential to provide valuable assistance and resources for investigations that it considers as having investigative merit. Thus, SEAs and LEAs should also consider creating policies and procedures to ensure that allegations of fraud are reported to the OIG, particularly where there have been falsifications of applications, attendance and billing data, or theft, embezzlement, and other improper use of Federal education funds.[8]

2. Minimizing Conflicts of Interest

As described in the report, OIG's investigations have frequently found that public school employees are directly involved in the falsification of SES records and billings. In general, when public school employees are also employed by an SES provider, or have a private interest in entities offering SES, there is an increased potential for actual or perceived conflicts of interest. As OIG highlights in its report, this is particularly true where the SES provider employs public school employees in non-instructional positions such as managing tutoring programs, recruiting students and other school districts for the provider, or completing other administrative functions.

While OESE recognizes the value of having educators participate in SES, we suggest that SEAs and LEAs consider taking steps to ensure that public school employee participation in SES does not create any conflicts of interest that could result in harm to the programs or the public interest. An example of a step an SEA or LEA could take would be to prohibit an employee's participation in SES activities if there is the potential for the employee to influence the award or administration of Federal education funds in a way that would benefit the financial interest of the employee (or someone closely related to the employee, such as a spouse, child, or other relative). By minimizing the potential for conflicts of interest, SEAs and LEAs can limit the impetus for public school employees to participate in fraudulent schemes.

3. Defining Limitations on Incentives for SES Participation

As noted in the OIG report, the Department does not prohibit SES providers from providing financial or other types of incentives to students, their families, or school and LEA personnel to encourage student enrollment in SES. Rather, in the 2009 "Supplemental Educational Services Non-Regulatory Guidance," the Department stated that an SEA may develop its own policies regarding financial incentives under which an SEA could, for example, allow SES providers to offer "nominal incentives to parents or students to attend information sessions and provider fairs, for regular student

attendance, or for student academic achievement.” While the Department has not defined “nominal” or established limitations on the practice of offering incentives, the current non-regulatory guidance does caution against allowing financial incentives or gifts to be provided to students or parents in exchange for initial enrollment or changing providers. In addition, the guidance suggests that SEAs “prohibit [SES] providers from offering cash or other incentives to schools for signing up students for their program.”[9]

Given the findings stated in the OIG report, OESE is deeply concerned about the potential impacts of the use of incentives by SES providers, especially the potential practice of offering cash and other financial incentives to public school employees for encouraging or arranging student participation in their services. As a result, we will consider whether further guidance regarding limitations on the use of these types of incentives is necessary. However, in the absence of further guidance from the Department regarding the use of incentives by SES providers, we encourage SEAs to take affirmative steps to establish meaningful limitations on the use of incentives to avoid the potential for fraudulent schemes. We also strongly recommend that SEAs give serious consideration to prohibiting or limiting the use of financial incentives for SES recruiters – especially where those recruiters are also public school employees – as the use of financial incentives in those situations can create potentially problematic conflicts of interest and lead to fraud or abuse by SES providers.

4. Inclusion of Certification Language in Contracts for Services

As the OIG report highlights, SEAs and LEAs should consider including language in applications or contracts that would require recipients of Federal funds to certify that they are not committing fraud in their applications or requests for payment. In one noted OIG investigation, the LEA’s requirement that all SES providers sign a certification holding the provider and its representatives subject to criminal prosecution if they knowingly submitted false information to the LEA was instrumental in OIG’s successful prosecution of a provider and two of its employees.

In its report, the OIG provides a model of certification language that OIG believes would be useful for facilitating the prosecution of individuals or entities that have committed fraud in the use of Federal education funds.[10] As shown in the OIG model certification, the key elements of an effective certification are: clear acknowledgement of the use of Federal funds; certification of the accuracy and veracity of statements and information provided by applicants; and details as to the range of penalties for knowingly falsifying statements or information. Adding this type of certification language to applications, contracts, and requests for payment for SES would significantly facilitate Federal, State, and local investigations as well as civil and criminal judgments against individuals and providers who commit fraud related to the provision of SES.

5. Extending Records Retention Periods to Match Federal Statutes of Limitations Periods

Finally, SEAs and LEAs should consider expanding their records retention period beyond the 3-year minimum required under the Department’s regulations.[11] A records retention period of 5 or 6 years would more closely match Federal criminal and civil statute of limitations periods. By making such a change, SEAs and LEAs could greatly facilitate investigation and prosecution of cases where fraud and corruption has occurred in the use of Federal funds.

Conclusion

Ensuring that children receive the full benefit of the services and resources provided for them is the responsibility of the entire educational system. As such, we strongly believe that, by taking these steps, we can work together to protect against the occurrence of fraud in the provision of SES and to hold the individuals who commit any fraudulent acts responsible for the harm they cause. While OESE is planning to explore further actions to strengthen protections against fraud in SES, we sincerely hope that you will read the enclosed report and consider immediately taking the measures suggested above within your own organization.

If you have any questions or would like any other information, please do not hesitate to contact John Keefer, Management and Program Analyst, OESE-Management Support Unit (MSU) at (202) 401-1518 or via email at John.Keefer@ed.gov<<mailto:John.Keefer@ed.gov>>. We look forward to continuing to work with you to ensure that the resources intended to enrich the education of our students are devoted solely to providing the highest quality educational services.

Sincerely,

Deborah S. Delisle

Assistant Secretary

Enclosure

[1] See 34 C.F.R. §200.45.

2 See 34 C.F.R. §200.48.

3 The SY 2011-2012 SES enrollment and spending data are the Department's estimates because, according to ED Data Express, several States had errors in their final data submissions to the Department.

4 For more details regarding OIG audits of SES implementation, see the following OIG Audit Reports: Delaware (ED-OIG/A03F0002, November 22, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a03f0002.pdf>); Illinois (ED-OIG/A07F0003, August 23, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a07f0003.pdf>); Indiana (ED-OIG/A05E0014, February 18, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a05e0014.pdf>); Michigan (ED-OIG/A05F0007, August 2, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a05f0007.pdf>); Nevada (ED-OIG/A09F0002, July 14, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a09f0002.pdf>); and New Jersey (ED-OIG/A02F0006, September 14, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a02f0006.pdf>).

5 For more details regarding the OIG examination of SES implementation in California, see OIG Management Information Report, "Implementation of Supplemental Education Services in California" (ED-OIG/X09G0007, September 21, 2006, <http://www2.ed.gov/about/offices/list/oig/auditreports/x09g0007.pdf>).

6 For more details, see "Education Actions Needed to Improve Local Implementation and State Evaluation of Supplemental Educational Services," GAO-06-758, August 2006, <http://www.gao.gov/new.items/d06758.pdf>; "Education Actions May Help Improve Implementation and Evaluation of Supplemental Educational Services," GAO-07-738T, April 18, 2007, <http://www.gao.gov/new.items/d07738t.pdf>.

7 See Education Department General Administrative Regulations (EDGAR) §80.40(a) (34 C.F.R. §80.40(a)); Office of Management and Budget (OMB) Circular A-133, Subpart D, §_400(d)(3).

8 To promote reporting of suspected fraud to the OIG, SEAs and LEAs should consider publicizing contact information for the OIG Hotline, which is available for anyone to use for reporting suspected fraud, waste or abuse of Department funds. Complaints may be made through the OIG Hotline by calling the OIG Hotline's toll-free number, 1-800-MIS-USED (1-800-647-8733); emailing a complaint through the ED OIG Hotline internet page; or submitting a special complaint form by mail. For more information about the ED OIG Hotline and the complaint submission process, please visit <http://www2.ed.gov/about/offices/list/oig/hotline.html>.

9 U.S. Department of Education, "Supplemental Educational Services, Non-Regulatory Guidance," January 14, 2009, p.6 (Question B-4). Available at: <http://www2.ed.gov/policy/elsec/guid/suppsvcsguid.doc>.

[1]0 The model certification developed by OIG is as follows: "I understand that providing a false certification to any of the statements above makes me liable for repayment to [the] U.S. Department of Education for funds received on the basis of this certification, for civil penalties under 31 U.S.C. §3729, and for criminal prosecution under 18 U.S.C. §§1001, 641, 666, and other relevant Federal statutes, and/or State criminal statutes if applicable, and punishable by fines and prison. I certify that the information contained above is true and accurate and may be relied upon by the U.S. Department of Education." (See Enclosure, p. 14.)

[1][1] See 34 C.F.R. §80.42.

[1] See 34 C.F.R. §200.45

[2] See 34 C.F.R. §200.48

[3] The SY 2011-2012 SES enrollment and spending data are the Department's estimates because, according to ED Data Express, several States had errors in their final data submissions to the Department.

[4] For more details regarding OIG audits of SES implementation, see the following OIG Audit Reports: Delaware (ED-OIG/A03F0002, November 22, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a03f0002.pdf>); Illinois (ED-OIG/A07F0003, August 23, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a07f0003.pdf>); Indiana (ED-OIG/A05E0014, February 18, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a05e0014.pdf>); Michigan (ED-OIG/A05F0007, August 2, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a05f0007.pdf>); Nevada (ED-OIG/A09F0002, July 14, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a09f0002.pdf>); and New Jersey (ED-OIG/A02F0006, September 14, 2005, <http://www2.ed.gov/about/offices/list/oig/auditreports/a02f0006.pdf>).

[5] For more details regarding the OIG examination of SES implementation in California, see OIG Management Information Report, "Implementation of Supplemental Education Services in California" (ED-OIG/X09G0007, September 21, 2006, <http://www2.ed.gov/about/offices/list/oig/auditreports/x09g0007.pdf>).

[6] For more details, see "Education Actions Needed to Improve Local Implementation and State Evaluation of Supplemental Educational Services," GAO-06-758, August 2006, <http://www.gao.gov/new.items/d06758.pdf>; "Education Actions May Help Improve Implementation and Evaluation of Supplemental Educational Services," GAO-07-738T, April 18, 2007, <http://www.gao.gov/new.items/d07738t.pdf>.

[7] See Education Department General Administrative Regulations (EDGAR) §80.40(a) (34 C.F.R. §80.40(a)); Office of Management and Budget (OMB) Circular A-133, Subpart D, §_400(d)(3).

[8] To promote reporting of suspected fraud to the OIG, SEAs and LEAs should consider publicizing contact information for the OIG Hotline, which is available for anyone to use for reporting suspected fraud, waste or abuse of Department funds. Complaints may be made through the OIG Hotline by calling the OIG Hotline's toll-free number, 1-800-MIS-USED (1-800-647-8733); emailing a complaint through the ED OIG Hotline internet page; or submitting a special complaint form by mail. For more information about the ED OIG Hotline and the complaint submission process, please visit <http://www2.ed.gov/about/offices/list/oig/hotline.html>.

[9] U.S. Department of Education, "Supplemental Educational Services, Non-Regulatory Guidance," January 14, 2009, p.6 (Question B-4). Available at: <http://www2.ed.gov/policy/elsec/guid/suppsvcsguid.doc>.

[10] The model certification developed by OIG is as follows: "I understand that providing a false certification to any of the statements above makes me liable for repayment to [the] U.S. Department of Education for funds received on the basis of this certification, for civil penalties under 31 U.S.C. §3729, and for criminal prosecution under 18 U.S.C. §§1001, 641, 666, and other relevant Federal statutes, and/or State criminal statutes if applicable, and punishable by fines and prison. I certify that the information contained above is true and accurate and may be relied upon by the U.S. Department of Education." (See Enclosure, p. 14)

[11] See 34 C.F.R. §80.42.

Navara, Nicole [LEGIS]

From: Roederer, David [IDOM]
Sent: Tuesday, March 18, 2014 4:24 PM
To: Findley, Brenna [IGOV]
Subject: FW: Skeries P1
Attachments: FW: Grievance Settlement for Darren Skeries P1#2087049

Importance: High

From: Minnehan, Michelle [DAS]
Sent: Tuesday, March 18, 2014 1:36 PM
To: Roederer, David [IDOM]
Subject: FW: Skeries P1
Importance: High

Per my voicemail...let's connect.

From: Pritchard, Susie [DOC]
Sent: Tuesday, March 18, 2014 1:32 PM
To: Minnehan, Michelle [DAS]
Cc: Baldwin, John [DOC]
Subject: FW: Skeries P1
Importance: High

Michelle –

I have not received a response and P1 2087049 was initiated last Wednesday. It's my understanding that DOM Director Roederer and my Director have been unable to connect as requested by your office in order to process the settlement payment. I am unclear as to why DOM was contacted unless it's related to the recent headlines on settlement payments which I hope is the case rather than seeking approval of retroactive extra duty pay – see highlight below.

I have removed our department level approval on the P1 as there is only one remaining payroll update which compromises the employee's opportunity to adjust tax withholding and also the incorrect payment change and process according to pre-audit - see attached email – again this is settlement pay – not retroactive pay subject to the appeal board by administrative rule.

Please let me know when the P1 is corrected for the full amount of the settlement 6081.60 and if there will be any further delays in processing for the 03/14/14 pay period.

From: Pritchard, Susie [DOC]
Sent: Monday, March 17, 2014 12:02 PM
To: PirkI, Stefanie [DAS]
Cc: Baldwin, John [DOC]
Subject: Skeries P1

Stefanie – a P1 for a non-contract grievance settlement for Darren Skeries is still pending approval. I noticed in the remarks that several references were made to past pay periods, an appeal board claim and no IPERS wage adjustment. Conceptually, the P1 processes retroactive pay however it is the product of a grievance

decision – hence the P1 Type 849 for Settlement Pay and should be paid as such - in a lump sum just as all grievance decisions that require payment are implemented. Please advise when the approval is anticipated in order for the employee to adjust his withholding. Thanks.

Susie Pritchard

Human Resources Director | Iowa Department of Corrections | 510 E. 12th St | Des Moines, IA 50319 | Office: 515-725-5743 |

Our mission: To advance successful offender reentry to protect the public, staff and offenders from victimization

Savara, Nicole [LEGIS]

From: Wolk, Kathy [DOC]
Sent: Thursday, March 13, 2014 7:15 AM
To: Pritchard, Susie [DOC]
Subject: FW: Grievance Settlement for Darren Skeries P1#2087049

FYI

I will do the pay for the 17 pay periods this pp and submit whatever I need to do for the other 4 pay periods to the appeal board.

From: Brown, Amy [DAS]
Sent: Wednesday, March 12, 2014 4:08 PM
To: Wolk, Kathy [DOC]
Cc: Mullen, Elise [DAS]
Subject: RE: Grievance Settlement for Darren Skeries P1#2087049

Kathy,

I can approve this for 17 pay periods back to 06/21/13 which was the beginning of FY14. Any back pay owed for prior fiscal years need to be submitted through the Appeal Board process. This would include pay periods 04/26/13, 05/10/13, 05/24/13 and 06/07/13. Here is a link to the Appeal Board Claim Process, http://das.hre.iowa.gov/documents/pre_audit/appeal_board_claim_process.pdf

Can you please go back and update the P1 with the correct amount for the 17 pay periods? You also want to include the employee's bi-weekly salary and calculations for the 10% to pay and the dates for each pay period we are paying him for.

Please let me know if you have any questions.

Thank you,

Amy K. Brown - Human Resources, Pre-Audit
Iowa Department of Administrative Services
Phone: (515) 281-6474
amy.brown@iowa.gov
<http://das.iowa.gov>

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

No employee or agent of the department or the State of Iowa is authorized to enter into a contractual agreement on behalf of the department or the State of Iowa with another party by email without the express written consent of the director of the department. This email and any files attached to it are intended solely for the use of the individuals or entities to whom the email is addressed. If you receive this email in error, any review, use, dissemination, distribution, copying, or storing of the email or its attachments is prohibited. Notify me immediately of the error by return email, and

delete this message from your system. Any views or opinions in this email are the author's and do not necessarily represent the views or opinions of the department or the State of Iowa.

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

From: Wolk, Kathy [DOC]
Sent: Wednesday, March 12, 2014 12:03 PM
To: Mullen, Elise [DAS]; Brown, Amy [DAS]
Subject: Grievance Settlement

Attached is a copy of the Non-Contract Grievance Settlement for Darren Skeries.

There is a P1 out for this.

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

From: Kathy Wolk [mailto:kathy.wolk@iowa.gov]
Sent: Wednesday, March 12, 2014 11:44 AM
To: Wolk, Kathy [DOC]
Subject:

This E-mail was sent from "RNPOAE739" (Aficio MP C4000).

Scan Date: 03.12.2014 11:43:58 (-0500)

From: Roederer, David [IDOM]
Sent: Wednesday, March 19, 2014 1:13 PM
To: Hinch, Matt [IGOV]; Findley, Brenna [IGOV]; Johnson, Larry [IGOV]; Centers, Jimmy [IGOV]
Subject: FW: Public records request

From: Clayworth, Jason [<mailto:jclaywor@registermedia.com>]
Sent: Wednesday, March 19, 2014 1:10 PM
To: Roederer, David [IDOM]
Subject: Public records request

The Des Moines Register/Jason Clayworth
400 Locust St., Suite 500
Des Moines, IA 50309
515-699-7058
jclayworth@dmreg.com

March 19, 2014

Iowa Department of Management
1007 E GRAND AVE
Des Moines, IA, 50319

Sent via e-mail

Att: David Roederer, Director

I am seeking this information under Iowa's open records law.

I am requesting copies of all settlement agreements that involve payments of \$1 or more to people or businesses your department has made that did not require or obtain approval from the Iowa Appeal Board. This includes all employee settlements as well as any other settlement your department may have entered into since Jan. 14, 2011.

This request includes any divisions, offices or boards that fall under your department.

As you know, Iowa law provides that if parts of a document are exempt from release, the remainder must be separated and disclosed. Therefore, I ask you to send me all nonexempt portions of the records, which I have requested, and ask that you cite specific exemptions in Iowa law for any information you deny. The Register reserves the right to appeal your decision to withhold any materials.

If possible, I request that these records be provided in an electronic format, specifically forwarded to me in an email to jclayworth@dmreg.com. If that format is not practical or feasible, please contact me to arrange an alternative.

I am prepared to pay reasonable research and duplication fees in connection with this request. I am a journalist employed by The Des Moines Register, and intend to use the information to help inform the public. Therefore, I

ask that you waive all search and duplication fees. If you deny this request, however, and the fees will exceed \$50, please notify me of the charges before you fill my request so that I may decide whether to pay the fees or appeal your denial of my request for a waiver.

Because I am making this request in the capacity of a journalist, and this information is of timely value, I will appreciate your communicating with me by telephone or e-mail, rather than by mail, if you have any questions regarding this request.

Please confirm that you have received this letter.

Thank you.

Sincerely,

Jason Clayworth

From: Carlson, Paul [DAS]
Sent: Friday, March 21, 2014 7:13 PM
To: Findley, Brenna [IGOV]
Subject: Non-Contract Grievance Procedure

SECTION 11.50 NON-CONTRACT GRIEVANCE PROCEDURE
Last Update: 7/12

Definition

A non-contract grievance is any dispute between the employer and the employee with respect to the conditions of employment.

A contract-covered employee must file a non-contract grievance if the issue being grieved is not covered by the collective bargaining agreement.

Appeals of Disciplinary Action

A non-temporary, non-contract employee who is covered by merit system provisions and is disciplined (suspension, reduction in pay, demotion, or discharge) shall bypass Steps 1 and 2 of the grievance procedure provided below and must file a written appeal to the Chief Operating Officer of DAS-HRE at Step 3 of the grievance procedure within seven (7) calendar days after the effective date of the action in accordance with 11 IAC 61.2(6).

A non-temporary, non-contract employee who is covered by merit system provisions and receives discipline in any other form than described above (written reprimand) must file a grievance beginning with Step 1 of the grievance procedure outlined below within fourteen (14) calendar days after the effective date of the action.

Steps

Step 1: An employee must initiate the grievance by submitting it in writing on the Non-Contract Grievance Form (CFN 552-0248) to the immediate supervisor within fourteen (14) calendar days after the time the employee became aware of or should have become aware of the grievance issue. The supervisor shall give a decision in writing to the grievant within seven (7) calendar days. The supervisor shall give a copy of the grievance and the written response to the personnel officer and the next higher management authority.

Step 2: A grievant who is not satisfied with the first step response may file the written grievance with the designated management representative at Step 2 in the agency's grievance process within seven (7) calendar days after receipt of the Step 1 decision. The designated management representative must give a decision in writing to the grievant within seven (7) calendar days after the grievance was received at Step 2. The management representative shall give a copy of the grievance and the written response to the personnel officer and the next higher management authority.

Step 3: A grievant who is not satisfied with the Step 2 decision, may file the written grievance with the Chief Operating Officer of DAS-HRE within fourteen (14) calendar days after the Step 2 decision is received or should have been received. For appeals of disciplinary actions involving suspension, reduction in pay, demotion, or discharge, an employee must file an appeal within seven (7) calendar days as outlined above. The Chief Operating Officer of DAS-HRE (or designee) shall give the grievant a written decision within thirty (30) calendar days after receipt of the grievance, with a copy to the agency director. If the grievant is dissatisfied with the Chief Operating Officer's response, and the grievance alleges a violation of Iowa Code Chapter 8A, subchapter IV; chapter 70A; or the DAS-HRE administrative rules in chapter 11, the grievant may file an appeal with the Public Employment Relations Board within thirty (30) calendar days following the date the Chief Operating Officer's response was received or should have been received.

Time Limits

Grievances not appealed within the designated time limits at any step will be considered as settled on the basis of the last employer answer. Grievances not answered by the employer within the designated time limits may be taken to the next step. The parties may agree in writing at any step to extend the time limits.

Grievance Meetings

The grievant, an employee who is the grievant's representative, and all other employees authorized by management to attend a grievance meeting shall be in paid status for time spent at the meeting, as well as time spent traveling to and from the meeting during their regularly scheduled hours of work. Employees who are eligible for overtime compensation shall be compensated for time spent outside their scheduled hours of work. The employee may not be represented by someone who would constitute a conflict of interest.

Travel expenses and state cars are authorized only for employees who are required by management to participate in the meeting.

Informal Settlements

Prior to a hearing before the Public Employment Relations Board, the Employment Appeal Board, or the Classification Appeal Committee, an informal conference may be held in an attempt to resolve the dispute. If the Chief Operating Officer and the appellant agree to negotiate a settlement, the various points of the settlement shall be included in a written statement. Negotiations must be completed at least five (5) workdays prior to the hearing date unless additional time is agreed to by all parties. The settlement must be signed by the appellant and the Chief Operating Officer, and shall be binding.



Stephanie L. Reynolds
Labor Relations Specialist
Iowa Department of Administrative Services
Office: (515) 281-5214
FAX: (515) 281-0753
Stephanie.Reynolds@iowa.gov



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

Navara, Nicole [LEGIS]

From: Findley, Brenna [IGOV]
Sent: Monday, March 24, 2014 9:51 AM
To: LG.KKR
Subject: FW: RELEASE: Gov. Branstad takes action to increase accountability, openness and transparency in employee settlements

The Executive Order is pasted below the press release. Also, the report is linked. Let me know if you want me to cut and paste it in an email to you. And, please feel free to call if you have any questions or would like me to brief you. Thank you, Brenna

From: Press Release from Iowa Governor's Office [mailto:Press.Releases@iowa.gov]
Sent: Monday, March 24, 2014 9:20 AM
To: Findley, Brenna [IGOV]
Subject: RELEASE: Gov. Branstad takes action to increase accountability, openness and transparency in employee settlements

OFFICE OF THE GOVERNOR
Governor Terry E. Branstad ★ Lt. Governor Kim Reynolds

FOR IMMEDIATE RELEASE: Monday, March 24, 2014
Contact: Governor's Office, 515-281-5211

**Gov. Branstad takes action to increase
accountability, openness and transparency in
employee settlements**

Administration releases all employee settlements since January 14, 2011; Ensures openness by making all settlements public moving forward; Ends troubling use of confidentiality agreements in personnel settlements; Increases accountability by requiring additional review

(DES MOINES) – Gov. Terry E. Branstad today announced the signing of Executive Order 85 to increase accountability, openness and transparency of employee settlements.

Speaking from the administration's weekly press conference, Branstad said, "After a thorough review, the facts show employees were not terminated based on political affiliation. I am troubled and disappointed by the use of confidentiality agreements. This practice of keeping information from the taxpayers is unacceptable and wrong."

Branstad continued, "I've signed Executive Order 85 today to ensure the executive branch operates in a transparent manner, ending the use of these confidentiality agreements, increasing accountability, and making employee settlements readily available for taxpayer viewing online."

Executive Order 85 does the following:

- **ACCOUNTABILITY:** No state agency may enter into a settlement agreement on behalf of the state unless the personnel settlement agreement is reviewed by the Attorney General’s Office; and
 - For an agency not governed by the Board of Regents, the Director of the Department of Management; Director of the Department of Administrative Services and the head of the agency involved with the matter at issue each approve the settlement agreement in writing; or
 - For an institution governed by the Board of Regents, the executive director of the Board of Regents and the head of the institution involved with the matter at issue each approve the settlement agreement in writing.
- **OPENNESS:** No personnel settlement agreements shall contain any confidentiality provisions.
- **TRANSPARENCY:** Every final personnel settlement agreement shall be posted to the Department of Administrative Services or Board of Regents website in a location easily accessible to the public.

Executive Order 85 is not intended to supersede any law or collective bargaining agreement. The settlement agreements can be found on the Iowa Department of Administrative Services website under the “News & Information” heading titled “Settlement Agreements.”

“Governor Branstad and I are steadfastly committed to transparent government,” said Reynolds. “Executive Order 85 ends the misguided practice of using confidentiality agreements, and gives the Iowa taxpayers an opportunity to view settlements while being guaranteed the agreements are facing increased scrutiny and oversight.”

Gov. Branstad and Lt. Gov. Reynolds asked staff to gather and review the facts after learning of the use of the confidentiality agreements. After a review of the facts of the agreements, Governor’s Office chief of staff Matt Hinch, legal counsel Brenna Findley and Iowa Department of Management director David Roederer found the following:

- 321 employee settlements occurred since January 14, 2011.
- 24 of the 321 settlements contained confidentiality agreements.
- A report from the staff reviewing the facts can be found here.

The text of Executive Order 85 is as follows:

EXECUTIVE ORDER NUMBER EIGHTY-FIVE

WHEREAS, Transparency provides Iowans the necessary access to information to hold our government accountable; and

WHEREAS, Our Open Records Act is essential to ensuring openness, including settlement agreements (Iowa Code section 22.13); and

WHEREAS, Our administration has maintained a steadfast commitment to transparent government, and the use of confidentiality agreements within employee settlements is troubling and runs contrary to our priority of operating state government in an open manner.

NOW, THEREFORE, I, Terry E. Branstad, Governor of the State of Iowa, declare that accountability, openness and transparency are essential to the efficient operation of state government and in the best interest of taxpayers. I hereby order and direct that:

1. **Accountability:** No state agency may enter into a personnel settlement agreement on behalf of the state unless the personnel settlement agreement is reviewed by the Attorney General, or his or her designee; and
 - a. For an agency not governed by the Board of Regents: the director of the Department of Management, director of the Department of Administrative Services and the head of the agency involved with the matter at issue each approve the personnel settlement agreement in writing; or
 - b. For an institution governed by the Board of Regents: the executive director of the Board of Regents and the head of the institution involved with the matter at issue each approve the personnel settlement agreement in writing.
 - c. In the event that subsection 1(a) or (b) is not consistent with a collective bargaining agreement, the relevant head of agency or institution, director, executive director and attorney general designee will be provided with regular reports of personnel settlement agreements.
2. **Openness:** No personnel settlement agreement shall contain any confidentiality provision that attempts to prevent disclosure of the agreement itself.
3. **Transparency:** Every personnel settlement agreement shall be posted to the Department of Administrative Services or Board of Regents website in a location easily accessible to the public.
4. For purpose of this Order, the following definitions shall apply:
 - a. "Agency" means a unit of state government, which is an authority, board, commission, committee, council, department, or independent agency as defined in section 7E.4, including but not limited to each principal central department enumerated in section 7E.5 and the office of the governor. However, "agency" does not mean any of the following:
 - i. The office of an elective constitutional or statutory officer, other than the office of the governor.
 - ii. The general assembly, or any office or unit under its administrative authority.
 - iii. The judicial branch, as provided in section 602.1102.
 - iv. A political subdivision of the state or its offices or units, including but not limited to a county, city, or community college.
 - b. "Personnel Settlement Agreement" means an agreement with the State of Iowa, subject to Iowa Code section 22.13, to resolve a personnel dispute including but not limited to settlement of grievances (excluding those resolved at step one).
5. This Order shall apply prospectively as of the date of the signing of this Order. This Order shall be interpreted in accordance with all applicable laws. It is not intended to supersede any law or collective bargaining agreement.
6. If any provision of this Order, or the application of such provision to any person or circumstance, is held to be invalid, the remaining provisions, as applied to any person or circumstance, shall not be affected thereby.
7. This Order is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity, by any party against the State of Iowa, its Departments, Agencies, or Political Subdivisions, or its officers, employees, or agents, or any other person.

IN TESTIMONY WHEREOF, I have hereunto subscribed my name and caused the Great Seal of Iowa to be affixed. Done at Des Moines this 24th day of March, in the year of our Lord two thousand fourteen.

TERRY E. BRANSTAD
GOVERNOR

ATTEST:

MATT SCHULTZ
SECRETARY OF STATE

###

You are currently subscribed to the Governor's Office Press Release List as: Brenna.Findley@iowa.gov.
To unsubscribe click the Unsubscribe link below, or send a blank email to: leave-907272-10428665.bf6f9449436a86506b1413b1102ce8d1@Lists.ia.gov
Click to [Unsubscribe](#) .

From: Hinch, Matt [IGOV]
Sent: Monday, March 24, 2014 11:52 AM
To: Hinch, Matt [IGOV]
Subject: Executive Order 85

Importance: High

Directors,

Today Governor Branstad signed Executive Order 85 regarding executive branch personnel settlement agreements (see below). Once a process is formed, details and guidance moving forward will be shared.

Please feel free to call the office or my cell (515.802.0984) should you have any questions.

Thank you,

Matt

Matt Hinch
Chief of Staff
Office of Governor Terry E. Branstad
State of Iowa
Direct Dial: 515.725.3535
Main Line: 515.281.5211
matt.hinch@iowa.gov

OFFICE OF THE GOVERNOR

Governor Terry E. Branstad ★ Lt. Governor Kim Reynolds

FOR IMMEDIATE RELEASE: Monday, March 24, 2014
Contact: Governor's Office, 515-281-5211

Gov. Branstad takes action to increase accountability, openness and transparency in employee settlements

Administration releases all employee settlements since January 14, 2011; Ensures openness by making all settlements public moving forward; Ends troubling use of confidentiality agreements in personnel settlements; Increases accountability by requiring additional review

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Executive Order 85 is not intended to supersede any law or collective bargaining agreement. The settlement agreements can be found on the Iowa Department of Administrative Services website under the "News & Information" heading titled "Settlement Agreements."

"Governor Branstad and I are steadfastly committed to transparent government," said Reynolds. "Executive Order 85 ends the misguided practice of using confidentiality agreements, and gives the Iowa taxpayers an opportunity to view settlements while being guaranteed the agreements are facing increased scrutiny and oversight."

Gov. Branstad and Lt. Gov. Reynolds asked staff to gather and review the facts after learning of the use of the confidentiality agreements. After a review of the facts of the agreements, Governor's Office chief of staff Matt Hinch, legal counsel Brenna Findley and Iowa Department of Management director David Roederer found the following:

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The text of Executive Order 85 is as follows:

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WHEREAS, Our Open Records Act is essential to ensuring openness, including settlement agreements (Iowa Code section 22.13); and

WHEREAS, Our administration has maintained a steadfast commitment to transparent government, and the use of confidentiality agreements within employee settlements is troubling and runs contrary to our priority of operating state government in an open manner.

NOW, THEREFORE, I, Terry E. Branstad, Governor of the State of Iowa, declare that accountability, openness and transparency are essential to the efficient operation of state government and in the best interest of taxpayers. I hereby order and direct that:

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3. **Transparency:** Every personnel settlement agreement shall be posted to the Department of Administrative Services or Board of Regents website in a location easily accessible to the public.
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IN TESTIMONY WHEREOF, I have hereunto subscribed my name and caused the Great Seal of Iowa to be

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TERRY E. BRANSTAD
GOVERNOR

ATTEST:

MATT SCHULTZ
SECRETARY OF STATE

###

From: Larson, Steve [ABD]
Sent: Monday, March 24, 2014 12:11 PM
To: Hinch, Matt [IGOV]
Subject: Re: Executive Order 85

Thanks Matt

Sent from my iPhone

On Mar 24, 2014, at 11:52 AM, "Hinch, Matt [IGOV]" <Matt.Hinch@iowa.gov> wrote:

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 - iii. The judicial branch, as provided in section 602.1102.
 - iv. A political subdivision of the state or its offices or units, including but not limited to a county, city, or community college.
- b. "Personnel Settlement Agreement" means an agreement with the State of Iowa, subject to Iowa Code section 22.13, to resolve a personnel dispute including but not limited to settlement of grievances (excluding those resolved at step one).
5. This Order shall apply prospectively as of the date of the signing of this Order. This Order shall be interpreted in accordance with all applicable laws. It is not intended to supersede any law or collective bargaining agreement.
6. If any provision of this Order, or the application of such provision to any person or circumstance, is held to be invalid, the remaining provisions, as applied to any person or circumstance, shall not be affected thereby.
7. This Order is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity, by any party against the State of Iowa, its Departments, Agencies, or Political Subdivisions, or its officers, employees, or agents, or any other person.

IN TESTIMONY WHEREOF, I have hereunto subscribed my name and caused the Great Seal of Iowa to be affixed. Done at Des Moines this 24th day of March, in the year of our Lord two thousand fourteen.

TERRY E. BRANSTAD
GOVERNOR

ATTEST:

MATT SCHULTZ
SECRETARY OF STATE

###

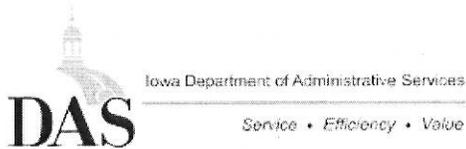
Navara, Nicole [LEGIS]

From: Hunter, Caleb [DAS]
Sent: Monday, March 24, 2014 3:26 PM
To: Royce, Joseph [LEGIS]
Cc: Pettengill, Dawn [LEGIS]; Findley, Brenna [IGOV]
Subject: Update
Attachments: Report of Employees Changed from Merit to Non-Merit Jan13-Feb14.pdf

Joe,

Attached is the February confidential employee update.

Thanks,
Caleb



Caleb Hunter, Communications Director
Iowa Department of Administrative Services
Office: (515) 725-2017
FAX: (515) 281-6140
caleb.hunter@iowa.gov



Please consider the environment before printing this email

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

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
212	Commerce-Alcoholic Beverages Division	1/18/2013	Public Service Executive 3
212	Commerce-Alcoholic Beverages Division	1/18/2013	Public Service Executive 3
212	Commerce-Alcoholic Beverages Division	1/18/2013	Public Service Executive 2
212	Commerce-Alcoholic Beverages Division	1/18/2013	Executive Officer 2
219	Commerce-Utilities	2/1/2013	Utility Administrator 2
671	Iowa Veterans Home	2/1/2013	Food Service Director 3
671	Iowa Veterans Home	2/1/2013	Public Service Executive 3
671	Iowa Veterans Home	2/1/2013	Information Technology Administrator 3
671	Iowa Veterans Home	2/1/2013	PSE 3
671	Iowa Veterans Home	2/1/2013	Public Service Supervisor 3
671	Iowa Veterans Home	2/1/2013	Public Service Executive 1
671	Iowa Veterans Home	2/1/2013	Public Service Executive 1
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Public Service Executive 4
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Information Tech Admin 2

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
645	Transportation	2/15/2013	Information Tech Admin 2
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Senior Transportation Engineer
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Public Service Executive 5
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Transportation Engineer Executive
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
645	Transportation	2/15/2013	Public Service Executive 6
167	Iowa Civil Rights Commission	2/15/2013	Public Service Executive 1
167	Iowa Civil Rights Commission	2/15/2013	Public Service Executive 3
642	Office of Drug Control Policy	3/1/2013	Public Service Executive 3
297	Aging	3/1/2013	Executive Officer 2
297	Aging	3/1/2013	Executive Officer 2
336	Iowa Communications Network	3/1/2013	Telecommunications Administrator
336	Iowa Communications Network	3/1/2013	Telecommunications Administrator
336	Iowa Communications Network	3/1/2013	Telecommunications Administrator
595	Public Safety	3/15/2013	Criminal Intelligence Analyst Supervisor
595	Public Safety	3/15/2013	Information Technology Specialist 4

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
595	Public Safety	3/15/2013	Crime Laboratory Administrator
595	Public Safety	3/15/2013	Information Technology Administrator 3
595	Public Safety	3/15/2013	Information Specialist 3
595	Public Safety	3/15/2013	Public Service Executive 3
595	Public Safety	3/15/2013	Public Service Executive 3
595	Public Safety	3/15/2013	Public Service Executive 3
595	Public Safety	3/15/2013	Electrical Inspector Supervisor
595	Public Safety	3/15/2013	Construction Design Engineer Senior
553	IPERS	4/12/2013	Pension System Attorney
553	IPERS	4/12/2013	Executive Officer 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Public Service Executive 5
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Attorney 3
309	Iowa Workforce Development	4/26/2013	Public Service Executive 3
005	Administrative Services	4/26/2013	Public Service Executive 4
005	Administrative Services	4/26/2013	Fiscal & Policy Analyst Senior
005	Administrative Services	4/26/2013	Executive Officer 4
005	Administrative Services	4/26/2013	Information Technology Administrator 3
005	Administrative Services	4/26/2013	Information Technology Administrator 4
005	Administrative Services	4/26/2013	Information Technology Administrator 4
005	Administrative Services	4/26/2013	Public Service Executive 1
005	Administrative Services	4/26/2013	Public Service Executive 4
005	Administrative Services	4/26/2013	Accountant 4
005	Administrative Services	5/10/2013	Public Service Executive 4
005	Administrative Services	5/10/2013	Public Service Executive 4
259	Cultural Affairs	3/1/2013	Public Service Executive 3

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
259	Cultural Affairs	2/15/2013	Public Service Executive 2
005	Administrative Services	5/24/2013	Public Service Executive 2
005	Administrative Services	5/24/2013	Executive Officer 1
005	Administrative Services	5/24/2013	Public Service Supervisor 3
005	Administrative Services	5/24/2013	Public Service Executive 4
005	Administrative Services	5/24/2013	Public Service Executive 2
005	Administrative Services	5/24/2013	Program Planner 2
005	Administrative Services	5/24/2013	Public Service Executive 1
005	Administrative Services	5/24/2013	Public Service Executive 1
216	Commerce-Insurance	6/7/2013	Public Service Executive 4
216	Commerce-Insurance	6/7/2013	Public Service Executive 3
216	Commerce-Insurance	6/7/2013	Public Service Executive 4
216	Commerce-Insurance	6/7/2013	Public Service Executive 4
216	Commerce-Insurance	6/7/2013	Executive Officer 2
216	Commerce-Insurance	6/7/2013	Executive Officer 3
216	Commerce-Insurance	6/7/2013	Compliance Officer 2
216	Commerce-Insurance	6/7/2013	Compliance Officer 2
216	Commerce-Insurance	6/7/2013	Compliance Officer 2
583	Homeland Security	5/24/2013	Executive Officer 3
583	Homeland Security	5/24/2013	Information Specialist 3
583	Homeland Security	5/24/2013	Information Specialist 2
583	Homeland Security	5/24/2013	Public Service Executive 4
583	Homeland Security	5/24/2013	Public Service Executive 4
583	Homeland Security	5/24/2013	Public Service Executive 4
583	Homeland Security	5/24/2013	Public Service Executive 3
583	Homeland Security	5/24/2013	Public Service Executive 3
427	Inspections and Appeals-EAB	7/5/2013	Attorney 3
427	Inspections and Appeals-CAB	7/5/2013	Public Service Executive 3
427	Inspections and Appeals	7/5/2013	Public Service Executive 6

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
427	Inspections and Appeals	7/5/2013	Attorney 3
427	Inspections and Appeals	7/5/2013	Executive Officer 1
427	Inspections and Appeals	7/5/2013	Public Service Executive 5
427	Inspections and Appeals	7/5/2013	Public Service Executive 5
427	Inspections and Appeals	7/5/2013	Public Service Executive 4
427	Inspections and Appeals	7/5/2013	Executive Officer 1
427	Inspections and Appeals	7/5/2013	Accountant 4
427	Inspections and Appeals	7/5/2013	Public Service Executive 4
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Health Facilities Officer 2
427	Inspections and Appeals	7/5/2013	Public Service Executive 4
427	Inspections and Appeals	7/5/2013	Public Service Executive 3
429	Iowa Racing and Gaming Commission	7/5/2013	Public Service Executive 4
429	Iowa Racing and Gaming Commission	7/5/2013	Public Service Executive 1
284	Iowa College Student Aid Commission	7/5/2013	Executive Officer 3
284	Iowa College Student Aid Commission	7/5/2013	Information Technology Administrator 1
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Executive Officer 4
542	Natural Resources	7/19/2013	Executive Officer 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
542	Natural Resources	7/19/2013	Public Service Executive 4
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Health Dental Director
588	Public Health	11/22/2013	Executive Officer 3
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Executive Officer 2
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Information Technology Administrator 3
588	Public Health	11/22/2013	Public Service Executive 3

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Executive Officer 4
588	Public Health	11/22/2013	Public Service Executive 3
588	Public Health	11/22/2013	Executive Officer 4
588	Public Health	11/22/2013	Executive Officer 3
588	Public Health	11/22/2013	Physician Assistant
588	Public Health	11/22/2013	Chief Health Profession Investigator
588	Public Health	11/22/2013	Chief Health Profession Investigator
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Executive Officer 1
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Public Service Executive 3
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Property Appraiser 4
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Executive Officer 2
625	Revenue	12/6/2013	Attorney 2
625	Revenue	12/6/2013	Public Service Executive 3

Employees Changed from Merit to Non-Merit Definition of Confidential Employee Rule Change

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
625	Revenue	12/6/2013	Executive Officer 4
625	Revenue	12/6/2013	Executive Officer 3
625	Revenue	12/6/2013	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
402	Human Services	1/17/2014	Public Service Executive 4
401	Human Services	1/17/2014	Public Service Executive 3
402	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Info Technology Administrator 2
401	Human Services	1/17/2014	Info Technology Administrator 2
401	Human Services	1/17/2014	Info Technology Administrator 2
401	Human Services	1/17/2014	Info Technology Administrator 2
401	Human Services	1/17/2014	Public Service Executive 4
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Executive Officer 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
406	Human Services	1/17/2014	Deputy Superintendent
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
401	Human Services	1/17/2014	Public Service Executive 3
402	Human Services	1/17/2014	Public Service Executive 2

**Employees Changed from Merit to Non-Merit
Definition of Confidential Employee Rule Change**

January 2013-January 2014

Dept #	Department Name	Effective Date	Job Classification
	Updated since last report		

NAVARO, NIKOLE [IGOV]

From: Findley, Brenna [IGOV]
Sent: Monday, March 24, 2014 5:45 PM
To: Elming, Becky [IGOV]; Boussetot, Michael [IGOV]; Centers, Jimmy [IGOV]; Fandel, Linda [IGOV]; Freed, Alicia [IGOV]; Gregg, Adam [IGOV]; Hinch, Matt [IGOV]; Hughes, Ann [IGOV]; IDOM Budget & Finance Staff; Johnson, Larry [IGOV]; Overton, Cord [IGOV]; Vande Hoef, Julie [IGOV]
Subject: RE: Bills Received

For the Senate and House files we received today, please get your bill analysis to Becky as soon as you can tomorrow. I know many of you have done this already. It looks like she already has bill analysis for half of the bills. If you need help, please let me or Larry know. Thank you, Brenna

From: Elming, Becky [IGOV]
Sent: Monday, March 24, 2014 4:28 PM
To: Boussetot, Michael [IGOV]; Centers, Jimmy [IGOV]; Fandel, Linda [IGOV]; Findley, Brenna [IGOV]; Freed, Alicia [IGOV]; Gregg, Adam [IGOV]; Hinch, Matt [IGOV]; Hughes, Ann [IGOV]; IDOM Budget & Finance Staff; Johnson, Larry [IGOV]; Overton, Cord [IGOV]; Vande Hoef, Julie [IGOV]
Subject: Bills Received

Good evening-

I received the following Senate Files this afternoon:

- 2276 (an Act relating to adoption investigation and report requirements) Mike Boussetot
- 2290 (an Act relating to identification required for operation of a railroad train) Cord Overton
- 2338 (an Act concerning the excise tax on compressed natural gas and liquefied natural gas used as special fuel) Mike Boussetot
- 2313 (an Act relating to the removal of clerks of the district court) Larry Johnson
- 2250 (an Act relating to the licensing of vehicle recyclers) Cord Overton
- 2131 (an Act relating to standard valuation and standard forfeiture provisions for life insurance policies or contracts and including applicability provisions) Julie Vande Hoef
- 2191 (an Act relating to financing work within drainage or levee districts) Julie Vande Hoef
- 2192 (an Act relating to the definition of motorized bicycle) Cord Overton
- 2200 (an Act relating to the Iowa Business Corporation Act by removing limitations imposed on shareholders making long-term arrangements affecting the affairs of the corporation, and by providing for the delivery of financial information to shareholders) Larry Johnson
- 2228 (an Act allowing a person with a special minor's license to drive to a school for the purpose of participating in extracurricular activities conducted under a sharing agreement with the student's school of enrollment) Cord Overton

-2255 (an Act designating registered architects and licensed professional engineers employees of the state for specified purposes under the Iowa Tort Claims Act) **Larry Johnson**

-2169 (an Act relating to wills including witness testimony, distribution of property, and claims of personal representatives, and including retroactive and other applicability provisions) **Larry Johnson**

-2120 (an Act relating to the use of professional titles or abbreviations by advanced registered nurse practitioners) **Mike Boussetot**

-2104 (an Act relating to the regulation of insurance company holding systems and providing assessments and penalties) **Julie Vande Hoef**

-2056 (an Act relating to incentives for whole grade sharing and reorganization or dissolution by school districts) **Linda Fandel**

-2240 (an Act relating to nonsubstantive code corrections) **Larry Johnson**

****Would someone be able to do SF2104 for Julie please?**

If any of the policy assignments are wrong please let me know.

Becky Elming
Executive Assistant to the Chief of Staff
Office of Governor Terry E. Branstad
515-725-3535
Becky.Elming@iowa.gov