



**IMU Board of Trustees
June 9, 2014
City Hall Council Chambers
5:30 p.m.**

Agenda

1. Roll Call
2. Consent
 - A. Claims
 - B. Minutes
 - C. Salaries
 - D. Deposit Resolution
3. Reports
 - A. General Manager
 - B. Director of Finance
 - C. Chairperson
 - D. Quarterly Performance Report
4. Personnel & Insurance
 - A. Resolution Setting Salaries
 - B. Adoption of the Management Guide & Employee Handbook
 - C. Insurance Renewals
5. Consider Revised Administrative Fee & CIAC Fee Schedules
6. Other Business
7. Adjourn

Information

Subject

Claims

Information

The June 2, 2014 Claims List was previously distributed.

Financial Impact

N/A

Staff Recommendation

IMU Regular Downstairs
Meeting Date: 06/09/2014

2. B.

Information

Subject

Minutes

Information

Minutes of the May 27, 2014 meeting are attached.

Financial Impact

N/A

Staff Recommendation

Attachments

Minutes

BOARD OF TRUSTEE MINUTES
REGULAR SESSION – MAY 27, 2014

The Board of Trustees met in regular session at 5:30 p.m. on May 27, 2014 in the City Hall Council Chambers. Chairperson Eric Vander Linden called the meeting to order and on roll call the following members were present: Heather Hulen, Bob Lester and Eric Vander Linden. Absent: Grant Johnson and Pat Reding.

The consent agenda consisting of the following was approved on a motion by Lester and seconded by Hulen. Question was called for and on voice vote the Vice Chairperson declared the motion carried unanimously.

May 19, 2014 claims

May 12, 2014 minutes

Banking fee proposal from City State Bank for July 1, 2014 - June 30, 2017

Declaration of public nuisance for non-working stop boxes at 1102 E. Salem and 509 North “I”

Mike Metcalf presented the quarterly safety report.

The April 2014 Treasurer’s Report and budget variance reports were approved on a motion by Lester and seconded by Hulen. Question was called for and on voice vote the Chairperson declared the motion carried unanimously.

It was moved by Hulen and seconded by Lester to authorize the pre-payment of \$350,000 of the restructured Water Utility Loan as described in Resolution #158. Question was called for and on voice vote the Chairperson declared the motion carried unanimously.

Board member Lester moved and Hulen seconded to approve the Cost of Energy Adjustment Policy effective with the July 1, 2014 utility bills subject to the General Manager discussing the degree of concurrence with absent Board members to ensure consensus. Question was called for and on voice vote the Chairperson declared the motion carried unanimously.

General Manager, Todd Kielkopf, presented a summary on the IMU Partners program, Jerry Kelley, 510 N. “I”, spoke in favor of the program. A motion was made by Lester and seconded by Hulen to appropriate \$10,000 to IMU Partners for FY 2014 activities and pledging \$25,000 towards the FY 2014 IMU Partners appropriation (intended to be allocated to the IDA), contingent on IMU Partners formalizing the scope of services to be rendered and subject to the General Manager discussing the degree of concurrence with absent Board members to ensure consensus. Question was called for and on voice vote the Chairperson declared the motion carried unanimously.

Meeting adjourned on a motion by Hulen and seconded by Lester.

Eric Vander Linden, Chairperson

Diana Bowlin, City Clerk

Information

Subject

Salaries

Information

Chris Longer, Program Coordinator, from CE 9-6 to CE 9-7 at \$63,162 effective 06/01/2014 for satisfactory completion of the appropriate waiting period following the assumption of duties approved last year.

Financial Impact

N/A

Staff Recommendation

Information

Subject

Deposit Resolution

Information

The attached resolution (that is annually adopted) has been updated to reflect the change in primary bank institution to City State Bank. A similar resolution was approved at the last City Council meeting.

Financial Impact

N/A

Staff Recommendation

Attachments

Resolution

Trustee member introduced the following Resolution Naming Depositories and moved its approval. seconded the motion. Question was called for and on roll call the Chairperson declared the motion carried.

RESOLUTION NAMING DEPOSITORIES

BE IT RESOLVED by the Board of Trustees of Indianola Municipal Utilities of Indianola in Warren County, Iowa; That we do hereby designate the following named banks and savings and loans to be depositories of the Indianola Municipal Utilities funds in amounts not to exceed the amount named opposite each of said designated depositories and the City Clerk is hereby authorized to deposit the Indianola Municipal Utilities funds in amounts not to exceed in the aggregate the amounts named for said banks and savings and loans as follows, to wit:

<u>Depository</u>	<u>Location</u>	<u>Maximum Deposit In Effect Under Prior Resolution</u>	<u>Maximum Deposit In Effect Under This Resolution</u>
Bankers Trust	665 Locust St. Des Moines, Ia	\$15,000,000	\$24,000,000
City State Bank	1510 N. 1 st Indianola, Ia	\$ 1,000,000	\$20,000,000
Community Bank	1401 N. Jefferson Indianola, Ia	\$20,000,000	\$20,000,000
Wells Fargo Bank	509 N. Jefferson Indianola, Ia	\$ 1,000,000	\$ 1,000,000
Peoples Bank	400 E. Iowa Indianola, Ia	\$ 1,000,000	\$ 1,000,000
Regions Bank	114 N. Howard Indianola, Ia	\$ 1,000,000	\$ 1,000,000
Bank of The West	211 E. Boston Indianola, Ia	\$ 1,000,000	\$ 1,000,000

The vote on the Resolution is as follows: AYES: NAYS:

Dated at Indianola, Iowa this 9th day of June, 2014.

Eric Vander Linden, Chairperson

ATTEST:

Diana Bowlin, Clerk

Information

Subject

Administrative News Items

Information

News items for the week are attached.

Financial Impact

N/A

Staff Recommendation

Attachments

News Items

NEWS ITEMS

TO: IMU Trustees
FROM: IMU Administrative Staff
DATE: June 6, 2014

1. **June 23 Meeting:** At this time, there are no agenda items requiring a meeting. It may be feasible to cancel the meeting and hold a brief special meeting if an item arises, as there will be 3 weeks between the regular meeting on June 23 and the next regular meeting on July 14 (cancelling would stretch it to 5 weeks).

If the meeting is indeed cancelled, this will be Bob Lester's last Trustee meeting and we all thank him for his tenure since 2007! Bob's tenure includes the transition of General Managers, the 2007 ice storm, laying the foundations of the revised underground conversion plan (including financial ratios & rates to achieve it), major conversion construction projects (the most extensive conversions yet), and supported the evolution of the fiber network into the community asset it is now becoming. It has certainly been a challenging 7+ year period and his active participation has been highly valuable to our community.

2. **EPA Carbon Reduction:** The EPA released long-anticipated proposed rules (for comment only) regulating carbon emissions from existing electric generating plants. States would be charged with reducing levels an average of 30% from coal & natural gas sources by 2030 compared to their 2005 baseline. The shift from coal to natural gas (due to low gas prices) and growth of wind & solar over the past several years means that the reduction nationally is closer to 15-20% from 2013 levels. Iowa is in better shape than average due to its more aggressive wind portfolio.

Energy efficiency attainment and use of alternative energy will also count towards the reduction. Goal attainment is an extended timeline, during which a significant amount of coal-based generation is already scheduled to be decommissioned due to other environmental regulations. So understanding the impact to MEAN & then Indianola will require data that varies state-to-state over time. State plans are not due to be finalized until 2016 or later, with approved extensions.

At the very least, planned regional coal unit retirements will likely continue unabated since there's not a sustainable outlook for continued operations. Council Bluff's Unit #4 should end up being a top performing unit as market prices increase and it continues to be allowed to operate its maximum hours (by being located in Iowa) as compared to other units that face reduced hours of production & plant modifications.

3. **W IA Water Main:** The main is tied in at E Street and roughly half the services were changed over by early this week (from E to a new valve) while awaiting positive bacteria test results for the western half.

4. **W 92 & I-35 Relocation:** The new line was energized late last week and over the weekend. Some construction of the MidAmerican under-build remains, however the bulk of the project is complete and Michels is planning to start the W 92 Transmission Relocation project. That project will start at the IMU substation and move westward. IDOT is reviewing yet another change to the west end of the line, which would require a change order.

Information

Subject

Quarterly Performance Report

Information

The report for the 3rd Quarter of FY 2014 is attached.

Financial Impact

N/A

Staff Recommendation

Attachments

Report

Operational Review

FY 2014 3rd Quarter Update

The IMU Board of Trustees annually adopts a Strategic Plan complete with service objectives, operating strategies, and annual goals. Utility operations are divided into departments, all of which work to provide superior services to the citizens of Indianola.

This report provides a brief review of the various departmental activities and accomplishments in FY 2014. A graphical condition report and trend analysis for each departmental function is also included in this report. Condition analysis uses the following color codes:

	Not applicable
	Not meeting expectations or Poor
	Deteriorating or Below Average
	Meeting expectations
	Improving or Above Average
	Exceeding expectations or Excellent

In general, the following definitions apply:

Past Period: last report of the prior fiscal year unless otherwise stated

Present:

First Half- Budgeted amounts or planned activities

Second Half- Re-estimated budget amounts and planned activities

Outlook: Remainder of fiscal year, next fiscal year, or beyond as noted

- **Change in Status.** The section of this report is a summary of those areas that have seen a major change in status from the previous report.

Exceeding last quarter's outlook expectations:

Electric Utility: Gross Margin – The outlook for the remainder of 2014 & 2015 is for it to now stabilize, albeit at much lower levels than in past fiscal years (\$1.25 million less annually than in FY 2013). Higher costs due to higher wholesale energy & transmission costs (including an unanticipated MEAN Purchased Energy Adjustment) are anticipated to be collected through a retail cost of energy adjustment.

Water Utility: Debt/Assets & Debt Coverage – Refinanced the debt with the Electric Utility and has a positive outlook for FY 2015+.

Electric Utility: Outages – The performance of the electric system has noticeably improved during inclement weather conditions. This is a result of underground conversion projects, voltage conversion, and scheduling tree trimming over the past 5 years. Lightening does impact with “blinks”, however more prolonged outages have been fewer recently.

Technical & Programs: Workman's Comp – Renewal premiums now being quoted are not as high as anticipated last quarter.

Deterioration in expectations compared to last quarter:

Electric Utility: Wholesale Electric Sourcing – More market-based purchases were needed at higher than expected prices, resulting in sizable Purchased Energy Adjustment rates being imposed during the quarter. Some of the market price increase was due to severe cold weather conditions in combination with lack of natural gas supply (due to pipeline issues & interruptible contracts).

Progress in fixing deficiencies or cautions identified in prior reports:

Water Utility: Source Attainment – Staff is investigating marginally-beneficial fluoride reduction options.

Network Services: Partnerships – Still working on the maintenance agreement and improved marketing plans.

Economic Development: Regional coordination – IMU staff is working closer with WCEDC staff to focus on programming/activities that support overall Trustee goals.

Economic Development: Economic Gardening – The third Capstone class worked on several projects within the EMERGE@Simpson College program. Workshops were held in conjunction with WCEDC and Simpson College.

Oversight & Regulatory: Coordination with Mayor & Council – Routine meetings held with the City Manager. Trustees & Council scheduled to meet to discuss items of mutual interest. A small working group is being formed.

Fiduciary Controls: Financial statements – New financial reporting expectations were clarified within the hiring process for the new Finance Director; minimal progress to-date however one-time financial complexities in FY 2014 will abate, making more involvement easier in FY 2015.

Areas of continuing cautions/concerns as identified in prior reports:

Network Services: Synergy – Focus will be on promoting retail sales and setting up the Partners program prior to investing time on synergistic opportunities.

Technical & Programs: Emergency Operations & Outage Response – Little attention being paid by the overall entity to proactive planning.

Management: Segregation of Duties & Organizational Structure – Staff is transitioning to being more involved in the telecom expansion and Partners Program; Still have 20-hour per week budgeted position unfilled to meet needs.

Professional Services: IAMU Electric Apprenticeships – New apprentices will limit the number of on-call personnel and work that can be accomplished over the next 1-2 years.

Professional Services: IDNR Water Dept. Certifications – Lack of interest & progress among crews to progress into Grade 3 & Grade 4. Will become more of an issue as workforce ages.

Management: Customer Service Systems – Will need to have City Manager participation to make inroads on priorities.

- **Financial Performance.** The first graphical condition report is on overall financial performance for each utility. In general, the utility is in a stable financial condition.

Consumption of electricity ended March above budgeted levels. Wholesale energy costs per kWh were more than expected based on the combination of both demand & electricity. The gross margin (sales minus wholesale & other marginal costs) is running slightly below highly reduced expectations. Operating expenses and debt service costs are lower than expected. Other income (fees, refunds, scrap sales, etc.) exceeds expectations. The budgeted rate increase and constructing Phase II of the underground conversion project were removed from plans in the adopted budget. Stabilization will likely be achieved through imposing a cost of energy adjustment.

The Water Utility had higher sales volume and revenue than budgeted.

The Communications Utility met its budget target from MCG's licensing revenue. Growth is stabilizing due to more signups in multi-dwelling units.

Resources from rate revenue and other sources are reasonably adequate to meet medium-term replacement needs.

Reserves are at, and expected to continue to meet, board targets for all 3 utilities over the next two years.

Criteria	Past Period	Present	Outlook	Notes
Financial Performance:				
<i>Electric Utility-</i>				
Peak Use				Room to improve load factor
Sales of Electricity (Volume)				Construction/hot spell/normal outlook
Sales Concentration				Good diversity
Sales of Electricity (Dollars)				May need to adjust sooner than hoped
Other Revenue				Will receive new capacity sale starting in June
Gross Margin from Sales				MEAN PCA & rate increases ; IMU COE
Operating Expenditures				Within budget expectations
Net Addition to Net Assets				Decreasing ROA & future negative cash flow
Capital Expenditures-				
Amount available				69kV improvements & lack of rate revenue
Expenditures vs. budget				Projects coming in on budget/few changes
Reserves & Liquidity Ratios				Adequate but committed to capital projects
Debt & Fixed Oblig. Coverage				MISO credits & capacity sale added coverage
Debt/Asset Ratio				No new debt planned
Return on Assets				Minimizing rate increases
Write-offs as % of billings				Stabilizing of prior negative trend
<i>Water Utility-</i>				
Sales of Water (Volume)				Dry summer/normal outlook
Sales of Water (Dollars)				Dry summer/normal outlook
Sales Concentration				Diversity remains good for bond rating
Other Revenue				Collecting 2 Cell Tower lease fees
Operating Expenditures				Within budget expectations
Net Addition to Net Assets				Minimal but stable with future rate increase
Capital Expenditures-				
Amount available				Adequate but minimal given 4" mains
Expenditures vs. budget				Below budget; looking at future projects
Reserves				Stable and improving
Debt Coverage				Good use of G.O. debt to minimize coverage
Debt/Assets				Plans look better over next 5-10 years
Write-offs as % of billings				Stabilizing of prior negative trend
<i>Network Services-</i>				
Number of customers & locations				New system and extensions adds capacity
Take rate				New system has low initial rate
Monthly Sales				Growing / new marketing program coming
Monthly Revenue				Meeting break-even model
Operating Expenditures				Meeting budget expectations
Net Addition to Net Assets				Declining due to facility use lease pmts
Capital Expenditures				Few additions to the network planned
Reserves				Use of reserves for facility improvements
Debt Coverage				N/A
Debt/Assets				N/A

- **Electric Utility.** The electric utility provides reliable service by purchasing wholesale energy for the community as a whole, receiving it over the transmission system, generating electricity within Indianola as needed, and distributing it safely to customers. Significant progress towards implementing operational strategies include:

First 2 Quarters-

- o Monitored progress on Hwy 65/69 Conversion Project
- o Continued wreck-out of the East Side Conversion Project; negotiated final terms and conditions towards accepting the project as-is with IMU to complete restoration work
- o Prepared options to replace streetlights on The Square
- o Finished plans & specifications for the I-35 Transmission Relocation Project; purchased materials
- o Added to authorized amounts of participation (using existing bond proceeds) in the CAPX2020 project to reflect lower-than-budgeted construction costs

3rd Quarter-

- o Continued termination work on the Hwy 65/69 Conversion Project
- o Prepared options to replace streetlights on The Square
- o Continued planning for the W. Hwy 92 relocation projects
- o Proactively hired 1 net new lineman position, which resulted in shifting of positions among several IMU crew members

Criteria	Past Period	Present	Outlook	Notes
Electric Utility:				
Competitive Rates per Kwh-Surrounding Area				Average within group/more than MEC
Statewide				Comparative to averages
U.S. Average				Below average in all 3 price classes
Wholesale Electric Sourcing				Higher market purchases needed
Carbon intensity per kwh ratio				LFG project in FY 2014
Capacity marketing				Higher prices expected in 2016+
Transmission				MEC wants to re-study the regional grid
Generation Capacity				Overall able to serve load in emergencies
Combustion Turbines				Able to serve capacity
Downtown Plant				Decommission units limits future uncertainty
Substations / 69kV system-				CIPCO tie improving voltage & reliability
Patterson Line				Pole line relocation due to IDOT plans
East Side #1 & #2				Testing transformers & relays regularly
West Side				CIPCO Tie adds reliability
Distribution System Reliability				Underground conversion projects improving
Losses				4kV sub removals reduce losses
Outages				Managing vulnerabilities well
Recovery ability				Truck/manpower levels adequate
Regulatory & financial controls				New Title V Permit filed
Operations-				
Facility maintenance				Schedule being maintained w/budgets
Inventory management				Quarterly inventory balance within tolerance
Capital projects (quantity)				Shift to 69kV projects using reserves
Capital projects (quality)				Underground project monitoring

- **Water Utility.** The water utility provides reliable water service by pumping it from wells, treating it, keeping enough in storage to meet daily needs, and distributing it to customers. Significant progress towards implementing operational strategies include:

First 2 Quarters-

- o Completed construction on the Ann Parkway Water Main project
- o Finalized the A.T&T. (New Cingular) cellular tower lease contract to be located at the Simpson Water Tower
- o Prepared engineering work to get quotes to replace the aerator at the Water Treatment Plant
- o Transferred 210 N. First to the City of Indianola in exchange for \$100,000 over 5 years
- o Began engineering & design work for the 2014 West Iowa Ave. Water Main replacement project
- o Updated Flouride notices with an FAQ and other pertinent information
- o Completed repairs to Well #11

3rd Quarter-

- o Well #9 developed casing issues; scheduled initial repairs
- o Let the 2014 W IA Ave. Water Main replacement project and the aerator replacement project at the plant

Criteria	Past Period	Present	Outlook	Notes
Water Utility:				
Competitive Rates- Surrounding Area				DSM rates rising/no IMU increases
Statewide				Adequate/need to look at 2011 surveys
Source attainment				Proactive maintenance
Treatment ability				Proactive maintenance needed to maintain
Storage				Repaired & painted both towers
Distribution system				Pace of 4" main replacements/aging system
Regulatory & financial controls				IDNR reports few suggestions
Operations-				Truck/manpower levels adequate
Facility maintenance				Schedule being maintained w/budgets
Inventory management				Quarterly inventory balance within tolerance
Capital projects (quantity)				Street replacement mains done/Ann Pkwy
Capital projects (quality)				On time/budget

- **Communications Utility.** The communications utility provides the infrastructure that transmits affordable, competitive, and technologically advanced telecommunications service for both retail and other public uses. Telephone and Internet services are offered to commercial customers through a contractual private/public partnership. Significant progress towards implementing operational strategies include:

First 2 Quarters-

- o Continued to connect new residential & commercial customers and address operational issues with MCG
- o Worked with MCG staff on new marketing efforts & plans for multi-family dwellings transitioning from free internet service (as part of rent) to MCG service
- o Worked to initiate service at the Indianola YMCA after competitors were not able/willing to serve the new facility

3rd Quarter-

- o Continued to connect new residential & commercial customers and address operational issues with MCG
- o Worked with MCG staff on new marketing efforts & implemented connections at multi-family dwellings transitioning from free internet service (as part of rent) to MCG service
- o Revised expansion priorities; now planning for W Hwy 92, then N. Howard area, then proceed with fill-in projects

Criteria	Past Period	Present	Outlook	Notes
Network Services:				
Competitive Rates- Surrounding Area				Telecom 15% less than private
Statewide				Statewide is lower than surrounding area
Source attainment				Duel INS feeds + Iowa Health network
Distribution system				Pace of expansion slowing
Regulatory & financial controls				Licensing rules/regs seen as a model
Operations-				
Facility maintenance				Underground conversion project
Inventory management				No known issues
Capital projects (quantity)				Slower pace of expansion anticipated
Capital projects (quality)				In-house design/underground
System synergy with electric svc.				Need to research DSM & outage abilities
Cyber security systems				Need to address but no known issues

- **Administration.** All three utilities are administered by a combination of the IMU Board of Trustees and their staff, services provided by the City of Indianola through cost-sharing arrangements, and third-party contractors.

Public works activities primarily involve co-managing the public right of way. IMU also supports economic development and community betterment activities. Third, there are utility-specific services such as technical activities, safety, and utility programming. Last are the governance and professional services associated with oversight, regulatory actions, general management, human resources, fiduciary controls, public notifications and information systems, and legal compliance & risk management.

Public Works-

First 2 Quarters-

- o Continued removing IMU poles; indication from both CenturyLink & Mediacom that they will soon start on priority areas
- o Repainted street lights along north Hwy 65/69 (from Hillcrest south) where corrosion was visible

3rd Quarter-

- o Continued indications from both CenturyLink & Mediacom that they will soon start on priority areas
- o Prepared options to replace streetlights on The Square

Economic Development & Community Betterment-

First 2 Quarters-

- o Planning meetings held regarding potential on-campus and outreach EMERGE programs
- o Classes held to help new small business owners
- o Meetings held with Simpson College regarding their upcoming strategic planning and developing EMERGE@Simpson College stands as a priority program
- o Meetings held with the IDA & Warren County to review both the proposed EMERGE hub (software platform), 28E building proposal, and local programs

3rd Quarter-

- o Reports made by the IDA on progress over the past 2 years
- o Continued EMERGE Hub planning with design team; continued EMERGE@Simpson College planning with Simpson leadership & IDA staff

Criteria	Past Period	Present	Outlook	Notes
Public Works:				
Locate volume/response times				Underground conversion project
Streetlight construction/repairs				Hwy 92 completed + Downtown project
Pole Attachment Compliance				Issues on removal of poles in ROW
Vegetation Management				Rotation plan on schedule
Econ. Development & Community:				
Regional coordination				GroWarreNow plan being implemented
Direct incentives programs				
EMERGE				EMERGE@Simpson program launched
Development web site content				WCEDC Redesign underway
Community betterment projects				
Community event participation				4th of July & NBC sponsorships
Interaction w/ city departments				No operational issues
Sustainability integration				April events being held & planned

Technical Services & Programs-

First 2 Quarters-

- o IMU Network Services summary edited & published in the founding issue of innovationIOWA
- o Held the annual Customer Appreciation Luncheon in the IMU line shop
- o Finished drafting bylaws to form the IMU Partners Agency (sent on for legal review)
- o Set up Internet video channel; held planning meetings regarding video options
- o Renewed the GIS Agreement with Warren Co. & City of Indianola
- o Began using LinkedIn to update customers on IMU activities
- o Expanded Key Account personal visits with larger customers

3rd Quarter-

- o Began investigation of the factors that determine the viability of a community-owned solar array
- o Continued planning for the W. Hwy 92 relocation projects
- o Revised IAMU Apprenticeship expectations/program adoption

Criteria	Past Period	Present	Outlook	Notes
Technical & Programs:				
Safety program-				
Safety manual				Periodic reviews being done
Safety committee meetings				Monthly meetings held
In-house Training				IAMU contract/good attendance
Facility Inspections				Being performed
OSHA & other filings				Being made
Incidents				Returning to average, reviewing trend
IMWCA Claims vs. Premium				5-year positive trend returning to average
Reviews				Being completed as scheduled
Security/disaster preparedness-				
Systems				Adequate security given risks
Emergency operations planning				Exercise held; needs to continue
Outage response planning				Working to improve manual systems
Metering-				
Electric installations/testing				Continuing to monitor warranty issues
Water installations/testing				Improvement to tracking problems
Error detection				Need to interact with new billing system
Auditing systems				Need to interface w/ new billing system
Mapping-				
Software/GIS Committee				
Data layer improvement				
Safety & efficiency education-				
Project 700				Limited use/need
Backflow prevention				
Time of Use / DSM				Needs reviewed with MEAN rate structure
Customer interaction/events				Events held; new focus on marketing
Alternate energy promotion				
Wind				Currently 3-4%; voluntary donation program
Landfill Natural Gas				FY 2014 project for 4%; CO2 reduction more
Energy efficiency				
Conservation education				Bill stuffers, newsletter, eco@home
Rebates				Stable yet declining demand
KWH avoidance				OEI project identified major areas
Audits				Commercial areas identified & completed
Network Services Partners-				
Formation & management				Progress on business planning
Collaborative accomplishments				Conceptual plan needs refined
Customer experiences				"Growing pains" at MCG being resolved

Governance and Professional Services-

First 2 Quarters-

- o Provided input on 2013 – 2015 Strategic Plan
- o Adopted Strategic Plan and reviewed associated Capital Improvement Plan components
- o Updated & adopted new Employee Handbook, Mgmt. Personnel Policy Manual, and misc. policy manual
- o Held first “General Manager Year-End” event and selected Jason Henle as the first IMU Employee of the Year
- o Developed a hiring plan to begin training new linemen in anticipation of pending retirements over the next 3-5 years
- o General Manager Todd Kielkopf was named Chair of the MEAN Risk Management Committee and elected Secretary/Treasurer of the MEAN Board of Directors

3rd Quarter-

- o Adopted FY 2015 budget within the context of ratios needed to retain an “A” rating
- o Discussed criteria for a cost of energy adjustment policy
- o Reviewed insurance deductibles/coverage options
- o Technical Services Director Mike Metcalf was selected to serve on the IAMU Electrical Safety & Training Committee
- o Completed union negotiations resulting in a 2-year agreement

Criteria	Past Period	Present	Outlook	Notes
Oversight & Regulatory:				
Electric service plan				Up to date
Water service plan				Up to date
Network Services licensing				May need to evolve expectations
Rate-setting & Cost Recovery				Will need to balance rates to long-term costs
Strategic planning				Semi-annual review & updates
Budget-				
CIP				Compiled/adopted by Trustees
O&M				Compiled/adopted by Trustees
Monthly Reporting				Variance Reports & Scorecard development
Policy setting				Board reviewing as needed
Annual report to City Council				Report issued; Presented at joint meeting
General Mgr review process				Criteria-based process
Coord. with Mayor, Council				More meetings planned
Management:				
Segregation of duties				Higher-level financial duties clarified
Organizational structure				Stable
Orientations				Needs done in conjunction w/city
Annual evaluations				Implemented feedback on forms
Operating plan & reporting				Prioritized system
Industry participation				MEAN, MMTG, APPA, IAMU safety, etc.
Bond Rating				Potential for outlook to go negative
Customer Service Systems-				
Signups				Expectations raised for Internet-based
Dispute resolution				Good process
Disconnections				Firm yet fair implementation of rules
Work orders				Need all city depts. to be fully effective
Inquiries				Phone system gets calls to people
Permits/New construction				Need to change from paper-based permits
System extensions planning				Need clearer definition of criteria
Contractor relations				No known issues
Professional Services:				
HR information systems				Few ongoing issues
Regulatory compliance				New health insurance regs forthcoming
Compensation structure				Reviewing perf/comp balance
Benefit coverage & adm costs				Health Ins + W/C costs increasing
Health Ins. Reserves				Runout + 2 above ave. years in reserves
Employment policies				Adopted revised manuals
IAMU Electric Apprenticeships				2 new hires going through the program
IDNR Water Dept. training				Need more participation for higher grades
Other training & development				Training being pursued when needed

Criteria	Past Period	Present	Outlook	Notes
Fiduciary Controls:				
Accounting systems				New computer system reached potential
Policy & controls				New(er) staff learning internal systems
Investment Portfolio Returns				Persistent low interest rates for reinvest.
Audited financial statements				Compilation needs to be timely
Public Information:				
IT systems				Coord. Improving systems + MCG integration
Web site				Updated site & video player
Cablecast systems/TV updates				No issues / future MCG integration
Telephone systems				No issues
Publications/content				Presentations & video content available
Public presentations				Periodic reports to various classes/groups
Legal & Risk Management:				
Insurance coverage				Healthy self-funded deductible levels
Access to attorneys & legal info.				Access to general & specialized as needed

Information

Subject

Resolution Setting Salaries

Information

Attached is the FY 2014 Salary Resolution, which sets salaries and compensation for all IMU employees. Wages and benefits are consistent with the union contract and reflect a 2.25% wage adjustment, except for the General Manager who's wage is only adjusted following an annual evaluation.

Financial Impact

N/A

Staff Recommendation

Roll call vote adopting the FY 2015 Salary Resolution as presented is in order.

Attachments

Resolution

**A RESOLUTION SETTING THE SALARIES FOR APPOINTED OFFICERS AND EMPLOYEES
OF THE INDIANOLA MUNICIPAL UTILITIES FOR THE PERIOD BEGINNING JUNE 29, 2014**

Section 1. The following persons and positions named shall be paid the salaries or wages indicated, and the Finance Director is authorized to issue warrants, less legally required or authorized deductions from the amounts set out below, on a biweekly basis, and make such contributions to I.P.E.R.S. and Social Security or other purposes as required by law or authorization of the Trustees, all subject to audit and review by the Board of Trustees:

<u>EMP #</u>	<u>NAME</u>	<u>RANGE</u>	<u>ANNUAL</u>	<u>LONGEVITY</u>	<u>*HOURLY</u>	<u>ICMA</u>
929	Pat Reding		\$1,000			
932	Eric Vanderlinden		\$1,000			
938	Grant Johnson		\$1,000			
941	Heather Hulen		\$1,000			
38	Todd Kielkopf		\$117,000		\$56.250	\$3,100
439	Lou Elbert	CE 11 - 9	\$82,007		\$39.426	\$2,100
373	Mike Metcalf	CE 11 - 7	\$77,976		\$37.488	\$2,100
386	Robert Miller	CE 12 - 7	\$85,215		\$40.969	\$2,100
47	Chris Longer	CE 9 - 7	\$64,583		\$31.050	\$2,100
420	Michelle Klootwyk	CE 3 - 7	\$36,576	\$300	\$17.729	\$900
103	Mike Metz	R 24 - 5	\$57,029	\$300	\$27.562	\$900
388	Rodney Goodrich	R 27 - 6+	\$63,554	\$400	\$30.747	\$900
477	Ben Hildreth	R 26 - 1	\$58,138	\$300	\$28.095	\$900
391	Tim Hommer	R 27 - 6+	\$63,554	\$400	\$30.747	\$900
393	Randy Eaton	R 26 - 6	\$57,483	\$400	\$27.828	\$900
377	Eric Lane	R 19 - 3	\$42,156	\$0	\$20.267	\$900
370	Jason Henle	R 26 - 6	\$57,483	\$350	\$27.804	\$900
364	John Kmet (Part Time)	R 19 - 3	\$26,349	\$0.15	\$20.417	
369	Dan Llewellyn	R 26 - 6	\$57,483	\$250	\$27.756	\$900
381	Nathan Edwards	R 25 - 5	\$59,446	\$350	\$28.748	\$900
446	Greg Brangers	R 27 - 6+	\$63,554	\$400	\$30.747	\$900
375	Stephen Clingman	R 26 - 2	\$47,293	\$250	\$22.857	\$900
374	Tyler Offenburger	R 26 - 6	\$57,483	\$250	\$27.756	\$900
709	Jeremy Cross	R 19-4	\$45,408	\$0	\$21.831	\$900
89	Brian Hommer	R 24 - 5	\$57,029	\$350	\$27.586	\$900
366	Rodney Powers	R 24 - 5	\$57,029	\$300	\$27.562	\$900
435	Rodney Prickett	R 24 - 5	\$57,029	\$400	\$27.610	\$900
458	Justin Brand	R 21 - 2	\$44,643	\$0	\$21.463	\$900
453	Greg Dittmer	R 24 - 5	\$57,029	\$250	\$27.538	\$900

*Includes Longevity

Section 2. Employees will also receive the following benefits:

1. Continuation of the Wellness Program
2. Continuation of the Employee Assistance Program

Section 3. IMU agrees to provide to all permanent full-time union employees longevity pay. The salary table shown represents the annual pay that employees shall receive for continuous years of service.

YEARS	ANNUAL PAY
0-4	\$0
5-9	\$250
10-14	\$300
15-19	\$350
20+	\$400

Section 4. Short Term Disability - Weekly benefit to \$450.

Section 5. IMU will pay 96% of the premium for single health/drug insurance coverage and 91% of the difference between the premium for single health/drug and the premium for family health/drug insurance each year of the agreement.

Information

Subject

Adoption of Management Guide & Employee Handbook

Information

Attached are the Employee Handbook (applies to all employees) and Management Guide (applies to non-union employees). Changes were made to the applicable sections to the Management Guide for it to parallel the union contract that will be in effect the coming fiscal year. These sections include allowable days of sick leave used to care for family members, HRA contribution, short term disability, medical insurance cost-share percentages, etc. No changes were made to the Employee Handbook.

It is also a best practice to at least annually adopt these, regardless of revisions, and sensible to do so prior to the start of the next fiscal year.

Financial Impact

N/A

Staff Recommendation

Simple motion adopting the Management Guide and the Employee handbook is in order.

Attachments

Management Guide

Employee Handbook

INDIANOLA MUNICIPAL UTILITIES



Electric • Network Services • Water

PERSONNEL

MANAGEMENT

GUIDE

***BENEFITS & WORK RULES FOR NON-UNION CLASSIFIED
EMPLOYEES***

INDIANOLA MUNICIPAL UTILITIES

REVISED AUGUST 2013

MISSION

Indianola Municipal Utilities will cooperatively provide essential, high-quality, and cost-effective services that give opportunities for residents to pursue the highest possible quality of life.

WE VALUE...

- A dedicated, creative, professional, and skilled workforce including appointed officials that possess integrity and perform their duty in an ethical and impartial manner;
- A safe and efficient workplace and community;
- Attaining a high level of customer service;
- Sustainable service delivery based on research and foresight;
- Protection and responsible use of natural resources;
- Affordable rates that balance needs in the community;
- Working as partners within our community and with other entities;
- Fairly and consistently imposing and applying regulatory actions;
- Providing equal access to resources that benefit people's lives;
- Citizens that are knowledgeable and engaged in our community.

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CHAPTER 1

GENERAL PROVISIONS

1.1 STATEMENT OF PURPOSE

The purpose of these policies and procedures is to establish a fair and equitable system of personnel administration that will facilitate efficient and effective public service for Indianola Municipal Utilities (the Utility) as governed by the IMU Board of Trustees under Iowa Code Chapter 388 and the City of Indianola Code of Ordinances. This manual brings together information about benefits, policies, rules and other conditions of employment. Every effort has been made to convey accurate and clear information throughout the manual, but no written summary can completely and without exception cover every situation that may develop.

1.2 SCOPE OF POLICIES AND PROCEDURES

This guide shall apply to all regular and probationary Utility employees. If at any time there is a conflict between this manual and an applicable state or federal statute, or both, the terms of the actual contract or statute will govern in all cases. These policies and procedures shall be applicable to seasonal employees as specified.

1.3 ADOPTION AND POLICY AMENDMENT

These policies and procedures are adopted by resolution of the Board of Trustees. Policy amendments shall become effective upon consideration and adoption by the Board of Trustees. All parts of this manual are to be adhered to unless waived by Board of Trustees action.

1.4 ADMINISTRATIVE REGULATIONS

The General Manager may adopt, amend and rescind administrative policies and procedures not in conflict with these policies and procedures as necessary for the proper administration of the Utility. Department heads may adopt, amend and rescind departmental administrative policies and procedures not in conflict with these policies and procedures, or the General Manager's directives, as necessary for proper departmental administration.

1.5 NON-CONTRACTUAL CLAUSE

This guide is not a contract, but is intended to give employees insight into how personnel issues are administered. Except as otherwise provided by law, employees of the Utility are employees at will, and either the Utility or employee may terminate the employment relationship at any time, with or without notice, and for any reason or no reason at all. Nothing in this manual shall constitute, either explicitly or implicitly, a contract for services between the Utility and its employees.

1.6 MANAGEMENT OF OPERATION

The Utility shall have in addition to all powers, duties, and rights established by constitutional provision, statute, ordinance, charter or special act, the exclusive power, duty and the right to:

- A. Direct the work of its employees
- B. Hire, promote, demote, transfer, assign and retain employees in positions within the Utility.
- C. Suspend employees and to discharge employees at will.
- D. Maintain the efficiency of governmental operations.
- E. Relieve employees from duty because of lack of work or for other reasons.
- F. Determine and implement methods, means, assignments of personnel by which the Utility's operations are to be conducted.
- G. Take actions as may be necessary to carry out the mission of the Utility.
- H. Initiate, prepare, certify and administer its budget.
- I. Exercise all powers and duties granted to the Utility by law.

CHAPTER 2 DEFINITIONS

2.1 PURPOSE

The purpose of this chapter is to identify and define specific words and phrases as they are used in this manual.

2.2 TERMS NOT DEFINED IN THIS CHAPTER

Where a term is not defined in this chapter or in the remaining text of this guide, the common sense meaning shall apply.

2.3 DEFINITIONS OF TERMS

Administrative Time: Unaccrued discretionary paid time off for managerial, professional and administrative employees who are not eligible for overtime under the Fair Labor Standards Act. Time to be used within the same pay period as extra hours worked unless directed by the General Manager. Not to be used on an hour per hour basis.

Anniversary Date: The employee's anniversary date is established on the first day of regular employment for full and regular part-time employees. Employees will usually be evaluated and promoted, if eligible, on this date. The anniversary date will be used to calculate seniority, sick leave, and other benefits. If promoted on other than the original anniversary date, the new date will become the anniversary date for evaluations and promotions, but not for seniority, sick leave, longevity etc.

Appeal: An application for review of a grievance submitted or instituted by an employee to a higher authority.

Applicant: A person who has completed an application and/or other processes is required to be considered for employment.

Attorney: Is the chief attorney in all matters affecting the Utility's interest and appears on behalf of the Utility before any court, commission, or board. The Attorney shall prosecute or defend all actions and proceedings when so requested by Trustees.

At-Will Employment: A legal term meaning that either the employee or the employer may terminate the employment relationship at any time, with or without notice, for any reason or no reason at all.

Employee: A person who is employed by the utility and is compensated by salary or hourly wages. Not included are elected officials, appointed members of boards and commissions, contractors and employees of contractors.

Compensation: The salary, wage, allowances and other forms of similar consideration earned by or paid to employees for working in a position.

Demotion: The movement of an employee to a job class having a lower maximum pay grade. A reclassification is not considered a demotion.

Discharge: The separation of an employee from Utility employment for cause.

Discrimination: A showing of bias or favoritism in treatment because of race, sex, sexual orientation, gender identity, age, color, national origin, religion, disability, etc.

Eligibility List: A list containing the names of individuals qualified for appointment to civil service positions.

Emergency: A sudden or unexpected requirement to care for or seek medical attention for an immediate family member. This includes immediate follow-up visits after an illness or injury. This does not include routine or regularly scheduled appointments that are non-illness or non-injury.

Exempt Employees: An exempt employee is a salaried employee who is not covered by the overtime provisions of the Fair Labor Standards Act and is not eligible to receive overtime compensation in the form of compensatory time off or cash at the one and one-half (1 ½) time rate.

Full-Time Employees: Full-time employees are those who are normally scheduled to work at least forty (40) hours per week and have completed their designated probationary period. All full-time employees are eligible for employee benefits, including IPERS, vacation leave, paid holidays, group insurance, sick leave, ICMA-RC, etc.

General Manager: The IMU General Manager is hired by the Board of Trustees and is the chief administrative officer responsible for day-to-day operations including policy enforcement.

Grievance: A formal written complaint by an employee through proper administrative channels alleging that her/his employment or productivity has been adversely affected by unfair treatment, unsafe or unhealthy working conditions, inaccurate application of Indianola's policies or procedures or unlawful discrimination.

Immediate Family: Spouse, children, parent, grandparents, grandchildren, in-laws including mother, father, son, daughter, brother or sister and step relations.

Leave: An approved absence from work as provided for by the Personnel Management Guide.

Leave Year: The leave year begins with the first day of the first complete biweekly pay period in a calendar year and extends through the last day of the last biweekly pay period that begins in that calendar year.

Non-Exempt Employees: A non-exempt employee is one who is covered by the overtime provisions of the Fair Labor Standards and is eligible to receive one and one-half (1 ½) overtime or compensatory time.

Outside Employment: Employment of any kind engaged in by an employee for which compensation is received from a source other than the Utility.

Overtime: Authorized time worked by an employee in excess of regular work schedule as provided for in the Fair Labor Standards Act and/or union contract.

Pay Plan: The official schedule approved by the Utility assigning a rate of pay to each class.

Regular Part-Time Employees: Regular part-time employees are those who have completed their probationary period and are normally scheduled to work less than forty (40) hours per week.

Probationary Period: A working test period during which an employee is required to demonstrate the employee's fitness for the appointed position through actual performance of the duties and responsibilities of the position.

Promotion: Any movement of an employee from a position in one class to a position in another class having a higher pay grade. Reclassifications are not considered a promotion.

Rejection: Separation of an employee during or at the completion of the probationary period.

Retirement: An employee who is eligible for retirement in accordance with the Social Security Act or IPERS as outlined in Chapter 97B of the Code of Iowa or Municipal Fire and Police Retirement as outlined in Chapter 411 of the Code of Iowa.

Seasonal Employees: Seasonal employees are those who are hired to work for a period of ten (10) months or less. Seasonal employees are not eligible for employee benefits.

Seniority: Length of total service since the last date of hire with the Utility, divided into two (2) exclusive and non-transferable categories: full-time and part-time.

Supervisor: An employee responsible for scheduling, directing, and evaluating work of employees.

Suspension: The temporary separation of an employee, without pay, for disciplinary purposes.

Termination: The separation of an employee from the service of the Utility; including death, rejection, discharge, layoff, resignation or retirement.

CHAPTER 3 EMPLOYMENT POLICY

3.1 JOB CLASSIFICATION

A. POLICY

The General Manager shall, under Utility direction:

1. Establish a general schedule of grades and salaries.
2. Establish job descriptions for each position.
3. Establish a grade for each job description based on level of responsibility and difficulty of assigned duties.
4. Assure uniform pay and qualification requirements for employees with similar duties and responsibilities.
5. Determine the number of authorized job positions permitted for each department.
6. Assure any adjustments made to the pay plan; job descriptions and grades will become effective with the first full pay period as authorized.

3.2 STAFFING CRITERIA

A. RESPONSIBILITY

Subject to compliance with requirements of Iowa Code Chapter 400, the General Manager shall appoint all employees other than those directed by local ordinance. The General Manager may consult with Trustees prior to recommendation.

B. RESTRICTIONS ON FILLING VACANCIES

Subject to compliance with the requirements of Iowa Code Chapter 400, the General Manager shall have the power to employ all employees of the Utility.

C. PROMOTIONS

Vacancies which are not covered by Iowa Code Chapter 400 shall be filled with the best-qualified available persons. Qualified persons already employed by the Utility and the City of Indianola may be considered first, taking into account past performance. If the filling of the vacancy or the promotion is action which is covered by the provisions of Iowa Code Chapter 400, then the provisions of Chapter 400 will be followed.

D. REDUCTION IN FORCE

If the Utility decides to make a reduction in force which is not covered by the provisions of Iowa Code Chapter 400 those employees who are best qualified to perform the assignments shall be retained. If selection must be made between persons of equal ability and potential, length of past satisfactory service shall be considered. If the Utility decides to make a reduction in force which is covered by the provisions of Iowa Code Chapter 400 then the provisions of Chapter 400 will be followed.

E. DETERMINATION OF NUMBER OF EMPLOYEES

Subject to compliance with the requirements of Iowa Code Chapter 400 the General Manager will determine the number of employees and shall establish a salary grade for each position subject to approval of the council.

F. AGE REQUIREMENTS

1. Full-time and regular part-time employees shall be not less than 18 years of age when hired.
2. Seasonal employees shall not be less than 16 years of age when hired.

3.3 SELECTION

All selections are to be made a matter of record in Trustee meeting minutes and documentation is to be filed in the employee's folder under the custody of the City Clerk.

1. The IMU Board of Trustees shall select the General Manager.
2. The General Manager shall select other employees.

3.4 PROBATIONARY PERIOD

New employees are subject to a six-month probationary period. If the employee does not meet the requirements of the position at the end of that time, the employee may be terminated. A six-month review will recommend for or against non-probationary status. The completion of the probationary period does not alter the at-will status of the individual's employment.

3.5 RELOCATION EXPENSES

The Utility may help new hires find suitable living accommodations. Unless relocation expenses are specifically authorized, all relocation expenses incurred will be the sole responsibility of the new employee. Reimbursement of relocation expenses is limited to department heads and superintendents. Any relocation assistance shall be on a reimbursement basis. Allowable expenses include, but are not limited to, moving personal items and travel expenses to Indianola.

WORK HOURS, ATTENDANCE, OVERTIME

4.1 OFFICE HOURS

The General Manager shall regularly schedule employees to be available throughout the workweek between the hours of 7:00 a.m. – 5:00 p.m. or as otherwise needed. Work schedules should reflect the need to work with work crews, contractors and customers throughout the workweek and during the hours most convenient to accomplish the work at hand. Employees should make efforts to be available by electronic means of communication during scheduled work hours.

Notification to employees of a need to serve the public when the IMU Administrative Office is closed may be delegated to employees of the City of Indianola, provided their staff is able to contact an appropriate IMU employee to assist the public as needed. The General Manager should strive to limit regular closings of the IMU Administrative Office to 4:30 p.m. on Fridays or the day prior to holidays and otherwise reasonable practices.

4.2 HOURS OF DUTY

A. Employees

For all full-time employees, except supervisors, the standard workweek shall consist of 40 hours per week. The respective supervisor or General Manager shall determine specific hours. A bona fide attempt will be made to set up regular work schedules so employees work regular intervals. Employees are expected to be at their work place at and within scheduled hours of work. Employees shall accurately record their work and leave hours to document the standard workweek.

B. Supervisors

Supervisors are considered employed on a 24-hour on-call basis.

C. Work Week

The workweek begins at 12:01 A.M. Sunday and ends at 12:00 A.M. (midnight) the following Saturday.

D. Lunch Time

Supervisors will advise employees of their assigned time, as the Utility must maintain adequate work coverage. Each employee shall be allowed an unpaid lunch period of one (1) hour, which shall generally be scheduled in the middle of the work shift. Lunch periods shall be scheduled by the supervisor, who will give appropriate consideration to department needs and regulations.

E. Work Breaks

Each employee may take a 15-minute break in the morning and another 15-minute break in the afternoon. The direct supervisor is responsible for determining when and where employees take their breaks. Break time does not accrue; if unused on a daily basis it is lost.

F. Inclement Weather

In the event that any part of the Utility's operation is closed or curtailed by order of the General Manager or designee due to weather conditions, employees of the affected operation who were scheduled to work may be excused from duty by their supervisor. Such employees will not be paid for duty hours not worked, but may take paid leave by charging vacation leave, compensatory or personal time as available.

4.3 OVERTIME**A. Excess of 40 Hours**

Overtime is defined as all time actually worked in excess of 40 hours in a work week.

B. Overtime Approval

Overtime must be ordered or approved by the General Manager or appropriate supervisor. Overtime is to be used sparingly and only for work that is essential, or of an emergency nature, which cannot be timely performed during regular hours.

C. Authorization for Supervisors

Overtime will not be earned or paid to supervisors, unless authorized by the General Manager.

D. Administrative Time

Exempt employees are eligible to receive administrative time for hours worked in excess of 40 hours per week. The intent of administrative time is not to provide hour-for-hour time off, but rather to allow management the flexibility to recognize employees who work extra time to provide services. Prior approval must come from the appropriate supervisor or General Manager.

E. 40-Hour Requirement

Holidays, comp time and vacation shall count as hours worked in meeting the 40-hour requirement for overtime pay.

F. Rate

The pay rate for overtime work is one and one-half (1 ½) times the hourly rate.

CHAPTER 5

PAY, DEDUCTIONS, AND TAXES

5.1 LONGEVITY PAY

All full-time employees who are in Range 8.5 or below receive longevity pay. Longevity pay shall be paid on a per hour basis included with regular hourly salary.

<u>YEARS</u>	<u>ANNUAL PAY</u>	<u>HOURLY PAY</u>
0-4	\$0	0.0 Cents/Hour
5-9	\$250	12.0 Cents/Hour
10-14	\$300	14.4 Cents/Hour
15-19	\$350	16.8 Cents/Hour
20+	\$400	19.2 Cents/Hour

5.2 WITHIN GRADE INCREASE

All employees serving under regular appointment are eligible to receive within-grade increases.

A. Performance Evaluation

A written performance evaluation shall be utilized at regular intervals as follows:

1. Supervisors for each employee shall complete the form annually. It shall be utilized prior to any recommendation regarding within-grade increases. New employees should be evaluated within the first three (3) to six (6) months of employment to assess performance and advise employees of any necessary adjustments.
2. Supervisors should meet with each employee on an individual basis at twelve (12) month intervals to discuss individual job performance.
3. Written evaluations, as well as a brief summary of oral discussions, are to be prepared and forwarded through immediate supervisors to Human Resources to be placed in the employee's personnel folder.
4. Employees shall have the right to read their evaluations and respond in writing. Such response is to be within five (5) days of their signature on the evaluation. Such response shall be submitted to the General Manager and be attached to, and become a part of, the evaluation.

B. Waiting Periods

The waiting period for within-grade increases are listed below. For new employees who enter duty on a day other than the first workday of the pay period, the waiting period for the within-grade increase begins the following pay period. For employees appointed or promoted on the first day of the first workday of the pay period, the waiting period begins in the first day of the pay period.

1. To Step 2, 3, and 4 52 Calendar Weeks
2. To Step 5, 6, and 7 104 Calendar Weeks
3. To Step 8 and above 156 Calendar Weeks

C. Satisfactory Performance

The General Manager determines if the employee is performing satisfactorily.

D. Consideration

All employees are to be evaluated prior to the completion of their appropriate waiting period.

E. Findings

All findings are to be in writing and documented in the employee's personnel folder.

5.3 WITHHOLDING WITHIN GRADE INCREASE

If an employee's direct supervisor determines that the employee is not eligible for a within-grade increase, the supervisor shall advise the employee when unsatisfactory service will delay a grade increase. Supervisors shall explain:

1. Areas of performance deficiency.
2. Performance improvements necessary for a grade increase.

5.4 DELAYED CONSIDERATION

A delay in making a finding of satisfactory service because of administrative oversight or error shall not extend the normal waiting period for a within-grade increase. In such event, increases due shall be granted retroactively.

5.5 CREDITABLE SERVICE FOR WITHIN-GRADE INCREASES

Applicable definitions and requirements:

A. Regular Appointment

Service rendered under regular appointment at the employee's current or higher-grade level, which has not been used to grant an increase. No credit is given for any service rendered prior to the effective date of the last within-grade increase or promotion.

B. Leave Without Pay

"Leave Without Pay" not exceeding 30 calendar days during the waiting period shall count as creditable service. The anniversary date is extended by the amount of days in excess of 30.

C. Effective Date

The pay period for which any action (promotion, appointment, etc.) becomes effective is the first work day of the applicable pay period.

CHAPTER 6 LEAVES OF ABSENCE

6.1 HOLIDAYS

The following days shall be recognized and observed by full-time and regular part-time employees as paid holidays:

<i>New Year's Day</i>	January 1
<i>President's Day</i>	3 rd Monday in February
<i>Memorial Day</i>	Last Monday in May
<i>Independence Day</i>	July 4 th
<i>Labor Day</i>	1 st Monday in September
<i>Thanksgiving Day</i>	4 th Thursday in November
<i>Day After Thanksgiving</i>	4 th Friday in November
<i>Christmas Eve Day</i>	December 24 th
<i>Christmas Day</i>	December 25 th

Full-time employees will receive eight (8) hours of pay. Regular part-time employees will receive an average of the number of hours they would have normally worked.

A. Holidays Occurring on Non-Work Days

When holidays occur on *Saturday* – observe on the preceding Friday

Sunday – observe on the following Monday

Water personnel covered by this guide observe the actual holiday if the employee is required to be part of a 7-day a week operation.

B. Worked Holidays

Full-time and regular-part time employees who are required to work on a recognized holiday shall be compensated at a rate equal to two (2) times their normal hourly rate of pay for each hour actually worked. This is in addition to the holiday pay.

C. Authority to Approve Holiday Work

Department heads must approve holiday work for an employee.

D. Meeting 40-Hour Requirement for Overtime

Holidays shall count as hours worked in meeting the 40-hour requirement for overtime pay.

6.2 VACATION

Full and regular part-time employees are eligible for vacation leave upon accrual.

The leave year begins with the first day of the first complete biweekly pay period in a calendar year and extends through the last day of the last biweekly pay period that begins in that calendar year. Seasonal employees will not earn vacation leave.

A. Leave Earned for Less Than Full Bi-Weekly Pay Period

It is expected and preferred that employees will begin work at the beginning of a pay period. In the event they do not, earned leave may be prorated. Accrual begins the first day actually worked.

B. Leave Earned While on Leave

Vacation is earned while on approved leave with pay. No vacation leave is earned for the period covered by lump sum payment for unused leave.

C. Charging Leave

Leave will be charged in ¼-hour units. The City of Indianola City Clerk's Office is responsible for maintaining vacation records for all personnel.

D. Substituting Leave

Sick leave may be substituted for vacation leave if an employee becomes ill and hospitalized while on vacation leave. (Substitution is permitted for the period of illness only, and proof of hospitalization is required.)

E. Unused Leave

At the end of the leave year, a total not to exceed 160 hours may be carried forward to the new leave year. All leave in excess of 160 hours is forfeited.

F. Resignation, Separation, or Change to Non-Leave Earning Position

Vacation leave will be liquidated by lump sum payment.

G. Lump Sum Payment for Unused Vacation Leave

Applicable when employee resigns or is separated. Lump sum will not be paid until:

1. All equipment, supplies or any Utility owned property placed at their disposal has been returned.
2. Any indebtedness to the Utility has been satisfied in full.

Lump sum leave period:

1. Lump sum leave periods are not employment periods for purposes of retirement, health benefits, or leave earnings.
2. Last day of actual work is last day of accrual.
3. Lump sums are not included in pension plans.
4. Deceased employee – a lump sum payment for vacation.

H. Vacation Accrual

Full-time and regular part-time employees (scheduled and averaging 30 hours or more per week for pay period) earn vacation leave. Earning rate:

Full-Time Employees:

Length of Service	Accrual Per Biweekly Pay Period
Less Than 2 years	3.07 Hours
2 Years and Less Than 8	4 Hours
8 Years and Less Than 14	5 Hours
14 Years and Less Than 20	6 Hours
20 Years or More	6.31 Hours

Regular Part-Time Employees:

Scheduled and averaging 30 Hours or More/Week earn 2.3
Hours/Biweekly Pay Period

I. Planning and Approval

1. Planning – The General Manager or appropriate department head is responsible for proper planning and scheduling of vacation for all employees within their respective departments. Advanced planning permits adherence to work schedules and reduces the possibility of employees losing leave at the end of the year.
2. Approving – The General Manager or appropriate department head is authorized to approve vacation leave within their respective departments. It should be approved in advance except in an emergency; written approval is not required.

6.3 PERSONAL DAYS

A. Personal Day Year

The year begins with the first day of the first complete biweekly pay period in a calendar year and extends through the last day of the last biweekly pay period that begins in that calendar year.

B. Unused Personal Time

Personal days do not accrue from year to year. All unused personal time is forfeited.

C. Earning Rate

Full-Time Employees – 16 Hours Per Year

Regular Part-Time Scheduled and Averaging 30 Hours or more/Week – 6 Hours Per Year

Will be pro-rated by quarter increments depending on an employee's start date.

January 1 – March 31 - Full Eligibility

April 1 – June 30 – 75% of benefit

July 1 – September 30 – 50% of benefit

October 1 – December 31 – 25% of benefit

D. Resignation, Separation or Charge to Non-Leave Earning Position

Personal time will be liquidated by lump sum payment. The same conditions apply as under 6.2-G.

E. Lump Sum Leave Period

Lump sum leave periods are not employment periods for purposes of retirement, life insurance, and health benefits or leave earnings.

F. Charging Leave

Leave will be charged in ¼-hour units. The clerk's office is responsible for maintaining personal leave balances.

6.4 SICK LEAVE

All full-time and regular part-time employees scheduled and averaging 30 hours or more per week earn sick leave. Available sick leave shall be granted when the employee:

1. Is incapacitated for the performance of duty by sickness, injury or pregnancy and confinement.
2. Receives medical, dental or optical examination or treatment. Such leave should not exceed the period of time required for such examination or treatment including reasonable transportation time.
3. Enforced quarantine of the employee in accordance with community health regulations.
4. Serious illness of an “emergency nature” of the immediate family as defined in 2.3 upon approval of the department supervisor. Use of sick leave in this manner is limited to a total of 24 hours per year for full-time employees and 12 hours per year for regular part-time employees.

A. Injured on the Job

When sick leave is granted for physical incapacity resulting from injury on the job, such sick leave may be used for up to the first three (3) days of the injury at which time the Utility’s Worker’s Compensation will begin financial compensation. If still physically incapacitated after 14 days, Worker’s Compensation will back pay for the first three (3) days.

B. Physical Incapacity Not Job Related

If sick leave is granted for physical incapacity not job related, sick leave should be used for the first seven calendar days of any disability at which time the Utility’s disability policy shall take effect.

C. Make Up Between Disability Payments and Regular Salary

During the first six (6) months of a disability claim, in addition to disability payments, employees may use sick leave to make up the difference between their disability payment and their regular salary.

D. Sick Leave Year

The leave year begins with the first day of the first complete biweekly pay period in a calendar year and extends through the last day of the last biweekly pay period that begins in that calendar year.

E. Leave Earned for Less Than Full Biweekly Pay Period

It is expected and preferred that employees will begin work at the beginning of a pay period. In the event they do not, earned leave may be prorated. Accrual begins the first day actually worked.

F. Leave Earned While on Leave

Sick leave is earned while on approved vacation, sick or other leave with pay.

G. Unused Leave

Unused sick leave up to 760 hours may be carried forward to the new leave year. All leave in excess of 760 hours is forfeited.

H. Charging Sick Leave

Leave will be charged in no less than 1/4-hour units.

I. Resignation, Separation, or Change to Non-Leave Earning Position

Sick leave is forfeited upon resignation, separation, or change to a non-leave earning position.

J. Responsibility of Administration

The City Clerk's Office is responsible for maintaining sick leave records for all personnel. The General Manager is responsible for establishing such controls as are necessary to prevent abuse of sick leave privileges. Doctor's certificates to support sick leave approval may be required in individual cases.

K. Earning Rate

Full-Time Employees – 3.7 Hours/Biweekly Pay

Regular Part-Time Averaging 30 Hrs or More/Week – 2.3 Hours/Biweekly Pay

L. Sick Leave Certification

In individual cases where an employee's sick leave usage record indicates possible abuse, the Utility has the right to verify the reported illness of any employee. The Utility may require a Doctor's certification for absence due to illness and other information as to if the employee has been incapacitated for work for said period of absence. Abuse of sick leave shall be proper cause for disciplinary action up to and including dismissal.

6.5 COMPENSATORY LEAVE

The General Manager or appropriate department head as applicable shall authorize compensatory leave for an eligible employee subject to the following:

1. Earning Rate – one and one-half (1 ½) hours for each one (1) hour worked in excess of forty (40) hours in a regular workweek. A maximum of 80 hours will be allowed to accumulate.
2. Use – must be granted and used within a reasonable period of time. A periodic review of accumulated comp time will be made and the employee may be required by their supervisor to schedule and take off time within a reasonable period of time.

A. Resignation, Separation or Change to Non-Leave Earning Position

Compensatory leave will be liquidated in a lump sum payment.

B. Meeting 40-Hour Requirement for Overtime Pay

Compensatory time shall count as time worked in meeting the 40-hour requirement for overtime pay.

C. Charging Leave

Leave will be charged in ¼-hour units. The Clerk's Office is responsible for maintaining compensatory records for all personnel.

6.6 JURY SERVICE LEAVE

Time absent on regular work days without loss of pay or charged to other leave for the performance of jury service in federal, state, or county court.

A. Service as a Juror

Granted to a leave-earning employee, upon providing proof of such duty, when their employee's service as a juror is required.

B. Compensation by Utility

The Utility will pay an employee at the employee's regular rate of pay while on Jury Service Leave. The Utility will not pay mileage for this type of leave.

C. Compensation by the Court

The employee must turn over to the Utility any amounts received from the court for jury service for days on which they are on Jury Service Leave. (An employee is not on Jury Service Leave when they serve as a juror on days that are not in their established schedule or on holidays observed on their regular workdays.) They may retain amounts they receive from the court on such days. They also receive regular pay from the Utility for holidays for which they would otherwise be paid.

The employee may keep any amount received from the court for travel expenses, parking, or meals as distinguished from payment for service.

6.7 BEREAVEMENT LEAVE

In case of death in the employee's immediate family as defined in Section 2.3, the full time employee shall be allowed three (3) days off with no loss of regular pay. In addition, the full time employee may take up to an additional two (2) days off which shall be charged against their accumulated sick leave. Regular part-time employees may take one (1) day off to be charged against their accumulated sick leave.

In case of the death of any relative living in the same household with the employee immediately prior to death, a full-time employee shall be allowed one (1) day off with no loss of regular pay. Regular part-time employees may take one (1) day off to be charged against their accumulated sick leave.

6.8 MILITARY LEAVE

In accordance with applicable federal law, the Utility shall grant leaves without pay for regular employees for the purpose of service in the United States Armed Forces. In accordance with applicable state law the Utility will grant leave off with full pay for up to thirty (30) days per year for eligible employees.

6.9 LEAVE WITHOUT PAY

The General Manager may consider and grant requests for Leave Without Pay (LWOP) even though an employee has annual, compensatory, personal, or sick leave to his/her credit. All benefits and accruals will continue as if actively at work.

For requests for fourteen (14) continuous calendar days or less. The General Manager shall consider whether withholding approval would result in a hardship on the employee and if approval would seriously hamper operations.

For requests in excess of fourteen (14) continuous calendar days, the General Manager shall strictly adhere to considering if withholding approval would result in a severe personal hardship on the employee.

CHAPTER 7 GROUP INSURANCE

7.1 HEALTH/DRUG INSURANCE

Health insurance coverage is available to full time employees. Regular part-time employees averaging twenty (20) or more hours per week are eligible for employee coverage (single) only after completing one continuous year of service. Coverage includes major medical, prescription drugs, and an optional “flex spending” benefit as outlined in the plan booklets.

A. Eligibility for Receiving Benefits

Employees are eligible to receive benefits:

1. On the 1st day of the month following receipt by the insurance company of an application, if the employee enrolled within 30 days of starting date or within 30 days of eligibility if the employee is part-time.
2. If enrolled after the 31st day of start date for full-time and 31st day after eligibility for regular part-time, benefits will begin at option of the carrier.

B. Coverage

Optional dependent coverage is available, if the employee is enrolled.

C. Payment of Premiums

1. Full Time Employees – The Utility will pay 100% of the single and 95% of the difference between the premium for single health/drug insurance coverage and the premium for family health/drug insurance coverage. For the purposes of this provision, the single premium will be determined to be one-half of the family premium.
2. Regular Part Time Employees Averaging over 20 Hours/Week – will be allowed to participate in the group plan for single coverage only and will pay their own premiums.
3. Employee Contribution – the employee will continue to pay his/her proportionate share of the premium while receiving employee compensation.

D. Cobra

By law, the Utility must offer continuation of health coverage to full-time employees and dependents under certain termination-of-employment situations. All employees and dependents participating under Cobra will pay 102% of the premium.

E. Retirees

Iowa Code Section 509A.13 provides continuation coverage to employees who retire while employed by the Utility prior to age 65. Coverage is provided to age 65 at the retired employee’s expense.

7.2 SHORT AND LONG TERM DISABILITY

The Utility provides all full-time employees with a group disability insurance plan. The Utility pays the premiums in full. Benefits begin the 1st of the month following the employee's start date. In the event an employee is disabled due to illness or injury, they shall receive the following benefits:

A. Short Term Disability

- a. Benefit – 70% of the employee's average weekly earnings up to a maximum benefit of \$350/week.
- b. Waiting Period – seven (7) calendar days of any disability period due to an accidental bodily injury, providing the disability period commences within thirty (30) days of the accidental injury.
- c. Maximum Period of Payments – 26 weeks

B. Long Term Disability

1. Benefit – 60% of monthly earnings up to a maximum of \$5,500/month.
2. Waiting Period – 180 consecutive calendar days.
3. Duration of Benefits – Generally until the employee turns 65 years of age.

7.3 HEALTH REIMBURSEMENT ARRANGEMENT (HRA)

The Utility will contribute \$1,200 on July 1, 2013 for each full-time employee's HRA for medical/dental/vision expenses which are incurred by the employee or his/her dependents and which are eligible for health insurance coverage.

The Utility will contribute \$75 after one (1) year of service, \$125 after three (3) years of service, and \$175 after five (5) years of service annually to regular part-time employees scheduled and averaging 20 hours or more per week.

Amounts will be pro-rated depending on an employee's start date.

Start Dates: July 1 – September 30 - Full Eligible Benefit
 October 1 – December 31 - 75% of Benefit
 January 1 – March 31 - 50% of Benefit
 April 1 – June 30 - 25% of Benefit

One day worked in the quarter equals a full quarter.

Contributions to an employee's HRA account will be preserved for the sole use of the employee and employee's eligible dependents for medical expenses to the extent permitted by applicable law.

Unused balances of an employee's HRA account will be carried forward from year-to-year with no limit of accumulation.

Employees and their eligible dependents, and employees who have terminated their employment and their eligible dependents shall have access to their HRA accounts for medical expenses until the account has been exhausted, as provided by applicable law.

CHAPTER 8 OTHER EMPLOYEE BENEFITS

8.1 DEFERRED COMPENSATION

A. CE Table Range 9 or Higher

The Utility shall contribute \$100/month to an ICMA Retirement Corporation account 457 Plan for each employee in Range nine (9) or higher on the CE salary table in addition to the employee-match contribution.

B. Full-Time Employees

The Utility shall make a \$75/month beginning July 1, 2013 dollar-for-dollar matching contribution to an ICMA Retirement Corporation account 457 Plan for each full-time employee. There shall be no waiting period for this benefit.

C. Regular Part-Time Employees

Employees have the option of contributing funds toward this retirement plan through a payroll deduction with no Utility contribution.

8.2 TRAINING AND SELF IMPROVEMENT

It is of mutual interest and benefit to both the employee and the Utility to advance individual knowledge, skills and abilities. The Utility, therefore, wishes to encourage all employees to avail themselves of any appropriate program subject to the provisions in the succeeding paragraphs.

Orientation of New Employees

New employees are to receive formal orientation immediately upon being hired. Checklists shall be utilized and become a part of the employee's personnel folder. Orientation will include both a city-wide organization overview and an in-depth department orientation.

Tuition Reimbursement

It is the policy of the Utility to encourage each employee to improve his/her on-the-job skills or strive to attain career goals through continuing education and advancement towards an approved degree program.

Should an employee participate in the tuition reimbursement program, complete the necessary coursework and graduate with a degree from an approved degree program, he/she would be committed to employment with the Utility for at least one year following his/her graduation. Employees leaving employment prior to the one-year commitment will reimburse the Utility 75% of their expenses.

A. Accredited Courses

After six (6) months of service, the Utility provides reimbursement assistance for courses taken through an approved/accredited post high school institution of advanced learning, including, but not limited to, colleges, community colleges, universities, technical schools or licensed and accredited correspondence schools.

1. Course Content

Courses must be directly related to employee's current job and/or career path or be part of an approved undergraduate or graduate degree program.

2. Reimbursement

- a. The Utility will provide a seventy-five percent (75%) refund of reimbursable expenses to employees who receive a grade of "C" or higher. A passing grade in pass/fail courses will be entitled to seventy-five percent (75%) reimbursement. Reimbursements apply to tuition, books and laboratory fees only.
- b. When curriculum is offered both at public and private institutions of higher learning in the employee's local area or within a reasonable traveling distance, tuition refund will be limited to the quarter or semester hourly rate at the public institution.
- c. Employees will be reimbursed for a maximum of three (3) courses per academic term.
- d. Employees need to complete an application for Tuition Refund prior to enrolling in classes.
- e. Upon completion of the course, employees must forward to the General Manager information about the results of the class work, tuition and book fees paid. In addition, certificates of completion, grade slips and canceled checks or receipts are required.

3. Procedure

When an employee chooses to continue his/her education through enrollment in a course, these guidelines must be followed:

- a. Select the course to study and enter all the necessary information required on the Registration and Application for Tuition Refund Form (Exhibit V).
- b. Return the completed form to the supervisor who will forward it to the General Manager for approval.
- c. When full approval has been granted, the employee will be notified by the General Manager.
- d. Enrollment can be made with the school, with the understanding that upon satisfactory completion a refund will be made in accordance with the Tuition Refund Policy.
- e. Information concerning the results of the employee's work and the tuition fees paid will be the employee's responsibility to obtain from the school for IMU. Certificates of completion, grade slips and canceled checks or receipts are required. This information should be furnished to the IMU Administrative Office.

B. Professional Development

Trustee employees are encouraged to develop professionally. This sometimes involves seeking a Professional Designation or license. This policy is broadly worded to fit situations in which obtaining the designation or license promotes professional growth and skill building and is consistent with the individual's capacity. Prior approval for an individual employee is required for this policy to apply. Typical designations include:

1. Engineer-in-Training Certification
2. Professional Engineer License
3. Certified Professional Secretary
4. Other licenses and designations may also be included under this policy, as the above are intended as examples and not intended to be an exhaustive listing.

a. Reimbursement

To encourage these designations and/or licenses, Trustees may reimburse the costs associated with obtaining and maintaining them. Reimbursement will be made for the following:

1. Cost of a pre-test review course and registration fees.
2. One hundred percent (100%) of the costs of two (2) attempts to pass the professional certification examination.
3. Initial costs will be paid by employee. Upon receipt of documentation of payment, the 100% reimbursement will be made to the employee, provided prior approval has been given.

b. Procedure

1. Secure prior approval from the General Manager, or the Board of Trustees in the case of the General Manager.
2. Register to take the exam.
3. Take the course or review self study materials.
4. Make first attempt to pass the exam.
5. Submit proof of payment and proof that he/she sat for the exam.
6. If the employee does not successfully pass the exam the first time, he/she can make a second attempt and be reimbursed.
7. Submit proof of sitting for exam the second time and proof of payment for reimbursement.

C. Non-Work-Related Programs

Upon written request of an employee, the General Manager will determine the extent, if any, of Utility participation in the expense of the program. Requests will be considered on an individual basis. Examples of such determinations include:

- a. Granting an employee permission to attend class or instructions during working hours while in payroll status.
- b. Utility participation and degree of participation in the related expenses. Such a determination could cover an employee attending classes or instructions on their own time with General Manager agreement to defray all or part of the resulting expenses.

Upon successful completion of an approved program/course, the employee shall be reimbursed for the expenses previously approved by the General Manager. For a graded course, a grade of “C” or better shall be considered successful completion. A “C-” or less shall not be considered for reimbursement.

8.3 TRAVEL AND TRANSPORTATION

The policy described in this section pertaining to travel and transportation shall apply to both employee reimbursements and like charges to a Utility-owned purchasing card not otherwise reimbursed to the Utility by a third party. The Utility will determine the conditions under which reimbursements are payable.

A. Basic Provisions

Discretion should be used at all times concerning appropriate travel and expenditures incurred when doing so.

B. Administration

The General Manager is responsible for ensuring compliance with the policy and limitations and must approve exceptions to limitations.

C. Allowance Rates

1. *Mileage for Travel* – Under current law, the Utility may reimburse Utility officials and employees using their own vehicles up to the amount allowable under Internal Revenue Service (IRS) rules.
2. *Per Diem* – Actual out-of-pocket costs for meals, lodging, registration, etc. must be substantiated by receipts and are subject to the following limitations:
 - a. For in-state travel, the total daily allowance for meals shall be limited to an average of \$35 per day and daily lodging costs shall be limited to \$150, including local and state taxes.
 - b. For out-of-state travel, the total daily allowance for meals shall be limited to an average of \$50 per day. Daily lodging costs shall be limited to \$250, including local and state taxes.

D. Work Hours While Traveling

Time spent traveling is considered hours worked in accordance with the provisions of the Fair Labor Standards Act. Specifically:

One-Day Assignments in Another City – Travel time is considered hours worked when performed for the Utility's benefit and at the Utility's request to meet the needs of the particular and unusual assignments.

Travel Away From Home Community – Travel away from an employee's home overnight is considered work time for the hours of the employee's regular workday. Traveling time is substituted for other duties. The time is considered hours worked on both regular working days during normal working hours and also during the corresponding hours on non-regular days. Only a vehicle driver is credited for additional hours worked following completion of a regular workday.

8.4 LEADERSHIP AND PROFESSIONAL DEVELOPMENT AWARD

Performance by an employee in a manner far exceeding normal requirements and giving promise of continuing at this exceptional rate may qualify the employee for a Leadership and Professional Development Award. This may be given to employees who make a concerted effort to develop themselves professionally by attending seminars, workshops, taking correspondence courses, attending college or assuming additional leadership roles within the organization. When the General Manager initiates education action of an employee, the resulting act does not apply in this award; for example, becoming a certified payroll clerk. Performance must be sustained at least six (6) months to be considered.

A. Eligibility Requirements

1. Hold a full-time or regular part-time position.
2. Not have received a promotion or quality increase within one (1) year. A step increase is not considered a promotion.
3. Been recommended by immediate supervisor and accepted by the General Manager and approved by the Board of Trustees.

B. Award

1. Advance employee to next salary step for their grade.
2. A Leadership and Professional Development (LPD) Award is the equivalent of a within-grade increase but not treated as such. An employee receiving a LPD Award will not begin a new waiting period for his/her next within-grade increase. For example, an employee at Step 3, who has served 26 weeks toward a step increase, receives a LPD Award. The 26 weeks shall be credited toward their Step 5 waiting period of 104 weeks. The must serve 78 additional weeks to complete the waiting period.

8.5 UNIFORMS

The General Manager may purchase up to 4 items of clothing each year (\$200 annual maximum in total cost) that identifies employees as IMU employees in lieu of authorizing reimbursements for routine in-town mileage or a uniform allowance. An employee receiving a vehicle allowance is excluded from this arrangement. All employees including the General Manager may have an IMU logo embroidered on their personal clothing at no charge.

8.6 MOBILE DEVICE ALLOWANCE

Employees may be compensated for use of their personal mobile device with data services in lieu of the Utility supplying said employee with a mobile device with data services.

An employee receiving an allowance under this section hereby agrees to maintain an active mobile device with data services in any month for which they receive a reimbursement, be accessible to the Utility as appropriate to perform their job responsibilities, and follow all laws related to use of mobile devices while operating a motor vehicle.

Compensation shall be based on the following criteria, as determined by the Utility and limited to the actual monthly amount of the employee's service plan:

A. Low Use (\$25/month)

The employee's position requires limited regular use of mobile device functions during a typical workday. The employee must occasionally be electronically accessible to the Utility and its data systems in order to perform their job responsibilities and is relied upon to be accessible during emergency situations.

B. Average Use (\$50/month)

The employee's position requires routine use of mobile device functions during a typical workday. The employee must regularly be electronically accessible to the Utility and its data systems in order to perform their core job responsibilities, including during both emergency and routine situations.

C. High Use (\$75/month)

The employee's position requires frequent use of many mobile device functions, including mobile phone, applications and email, during a typical workday. The employee must also be regularly electronically accessible to the Utility in order to perform most of their job responsibilities, regardless of time of day.

The Utility shall not be held financially responsible for costs incurred by an employee for that employee's use of their personal mobile device for Utility purposes. Failure to abide by the conditions required under this Section subjects an employee to disciplinary action, including but not limited to loss of this allowance.

CHAPTER 9

SEPARATIONS, DISCIPLINE, AND REMOVALS

9.1 MANDATORY SEPARATION

Temporary part-time or seasonal employees are considered separated as work assignments are completed.

9.2 REDUCTIONS IN FORCE

A. Full-Time and Regular Part-Time Employees

Regular employees are to receive a minimum of two weeks written notice explaining the reason for the termination.

B. Seasonal Employees

Seasonal employees are to be verbally informed with a minimum of one-week notice.

9.3 DISCIPLINARY ACTION

Any employee may be disciplined, suspended, demoted or discharged for any of the following causes:

- A. Failing to perform assigned work in an efficient or effective manner.
- B. Failure to follow the orders of the employee's supervisor.
- C. Dishonesty, and lying to supervisors in connection with the employee's job.
- D. Removal of Utility money, merchandise, or property, including property in custody of the Utility without permission.
- E. Violating safety rules and regulations.
- F. Committing, attempting, or conspiring to commit fraud (including any such act prior to assuming office or employment).
- G. Conduct on the job that violates the common decency or morality of the community.
- H. Divulging or misusing confidential information, including removal from Utility premises, without proper authorization, any employee lists, records, designs, drawings or confidential information of any kind.
- I. Inability to get along with fellow employees so that the work being done is hindered and not up to required levels.
- J. Impeding the effectiveness of any program administered in the Utility.
- K. Refusing to carry out the equal opportunity, or civil rights policy or interfering with others carrying out such policy.
- L. Violating the Utility's policy regarding alcohol and drugs.
- M. Negligence.
- N. Conduct unbecoming a public employee.
- O. Misconduct, including discrimination or harassment.
- P. Falsification, unauthorized modification, or unauthorized creation of time records for payroll. This includes claiming overtime for work which was not performed and submitting time records for another employee.

- Q. Being absent from work without permission or failure to report to the supervisor or department head when one is absent. Being absent from work without permission and failing to report such absence for three consecutive work days will constitute a voluntary resignation from employment.
- R. Failure to observe property security procedures.
- S. Possession of a firearm or dangerous weapon on the Utility's premises or in a Utility vehicle, unless such firearm or dangerous weapon is required for the performance of the employee's job with the Utility.
- T. Violation of the Utility's policy regarding sexual and other prohibited harassment.
- U. Violation of the Utility's Anti-Violence policy.
- V. Any other legitimate reason.

A. Disciplinary Action

Depending upon the nature of the offense, disciplinary action may be taken under any of the terms mentioned below as the first disciplinary action, including termination. The Utility reserves the right to use whatever discipline it decides is appropriate in any situation, up to and including discharge, without regard to the progressive discipline procedures. Disciplinary action may be taken when an employee fails to abide by the rules and regulations set forth in this Personnel Management Guide, does not abide by departmental regulations when such regulations are in effect, or is in violation of the rules listed above.

B. Oral Warning

When deemed appropriate by the Utility, an employee may be given an oral warning. A record of that warning will be filed in the employee's personnel file and may be considered in future disciplinary proceedings.

C. Written Warning

When deemed appropriate by the Utility or when an oral warning has already been given, the employee may be given a written warning. The supervisor shall place in the personnel file of the particular employee a copy of the written warning given to the employee.

D. Suspension or Termination

When deemed appropriate by the Utility or when a warning (oral or written) has already been given, the employee may be suspended without pay or may be terminated from employment.

E. Issuance of Suspension or Termination Notice

1. **Employee Notice** – Notice to an employee shall be issued by the appropriate department head, Director of Human Resources, or General Manager.
2. **General Manager** – Notice for the Manager shall be issued by the Attorney, at the direction of the Board of Trustees.

3. **Official Notice** – All notices shall be in writing and signed by the appropriate official.

The notice will include:

- a. The reasons for suspension and the effective date.
- b. The specific date by which the suspended person may advise the Utility why he/she should be restored to duty.
- c. State to whom the reply is to be made and that the person may respond in writing, in person or both.

Notice shall be sent by certified mail with return receipt requested or hand delivered with a signed copy by the employee showing receipt of the notice.

F. Action Following Suspension or Termination

1. The General Manager shall determine if further action is necessary.
2. If further action is necessary, the General Manager, after making a timely decision will reply in writing to the employee. Such reply will:
 - a. List specific reasons for removal and the effective date, or
 - b. List specific reasons for restoration and the effective date.
 - c. Be sent by certified mail, a return receipt requested or hand delivered with a signed copy by the employee showing receipt of the notice.

G. Conducting Review

At the option of the employee, and if so requested, the Board of Trustees may review the suspension or removal and/or grant a hearing. The Utility will comply with due process requirements, if any, and will adhere to all local ordinances and state or federal laws pertaining to employment hearings.

H. Employment at Will

Nothing in this policy or any other provisions of this manual may be interpreted as establishing any right to oral, written or progressive discipline prior to discharge. The Utility expressly reserves the right to terminate any employee's employment at will, without prior notice or discipline, for any reason, except as may be provided for under Civil Service and union contract.

CHAPTER 10

VERIFICATION STATEMENT

I have read and understand the policies in the Personnel Management Guide and will do my best to abide by them.

These policies affect all Utility employees.

I understand that nothing in this guide is considered as an explicit or implicit employment contract between the Utility and myself.

I understand that disciplinary action including termination may result from violation of any of the policies in this guide.

I also understand that the Utility may change, rescind or add to any policies described in this guide at it's discretion.

Signature

Please Print Name

Date

Return this page to the Director of Human Resources for your official personnel file. If you have any questions please contact your supervisor, department head, or the Director of Human Services.

EXHIBIT 1

SALARY CLASSIFICATIONS



EMPLOYEE HANDBOOK

POLICIES & PROCEDURES

FOR ALL EMPLOYEES

INDIANOLA MUNICIPAL UTILITIES

Revised August 2013

MISSION

Indianola Municipal Utilities will cooperatively provide essential, high-quality, and cost-effective services that give opportunities for residents to pursue the highest possible quality of life.

WE VALUE...

- A dedicated, creative, professional, and skilled workforce including appointed officials that possess integrity and perform their duty in an ethical and impartial manner;
- A safe and efficient workplace and community;
- Attaining a high level of customer service;
- Sustainable service delivery based on research and foresight;
- Protection and responsible use of natural resources;
- Affordable rates that balance needs in the community;
- Working as partners within our community and with other entities;
- Fairly and consistently imposing and applying regulatory actions;
- Providing equal access to resources that benefit people's lives;
- Citizens that are knowledgeable and engaged in our community.

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CHAPTER 1

GENERAL PROVISIONS

1.1 STATEMENT OF PURPOSE

The purpose of these policies and procedures is to establish a fair and equitable system of personnel administration that will facilitate efficient and effective public service for the Indianola Municipal Utilities (the Utility) as governed by the IMU Board of Trustees under Iowa Code Chapter 388 and the City of Indianola Code of Ordinances. This manual brings together information about benefits, policies, rules, and other conditions of employment. Every effort has been made to convey accurate and clear information throughout the manual, but no written summary can completely and without exception cover every situation that may develop.

1.2 SCOPE OF POLICIES AND PROCEDURES

Unless otherwise noted, all policies and procedures in this guide shall apply to all regular and probationary employees of the Utility, provided the guide is not in conflict with collective bargaining agreements or applicable law. If at any time there is a conflict between this manual and a labor contract, between this manual and an applicable state or federal statute, or both, the terms of the actual contract or statute will govern in all cases. These policies and procedures shall be applicable to seasonal employees as specified.

1.3 ADOPTION AND POLICY AMENDMENTS

These policies and procedures are adopted by resolution of the Board of Trustees. Policy amendments shall become effective upon consideration and adoption by the Board. All parts of this manual are to be adhered to unless waived by Trustee action.

1.4 ADMINISTRATIVE REGULATIONS

The General Manager may adopt, amend, and rescind administrative policies and procedures not in conflict with these policies and procedures as necessary for the proper administration of the Utility. Department heads may adopt, amend, and rescind departmental administrative policies and procedures not in conflict with these policies and procedures, or the General Manager's directives, as necessary for proper departmental administration.

1.5 NON-CONTRACTUAL CLAUSE

This guide is not a contract, but is intended to give employees insight into how personnel issues are administered. The Utility is an "employment at will" employer. Except as otherwise provided by law, employees of the Utility are employees at will, and either the Utility or the employee may terminate the employment relationship at any time with or without notice, and for any reason or no reason at all. Nothing in this manual shall constitute, either explicitly or implicitly, a contract for services between the Utility and its employee.

1.1
CHAPTER 2
DEFINITIONS

2.1 PURPOSE

The purpose of this chapter is to identify and define specific works and phrases as they are used in this manual.

2.2 TERMS NOT DEFINED IN THIS CHAPTER

Where a term is not defined in this chapter or in the remaining text of this guide, the common sense meaning shall apply.

2.3 DEFINITIONS OF TERMS

Anniversary Date: The employee's anniversary date is established on the first day of regular employment for full and regular part-time employees. Employees will usually be evaluated and promoted, if eligible, on this date. The anniversary date will be used to calculate seniority, sick leave, and other benefits. If promoted on other than the original anniversary date, the new date will become the anniversary date for evaluations and promotions, but not for seniority, sick leave, longevity, etc.

Applicant: A person who has completed an application and/or other processes required to be considered for employment.

Attorney: Is the chief attorney in all matters affecting the Utility's interest and appears on behalf of the Utility before any court, commission, or board. The Attorney shall prosecute or defend all actions and proceedings when so requested by Trustees.

Discharge: The separation of an employee from Utility employment for cause.

Discrimination: A showing of bias or favoritism in treatment because of race, gender, age, color, creed, ancestry, national origin, disability, gender identity, sexual orientation, etc.

Employee: A person who is employed by the Utility and is compensated by salary or hourly wages. Not included are elected officials, appointed members of boards and commissions, contractors and employees of contractors.

Equal Employment Opportunity: Practices and policies prohibiting discrimination against a current employee or applicant on the basis of race, gender, color, creed, ancestry, national origin, age, disability, genetic information, and sexual orientation.

General Manager: The IMU General Manager is hired by the Board of Trustees and is the chief administrative officer responsible for day-to-day operations including policy enforcement.

Harassment: To make offensive or derogatory comments based on race, color, sex, religion or national origin either directly or indirectly to another person. To explicitly or implicitly ridicule, mock, demean, or belittle any person.

2.1

Immediate Family: Includes spouse, children, parent, grandparents, grandchildren, in-laws including mother, father, son, daughter, brother or sister and step relations.

Outside Employment: Employment of any kind engaged in by a Utility employee for which compensation is received from a source other than the Utility.

Retirement: The separation of an employee from the service of the Utility who is eligible for and receives benefits from a recognized retirement system.

Seasonal Employees: Seasonal employees are those who are hired to work for a period of ten (10) months or less. Seasonal employees are not eligible for employee benefits.

Sexual Harassment: Unwelcome sexual advances, requests for sexual favors, and/or all other verbal or physical conduct of a sexual or otherwise offensive nature where (1) submission to such conduct is made either explicitly or implicitly a term or condition of employment, (2) submission to or rejection of such conduct by an individual is used as the basis of employment decisions affecting the individual, and/or (3) such conduct has the purpose or effect of unreasonably creating an intimidating, hostile, or offensive working environment.

Supervisor: An employee responsible for scheduling, directing, and evaluating work of employees.

Suspension: The temporary separation of an employee, without pay, for disciplinary purposes.

Termination: The separation of an employee from the service of the Utility; including death, rejection, discharge, layoff, resignation, or retirement.

CHAPTER 3

EMPLOYMENT POLICY

3.1 OBTAINING CANDIDATES

A. VACANCIES

Announcement of vacancy may be made after approval of the General Manager to obtain additional candidates:

1. Contact appropriate sources of candidates.
2. Obtain an application/resume from each applicant.
3. In vacancy notices, candidates should be informed that upon request, the Utility will make special accommodations for disabled persons concerning the interviewing and hiring process.
4. Posting of vacancies shall be done at a minimum in the same manner as the postings of meeting agendas.

B. QUALIFICATIONS AND SUITABILITY

See “Staff Plan Organizational Charts and Job Descriptions” for a complete listing of requirements and preferences.

C. SUITABILITY INQUIRIES

1. Full Time Position
 - a. Verify formal education, if a factor.
 - b. Inquiries should be made of references provided and of past employers to cover performance, dependability, ability to get along with others, technical ability, supervisory ability, leadership qualities, reaction to change, general attitude toward job, character and reputation. Written inquiries shall be retained for candidates who are employed and destroyed with applications of other qualified candidates.
 - c. Background checks will be conducted for public interest in safety and well being of others. All attempts will be made to avoid negligent hiring litigation.
2. Part-time or seasonal employee – make any of the inquiries in 1. above as determined necessary.

D. PHYSICAL REQUIREMENTS

All applicants

1. Inquires should be made concerning the applicant’s ability to perform the required duties of the vacant position. Any accommodations needed or requested by the applicant to help them perform job-related functions should be noted. The applicant should only be selected if the accommodations are reasonable and they are the most qualified candidate.
2. After an applicant has been selected, the chosen applicant will be required to have a physical examination. A statement outlining the required duties is to be given to the physician making the examination. The Utility may designate the physician who will make the examination.

3. If the physical examination discovers or highlights any disability, disease or impairment that would render the applicant incapable of performing required duties without substantial and unreasonable accommodations, the Utility retains the right to review and, in some cases, modify its employment decision.
 - 3.1
4. Results of the examination are confidential.
 - a. Placed in a separate medical file if employed.
 - b. Returned to applicant if not employed.
5. The Utility reserves the right to require drug testing for job applicants.

E. AGE REQUIREMENTS

1. Full-time and regular part-time employees shall be not less than 18 years of age when hired.
2. Seasonal employees shall not be less than 16 years of age when hired with the exception of lifeguards, swim aides and operation assistants at the Memorial Aquatic Center. Aquatic Center employees shall not be less than 14 years of age when hired.
3. Law enforcement and fire/rescue personnel are determined by Civil Service.

3.2 EQUAL EMPLOYMENT OPPORTUNITY

The Utility is an equal opportunity employer and is committed to fair and equal treatment of all employees without regard to race, color, age, religion, sexual orientation, genetic information, ancestry, national origin, disability, or military veteran status that does not interfere with job performance with reasonable accommodation. The Utility is committed to administer all personnel actions in compliance with federal and state regulations. All applicants and employees will receive fair treatment in all aspects of personnel administration and will be treated with proper regard for their privacy and constitutional rights as citizens.

3.3 NON-DISCRIMINATION

It shall be the policy of the Utility to provide a work environment free of any form of discrimination, including harassment. In addition, the Utility will adhere to all federal and state laws pertaining to equal employment and prohibits discrimination on the basis of race, color, sex, national origin, religion or pregnancy. Under both of these laws, it is illegal for an employee to engage any verbal conduct that might be constructed as racial, sexual, ethnic or religious slur. Such behavior, regardless if committed by a supervisor or co-worker, will be considered employee misconduct and will be subject to employee disciplinary action up to and including termination.

All such incidences shall be reported immediately to the employee's direct supervisor, department head, General Manager, or the Director of Human Resources, who shall review the allegations for proper handling.

3.4 VETERANS' PREFERENCE LAWS

Chapter 35C the Code of Iowa extends a preference to hiring military veterans of qualified wars. The chapter specifically requires that "honorably discharged persons from the military or naval forces of The United States in any war in which The United States has been engaged who are citizens and residents of this state are entitled to preference in appointment and employment over other applicants of no greater qualification."

3.5 SEXUAL HARASSMENT

The purpose of the sexual harassment policy is to create a work place free of sexual harassment for all employees. This policy applies to employees at all levels in the organization and all appointed officials when serving as a representative or in an official capacity.

A. Legal References

1. Federal – Title VII, Civil Rights Act of 1964, prohibits discrimination in the workplace, and includes sex as a protected class. The Equal Employment Opportunity Commission (EEOC) guidelines established the legal definition of sexual harassing behavior.
2. State – Iowa Code 216, Title VI, Subtitle, Social Justice and Human Rights; although not defined, sexual harassment is considered to be a form of sex discrimination. Iowa Code 709, Sexual Abuse.

B. Sexual Harassment

Unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of sexual nature when:

1. Submission to such conduct is made either directly or indirectly a term or condition of employment.
2. Submission to or rejection of such conduct is used as the basis for employment decisions affecting such individual.
3. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment.

C. Covered by EEOC Definition

Quid pro quo, or "this for that" – these situations involve a tangible economic loss:

1. Committed by someone authorized to change the employee's job status (someone with the power to control the employee's job destiny).
2. Involves the exchange of employment benefits by a supervisor/employer for sexual favors from a subordinate employee.
3. Tangible economic loss must occur and includes termination, transfer, delay or denial of job benefits or negative performance reviews.

D. Hostile Working Environment

These situations usually do not involve economic loss, unless the victim leaves the job because of intolerable working conditions. A supervisor, co-worker, or someone else (vendors, sub-contractors, etc.), with whom the employee (victim) comes in contact on the job, creates an abusive work environment or interferes with the employee's work performance because of committing harassing acts of a sexual nature.

E. Types of Inappropriate Action

Two key phrases are “unwelcome” which means the behavior is unsolicited and unwelcome by the victim and “of a sexual nature” which means that sex or gender is the underlying nature of the behavior.

1. Physical – touching in a sexual manner: pinching, patting, rubbing up against, gestures, and assault.
2. Verbal – jokes of sexual nature, comments, rumors or questions about a person’s body, dress, personal life or sexual activities; using demeaning or inappropriate terms; using crude or offensive language including 3rd person (ex. I tell you a joke and someone else hears and is offended).
3. Visual – cartoons, drawings or caricatures of a sexual nature, pin-up pictures, calendars, magazines, posters of a sexual nature; displaying sexual objects in the workplace.
4. Hazing – teasing, practical jokes of a sexual nature, ostracizing.

F. Responsibilities

All employees are expected to take an active part to develop a work place free of sexual harassment.

1. Avoid actions, which constitute sexual harassment. All employees are personally responsible to avoid engaging in acts that constitute sexual harassment. Supervisory employees have an additional responsibility to exert their authority and enforce this policy when aware of harassment, including when the harasser is another supervisor.
2. Initiate action against a harasser if you are subjected to sexual harassment. The offended party should make it known to the harasser(s) that the requests, behaviors and/or inappropriate actions are unwelcome and to request that the harassment stop. The offended party should report it to their supervisor or file a written harassment complaint with the Director of Human Resources. Keep a written record or diary of the offensive behavior. Document who, what, where, when, how, witnesses and each party’s response when told the harassing behavior is unwelcome and must stop. Complaints alleging harassment that occurred three (3) years or more from the recent incident may not be filed. Cooperate with a fact-finding review of the sexual harassment complaint.

G. Fact Finding Review

The General Manager and/or others to be designated by the Utility on a case per case basis will conduct the fact-finding review. Appropriate action to be taken during or upon completion of the fact finding review could include corrective action, disciplinary action, legal action, or other action that may be appropriate. The Utility will not tolerate and will consider it a form of harassment:

1. If retaliation occurs against an employee who files a good faith complaint to report a violation.
2. If a false or malicious complaint is purposely filed.
3. If false information is purposely provided during a fact finding review.

The Utility will follow the appropriate state and federal laws regarding the privacy and confidentiality of the complaint(s), the individual(s) against whom the complaint is filed and the witness(es); consistent with legal obligations to conduct a fact finding review, to take appropriate action and to conform with any discovery or disclosure obligations. Although complete confidentiality cannot be guaranteed, the Utility will strive to conduct a fact finding review of the harassment complaint in a confidential manner consistent with the applicable state and federal laws.

3.6 EMPLOYMENT RESTRICTIONS

A. Restrictions

The employment of immediate family members shall comply with the following:

1. Members of immediate families are not to be employed on a full time and/or part time basis in the same department. However, members of immediate families may work for different departments.
2. Immediate family members of Board and Commission Representatives are not to be employed on a full or part time basis in a department for which the official has policy making or an advisory role.

Immediate family is defined in Chapter 2, Section 2.3

B. Exception

If no other qualified or suitable person is available and upon recommendation by the General Manager and approval by the Board of Trustees, with reference to the action documented in the employee's folder.

3.7 PRE-EMPLOYMENT PHYSICALS

Safety starts with the proper hiring practices to ensure that the person hired for a position is physically and technically capable of safely performing the task(s) per job description.

It is the policy of Indianola Municipal Utilities that every new full and regular part time employee undergoes a pre-placement physical. The employee will be directed to the Indianola Municipal Utilities' designated physician/clinic. The physician performing the physical shall present an opinion as to the employee's ability to perform the task. The costs of the physical shall be paid by IMU.

A. Job Descriptions

It shall be the responsibility of the Technical Services Coordinator or Director of Human Resources to provide a copy of the applicable job description to the physician conducting a pre-placement physical for each new employee. Each department head shall be responsible for updating job descriptions within their department annually as part of the evaluation process to ensure they adequately reflect the requirements of the job.

3.8 CONFLICT OF INTEREST

A. Conflict

An employee shall not use their position to promote or influence any private business interest.

B. Outside Work

An employee shall not engage in outside work or hold financial interest that could:

1. Result in a conflict of interest with official duties.
2. Tend to bias their judgment or otherwise embarrass the Utility.
3. Be detrimental to them in the performance of their designated duties.

3.9 GIFTS TO EMPLOYEES

Employees may receive a gift on behalf of the Utility which is then given to the Utility. Other than gifts which are received on behalf of the Utility, employees shall not, either directly or indirectly, solicit, accept or receive any gift, series of gifts or an honorarium unless the donor does not meet the definition of “restricted donor” stated below or the gift or honorarium does not meet the definition of gift or honorarium stated below.

A. Restricted Donor

A “restricted donor” is defined as a person or other Utility which:

- Is seeking to be, or is a party to, any one or any combination of sales, purchases, leases or contracts to, from or with the Utility and;
- Will be directly and substantially affected financially by the performance or nonperformance of the employee’s official duty in a way that is greater than the effect on the public generally or on a substantial class of persons to which the person belongs as a member of a profession, occupation, industry or region; or
- Is a lobbyist or a client of a lobbyist with respect to matters within the Utility’s jurisdiction.

B. Gift

A “gift” is the giving of anything of value in return for which something of equal or greater value is not given or received. However, “gift” does not include any of the following:

- Contributions to a candidate or a candidate’s committee;
- Information material relevant to an employee’s official function, such as books, pamphlets, reports, documents, periodicals or other information that is recorded in a written, audio or visual format;
- Anything received from a person that is related within the fourth degree by kinship or marriage, unless the donor is acting as an agent or intermediary for another person not so related;
- An inheritance;
- Anything available or distributed to the general public free of charge without regard to the official status of the employee;

- Items received from a charitable, professional, educational or business organization to which the employee belongs as a dues paying member if the items are given to all members of the organization without regard to an individual member's status or positions held outside of the organization and if the dues paid are not inconsequential when compared to the items received;
- Actual expenses of an employee for food, beverages, travel and lodging for a meeting, which is given in return for participation in a panel or speaking engagement at the meeting when the expenses relate directly to the day or days on which the employee has participation or presentation responsibilities;
- Plaques or items of negligible resale value given as recognition for public service;
- Non-monetary items with a value of less than three dollars that are received from any one donor during one calendar day;
- Items or services solicited or given to a state, national or regional organization in which the State of Iowa or a political subdivision is a member for purposes of a business or educational conference, seminar or other meeting or solicited by or given for the same purposes to state, national or regional government organizations whose memberships and officers are primarily composed of state or local government officials or employees for purposes of a business or educational conference, seminar or other meeting;
- Items or services received by members or representatives of members as part of a regularly scheduled event that is part of a business or educational conference, seminar or other meeting that is sponsored and directed by any state, national or regional government organization in which the State of Iowa or a political subdivision of the State of Iowa is a member or received at such an event by members or representatives of members of state, national or regional government organizations whose memberships and officers are primarily composed of state or local government officials or employees;
- Funeral flowers or memorials to a church or nonprofit organization;
- Gifts which are given to an employee for the employee's wedding or twenty-fifth or fiftieth wedding anniversary;
- Payment of salary or expenses by the Utility for the cost of attending a meeting of a subunit of an agency when the employee whose expenses are being paid serves on a board, commission, committee, council or other sub-unit of the agency and the employee is not entitled to receive compensation or reimbursement of expenses from the Utility for attending the meeting; or
- Gifts other than food, beverages, travel and lodging received by an employee which are received from a person who is a citizen of a country other than the United States and is given during a ceremonial presentation or as a result of a custom of the other country and is of personal value only to the employee.
- Actual registration costs for informational meetings or sessions that assist a public official or public employee in the performance of the person's official functions. The costs of food, drink, lodging and travel are not "registration costs" under this paragraph. Meetings or sessions which a public employee attends for personal or professional licensing purposes are not "informational meetings or sessions which assist a public official or public employee in the performance of the person's official functions" under this paragraph.

C. Honorarium

An “honorarium” is anything of value that is accepted by, or on behalf of, an employee as consideration for an appearance, speech or article. An honorarium does not include any of the following:

- Actual expenses of an employee for registration, food, beverages, travel or lodging for a meeting, which is given in return for participation in a panel or speaking engagement at a meeting when the expenses relate directly to the day or days on which the employee has participation or presentation responsibilities;
- A non-monetary gift or series of non-monetary gifts donated within thirty days to a public body, an educational or charitable organization or the Iowa Department of General Services; or
- A payment made to an employee for services rendered as part of a private business, trade or profession in which the employee is engaged if the payment is commensurate with the actual services rendered and is not being made because of the person’s status as an employee of the Utility, but, rather, because of some special expertise or other qualification.

It shall be the responsibility of each employee to know when it is appropriate to accept or reject gifts or an honorarium.

3.10 EMPLOYMENT MILESTONES

The General Manager is authorized to recognize an employee who retires from IMU service, attains Journeyman status, or completes Grade 2 or Grade 4 Water Operator status by hosting a gathering of employees and the general public. The amount spent shall not exceed \$200 in addition to a plaque or certificate. No gift shall be provided using public funds, although it is permissible for staff to solicit voluntary donations to be included with a card for the employee, limited by Section 3.9 of this manual.

3.11 EMPLOYMENT & LIFE EVENTS

Staff may purchase a card in a nominal amount and solicit voluntary donations to recognize major events in an employee’s life including-

1. Leaving employment for any reason
2. Marriage
3. Hospitalization
4. Birth or adoption of a child
5. Death in their immediate family as defined in the Employee Handbook (may be sent to another family member if it is an employee).

In addition, events #4 and #5 may be recognized by purchasing flowers in an amount up to \$50 or other acknowledgement in an amount up to \$20.

The General Manager is authorized to appropriately recognize the death of retired employees, elected and appointed officials, and active City of Indianola employees and their spouses for service to the public by purchasing flowers in an amount up to \$50 or other acknowledgement in an amount up to \$20.

3.12 EMPLOYMENT PROVISIONS

Acknowledging restrictions on employee gifts in Section 3.9 of this manual, staff should use proper judgment when receiving nominal food items as a group of employees. Food items gifted to groups of employees should be placed in a location accessible to the general public when feasible, with discretion being given to the General Manager to be consistent with the spirit of this policy.

Management staff is authorized to provide coffee and snacks at official safety training sessions in an amount not to exceed \$25 per session. This recognizes the value of local vs. offsite training, time savings from employees not leaving the training session on official breaks to get refreshments, encourages teamwork during training sessions, and incentivizes active participation.

Staff may also routinely purchase supplies and related equipment such as for coffee, promotional items, materials & other nominal items to be used for-

1. The annual customer appreciation event
2. The annual sustainability event
3. Other events authorized by the Board of Trustees
4. Hosting of customers, vendors, and the public in general

All purchases of this nature shall avoid using public funds for personal use. Under no circumstances shall alcohol or gift items be purchased using public funds. Leftover items shall be disposed of by the General Manager in a manner consistent with the best interests of the public.

3.13 APPLICATIONS AND RESUMES

All applicants for employment shall file an application on a form provided by the Utility. Written statements or documentation such as resumes, transcripts, or letters of recommendation may be attached, but the Utility shall not be responsible for the return of any attachments.

In making a selection from among candidates to fill vacancies, the appointing authority may use written, oral or performance tests, an evaluation of training or experience, or any combination of these. Investigations of character, personality, education, driving record, experience or physical fitness may also be made as deemed appropriate.

Applicants for employment who provide false, inaccurate, or incomplete information in their application form or resume or who fail to disclose information requested in the application form will not be eligible for employment.

Employees who have provided false, inaccurate or incomplete information in their application form or resume or who have failed to disclose information requested in the application form will be subject to disciplinary action, including termination of employment. This policy shall apply to all employees regardless of the date on which the individual was employed and applies to all violations regardless of the date on which the Utility discovers the violation of this policy.

3.14 AMERICANS WITH DISABILITY ACT

It is the intent of the Utility to guarantee disabled persons equal opportunity to participate or enjoy the benefits of Utility services, programs or activities and to allow disabled employees a bias free work environment. The Utility upon request will provide reasonable accommodations in compliance with the American With Disabilities Act (ADA). As long as such action does not pose an undue hardship in accordance with federal and state law.

Recruitment and selection processes will grant equal opportunity for employment to qualified applicants and will not discriminate on the basis of disability. Reasonable accommodation will be provided upon request during an application/interview process.

When an employee by reason of a claimed disability may require reasonable accommodations in order to continue performing the essential functions their job, the individual claiming the disability shall notify the Director of Human Resources or their supervisor of the claimed disability and the request for reasonable accommodation.

The candidate or employee claiming to have a disability and requesting an accommodation for that disability shall provide:

1. Documented medical evidence of the claimed disability.
2. A written statement of the means of accommodation that would enable the candidate or employee to perform the essential functions of the job that meet Utility performance standards.
3. A written statement of acceptance or rejection of any alternative means of accommodation proposed by the committee and the reason for any such rejection.

The Director of Human Resources shall make a decision on disability and accommodation within a reasonable time after receiving the information.

3.15 EMPLOYEE APPEARANCE AND ATTIRE

Dress, grooming, and personal cleanliness standards contribute to the morale of all employees and affect the business image the Utility presents to residents and visitors. During business hours employees should present a neat business-like appearance in their clothing, hairstyle, and grooming in general, suitable to the department in which they are working. Each employee is expected to use mature judgment in making such appearance decisions.

If, in the opinion of an employee's supervisor, an employee fails to maintain a proper appearance, steps necessary to resolve non-compliance will be taken. Disciplinary action may be taken for failure to follow policy.

3.16 BUSINESS AND ETHICAL CONDUCT

Successful business operations and the reputation of the Utility are built upon the principals of fair dealing and ethical conduct of employees. Employees are expected to observe all applicable laws and regulations, as well as hold the highest standards of conduct and personal integrity.

The use of good judgment and high ethical principals should guide employees with respect to acceptable employee conduct. Compliance with the policy of business and ethical conduct will be the responsibility of every employee. Disregarding or failing to comply with the policy could lead to discipline, up to and including possible termination of employment.

3.17 DRIVER'S LICENSE AS JOB REQUIREMENT

All current employees and applicants for employment in job positions that require a valid drivers license shall obtain and maintain a valid Iowa Drivers License and/or Commercial Drivers License as required, prior to his or her first day of employment unless otherwise exempted by the General Manager. Loss of license or loss of insurability by the Utility's insurance carrier may be cause for termination.

The General Manager may reimburse the employees for costs associated with the initial testing & class work related to attaining an initial CLD license as a cost of training under Section 4.5 of this manual. Renewals and all subsequent licenses remain the responsibility of the employee.

3.18 BONDABLE

All current employees and all applicants for employment that require a bond must be bondable by the Utility's insurance carrier. Loss of bondable status may be cause for termination.

3.19 HOLDING AND CAMPAIGNING FOR PUBLIC OFFICE

A. Employee Candidate

An employee who is a candidate for public office shall not, in any way or manner, campaign for the office during his working hours as an employee of the Utility.

B. Conflict of Interest

No employee shall hold a public office under the jurisdiction of the Utility, which in any way would constitute a conflict of interest between the office and the employee's full-time active employment with the Utility under this policy. In addition, an employee running for political office may not utilize Utility materials or property for purposes of conducting a political campaign. An employee who becomes a candidate for any political elective office, shall, upon request of the employee and commencing anytime within thirty (30) calendar days prior to a contested primary, special, or general election and continuing until the day following that election, automatically be given a period of leave. This leave of absence shall be without pay. However, the employee may elect to use accrued vacation leave or accrued compensatory time instead of leave without pay to cover this period. An employee who is a candidate for any elective public office shall not campaign while on duty as an employee.

C. Elected Employee

An employee who is elected to a municipal, county, state or federal office shall, upon written application to the General Manager, be granted an unpaid leave of absence without benefits, and from regular employment to serve in that office except where prohibited by the federal law.

CHAPTER 4

OTHER EMPLOYEE BENEFITS

4.1 FAMILY AND MEDICAL LEAVE

A. Statement of Policy

In accordance with The Family and Medical Leave Act of 1993 and its amendments the Utility will grant employees up to twelve (12) weeks of unpaid, job-protected leave for any one or more of the following reasons:

1. The birth of a child and in order to care for such child or the placement of a child with the employee for adoption or foster care.
2. In order to care for an immediate family member (spouse, child, or parent) of the employee if such immediate member has a serious health condition.
3. The employee's own serious health condition that makes the employee unable to perform the functions of his/her position.
4. Qualifying exigencies arising out of the fact that the employee's spouse, son, daughter, or parent is on active duty or call to active duty status as a member of the National Guard or Reserves in support of a contingency operation.

B. Eligibility

To be eligible for Family Medical Leave, an employee must have at least one year of service and have worked at least 1,250 hours over the previous twelve (12) month period.

Employees applying for and granted a family leave of absence are required to meet notification and documentation requirements as outlined further in this policy. Failure to meet these requirements may result in the denial or revocation of family leave.

For part time employees and those who work variable hours, FMLA entitlement is calculated on a pro rata basis. A weekly average of the hours worked over the twelve weeks prior to the beginning of the leave should be used for calculating the employee's normal workweek.

C. Definitions

1. "Twelve Month Period" will be a calendar year beginning January 1st.
2. "Spouse" if both spouses work for the Utility, their total leave in a year may be limited to an aggregate of twelve weeks if the leave is taken for either the birth or placement for adoption or foster care of a child or for a sick parent.
3. "Child" means a child either under 18 years of age, or 18 years of age or older who is incapable of self-care because of a mental or physical disability. An employee's "child" is one for whom the employee has day-to-day responsibility for care and includes a biological, adopted, foster, or stepchild.
4. "Serious Health Condition" means an illness, injury, impairment, or a physical or mental condition that involves:
 - a. Inpatient care
 - b. Any period of incapacity requiring absence from work, school, or regular daily activities of more than three (3) calendar days and that involves continuing treatment by a health care provider.

- c. Continuing treatment by or under the supervision of a health care provider for a chronic or long term health condition that is incurable or which, if left untreated, would likely result in a period of incapacity of more than three (3) calendar days.
- d. Any period of incapacity related to pregnancy or for prenatal care.

D. Intermittent or Reduced Leave

An employee may take leave intermittently (a few days or a few hours at a time) or on a reduced leave schedule when medically necessary to care for an immediate family member with a serious health condition or because of a serious health condition of the employee. “Medically necessary” means there must be a medical need for the leave and the leave can best be accomplished through an intermittent or reduced leave schedule. The employee must make a reasonable effort to schedule treatment(s) so as not to unduly disrupt the Utility’s operation. If an employee requests reduced or intermittent leave, once the intermittent or reduced leave has been completed, the employee must be transferred back to the same position that the employee held prior to taking the FMLA leave or to an equivalent position. An employee may take leave intermittently or on a reduced leave schedule for birth or placement for adoption or foster care of a child only with the supervisor’s consent.

E. Notification

An employee is required to give thirty (30) days notice in the event of a foreseeable leave. A “Request for Family/Medical Leave” form should be obtained from the Director of Human Resources completed by the employee and returned to the Director of Human Services. In unexpected or unforeseeable situations, an employee should provide as much notice as possible.

F. Medical Certification

An employee may request FMLA leave, and the Utility requires the request be supported by a certificate of a doctor or practitioner at the time the request is made or no later than fifteen (15) calendar days after the request is made. It is the employer’s responsibility to designate leave taken for FMLA reason as FMLA leave in writing. A “Physicians Certification Form” is available from the Director of Human Resources. The Utility may also require a second or third opinion at their expense. Periodic reports on the employee status, intent to return to work, and a fitness-for-duty report to return to work will be provided.

All documents related to the employee’s or family member’s medical condition will be held in strict confidence and maintained in the employee’s medical records file.

G. Effect of Benefits

1. In all cases applicable paid leave (sick, compensatory, vacation, personal, family) shall be substituted for unpaid leave except that employees may retain 40 hours of vacation and 40 hours of sick leave.
2. Taking unpaid FLMA leave will not result in the loss of any employee benefit accrued prior to the date on which the leave began. Vacation and other accrued benefits will not accrue during unpaid FMLA leave. Unpaid leave in excess of 30 days change the seniority date, but do not negate past service.

3. Both paid and unpaid leave will be counted toward the maximum twelve (12) weeks entitlement. This means that an employee will not be entitled to 12 weeks of unpaid leave in addition to any paid leave taken under the FMLA.

H. Continuation of Health Insurance

An employee on family/medical leave may remain a participant in the Utility's health insurance plan throughout the duration of the leave, as if actively employed. They will be required to pay the same cost of coverage as if actively at work. Employee contributions will be required either through payroll deductions or by direct payment to the Utility.

The employee will be informed of the amount and method of payment at the beginning of the leave. Loss of insurance coverage may result if the premium is more than thirty (30) days late. If the employee misses a premium payment and the Utility pays the employee contribution, the employee will be required to reimburse the Utility for the delinquent payment upon return from the leave.

If an employee informs the Utility that they do not intend to return to work at the end of the leave period the Utility's obligation to provide health benefits ends. If the employee chooses not to return to work for reasons other than a continued serious health condition, the Utility will require the employee to reimburse the Utility the amount contributed toward the employee's health insurance during the leave period.

I. Return to Work

An employee returning from leave taken under this provision is entitled to return to the position held when the leave began, if that position is vacant. If the position is not vacant, the employee must be returned to an equivalent position with equivalent benefits, pay, and other conditions.

J. Fitness-For-Duty Certification

Employees may be required to provide a certificate from their physician that they are able to resume their normal duties. Specifically addressing the employee's ability to perform the essential functions of the employee's job.

K. Military Caregiver Leave (also known as Covered Service-Member Leave)

Eligible employees who are family members of covered service-members will be able to take up to 26 workweeks of leave in a "single 12-month period" to care for a covered service-member with a serious illness or injury incurred in the line of duty on active duty. Based on a recommendation of the President's Commission on Wounded Warriors (the Dole-Shalala Commission), this 26 workweek entitlement is a special provision that extends FMLA job-protected leave beyond the normal 12 weeks of FMLA leave. This provision also extends FMLA protection to additional family member (i.e., next of kin) beyond those who may take FMLA leave for other qualifying reasons.

L. Qualifying Exigency Leave

The second military leave entitlement helps families of members of the National Guard and Reserves manage their affairs while the member is on active duty in support of a contingency operation. This provision makes the normal 12 workweeks of FMLA job-protected leave available to eligible employees with a covered military member serving in the National Guard or Reserves to use for “any qualifying exigency” arising out of the fact that a covered military member is on active duty or called to active duty status in support of a contingency operation. The Department’s final rule defines qualifying exigency by referring to a number of broad categories for which employees can use FMLA leave: (1) Short-notice deployment; (2) Military events and related activities; (3) Childcare and school activities; (4) Financial and legal arrangements; (5) Counseling; (6) Rest and recuperation; (7) Post-deployment activities; and (8) Additional activities not encompassed in the other categories, but agreed to by the employer and employee.

4.2 APPEARANCE AS WITNESS IN COURT

A. In Official Capacity

An employee when appearing to produce records or testify with or without subpoena on behalf of the Utility shall be paid full salary and travel expenses.

B. In Non-Official Capacity

When an employee appears as a witness:

1. On behalf of the Utility during the regular duty hours of established tour of duty:
 - a. Place on Court Leave (authorized absence, without charge to leave or loss of pay.)
 - b. Pay salary at regular rate. Do not pay travel expenses. Employee may retain reimbursement for travel expenses received from the court.
 - c. Require employee to turn over to the Utility all payment of services received from the court.
2. Not on behalf of the Utility:
 - a. Shall be placed on vacation, compensatory, personal leave, or leave without pay.
 - b. Shall be paid or not paid according to their leave status. (Employee may retain all payments received from the court.)

4.3 WELLNESS PROGRAM

For the physical and mental well being of employees the following wellness program is offered to full time employees and their spouses and regular part-time employees (employee only) averaging twenty (20) hours per week after one (1) year of service.

A. Parks and Recreation Programs

Some Parks and Recreation programs are offered at no cost to the employee and spouse. Usually these programs are listed under Wellness in the seasonal brochure published by the Parks and Recreation Department.

B. Health Club Monthly Fee Reimbursement

The Utility will pay a portion of the monthly membership fee -\$15 for single and \$25 for family for twelve months of the calendar year. The maximum reimbursement is \$180 per individual and \$300 per family.

C. Memorial Aquatic Center

General admission use of the Aquatic Center at no charge. Parents must pay their child's admission.

D. Yearly Blood Screening and Blood Pressure Check

Employees and spouses are offered an annual blood screen and blood pressure check as part of the Utility sponsored wellness program.

E. Flu Shots

Utility sponsored annual flu shots are available to employees and spouses. For those employees choosing to receive flu shots from their own clinics/physicians the Utility will reimburse the employees the same dollar amount spent per individual on the Utility sponsored flu shot program. Employees must present an invoice/receipt to the Human Resources Office for reimbursement.

4.4 EMPLOYEE & FAMILY RESOURCES

A wide range of personal or health problems can affect employees, their families and their job performances. Examples of such problems include marital, family or financial difficulties, mental or personal problems, substance abuse or alcoholism. The Utility also recognizes that while these problems are serious, they can be successfully resolved if identified and treated in the early stages of development. Therefore, the Utility is sponsoring an Employee & Family Resources program as a means of assisting all employees and their family members who may be experiencing a personal problem to obtain help in resolving their difficulty. It is recognized however, that successful resolution for such problems requires a high degree of personal motivation and willingness for cooperation from the employee.

Employees have access to free, confidential, professional services to help them deal with problems before they begin to affect their job performance and health subject to limits set by contract entered into by Utility. Employee & Family Resources can be reached by telephone at 244-6090 or visit their website at www.efr.org/eap. Once on the website, click on "Workplace Services", "Current EAP Customers" and enter code 798644.

4.5 TRAINING & SELF IMPROVEMENT

It is of mutual interest and benefit to both the employee and the Utility to advance individual knowledge, skills, and abilities. The Utility, therefore, wishes to encourage all employees to avail themselves of any appropriate program subject to improve their work performance.

A. Orientation of New Employees

New employees are to receive formal in-depth department orientation immediately upon being hired. An enrollment checklist shall be utilized and become a part of the employee's personnel folder for benefits and citywide policies. An organization overview and an in-depth benefit orientation will be given within 6 months for all regular full and part time employees.

B. Specific Safety Programs and Procedures

1. Employees will be trained on specific programs and procedures in their departments that may include the following:
 - a. Personal Protective Equipment
 - b. Respiratory Protection
 - c. Hearing Conservation
 - d. Lockout/Tagout
 - e. Confined Spaces Entry
 - f. Hazardous Communications
 - g. Blood-Borne Exposure Control Plan
2. The Department head or their designee will provide ongoing safety training in the following areas as the need arises:
 - New equipment
 - Changes in operations
 - Identified areas of increased accidents
 - Identified areas of exposure
 - Annual refresher training required for each program
3. Documentation of Safety Training:

Documentation from any training courses attended by employees, supervisors or managers will be kept. Documentation associated with safety meetings and training, will be kept in the employees personnel file. Employees who do not attend regularly scheduled safety meetings or training activities will be identified and scheduled to attend make-up training.
4. New Employee Safety Orientation:

Department heads or their designee will provide an orientation to all new employees to address the hazards of their position. Including a review of all safety rules, policies/procedures, equipment, etc., that is applicable to the new employee's duties. New employees will be given an opportunity to ask any relevant questions that may pertain to their assigned duties. The Technical Services Coordinator will maintain documentation of the safety orientation training for each new employee.

4.6 FLEXIBLE SPENDING – 125 PLAN

Employees have the opportunity to participate in the pre-tax option for:

1. Medical/Dental/Optical Expense Reimbursement
2. Dependent Care Reimbursement
3. Pre-Tax Medical Premium Payments

The Utility will pay the monthly fee for employees in the Flexible Spending Plan.

4.7 LIFE & AD&D INSURANCE

The Utility provides life insurance coverage, including accidental death and dismemberment for all full time employees. The Utility pays the full premium. Coverage is effective on the first of the month following the start date.

A. Coverage

1. Full Time Union Employees - \$15,000 life insurance policy
2. Full Time Non-Union Employees – 1 times salary rounded to the next higher \$1,000 with a \$25,000 minimum and a \$45,000 maximum

B. Optional Coverage

1. Dependent insurance coverage is only applicable if selected by the insured employee and premiums (paid by the employee) have been remitted for coverage.
2. Additional coverage for the employee and dependents may be available for purchase – premiums.

4.8 VOTING LEAVE

All Utility employees are entitled to vote in an election. However, if an employee does not have three consecutive hours of non-work time in the period between the opening and closing of the polls, employees are entitled to limited paid time off to go vote. Notice must be given to the employee's supervisor prior to taking leave.

CHAPTER 5

PAY, DEDUCTIONS, & TAXES

5.1 PURPOSE

The purpose of a compensation system is to attract, retain, and motivate employees through payment of salaries within a structure that is market competitive and which recognizes the relative work of jobs within the organization.

5.2 PAY

Pay periods are biweekly beginning at 12:01 AM on Sunday. Payment of salary will be made no later than six (6) calendar days following completion of the pay period.

A. Deceased Employees

The lump sum payment of unpaid compensation shall include pay for the date of death subject to the following conditions:

1. Deceased employee was in pay status on the day of death.
2. Deceased employee was in pay status immediately preceding their day of death.
3. Payment for day of death shall be for hours worked in their normal workday.
4. Employees on sick or annual leave are considered to be in pay status.

5.3 PAYROLL DEDUCTIONS/DIRECT DEPOSIT

A. Payroll Deductions

A wide variety of payroll deduction options are available to employees:

1. Credit Union/Savings Accounts
2. Deferred Compensation (ICMA-Retirement 457 Plan)
3. Union Dues
4. Group Insurance
5. Medical and Dependent Care Flexible Spending Accounts (125 Plan)
6. Voluntary Dependent Life Insurance

B. Wage Garnishments

The Utility expects employees to meet their financial obligations. Wage garnishment against an employee's salary causes extra work, time, and expense and the Utility expects these to be held to a minimum.

C. Direct Deposit

The Direct Deposit of payroll is required for all new full-time and regular part-time employees. An employee may divide their check among 2-3 depositories and/or accounts for same day ACH deposit. Contact the Director of Human Resources for additional information on direct deposit.

D. Mailing of Paychecks

An employer must have a written release from an employee prior to wages being sent by mail to an employee, Mailing Authorization forms are available from the City Clerk.

5.4 WAGE PAYMENT COMPLAINT

It is the Utility's policy to comply with all applicable laws with respect to payment of wages and benefits to employees including laws such as the Federal Fair Labor Standards Act and the Iowa Wage Payment Collection Act. The Utility will not make pay deductions that violate either the federal or state laws.

Any employee who believes that the Utility has made an inappropriate deduction or has failed to make proper payment regarding wages or benefits is encouraged to immediately consult with the appropriate supervisor. Alternatively, any employee may file a formal written complaint with the Director of Human Resources. Within 15 business days of receiving the complaint, the Director of Human Resources will make a determination as to whether the pay deductions were appropriate and provide the employee with a written response that may include reimbursement for any pay deductions that were not appropriately made.

This complaint procedure is available in addition to any other complaint process which also may be available to employees.

5.5 PAY DEDUCTIONS FOR LEAVE

The Utility provides leaves of absences to allow employees to be absent from work to attend to important matters outside of the workplace. As public employers, Entities are expected to record and monitor the work that employees perform and to conform to principles of public accountability in their compensation practices.

Consistent with principles of public accountability, it is the policy that, when an employee is absent from work for less than one work day and the employee does not use accrued leave for such absence, the employee's pay will be reduced or the employee will be placed on leave without pay if:

1. The employee has not sought permission to use paid leave for this partial-day absence,
2. The employee has sought permission to use paid leave for this partial-day absence and permission has been denied,
3. The employee's accrued paid leave has been exhausted, or
4. The employee chooses to use leave without pay.

In each case in which an employee is absent from work for part of a work day, a deduction from compensation will be made or the employee will be placed on leave without pay for a period of time which is equal to the employee's absence from the employee's regularly scheduled hours of work on that day.

5.6 ATTENDANCE/LATENESS

Good attendance cannot be stressed enough. Each employee is responsible for maintaining an exemplary level of attendance while working for the Utility.

Examples of poor attendance are:

1. Absenteeism
2. Leaving early
3. Being chronically late
4. Taking longer than the time period designated for lunch
5. Taking more than the designated two (2) fifteen (15) minute breaks each day.

If an employee is unable to report to work at a scheduled starting time, the employee shall notify his or her supervisor within thirty (30) minutes of the scheduled starting time unless mitigating circumstances make such notification impossible. Failure to provide such notification may, at the option of the Utility, result in a loss of pay for that day or a portion thereof.

Chronic or routine lateness may be cause for disciplinary actions.

CHAPTER 6

INCENTIVE AWARDS

Many employees, because of ability and dedication to duty, perform in a manner warranting recognition. This recognition may be limited to a commendation from the supervisor. Such a commendation may be given orally or in writing. In some cases broader and more meaningful recognition is warranted. Additional types of recognition are covered in this section.

6.1 AWARDS BANQUET

IMU may hold an annual awards banquet and other events to recognize individuals for achievement and distinction. The General Manager may authorize staff to expend funds only to offset costs for dinner, decorations/site rental, and employee awards such as certificates and plaques.

6.2 MERITORIOUS PERFORMANCE

An award granted for performance exceeding job requirements in one or more segments of the job over an extended period. A Meritorious Performance Award also covers special acts or services of a one-time occurrence with or related to official employment.

A. Examples of Meritorious Performance

1. Performance overcoming unusual difficulties.
2. Performance resulting in significant economies or other highly desirable benefits.
3. Exemplary handling of an emergency situation.
4. On-going exemplary customer service, to be used as a role model throughout the organization.

B. Award

Not more than \$100 may be paid to an individual. If a group of employees are being recognized, the total award may be more than \$100. In this case each individual award shall not be less than \$15 or more than \$100. Awards shall also include a signed appreciation certificate.

C. Presentation

The Board Chairperson may present the award at a formal Trustee meeting or other event.

D. Eligibility Requirements

Full, regular part-time, seasonal employees and volunteers.

E. Group Rewards

Special attention should be given to groups who make exceptional contributions to customer service, efficiency or financial benefit to the organization. Management should be continuously on the alert for situations where group effort has made contributions which merit special recognition. A group exists where two or more employees deserve credit for the contribution. The total value of the contribution must be sufficiently above normal expectations to warrant recognition for the number of people involved.

F. Documentation for Meritorious Performance

Forms are available in the Office of Human Resources. Nominations will need to include specific data indicating how the employee or group exceeded normal requirements of their position(s).

G. Initiation of Recommendation for Award

The recommendation should be initiated immediately after the accomplishment is identified. In any event, the initiation should occur within a month of the completion of the period of performance or the special act of service.

H. Action on Award Recommendations

1. Awards will not be granted without the Board of Trustees' approval.
Documentation of action is to be noted on the recommendations. Cash awards are subject to withholding tax and FICA deductions.
2. Type of Awards – Awards may be in form of a 'Certificate of Appreciation,' or a cash award including a certificate. As a general rule, any recommendation would receive a certificate.

6.3 EMPLOYEE SUGGESTION PROGRAM

As a means to continually improve service delivery employees are encouraged to bring forth their ideas.

A. Definition

An idea that contributes directly to improving customer service, efficiency or is of financial benefit to the organization. Proposals must:

1. Identify specific problems or present specific ideas
2. Offer positive solutions

B. Ineligible Proposals

1. Ideas related to services or benefits to employees
2. Working conditions, considered as benefits
3. Normal or routine safety practices
4. Anything considered a normal corrective practice of the job or assignment.

C. Award

1. Standard – An employee or group is eligible for a cash award if the contribution:
 - a. Exceeds job requirements, and
 - b. Has a tangible or intangible value of at least \$250.
2. Amount – A minimum award of \$25 shall be paid for each individual's suggestion adopted. If a group suggestion is adopted, the amount of award to each employee shall not be less than \$15.

D. Initiation of Suggestion

Suggestions must be submitted in writing to be eligible for consideration. They may be submitted by an individual, group or a supervisor. No special form is required.

1. Requirements – The person who suggests the idea is not expected to develop, study, test, or evaluate the idea. The originator of the idea only needs to indicate briefly the method, procedure, form, record, etc. which the suggestion affects, what change is proposed, and what benefits he/she thinks will result.
2. Submission – Suggestions are to be sent through supervisory channels to the General Manager.

E. Action by Supervisors and General Manager

Supervisors shall date suggestions immediately upon receipt. Each supervisor or department head must comment on the suggestion either recommending its adoption or rejection including reasons therefore. They should then forward the suggestion through channels to the General Manager for his/her recommendations to the Board of Trustees. Every effort should be made to have the suggestion to the General Manager within ten (10) days from initial receipt of the suggestion.

F. Final Action

The originator of the idea will be advised of the final action taken by the Board of Trustees. Notification will be issued. Cash awards made under this program are subject to withholding tax and FICA deductions.

6.4 CUSTOMER SERVICE AWARD

This is awarded to an employee or group of employees who are recognized for work they perform or in the line of duty which results in above average service to the community, individual or organization. Service our customers voluntarily go out of their way to acknowledge and want others to recognize.

A. Guidelines

1. The job or work noted is to be above and beyond normal everyday duties and is non-recurring in nature.
2. The employee is not already being compensated for the recognition under another program.
3. The nomination is for work performed, not donations of cash or goods or for general community service such as donating at a blood drive.

B. Eligibility

A specific written recognition naming received as:

- E-Mail
- Card/Letter
- Newspaper Article
- Letter to the Editor

It may also be a telephone call to a supervisor, General Manager and/or Trustee but written acknowledgement is preferred. Nominations are submitted to the Office of Human Resources. Employees may not be nominated by supervisors, co-workers, or family members for this award.

C. Award

1. Employees are presented awards during the Annual Awards Banquet.
2. A letter of appreciation from the General Manager and 2-hours of paid vacation.
3. Each employee may receive only one award on an annual basis (Jan.1-Dec. 31).

6.5 LENGTH OF SERVICE AWARDS

All employees with five (5) or more years of service as of December 31st of each year are eligible. Prior service shall be credited. Certificates and styled shirts with embroidered logo, specific department and years of service will cover service periods in multiples of 5 years, i.e. 5, 10, 15, 20 etc. Certificates will be signed by the IMU Chairperson and General Manager.

6.6 SAFETY AWARDS

The purpose is to create and maintain a personal interest in accident prevention by each employee. Maintaining a low accident rate and a safe working environment minimizes the employer and employee's losses due to the added costs attributed to accidents.

A. Annual Safety Awards

Recognize and reward those employees who have worked safely throughout the year and do not have an on-the-job accident or a preventable vehicle or equipment damage accidents. Award presentation will take place at the annual awards banquet

1. This is a list of requirements that an employee will meet to receive his/her safety award:
 - a. Employees who have been on the job more than one year.
 - b. Employees who do not have an on-the-job accident that results in lost work time. This includes use of sick leave, workers comp, short-term disability, vacation, comp time, etc. for the time away as a result of the on-the-job accident.
 - c. Employees without an on-the-job accident resulting in a job restriction set forth by a physician or licensed health care professional.
 - d. Employees who have not caused a lost time injury to another employee.
 - e. Employees who have not had a motor vehicle or equipment damage accident.
 - f. Employees without a first report of injury involving a doctor's care.
 - g. Employees without a warning for violating safety rules including, but not limited to, hard hats, safety glasses, proper footwear or seat belts.
 - h. The Safety Coordinator shall have final approval.
2. An accident is defined as an incident causing injury or damage to personnel or equipment. Due to the nature of work, small scrapes and cuts are normal to the work environment. A vehicle or equipment is considered damaged when it requires repairs due to the actions of the operator as determined by the supervisor.
3. Eligible employees are those full and regular part time non-management and management personnel that face injury exposure. The employees include:

- * Electric Distribution
 - * Electric Generation
 - * Electric Storekeeper
 - * Electric Superintendent
 - * Water Department Superintendent
 - * Meter Reader
4. All records are kept and maintained by the Safety Coordinator. If an employee disagrees with the finding of an accident investigation and loss of his/her safety award, he/she may appeal the finding to the safety committee. The safety committee will make the final determination.
 5. Due to the enormous possibilities in how a person may be injured, there may be an occasion when a personal injury accident was unavoidable. Should the occasion arise, the employee must prove to the safety committee that the actions taken were not unsafe and provisions were taken to ensure the employee's safety. If the accident was unavoidable, the safety award should be awarded. The safety committee shall determine the final decision.
 6. Employees are encouraged to report near misses to their supervisor. Near miss reporting and investigation identify and control safety or health hazards before they cause a more serious incident. An employee will not suffer any repercussions when a near miss is reported.
 7. The Safety Committee will recommend the safety award to the Safety Coordinator who will have final approval. The current award is two (2) hours of vacation. The Safety Committee will fund both programs through their annual budget.

B. Quarterly – Caught Working Safely

At least once per quarter, each department's supervisor will select a day to audit their own crews. It is important that employees are not aware of this date, giving supervisors an accurate observation of their crew's safety practices. If an employee is following safety rules and procedures, the supervisor will award them a "Caught Working Safely" certificate. If attempts were made by the supervisor to observe an employee during the quarter and they were unsuccessful doing so, they will have the option to discuss safety practices during the quarterly employee safety review. If the supervisor feels the employee worked safely during the quarter, a "Caught Working Safely" certificate may be awarded to the employee.

1. This program will run concurrently with the fiscal year and be broken down on a quarterly basis. Employees “Caught Working Safely” will receive a coupon worth \$5.00 with a maximum of \$20 per year, awarded by the department supervisor. Coupons can only be used to purchase personal protective equipment through the Safety Coordinator. You are allowed to accumulate coupons to make a larger purchase, however, coupons not redeemed by the first of May will be forfeited.
2. Orders will be placed on the first working day of August, November, February and May.
3. Department supervisors will decide which employees in their department will receive a quarterly safety award. Supervisors are encouraged to complete safety audits on their own but have the option to ask the Safety Coordinator for assistance.
4. The Safety Coordinator shall have final approval.

OCCUPATIONAL SAFETY AND HEALTH

The success of the Utility depends upon efficient use of resources to produce high quality services for the citizens of Indianola. Our most important resource is our employees. To protect this resource, the Utility is committed to providing a safe and healthful workplace for all employees by establishing and maintaining an effective safety and health program. Safety is a core value of our organization's operations.

The occupational safety program of the Utility is organized to give each department responsibility for the accident prevention program. All employees at all levels of our workforce are directed to make safety a matter of continuing concern, equal in importance to all other operations considerations. Everyone is expected to cooperate in implementing safety practices and to adopt the concept that the safe way to perform a task is the most efficient, and the only acceptable way to perform it.

Basic Safety Rules:

- All hazardous conditions, actions and/or practices shall be reported to the supervisor.
- Work areas, including the inside and outside of vehicles and buildings, shall be kept clean and orderly at all times.
- Employees are only to operate equipment/tools that they are trained and authorized to operate.
- Smoking is prohibited in areas where there is a danger to equipment, material, coworkers or buildings, or where "No Smoking" signs are posted.
- Employees must use all safety devices and personal protective equipment provided for their protection.
- Employees shall wear clothing and shoes suitable for the particular work they are doing.
- Employees must use assisted lifting devices or obtain assistance from a coworker when lifting heavy objects.
- Guards are never to be removed except when authorized to make repairs or adjustments. Replace guard immediately upon completion of work.
- The use of drugs and alcohol during working hours is prohibited. Any employee reporting for work under the influence of alcohol or controlled substances is subject to disciplinary action.
- Any employee taking prescription drugs or over-the-counter drugs that could impair assigned work shall report this fact to the supervisor.
- Employee shall not engage in practical jokes or horseplay that could result in injury to themselves, others or cause property damage.

7.1 FIRST AID

Any injury shall be treated by the supervisor or other available personnel in accordance with their individual abilities and the severity of the injury. Each department supervisor or a designee will receive first aid training. Medical treatment is mandatory for any of the following:

- Severe chest pains
- Traumatic injuries (head injury or severe cut)
- Loss of consciousness or severe dizziness

At least one first aid kit shall be maintained in each occupied building. In addition, a first aid kit shall be located in each vehicle, authorized by medical personnel. It is recommended that kits be inspected on a regular basis, replacing used, missing, soiled, damaged or outdated items. Make sure all employees are advised of the location of the first aid kits. Oral medications such as aspirin, antacids, or salt tablets are not to be provided in these kits.

An eye wash station suitable for quick drenching or flushing of the eyes and body shall be provided within the work area for immediate use if employees are exposed to harmful materials.

7.2 MEDICAL EMERGENCY PROCEDURES

The following actions should be taken in the event of a medical emergency:

1. Call **911**
2. Make sure site is safe before providing assistance.
Do not attempt rescue alone!
3. Provide assistance to injured person.
4. Notify the department's supervisor and the Technical Services Coordinator.

Each building will have emergency contacts and telephone numbers posted in a conspicuous manner.

7.3 INJURY AND INCIDENT REPORTING AND INVESTIGATION

Many incidents and injuries occurring in the workplace or that involve equipment and property is preventable. In order to prevent future incidents and injuries, it is necessary to immediately review the circumstances surrounding each incident. Once the primary cause for the incident has been established, action shall be taken to prevent recurrence. An Accident/Injury Investigation Form has been developed to facilitate the investigation (Exhibit 4). The department head shall complete this form and a copy will be forwarded to the safety coordinator and safety committee as applicable for the following incidences:

1. Any work-related accident resulting in an employee needing medical attention.
2. Any work-related accident resulting in damage to property or equipment.

When an employee is involved in an accident with a Utility vehicle involving private property, whether there is damage or not, the Police/Sheriff's Department should be called immediately. If the Police/Sheriff's Department is called, the police report shall accompany the Investigation Form. This Investigation Form does not replace the call to the Company Nurse, which must be completed by an employee or supervisor if employee is unable for any work-related injury. (Instead of the First Report of Injury – the "Company Nurse" may be called if applicable.)

If the investigation determines an employee has contributed to the cause of an incident by failure to obey laws, department or safety rules and regulations, disciplinary action may result.

The department head shall provide a written response to any recommendations by the safety committee or the investigator that outlines corrective actions taken by the department.

Copies of all incident reports and corrective actions shall be kept on file with a copy of the OSHA 300 log for the year that the incident occurred in.

7.4 SAFETY EVALUATIONS

To ensure and maintain a safe work environment the Utility will perform quarterly safety evaluations. Safety evaluations will review training and procedures for the past quarter per employee and per department. Evaluations are completed by the supervisor, reviewed with the employee and returned to the Safety Coordinator. Short forms are used by the police, fire, and recreation departments. The long forms are used by electric, water, water pollution control, street, and parks departments. Report findings will be presented to the Board of Trustees.

7.5 WORKPLACE HARASSMENT AND VIOLENCE PREVENTION

The purpose of this policy is to maintain a professional workplace that is as free as possible of harassment and violence and to provide a reporting system. For this policy, the definition of harassment and violence shall include, but not be limited to: escalating harassment, threats, repeated inappropriate workplace language, physical violence, hostile behavior, stalking, intimidation, property damage, and other similar behaviors that severely disrupt an employee's or elected or appointed officials' ability to carry out their assigned duties.

Harassment, retaliation, coercion, interference, or intimidation of any employee or Utility official due to that employee's race, creed, color, gender, age, national origin, disability, gender identity, sexual orientation or any other characteristic protected by local, state, or federal law, is strictly forbidden.

A. Potential Violators

No employee, Utility official, or member of the general public, through the course of their employment, term of office, appointment, or other interactions with Utility employees or officials conducting official Utility affairs, shall harass or engage in violent behavior against officials or employees of the Utility.

B. Reporting Procedure

Employees should report work-related incidents, from any source, to their immediate supervisor and to the Director of Human Resources. Utility officials should report any incident to the Board Chairperson and to the Director of Human Resources. The Director of Human Resources shall document the alleged incident and inform the General Manager of the allegation, or, if the alleged incident involves the General Manager, the Attorney.

The General Manager (or, if appropriate, the Attorney) and Director of Human Resources shall investigate the alleged incident. Upon finding that harassment or violence occurred, they shall:

- Impose appropriate disciplinary action if involving another Utility employee
 - Report the incident to the Board Chairperson if involving the General Manager
 - Report the incident to the Attorney if involving a Trustee Member
 - Report the incident to the Attorney and Mayor Pro Tem if involving the Mayor
 - Report the incident to the Attorney if involving a member of the general public.
- The Attorney shall then determine appropriate legal actions and advise the Trustees if additional legal action is warranted

If the Mayor or Mayor Pro Tem is notified of an incident, they shall work with the Attorney or other legal counsel to investigate, arbitrate, or otherwise dispose of the incident in a manner that best represents the public's interest and, upon its disposal, inform the Trustees.

C. Results

The Utility employee behavior that violates this policy may be subject to disciplinary action under the Utility's employment policies. Appropriate legal action may be imposed upon the general public or other non-employee public officials who violate this policy.

Nothing in this policy precludes the Utility from applying additional personnel policies for specific incidents, such as sexual harassment or discrimination, where applicable.

7.6 WEAPON FREE WORKPLACE

No weapons of any kind other than pocket-knives (that may be required to perform required duties) shall be brought to the workplace, except for those employees who are certified and specifically authorized to carry and use, if necessary, weapons in the course of their employment with the Utility.

Personal weapons may be housed as the law provides in personal locked vehicles only.

Personal weapons may be banned totally if the Utility wished to do so. At no time shall any weapons be displayed, carried or stored in any other way on **Utility property**.

Failure to abide by this policy is considered very serious and will result in the immediate disciplinary action, up to and including termination.

7.7 TOBACCO USE

As provided by Iowa law, smoking is strictly prohibited in all Utility buildings, on all Utility property (including personal vehicles which are parked on Utility property), and in all Utility vehicles.

7.8 DRUG & ALCOHOL-FREE WORKPLACE

In order to foster an appropriate environment for the provision of services to its citizens and to protect the health and safety of employees, it is the policy of the Utility that the following conduct is prohibited: (1) the use, sale, offering for sale, or possession of illegal drugs, controlled substances, imitation controlled substances, or counterfeit controlled substances on the job, on the Utility's premises, or in Utility vehicles; (2) any improper use of "legal" or physician-prescribed drugs on the job, on the Utility's premises, or in Utility vehicles; (3) the use, sale, offering for sale, or possession of alcoholic liquor (beer, wine, or alcohol) on the job, on the Utility's premises while on duty, or in Utility vehicles; (4) being under the influence of illegal drugs or controlled substances, alcoholic liquor (beer, wine, or alcohol) or improperly used prescription drugs on the job, on the Utility's premises, or in Utility vehicles.

A. Drug-Free Workplace Act

The Utility is subject to the Drug-Free Workplace Act of 1988 and is committed to the policy of maintaining a drug-free workplace. Thus, the unlawful manufacture, distribution, dispensation, possession or use of any controlled substance by any employee in the work place is prohibited. (A “controlled substance” within the meaning of this statement means any controlled substance in schedules I through V of Section 202 of the Controlled Substance Act [21 U.S.C. 812] and as further defined in federal regulations found at 12 CRF 1308.11.) Any violation of this prohibition will result in discipline up to and including discharge.

B. Required by Federal Law

It is a condition of continued employment that:

1. Any employee who is convicted of any criminal drug statute violation for conduct in the workplace is required to notify their immediate department head of this fact no later than five (5) days after such conviction. (A “conviction” means a finding of guilt-including a plea of “nolo contendere”-of the imposition of a sentence, or both, by any judicial body charges with the responsibility of determining violations of federal or state criminal drug statutes.)
2. Each employee abides by the terms of this statement.

C. Notification

Federal law requires that the Utility notify the federal government of any convictions in violation of this policy.

Federal law further requires the Utility to impose sanctions – which may include discharge – for any violation of the provision of this notice or policy.

7.9 DRUG & ALCOHOL TESTING FOR EMPLOYEES NOT REQUIRED TO POSSESS A COMMERCIAL DRIVERS LICENSE

A. Application

This policy applies to all individuals who are not required to possess a commercial driver’s license in order to perform the duties of their position. Employees who are required to possess a commercial driver’s license in order to perform the duties of their position are covered by a separate policy.

Unless otherwise specified, this policy applies to all Utility employees, including regular part-time employees.

B. Testing Provisions

The Utility will conduct drug and alcohol testing when the Utility makes an offer of employment to individuals who are not required to possess a commercial driver’s license in order to perform the duties of their position.

The Utility may conduct drug and alcohol testing of individuals who are not required to possess a commercial driver's license in order to perform the duties of their position under the following circumstances:

1. Where there is reasonable suspicion of the use of illegal drugs, controlled substances or alcohol,
2. When investigating certain workplace injuries, and
3. During or after rehabilitation.

C. Definitions

As used in this policy, the term "controlled substance" means any substance specified in Schedules I, II, III, IV, or V or the Federal Controlled Substances Act, 21 U.S.C. 801 et. Seq. and published at 21 CFR 1308.11 and 21 CFR 1308.12, and any substance defined as a "controlled substance" by state law.

"Alcohol" means the intoxicating agent in beverage alcohol, ethyl alcohol or other low molecular weight alcohol including methyl or isopropyl alcohol. The term "alcohol" includes, but is not limited to, beer, wine, liquor, other alcoholic beverages, and medicines containing alcohol (unless the packaging seal is unbroken).

D. Pre-Employment Testing

Applicants for employment shall undergo drug and alcohol testing as part of the physical requirements prior to commencement of their duties for employment. If the test of an individual results in a Medical Review Officer (MRO)-verified positive test for the use of controlled substances or an alcohol concentration of .04 or greater, the applicant will not be eligible for employment.

E. Reasonable Suspicion Testing

Any employee who is reasonably suspected of being impaired by or under the influence of a controlled substance or alcohol (that is, having a controlled substance or alcohol in the body) shall be suspended from his or her job duties pending an investigation and verification of the employee's condition. Employees who are reasonably suspected of being impaired by or under the influence of a controlled substance or alcohol will not be permitted to drive a motor vehicle after they have been suspended. If the employee has driven a motor vehicle to work, the employee must either make arrangements with another individual to drive their vehicle or must make arrangements for alternative transportation.

Employees may be subject to testing where there is reason to believe that an employee is using or has used alcohol or other drugs in violation of the Utility's written policy drawn from specific objective and articulable facts and reasonable inferences drawn from those facts in light of experience. For purposes of this provision, facts and inferences may be based upon, but are not limited to, any of the following:

1. Observable phenomena while at work such as direct observation of alcohol or drug use or abuse or of the physical symptoms or manifestations of being impaired due to alcohol or other drug use.
2. Abnormal conduct or erratic behavior while at work or a significant deterioration in work performance.

3. A report of alcohol or other drug use provided by a reliable and credible source.
4. Evidence that an individual has tampered with any drug or alcohol test during the individual's employment with the Utility.
5. Evidence that the employee has manufactured, sold, distributed, solicited, possessed, used, or transferred drugs while working or while on the Utility's premises or while operating the Utility's vehicle, machinery, or equipment.

Reasonable suspicion testing will only be required during, just before, or just after the period of the day when the employee is engaged in work functions.

Employees who are required to submit to reasonable suspicion testing will be suspended from their job duties pending an investigation and the report of the tests. If the test of the employee results in an alcohol concentration of .04 or greater or a MRO-verified positive test for the use of controlled substances, then the period of suspension will be without pay.

F. Post-Injury Testing

Employees will be subject to testing if they have suffered a work-related injury for which a report could be required under Iowa Code Chapter 85.

The employee is permitted to obtain necessary medical attention following an accident, to leave the scene of an accident for the period necessary to obtain necessary emergency medical care, but the employee will be subject to post-injury testing and must remain readily available for testing or the employee will be deemed to have refused to submit to testing.

Alcohol tests will be administered as soon as practicable but no later than 8 hours after the injury. Tests for controlled substances will be administered as soon as practicable but no later than 32 hours after the injury.

G. Testing During or After Rehabilitation

Employees who have tested positive on a drug or alcohol test and whose employment has not been terminated will be subject to testing during, and after completion of, drug or alcohol rehabilitation. The number, type, and frequency of follow-up tests will be as directed by the substance abuse professional and, unless otherwise recommended, will consist of at least 6 tests in the first 12 months following the employee's return to duty.

H. Cooperation Required

Any individual who refuses to submit to an alcohol or controlled substance test, who provides false information in connection with a test, or who attempts to falsify test results through tampering, contamination, adulteration, or substitution will be subject to disciplinary action.

The phrase "refuses to submit to an alcohol or controlled substance test" means that the individual:

1. Fails to provide adequate breath for testing without a valid medical explanation after he or she has received notice of the requirement for breath testing, or
2. Fails to provide adequate urine for controlled substance testing without a valid medical explanation after he or she has received notice of the requirement for urine testing, or
3. Engages in conduct that clearly obstructs the testing process.

All employees are encouraged to make use of available resources for treatment of substance abuse problems. Under certain circumstances, employees may be referred for treatment for substance abuse. An employee will be subject to disciplinary action for:

1. A failure or refusal to submit to an evaluation.
2. A failure or refusal to undergo treatment recommended as a result of an evaluation.
3. Withdrawal from or a failure to satisfactorily complete the treatment program recommended as a result of an evaluation.
4. Withdrawal from or a failure to satisfactorily participate in an aftercare program, if aftercare is prescribed as a part of treatment.

Testing shall be conducted in a manner to assure the highest degree of accuracy and reliability by using techniques and laboratory facilities which meet the requirements of the Iowa Department of Health.

I. Confirmatory Testing

If the result of the initial test is an alcohol concentration of .04 or greater or if the result of the initial test is positive for the presence of a controlled substance, a confirmatory test must be performed. The confirmatory test shall use a different chemical process than was used in the initial screen for drugs or alcohol. The confirmatory drug or alcohol test shall be a chromatographic technique such as gas chromatography/mass spectrometry, or another comparably reliable analytical method.

J. Employee Requested Testing

If a confirmed positive drug or alcohol test for a current employee is reported to the Utility by the medical review officer, the Utility shall notify the employee in writing by certified mail, return receipt requested, of the results of the test, the employee's right to request and obtain a confirmatory test of the second sample collected at an approved laboratory of the employee's choice, and the fee payable by the employee to the Utility for reimbursement of expenses concerning the test. The fee charged an employee shall be an amount that represents the costs associated with conducting the second confirmatory test, which shall be consistent with the Utility's cost for conducting the initial confirmatory test on an employee's sample.

If the employee, in person or by certified mail, return receipt requested, requests a second confirmatory test, identifies an approved laboratory to conduct the test, and pays the Utility the fee for the test within seven days from the date the Utility mails by certified mail, return receipt requested, the written notice to the employee of the employee's right to request a test, a second confirmatory test shall be conducted at the laboratory chosen by the employee. The results of the second confirmatory test shall be reported to the medical review officer who reviewed the initial confirmatory test results and the medical review officer shall review the results and issue a report to the Utility on whether the results of the second confirmatory test confirmed the initial confirmatory test as to the presence of a specific drug or alcohol. If the results of the second test do not confirm the results of the initial confirmatory test, the Utility shall reimburse the employee for the fee paid by the employee for the second test and the initial confirmatory test shall not be considered a confirmed positive drug or alcohol test for purposes of taking disciplinary action.

If a confirmed positive drug or alcohol test for a prospective employee is reported to the Utility by the medical review officer, the Utility shall notify the prospective employee in writing of the results of the test, of the name and address of the medical review officer who made the report, and of the opportunity for the prospective employee to request records.

K. Consequences for Violations

If the test of an individual who is an applicant for employment results in a Medical Review Officer (MRO)-verified positive test for the use of controlled substances or an alcohol concentration of .04 or greater, the applicant will not be eligible for employment.

Disciplinary action, including termination of employment, may be taken against employees for any of the following reasons:

1. A violation of any provision of Board Policy.
2. If the test of the employee results in a Medical Review Officer (MRO)-verified positive test for the use of controlled substances or an alcohol concentration of .04 or greater
3. A failure or refusal to submit to testing.
4. A failure or refusal to submit to an evaluation.
5. A failure or refusal to undergo treatment recommended as a result of an evaluation.
6. Withdrawal from or a failure to satisfactorily complete the treatment program recommended as a result of an evaluation.
7. Withdrawal from or a failure to satisfactorily participate in an aftercare program, if aftercare is prescribed as a part of treatment.

L. Payment for Evaluation and Treatment

The Utility's responsibility for the cost of any evaluation, treatment, or counseling will be limited to the benefits provided by the Utility's health insurance plan for such evaluation, treatment, or counseling.

7.10 EMPLOYEE DRUG AND ALCOHOL TESTING FOR EMPLOYEES USING A COMMERCIAL DRIVERS LICENSE

The Federal Department of Transportation (DOT) Federal Motor Carrier Safety Administration (FMCSA) regulations require employers to establish drug and alcohol testing programs for employees using a commercial driver's license (CDL) during work. The purpose of this policy is to prevent accidents and/or injuries resulting from the misuse of alcohol and/or drugs by drivers of commercial motor vehicles.

A. Applicability:

1. Employers with less than 50 employees in “safety-sensitive” positions must implement a drug and alcohol-testing program beginning January 1, 1996.
2. Employees who drive commercial motor vehicles and are required to have a CDL to perform their job function(s) are subject to the regulatory requirements of 49 Code of Federal Regulations Part 382.

B. Commercial Motor Vehicles

1. A motor vehicle with a gross combination rate of 26,001 or more pounds, including a towed unit with a gross weight of 10,000 pounds.
2. A motor vehicle designed to transport 16 or more passengers, including the driver.
3. A motor vehicle required to be placarded under regulation of hazardous materials (49 CFR Part 172, subpart F).

C. Safety-Sensitive Functions

A driver is considered to be performing a safety-sensitive function during any period the driver is actually performing, ready to perform or immediately available to perform any safety-sensitive function. Safety-sensitive functions include:

1. All time waiting to be dispatched.
2. All time inspecting, servicing, or conditioning any commercial motor vehicle.
3. All driving time.
4. All time in or on any commercial motor vehicle.
5. All time supervising, assisting, or attending the loading or unloading of a vehicle.
6. All time repairing, obtaining assistance, or remaining in attendance upon a disabled vehicle.

D. Types of Testing

There are six circumstances under which an employee must undergo drug and alcohol testing according to DOT rules:

1. *Pre-employment Testing*

Prior to the first time an employee performs safety-sensitive function, a pre-employment drug test will be conducted. The Utility requires a pre-employment drug/alcohol test for an individual applying for a safety sensitive position.

2. *Post-Accident Testing*

As soon as practicable following an accident involving a Utility employee driving under a CDL license, each surviving driver shall be tested for alcohol and drugs if the driver:

- a. Was performing driving functions with respect to the vehicle if the accident involved the loss of human life, regardless of fault.
- b. Receives a citation at the site under state or local law for a moving traffic violation arising from the accident
- c. When reasonable suspicion exists

An employee must remain readily available for testing following an accident.

3. *Random Testing*

All employees with Commercial Drivers Licenses are subject to unannounced drug and alcohol testing based on random selection. On an annual basis, 10% of the pool will be tested for alcohol and 50% for drugs. Drug tests include: marijuana, cocaine, opiates, amphetamines (includes methamphetamines) and phencyclidine (PCP).

4. *Reasonable Suspicion Testing*

When the Utility has reasonable suspicion to believe an employee is using prohibited drugs and/or alcohol, a test will be conducted.

5. *Return to Duty Testing*

An employee who has engaged in prohibited drug and/or alcohol use must undergo a test before returning to duty.

6. *Follow-up Testing*

Following a determination by a substance abuse professional that a driver needs assistance in resolving drug and/or alcohol problems, the Utility will administer unannounced follow-up testing. A minimum of 6 tests will be required in the first 12 months.

E. Prohibited Conduct

Employees will not engage in the following conduct:

1. Report for duty or remain on duty requiring the performance of safety-sensitive functions while having an alcohol concentration of 0.02 or greater.
2. Be on duty or operate a commercial motor vehicle while possessing alcohol.
3. Use alcohol or drugs while performing safety-sensitive functions.
4. Perform safety-sensitive functions within 4 hours after using alcohol.
5. Use alcohol for 8 hours following an accident or until undergoing a post-accident test.
6. Refuse to submit to a post accident, random, reasonable suspicion, or follow-up alcohol or drug test.

A driver is considered to have refused to submit to an alcohol or drug test when the driver does any of the following:

- a. Fails to provide adequate breath for alcohol testing without a valid medical explanation.
 - b. Fails to provide adequate urine samples for drug testing without a valid medical explanation.
 - c. Engages in conduct that clearly obstructs the testing process.
 - d. Refusal to test has the same consequences as a positive test result.
7. An employee may not report for duty, remain on duty or perform a safety-sensitive function if tested positive for illegal or prohibited drugs.

F. Effect of Use, Refusal, or Failure

An individual applying for a position with the Utility, who refuses or fails a pre-employment drug/alcohol test, can not be hired. An employee covered by this policy who has engaged in prohibited drug or alcohol use will not perform safety-sensitive functions. The Utility will immediately remove an employee from their duties if the individual refuses or fails an alcohol or drug test.

G. Alcohol Testing

If the test results indicate an alcohol concentration of at least 0.02 but less than 0.04 the driver will be removed from the job for at least 24 hours and shall be permitted to use compensatory time or vacation, or leave without pay if paid leave is not available.

Alternatively, the employee may be assigned to non safety-sensitive duties with approval of the department head. The employee may return to safety-sensitive duty at his/her next scheduled shift after completion of the following:

1. At least 24 hours have elapsed from the breathalyzer test which indicated an alcohol concentration of at least 0.02 and;
2. The employee has taken another breathalyzer test that indicates an alcohol concentration of less than 0.02.

If a breath alcohol test indicates a consumption of 0.04 or greater, the employee will be removed from duty and referred to the Employee Assistance Program for evaluation by a Substance Abuse Professional (SAP).

H. Consequences and Discipline

Consequences of an alcohol test indicating a concentration of 0.04 or greater or positive drug test are:

1. Pay Status: Upon being relieved from duty and pending evaluation by a SAP (Substance Abuse Professional), the employee shall be permitted to use compensatory time, vacation, or leave without pay, if paid leave is unavailable. If a SAP determines that the positive test was associated with chemical dependency the employee may be placed on sick leave from that date forward until the employee completes all required treatment.
2. Discipline: In the case of a positive drug or alcohol test, the employee will not ordinarily be subject to disciplinary action for the first occurrence, provided that he/she cooperates fully in all aspects of the testing, evaluation, and treatment procedures, and successfully completes any required treatment program. Discipline may, however, be imposed for prohibited acts on the job such as drug or alcohol use, possession, or sale.
3. Substance Abuse Profession (SAP) Recommendation: If a person tests positive for drug use or an alcohol content greater than 0.04, he/she will immediately be relieved of his/her duties. The employer shall refer the employee to a SAP. The employee must consult the substance abuse professional for purposes of evaluation and treatment. Results of the positive drug or alcohol test and terms of the rehabilitation will remain confidential, except as provided by Federal Regulations.

If the SAP determines that no treatment or follow-up testing is required, the employee may return to duty after at least 24 hours have elapsed since testing and if a return to duty test indicates the absence of drugs and an alcohol concentration of less than 0.02. If the SAP recommends treatment, the employee must agree to undergo treatment and must successfully complete the treatment program as a condition of continued employment with the Utility. The employee will be responsible for payment for the treatment program. Under some circumstances treatment programs are covered by the employee health insurance plans. Failure to undergo or successfully complete the treatment program will result in termination. The SAP will determine whether the employee can be returned to work while undergoing treatment.

The employee must keep the employer informed of their progress through the SAP. When the drug/alcohol counselor releases the employee from evaluation or treatment, he/she may return to work when he/she can provide the employer with a negative drug/alcohol test. Per Federal Regulations, the employee will complete a follow-up testing plan to be determined by the SAP.

4. Follow-up Testing: If a SAP determines that follow-up testing is needed, the Utility will take the necessary steps to ensure that the employee is subject to unannounced tests following return to duty. The number and frequency of the follow-up tests are to be determined by the SAP, but must consist of at least six tests during the first twelve months following the employee's return to duty. The SAP may order follow-up testing for up to 60 months. The SAP can terminate follow-up testing, but this may be done only after the first twelve months have passed and six tests have been administered.

Follow-up testing need not be limited to the substance involved in the original violation; the SAP may recommend testing for alcohol and any or all of the five DOT regulated drugs.

5. Second Offense: If the employee tests positive for drug use or alcohol content greater than 0.04 a second time during their employment with the Utility while they are on duty or on call, his/her employment will be terminated. The person will be referred to a substance abuse professional.

7.11 SAFETY

Accident prevention and elimination of employee health hazards are major objectives to be carefully considered at all times. No job in the Utility is so important and no activity so urgent that time shall not be spared to plan and perform the work safely.

A. Management and Department Head Safety Responsibilities:

Management is responsible for providing a place of employment that is free from recognized hazards that could result injuries or accidents. Since it is impossible for managers to personally observe all employee activities, management must rely on and assure that all supervisors are trained and aware of their safety responsibilities. Other safety responsibilities for managers include:

1. Provide leadership and direction concerning safety activities.
2. Participate actively in the continuous evaluation of the safety program.
3. Set goals concerning safety performance within your department.
4. Supervisors review losses for potential trends on a regular basis with the Safety Coordinator as well as the General Manager.
5. Enforce all safety rules.
6. Participate in facility and work site audits.
7. Participate and support all accident investigation activities.
8. Review accident reports and recommend corrective actions.

B. Supervisory Responsibility

Safety is as much a part of the supervisor's responsibility as is getting the job done efficiently. Among the important safety responsibilities of each and every supervisor are:

1. Familiarize yourself with and enforce the safety rules and regulations that have been established by applicable local, state, and federal organizations. These regulations are intended to set minimum standards for safety and the contents of the regulations should be enforced as minimum safety requirements for all activities on the Utility worksites and facilities.

2. Correct all reported hazards. Operating under known hazardous conditions will not be tolerated.
3. Do not permit new or inexperienced employees under your supervision to work with power tools, machinery or complex equipment without proper instruction and training.
4. Give adequate instructions. Do not assume that an employee knows how to do a job unless you personally have knowledge that the person can perform the task correctly.
5. Ensure tools, equipment and machinery being used in the workplace is in proper working condition. Do not allow the use of unsafe tools or equipment under any circumstances.
6. Ensure that proper personal protective equipment is available and used by employees when necessary or required.
7. Always set a good example in safety, such as wearing the proper safety equipment (safety glasses, hard hats, etc.)
8. Consistently enforce the requirements of the organization's safety program and any associated rules or policies.
9. Ensure that all employees have access to a copy of the organization's safety program.
10. Encourage safety suggestions from employees under your supervision.
11. Obtain prompt first aid for injured employees.
12. Participate in accident or incident investigations involving your employees.
13. Conduct audits of all work areas and facilities on a regular basis in an effort to improve housekeeping, eliminate unsafe conditions and encourage safe work practices.

C. Employee Responsibility

All employees carry a certain amount of responsibility in any safety program. You must be aware that your actions, mental state, physical condition, and attitude directly affect the safety of yourself and your fellow employees. All employees are expected to:

1. Know your job, follow instructions, and think before you act.
2. Use protective equipment (eye protection, hard hats, gloves, etc.), as the job requires.
3. Work according to good safety practices as posted, instructed, and/or discussed.
4. Refrain from any unsafe act that might endanger yourself or your fellow workers.
5. Use all safety devices provided for your protection.
6. Report any unsafe situation or act to your supervisor immediately.
7. Assume responsibility for thoughtless or deliberate acts that may cause injury to yourself or your fellow workers.
8. Abide by all policies, procedures, rules, etc. associated with the Utility Safety Program.
9. Never operate equipment that you are unfamiliar with or not trained to use. Also, equipment that is defective or in need of repair shall not be used and must be reported to your supervisor.
10. Report all accidents/incidents to your supervisor as soon as they occur. Failure to report any injury or incident may be cause for disciplinary action.

7.12 SAFETY COMMITTEE GUIDELINES

A safety committee was established by the Utility to be composed of one employee from each department. Members of the committee should be chosen from those employees recognized for their good work, are safety conscious and have familiarity with the overall work area and equipment. The Safety Coordinator shall serve as the chairperson for the safety committee. The chairperson will be responsible for scheduling meetings, notifying committee members, and following up on items discussed. In order to stay on top of things, the committee will meet monthly. The committees will have the following responsibilities:

1. Review accident/injury investigation reports from all departments to see if corrective measures need to be implemented.
2. Ensure that quarterly inspections are conducted in each department's work areas, tools and equipment to identify safety hazards and recommend ways to correct hazards.
3. Coordinate the development of safety rules and safe work methods.
4. Coordinate safety training between departments when possible. This may include films, speakers, and exhibits.
5. Report the activities of the committee by submitting a copy of their meeting minutes to the employee newsletter. This will enable all employees to have an opportunity to review them.

A. Department Self-Inspection Checklists

Since the success of any safety program depends on identifying hazards and taking immediate corrective action, quarterly department self inspections are required. Each department shall develop its own checklist to assist in the inspections. The completed checklist should be submitted to the Safety Committee and reviewed at the monthly safety committee meetings.

B. Reporting Unsafe Acts/Unsafe Conditions

All employees are encouraged and required to immediately report any unsafe acts or unsafe conditions.

1. Stop work immediately and secure the location or lockout unsafe equipment.
2. Inform immediate supervisor of problem
3. Complete a written report of the problem.

7.13 VEHICLE SAFETY

A. Drivers and Passengers

Only authorized persons are to be drivers and passengers in vehicles operated for Utility business. Authorized persons include customers, vendors, and fellow employees. Immediate family members should only be included as passengers upon prior approval of management.

1. Utility owned vehicles are provided for business related travel only. Personal use and trips outside of the Utility or area are not allowed.
2. An employee's department should know of intended travel plans by way of an itinerary or other equivalent method. This also allows a means of contact during an emergency.
3. Employees who are assigned vehicles are responsible for maintaining the vehicle in good repair, including regular oil changes, and other warranty or lease company requirements.
4. The Safety Coordinator should obtain a copy of each driver's Motor Vehicle Reports (MVR) annually.
5. Drivers are responsible for any and all traffic tickets received while driving the vehicle.
6. Vehicle and machinery seat belts are to be used at all times.
7. Drinking or illegal drug use while driving or prior to driving on company business is prohibited and the conditions of the substance abuse program will apply.
8. Drivers are required to inform the vehicle coordinator of any OWI tickets, suspensions, or revocation of driving privileges immediately.
9. Independent contractors using vehicles, as part of their service should be required to furnish evidence of insurance and carry a minimum of \$500,000 combined single limit coverage. This would apply to a courier service for instance hired to transport mail or documents.

B. Commercial Drivers License

Additional controls are required for drivers of vehicles requiring a Commercial Drivers License (CDL) according to Commercial Motor Vehicle Safety Act of 1986.

1. CDL is required to operate any of the following vehicles.
 - a. A single vehicle with GVWR over 26,001 or more pounds, including a towed unit with GVWR over 10,000 pounds.
 - b. A vehicle designed to transport more than 16 people.
 - c. Any vehicle requiring hazardous material placards.

State requirements may be more restrictive than above. A driver file is required for all CDL drivers and must contain copies of original application, physical, etc. A listing of the items required in the file should be obtained from the state DOT office.

7.14 VEHICLE ACCIDENTS

A. Non-Motor Vehicle Accidents

Action by all supervisors:

1. Immediately following first knowledge of the accident, secure all appropriate information.
2. Make and/or assist employees in filing the State of Iowa Employers Work Injury Report.
3. Take steps necessary to preserve any evidence which otherwise might be destroyed.
4. Determine how the accident could have been avoided and institute procedures to prevent reoccurrence.
5. See that the accident is on the agenda for discussion at the next Safety Committee meeting.

B. Motor Vehicle Accidents

1. Activity at the scene of Utility owned vehicles or privately owned vehicles being used for Utility business shall:
 - a. STOP immediately. Set up adequate control of oncoming traffic.
 - b. Render all reasonable assistance to any injured persons. Secure medical assistance if required and notify police.
 - c. Ask witnesses for names and addresses.
 - d. Notify immediate supervisor as soon as possible. If injured, notify insurance company.
 - e. Not abuse or threaten others involved in the accident. Cooperate in any investigation with police or employing office.
 - f. Not leave the scene of an accident under any circumstances, except in extreme emergency, until authorized to do so by police authorities.
2. Supervisor – Any appropriate acts as listed under A. Non-Motor Vehicle Accidents.

C. Utility Liability

Liability may be incurred for damages caused by an accident involving a Utility-owned vehicle or personally owned vehicle operating on official business. Such liability includes damages to privately owned vehicles, personal property, or personal injuries.

D. Liability of Employees

Employees may be sued by a private individual for damages or injuries he/she sustains in an accident occurring as the result of any vehicle operating on official business.

E. Defense of Civil Actions

The Utility has various forms of insurance. Generally speaking, any employee of the Utility has protection against any civil action or proceeding resulting from a motor vehicle accident incurred while on official duty and while acting within the scope of employment. The procedure is not automatic and requires the cooperation of the employee involved in the accident.

F. Admission of Liability

Motor vehicle operators shall not plead guilty in any civil action to any motor vehicle accident liability until they have consulted with the Attorney and the insurance agency. Department heads shall ensure that affected employees are so instructed.

7.15 INJURY COMPENSATION

A. Worker's Compensation

1. Eligible employees – all employees (full, part-time, and seasonal)
2. Enrollment – automatic
3. Eligibility for receiving benefits – beginning date of employment
4. Coverage – employees only
5. Benefits – as provided in the act
6. Premiums – paid by employer

B. Supplemental Individual Accident Insurance, Disability Income, Hospital Income, Accidental Death and Dismemberment, and Common Carrier Death Coverage

This insurance is handled entirely by the carrier with payroll deductions as notified by the carrier. It is available to all regular employees. Employees purchase the policy they desire and pay 100% of premiums.

7.16 PERSONAL PROTECTIVE DEVICES AND EQUIPMENT

A. Head Protection (Hard Hats)

Head protection is defined as hard hats used for protection against penetration from falling and flying objects. Such protection shall meet the specifications contained in the American National Standard Safety Requirements for Industrial Head Protection, Z89.1-1969, or the latest revision. Each employee provided with head protections shall use such equipment as directed. This shall, in general, be when performing the work activities listed in the IMWCA Safety Rules and Regulations handout that is on file in the office of all department heads for the Utility.

B. Eye and Face Protections

Eye and face protection is defined as goggles, spectacles, filters, eye shields, face masks or similar devices which provide protection for face and eyes and meet the requirements specified in the American National Standard for Occupational Educational Eye and Face Protection, Z87-1968, or the latest revision. (Work activities listed in IMWCA Safety Rules and Regulations handout).

C. Safety-Toed Footwear

Safety-Toed footwear shall meet the requirements specified by the American National Standards Institute (ANSI), Z91.1-1967.

Employees shall wear safety-toed footwear when engaged in construction type projects, mechanical work on large equipment, or moving heavy material that could crush an employee's feet.

D. Ear Protection Devices

Protection against the effects of noise exposure shall be provided for personnel whenever sound levels exceed permissible levels. Ear protection devices shall consist of earplugs and earmuffs that have been tested in accordance with ANSI 224.22. These devices shall be used whenever the noise exposure levels exceed 85 Db(A). (Work activities and uses are listed in IMWCA Rules and Regulations handout.)

E. Hand Protection

The Utility will stock or keep on hand a sufficient quantity of chemical and corrosion resistant work gloves necessary to protect those employees handling chemicals that are corrosive or may cause skin irritation. Employees should consult the Material Safety Data Sheets (MSDS) or NFPA Hazardous Materials Warning Signs on these chemicals to determine the extent of protection required.

F. Traffic Safety Vests

High visibility safety vests shall be worn by all employees in and around any area where there is danger from road traffic. This would include such activities as mowing, patching, maintenance of roads, excavation, and surveying on roads where there is moving traffic. Safety vests shall be worn in all other areas designated as a "safety vest" area by a supervisor. All flag persons must wear safety vests.

G. Other Personal Protective Devices and Equipment

Other protective equipment that must be worn or used for certain tasks include aprons, respirators, safety belts, and various other protective apparel. The wearing of such equipment is mandatory where a hazard exists.

H. Maintenance Garage Safety and Tool Safety

Rules are listed in the IMWCA Rules and Regulations handout on file in the office of each employee's department head.

7.17 CLOTHING POLICY (NON-SUPERVISORY)

This policy pertains to positions designated by the General Manager, including full-time and part-time union classified positions.

Issued Clothing

Personal protective equipment and clothing will be provided to employees who require such equipment for the conduct of their duties.

Electric Distribution Department		
Clothing Article	Quantity	Replacement Schedule
High Visibility T-Shirts	5	Based upon wear and serviceability
FR Ling Sleeve Buttoned Blue Shirt	11	Professional Laundry Service
FR Jeans	11	Professional Laundry Service
FR Coat or Jacket	1	Based upon wear and serviceability
FR Coat Liner	1	Based upon wear and serviceability
FR Hood	1	Based upon wear and serviceability
FR Unlined Bibs	1	Based upon wear and serviceability
FR Insulated Bibs	1	Based upon wear and serviceability
FR Hooded Sweatshirt	1	Based upon wear and serviceability
FR Rain Coat	1	Based upon wear and serviceability
FR Rain Bibs	1	Based upon wear and serviceability
Ball Cap	1	Based upon wear and serviceability

Electric Generation Department		
Clothing Article	Quantity	Replacement Schedule
T-Shirts, Short or Long Sleeve, Buttoned Blue Shirt - T-Shirts Must Be 100% Cotton	5	Based upon wear and serviceability
FR Rain coat	1	Based upon wear and serviceability
FR Rain Bibs	1	Based upon wear and serviceability
FR Smock	1	Based upon wear and serviceability
Ball Cap	1	Based upon wear and serviceability

Meter Department		
Clothing Article	Quantity	Replacement Schedule
Uniform Shirts and Pants	3	Annually

Light Weight Jacket - Canvas or Jean Type Material	1	Based upon wear and serviceability
Heavy Weight jacket - Canvas or Jean Type Material	1	Based upon wear and serviceability
FR Smock	1	Based upon wear and serviceability
Rain Gear	1	Based upon wear and serviceability
Ball Cap	1	Based upon wear and serviceability

7.19

Water Department		
Clothing Article	Quantity	Replacement Schedule
High Visibility T-Shirts, Short or Long Sleeve Buttoned Blue Shirt	5	Based upon wear and serviceability
Safety Green Jacket With Liner	1	Based upon wear and serviceability
Rain Gear	1	Based upon wear and serviceability
Ball Cap	1	Based upon wear and serviceability
Steel-Toed Rubber Boots	1	Based upon wear and serviceability

Uniforms

Employee's typical uniform will include;

Electric Distribution – FR jeans, FR shirt, cotton t-shirt (under FR shirt or working in the roadway), safety toe boots.

Electric Generation – Short or long sleeve shirt, jeans, safety toe boots.

Meter Reader – Short or long sleeve shirt, jeans, boots

Water – Short or long sleeve shirt, jeans, safety toe boots

Work Related Clothing

All issued clothing articles will display the Utility's logo. Costs associated with adding the logo will be absorbed by the Utility. Clothing will be labeled with the employees name on the outside or inside for identification purposes.

Employees will represent the Utility, at all times, in a professional manner when wearing the Utility's logo.

Wear and Serviceability

The Department Supervisor will determine wear and serviceability.

Returning Garments

Prior to receiving a replacement clothing article the employee must return the old one to the Department Supervisor.

7.20

Garment Cleaning and Repair

Employees are responsible for cleaning, repairing, and maintenance of clothing allowance purchases. Employees will immediately inform their Department Supervisor of any defects or deficiencies in personal protective equipment or clothing. The Utility will absorb the costs associated with issued clothing repairs.

Clothes will show a generally clean, professional, well-maintained appearance. If a garment is lost, ruined or destroyed due to an employee's negligence it is the responsibility of the employee to pay for the replacement. Employees will be allowed to use their clothing allowance to cover such costs.

FR shirts and jeans may be laundered by a professional laundry service. FR outerwear must be laundered in accordance with the manufacture's specifications.

Alternate Purchase

Employees will be allowed to purchase an alternate brand of issued clothing that is equal to or greater than the issued clothing that is provided. It will be the responsibility of the employee to pay for the cost difference with their clothing allowance or out of pocket.

Inappropriate Clothing

In maintaining an appropriate public image, promoting a productive work environment and complying with health and safety standards inappropriate clothing will not be allowed. This includes but is not limited to: tank tops, sleeveless shirts, rolled up short sleeves, garments & head wear with potentially offensive words, terms, logos, pictures, cartoons or slogans, other business/vendor logos or advertising. Exceptions are allowed for labels or logos of the maker of the garment. Each employee must adhere to the dress code in compliance with that policy.

Clothing Allowance

Refer to the union contract for current allowances to reimburse for typical clothing. Typical clothing includes safety toed boots, overshoes for steel toed boots, jeans, t-shirts, "golf" style shirts (used for classes, meetings and conferences only), coats, jackets, bibs, coveralls or winter hat. Since lineman must wear fire retardant clothing during the course of their job, non-fire retardant clothing, synthetics, rayon, nylon, and other man made materials will not be reimbursed.

Safety Glasses Reimbursement

Prescription eyewear is considered a necessary condition of employment for employees where corrective vision is needed. For safety purposes, it is in the public's interest to encourage employees requiring prescription eyewear to have prescription safety glasses in lieu of providing goggles and other protection that can pose a safety issue when used in combination with eyeglasses. Therefore the General Manager may reimburse an employee for 1 set of prescription safety glasses that meets OSHA-approved standards during that employee's tenure at IMU up to a maximum cost of \$250.

Termination of Employment

All issued clothing will be returned to the Department Supervisor.

7.18 DESIGNATED PHYSICIAN

As authorized by Chapter 85.27 of the Code of Iowa, the Utility has designated Iowa Methodist Occupational Medicine Clinics as our workers' compensation treating physicians. Employees with a work related illness or injury will be required to have their initial evaluation with this clinic.

If appropriate, with prior approval from IMWCA, Occupational Medicine Clinic may make referrals to other specialists.

If an employee decides to go to another provider without the referral from the authorized treating physician, the employee will be responsible for all expenses related to those visits. No workers' compensation benefits may be claimed unless seen by the authorized treating physician.

Of course, in emergency situations (bleeding, loss of consciousness, etc.) employees will be given immediate medical attention either by rescue personnel or medical personnel at our local clinics.

Health insurance **does not** cover work related injuries.

7.19 RETURN TO WORK PROGRAM

It is the purpose of this program to provide guidelines for employees who are ill or injured on the job and off the job who are unable to return to their regular job classification upon returning to work.

A. Modified or Alternate Work

It is the policy of the Utility to provide modified or alternate work for employees who are ill or injured on the job and off the job, which are unable to temporarily or permanently return to their regular job classification. Regular modified and alternate work will be provided as available in compliance with The Americans with Disabilities Act and Iowa Workers' Compensation Act.

B. Reasonable Accommodations

The Utility will make reasonable accommodations to a disability unless the accommodations would impose an undue hardship on the employer. The disabled employee must be able to perform the essential functions of the job with or without reasonable accommodation.

C. Feasibility of Accommodations

The feasibility of reasonable accommodations shall be determined on a case-by-case basis taking into consideration the employee, the specific physical or mental impairment, the essential function of the job, the work environment, and the ability to provide accommodations.

D. Objectives:

1. To return employees who are injured or seriously ill to work as soon as possible when there is not significant risk of substantial harm to themselves and others.
 2. To minimize financial hardship and emotional stress to the employee who has sustained an injury or is dealing with serious illness.
 3. To assist employees in returning to work at a level as close as practicable to their pre-injury earnings and productivity.
 4. To retain qualified and experienced employees.
- J. To reduce the cost of disability programs.

E. Temporary Alternate Duty (TAD)

1. TAD is defined as modified duties or hours assigned to a worker injured or seriously ill, when the physician indicates they can return to work but who are not yet physically capable of handling the entire job duties normally assigned, and their injury or illness has not reached maximum medical improvement.
2. The purpose of TAD is to provide temporary work, within medical restrictions, for employees injured or seriously ill. TAD may be available when medical prognosis indicates that the employees are expected to full duty following a course of medical treatment.
3. If an alternate duty position is available employees must be provided with TAD as soon as medically feasible. TAD should be consistent with employee's physical/mental abilities.
4. Employees in TAD capacity will continue to receive the salary and benefits of his/her job classification. They will be proportionately adjusted in the case of part-time work. Status of TAD assignment should be reviewed after each medical appointment, normally every 7 to 14 days. TAD will not normally exceed three months.
5. TAD Procedures

a. Director of Human Resources

1. Informs physician about the TAD program and provides a copy of the injured or ill employee's job description to physician.
2. Informs employee about the TAD program
3. Informs IMWCA adjuster of employee's availability to the TAD program.
4. Obtains information regarding medical condition of employee from physician(s).

b. Employee's Supervisor and Director of Human Resources

1. Develop work assignments on a case-by-case basis, if available, depending on medical restrictions.
2. Develop appropriate TAD assignments, and monitor on-going medical and work adjustments.
3. Notify and review with General Manager.
4. May meet with employees to review TAD status.

c. Employee

1. Reviews and signs "Return to Work Program Statement of Acknowledgement".

2. When the physician has determined that Maximum Medical Improvement has been reached and the employee is able to perform the essential job duties of their job with or without reasonable accommodations, the employee shall return to the job classification and duties held prior to the work injury.
3. When the physician has determined that Maximum Medical Improvement has been reached, and the employee is unable to perform the essential job duties of their job with or without reasonable accommodations, the employee will be assigned to a ninety (90) day Modified Duty Assignment (MDA).
 - An employee assigned to a MDA will report to their regular department. The employee shall be assigned to do whatever work they are able to do, under the restrictions that the physician has placed on the employee.
 - Employees placed on ninety (90) day Modified Duty Assignments shall continue to receive the salary and benefits of his/her regular job classifications.
 - At the conclusion of their 90 day MDA period, employees who have been unsuccessful in obtaining other jobs for which they are qualified and for which they are able to perform the essential functions, shall be laid off. Laid off employees shall be afforded all rights and benefits included in applicable collective bargaining contracts and/or personnel policies in effect at the time of the lay off.

F. Permanent Restrictions Resulting From Personal Injury/Illness

1. Employees who are off work due to personal injuries/illness may be required to complete functional capacity examinations before they can return to their former jobs. The employer will pay for the cost of such examinations.
2. If the permanent restrictions resulting from an employee's personal injury/illness reasonable accommodation, the employee shall be laid off. Laid off employees shall be afforded all rights and benefits included in applicable collective bargaining contracts and/or personnel policies in effect at the time of the lay off.

G. Responsibility of the Employee

1. To determine appropriateness of job assignments, the employee who is unable to return to work without restrictions is responsible for keeping his supervisor and the Director of Human Resources informed of the status of the employee's medical condition.
2. If the employee rejects any assignment that is compatible with medical restrictions, the Utility or IMWCA shall not compensate the employee with temporary, partial, temporary total or healing period benefits during the period of refusal (Code of Iowa, Section 85.53).

CHAPTER 8

DISCIPLINE AND REMOVALS

8.1 DISCIPLINARY ACTION

Any employee may be disciplined, suspended, demoted, or discharged for any of the following causes:

- A. Failing to perform assigned work in an efficient or effective manner.
- B. Failure to follow the orders of the employee's supervisor.
- C. Dishonesty and lying to supervisors in connection with the employee's job.
- D. Removal of Utility money, merchandise, or property, including property in custody of the Utility without permission.
- E. Violating safety rules and regulations.
- F. Committing, attempting, or conspiring to commit fraud (including any such act prior to assuming office or employment).
- G. Conduct on the job, which violates the common decency or morality of the community.
- H. Divulging or misusing confidential information, including removal from Utility premises, without proper authorization, any employee lists, records, designs, drawings or confidential information of any kind.
- I. Inability to get along with fellow employees so that the work being done is hindered and not up to required levels.
- J. Impeding the effectiveness of any program administered in the Utility.
- K. Refusing to carry out the equal opportunity or civil rights policy or interfering with others carrying out such policy.
- L. Violating the Utility's policy regarding alcohol and drugs.
- M. Negligence.
- N. Conduct unbecoming a public employee.
- O. Misconduct, including discrimination or harassment.
- P. Falsifications, unauthorized modification, or unauthorized creation or time records for payroll. This includes claiming overtime for work which was not performed and submitting time records for another employee.
- Q. Being absent from work without permission or failure to report to the supervisor or department head when one is absent. Being absent from work without permission and failing to report such absence for three consecutive work days will constitute a voluntary resignation from employment.
- R. Failure to observe property security procedures.
- S. Possession of a firearm or dangerous weapon on the Utility's premises or in a Utility vehicle, unless such firearm or dangerous weapon is required for the performance of the employee's job with the Utility.
- T. Violation of the Utility's policy regarding sexual and other prohibited harassment.
- U. Violation of the Utility's Anti-Violence policy.
- V. Any other legitimate reason.

A. Disciplinary Action

Depending upon the nature of the offense, disciplinary action may be taken under any of the terms mentioned below as the first disciplinary action, including termination. The Utility reserves the right to use whatever discipline it decides is appropriate in any situation, up to and including discharge, without regard to the progressive discipline procedures. Disciplinary action may be taken when an employee fails to abide by the rules and regulations set forth in this Employee Handbook, does not abide by departmental regulations when such regulations are in effect, or is in violation of the rules listed above.

B. Oral Warning

When deemed appropriate by the Utility, an employee may be given an oral warning. A record of that warning may be filed in the employee's personnel file and may be considered in future disciplinary proceedings.

C. Written Warning

When deemed appropriate by the Utility or when an oral warning has already been given, the employee may be given a written warning. The Director of Human Resources shall place a copy of the written warning given to and signed by the employee in their personnel file.

D. Suspension or Termination

When deemed appropriate by the Utility or when a warning (oral or written) has already been given, the employee may be suspended without pay or may be terminated from employment.

E. Issuance of Suspension or Termination Notice

1. **Employee Notice** – the appropriate department head or General Manager shall issue Notice to an employee.
2. **General Manager** – Notice for the Manager shall be issued by the Attorney, at the direction of the Board of Trustees.
3. **Official Notice** – All notices shall be in writing and signed by the appropriate official. The notice will include:
 - a. The reasons for suspension and the effective date.
 - b. The specific date by which the suspended person may advise the Utility why he/she should be restored to duty.
 - c. State to whom the reply is to be made and that the person may respond in writing, in person, or both.

Notice shall be sent by certified mail with return receipt requested or hand delivered with a signed copy by the employee showing receipt of the notice.

F. Action Following Suspension or Termination

1. The General Manager shall determine if further action is necessary.
2. If further action is necessary, the General Manager, after making a timely decision will reply in writing to the employee. Such reply will:
 - a. List specific reasons for removal and the effective date, or
 - b. List specific reasons for restoration and the effective date.
 - c. Be sent by certified mail; return receipt requested or hand delivered with a signed copy by the employee showing receipt of the notice.

G. Conducting Review

At the option of the employee, and if so requested, the Board of Trustees may review the suspension or removal and/or grant a hearing. The Utility will comply with due process requirements, if any, and will adhere to all local ordinances and state or federal laws pertaining to employment hearings.

H. Employment at Will

Nothing in this policy or any other provisions of this manual may be interpreted as establishing any right to oral, written, or progressive discipline prior to discharge. The Utility expressly reserves the right to terminate any employee's employment at will, without prior notice or discipline, for any reason, except as may be provided for under Civil Service and union contract.

8.2 ARRESTS AND OTHER GOVERNMENTAL ACTION

Employees are expected to perform their assigned jobs, respect and follow Utility policies, and obey the law. In the event that employees are arrested or receive a citation for any crime, have any criminal charges filed against them, receive notice of the disposition of any criminal charges pending against them (including, but not limited to, a conviction, a guilty plea, a plea of nolo contendere (no contest), or deferred judgment) or receive notice of any charges relating to operating a motor vehicle while intoxicated, they must notify the General Manager. Notification to the Director of Human Resources must occur within five (5) business days of notification to the employee.

Employees whose duties require possession of a Commercial Driver's License and/or who regularly and frequently operate Utility vehicles must report all charges and citations, including traffic tickets such as speeding tickets. Other employees need not report such traffic tickets.

Employees who have any contact with minor children must notify the General Manager of any child abuse complaints filed against them. Employees must notify the General Manager regarding the findings in any complaint against them alleging child abuse. The General Manager must be notified of any complaints and findings within five (5) business days of notification to employee.

Information relating to arrests, criminal charges and child abuse complaints will be treated as confidential and maintained as part of the employee's personnel file. Employees who do not notify the Utility as required by this policy may be subject to disciplinary action up to and including termination.

CHAPTER 9

RETIREMENT & VOLUNTARY TERMINATION

9.1 IOWA PUBLIC EMPLOYEES' RETIREMENT (IPERS)

1. Coverage – All employees other than law enforcement personnel, as required by legislation and governed by the Iowa Legislature and the Governor.
2. Premiums – All employees share jointly in the premiums with employees and employers paying on taxable wages.

9.2 FEDERAL SOCIAL SECURITY & MEDICARE

1. Coverage – All employees as required by legislation and governed by the Iowa Employment Security Commission.
2. Premiums – Are jointly shared with employees and employers paying on taxable wages.

9.3 VOLUNTARY TERMINATION

To ensure uniform and consistent procedures for all full time and regular part-time employee terminations, the Utility has established rules applicable to all such terminations. All voluntary terminations must be coordinated with department heads and processed in accordance with the provisions outlined.

A. Procedure

1. When an employee initiates a termination (ex. employee resigns), the termination is considered voluntary.
2. When an employee has been absent for three (3) consecutive days without notification, the Utility has the right to process a termination of that employee, effective as of the date of the first absence, and any such termination is considered voluntary.
3. When an employee fails to return from an approved leave of absence for a period of three (3) consecutive days without notification, the Utility has the right to process a termination of that employee, effective as of the date of the day the employee was scheduled to return from the leave of absence, and any such termination is considered voluntary.
4. With respect to voluntary terminations:
 - a. When appropriate, the department manager should attempt to retain the employee.
 - b. A written notice at least two weeks from the termination date is expected from the employee to their department head.
 - c. Once the Utility has accepted an employee's resignation, an employee's last day worked will be determined. The last day physically worked is the day used to determine benefits.
5. When appropriate the Director of Human Resources will attempt to schedule and conduct an exit interview with the terminated employee. An exit interview helps obtain information that may be useful in improving employee relations as well as provide additional information to terminated employee regarding IPERS, COBRA, Deferred Comp, etc.
6. All terminated employees will be paid in accordance with state and federal laws.

7. Health insurance for a terminated employee will terminate the last day of the month in which the termination becomes effective. Short and long term disability, AD&D, and life insurance will terminate on the day in which the employee terminates.
8. Department heads must certify to the Director of Human Resources that this has occurred prior to the Utility issuing a final paycheck, subject to state and federal laws.
9. Accruals, Utility ICMA-RC contributions, and vehicle allowance will be pro-rated by the weeks of actual work.

CHAPTER 10

PERSONNEL RECORDS

10.1 EMPLOYEE SERVICE RECORDS

Personnel folders are to be established and maintained for each employee. All applicable information or any action or circumstances affecting the employee is to be documented or reference made to the same in their folder. These files are used to provide information for payroll deductions, determine eligibility for benefit programs, pay increases, and other personnel related matters. Files may include: basic identifying information (such as the employee's name, address and job title); completed employment applications and other hiring-related documents; notice of pay changes and benefit coverage information; performance evaluations and information on other employment-related actions (such as promotions, training course participation, and disciplinary actions); and other relevant job-related information or documents deemed essential. Essential records of current and former workers will be kept according to law.

Personnel folders are to be maintained in the Office of the City Clerk. The Clerk's Office should be notified of any change in the following:

- Name
- Address/Phone Number
- Marital Status
- Beneficiaries
- Dependents
- Person to be notified in the event of an emergency

10.2 EMPLOYEE MEDICAL RECORDS

Medical records shall be kept in the Office of the City Clerk separate from employee service records. These records are for insurance purposes, such as, worker's compensation, short and long-term disability, etc.

10.3 MAINTENANCE AND ACCESS TO FILES

Personnel files are the property of the Utility and access to the files is limited. The City Clerk or designee is the official custodian of employee personnel files and has authority over the insertion or deletion of materials and access to such files. Personnel file issues are affected by the Code of Iowa 91.B.2.

Only Utility staff with an administrative need for information in a personnel or medical file may have access to such file. Ordinarily the employee will not be notified of such inspection of the file.

An employee has the right to inspect the employee's own personnel file and may obtain copies of materials in the file subject to a charge not to exceed the maximum permitted by the Code of Iowa.

Subject to the City Clerk's or designee's approval, an employee may request that relevant documents be placed in the file. An administrative staff member must be present when the employee has access to the personnel file. Employees shall not have access to employment references collected during the hiring process.

The City Clerk reserves the right to remove certain sensitive information, including third-party references, confidential management documents or plans, and items related to ongoing security or criminal investigations, before granting access to a file.

No information in a personnel file may be disclosed to anyone outside the organization without a signed consent from the employee or former employee specifically authorizing the release of the information unless such information is subpoenaed by a court of law. The Utility reserves the right, however, to verify basic information, such as employment status and job title, without notification to the individual involved, and to cooperate with law enforcement, public safety, or medical officials who have a valid need to ascertain limited, specific information about an individual.

Individuals who question the accuracy or completeness of information contained in their files should bring such matters to the attention of the Director of Human Resources. The Director of Human Resources will consider the employee's objections and correct or remove erroneous or improper information to be filed by the City Clerk. If it is decided to retain the disputed information in the file, the employee is entitled to place a brief statement in the record identifying the alleged errors or inaccuracies.

CHAPTER 11 OTHER OPERATION POLICIES

11.1 ELECTRONIC COMMUNICATION SYSTEMS

The Utility maintains computer systems, network utilities, electronic mail, digital assistance, telephone system, pagers, wireless devices and fax to assist in conducting business. The electronic messaging system and Internet access, like paper files and notebooks, are assets provided to Utility employees to assist them in performing their work efficiently. These tools, and the work they contain, are the property of the Utility and should be used for business purposes. For those employees who have terminated and it is discovered records/information has been tampered with the price of information recovery will be taken from the employee's last paycheck or additional judgment if above that amount.

- A. Privacy.** Because all electronic communications and content are the property of the Utility, employees should not expect that communications or content are private. The Utility reserves the right to audit, intercept, access, retrieve, monitor, block, review, copy, delete, or disclose any communications or other content in the electronic communications systems, for any purpose, without notice to the employee and without seeking permission of the employee. The confidentiality of any message should not be assumed.
- B. Business Use.** All Utility electronic communication systems are to be used primarily for business purposes. Any personal use of electronic communication systems is not private, is subject to this policy, and must be incidental, occasional, and kept to a minimum (not more than a few minutes on any given day). Chain letters, joke chains, gambling, games, and similar activities are not allowed.
- C. Business Form.** E-mail and voicemail messages reflect the Utility image. They should be courteous, professional, and businesslike. It is expected that employee communications on the electronic communication systems will reflect favorably on the Utility and on the employee.
- D. Sensitive Communications.** E-mail, voicemail, Internet, wireless, and facsimile transmissions may not be appropriate vehicles for certain sensitive or confidential communications. Employees shall consider if it is better to discuss certain topics face-to-face to protect the Utility's proprietary or confidential information or sensitive personnel matters.
- E. Respect the electronic communication systems/content of others.** Notwithstanding the Utility's right to access communications and other content contained on its electronic communication systems, employees are expected to respect the confidentiality of content and communications sent to or received by others, subject to Open Records Laws of the State of Iowa.
- F. Password Protection/Disclosure.** Unauthorized access of any other user's messages or files is strictly prohibited. Employees are strongly encouraged to not let anyone else use their password and not write it down somewhere where it might be read by others. It is recommended to use the password-protected screen when leaving computers unattended.
- G. Sabotage.** Employees may not knowingly engage in any activity that might be harmful to the Utility's systems or to any stored information, such as but not limited to, creating or propagating viruses, disrupting services, or damaging information.

H. Virus Protection. Files from outside can be infected by viruses. No file from an external source (e-mail, Internet, software, document, spreadsheet, etc.) should be stored or loaded on any computer unless it is scanned for viruses. Never download or open an attachment in any message from an unknown sender. Contact the Department of Finance and Administrative Services for assistance. Employees who violate this policy are subject to discipline, up to and including termination of employment.

11.2 COMPUTER USE

The Utility provides computer hardware and software systems for use by Utility employees in the performance of their Utility duties. Use of computer resources is limited to legitimate Utility business consistent with the work assignment. Computers may be used by employees for personal business, provided such occurs during the non-working time of the employee, does not detract from the performance of the employee's duties, and does not violate the provisions of this policy as set out below. All information and communications transmitted or received by, received from, or stored in these systems are the property of the Utility.

A. Inspection and Monitoring

The Utility reserves the right to inspect, monitor and/or log all computer activity with or without notice, including e-mail and all World Wide Web or other Internet activity. Users should have no reasonable expectation of privacy in the use of these resources.

B. Unacceptable Use

It is unacceptable for any user at any time to use, submit, publish, display, or transmit on any Utility computer system information which:

- Violates or infringes on the rights of any other person, including the right to privacy;
- Contains defamatory, false, inaccurate, abusive, obscene, pornographic, profane, sexually oriented, threatening, racially offensive, or otherwise objectionable or illegal material;
- Contains any material or comments that would offend someone on the basis of his or her race, gender, age, sexual orientation, gender identity, religious or political beliefs, national origin, or disability;
- Restricts or inhibits other authorized users from using the system or otherwise inhibits the efficiency of the computer system.
- Encourages the use of controlled substances or uses the computer system for the purpose of inciting crime, or
- Uses the system for any other illegal purpose.

It is also unacceptable for any user at any time to use the facilities and capabilities of the system to:

- Conduct any business activity or solicit the performance of any activity which is prohibited by law, or
- Transmit material, information or software in violation of any local, state or federal law;
- Conduct any fund raising and public relations activities; or
- Make any unauthorized and/or personal purchases.

Employees who violate this policy are subject to disciplinary action in accordance with established personnel policies.

C. Downloading Material

Downloading software and other material from the internet, e-mail or any other source is prohibited without the approval of the supervisor and/or department head.

D. Confidential Material

It is recognized that some employees may store information in their computers that is classified as confidential by law, and that information may be protected with passwords unique to individual employees. However, all passwords shall be recorded with the supervisor and/or department head; no passwords for screens or files may be added to the Utility's computer equipment until a record of the password has been made in that department. It is the responsibility of employees having custody of records classified as confidential by law to appropriately protect that confidentiality. Information which is protected from inspection by the public is subject to inspection by the appropriate Utility official.

E. Copyrighted Material

Users may download copyrighted material, but its use must be strictly within the agreement as posted by the author or current copyright law. Using someone else's ideas or writing and passing it on as the employee's own work (plagiarism) is prohibited.

F. Electronic Mail (e-mail)

E-mail is subject to all policies regarding computer use outlined in this policy. Users should not consider electronic communications to be either private or secure. For purposes of monitoring compliance with this policy, the Utility may inspect or monitor electronic mail messages as a routine matter. The Utility may inspect, monitor, and copy the contents of electronic messages in the course of an investigation triggered by indications of impropriety, as necessary to locate substantive information that is not readily available by some other means, or as deemed appropriate by the Utility, provided such inspection is not in violation of state or federal law. The Utility reserves the right to cooperate fully with local, state or federal officials in any investigation concerning or relating to any mail transmitted on any network.

G. Security

A Utility employee may allow another employee access to Utility computer resources through the employee's password as long as the employee does not disclose the password and the Utility employee assumes responsibility for the actions of the other person. Attempts to access system passwords or other user's passwords or attempts to login to a computer using another employee's password are strictly prohibited. Users should immediately notify their supervisor if their password is lost or stolen, or if they have reason to believe that someone has obtained unauthorized access to the system.

H. Damage

Any intentional malicious act to deface, alter, harm, or destroy any electronic equipment, any data of another user, or any information contained on any Utility or other computer system or Internet, shall be considered an act of vandalism subject to disciplinary action and/or criminal prosecution. Exemption: Routine deletion of unimportant data files. If unsure, check with supervisor or Technology Manager. Any employee identified as a security risk or having a history of problems with other computer systems may be denied access to any computer system.

I. Violation of the Policy

Employees who violate any provision of this policy are subject to disciplinary action, including termination of employment.

11.3 MOBILE DEVICES

The Utility recognizes that cellular telephone technology substantially enhances the ability of a Utility employee to perform their job duties and responsibilities. In addition, cellular telephones and other mobile devices will only be used when less expensive methods of communication are not available or appropriate. Employees who use Utility-owned mobile devices shall observe the following provisions:

1. A Utility-owned mobile device shall only be used to conduct official Utility business and shall not be used for any other business or outside use. Exception: When extenuating or emergency circumstances warrant personal use, it shall be limited to a reasonable amount of time, i.e. less than two (2) minutes. In addition, if the monthly bill indicates use in excess of the standard airtime, the employee shall reimburse the Utility for any personal calls that may have been made during that time period.
2. The department head will determine if any reimbursement to the Utility is in order after careful review of cellular telephone monthly statement.
3. Mobile devices shall only be used during “normal” working hours with the exception of emergency situations or circumstances where immediate action is necessary.
4. Employees abusing the mobile device policy will be subject to disciplinary action up to and including termination.
5. Employees in possession of a mobile device are expected to protect the equipment from loss, damage, or theft. Upon resignation or termination of employment or at any time upon request, the employee may be asked to produce the phone for return or inspection. Employees unable to present the phone in good working condition within the requested time period (ex. 24 hours) may be expected to bear the cost of replacement.
6. An employee issued a mobile device for Utility business or any employee using a personal cellular phone while operating a Utility-owned vehicle is expected to use hands-free technology or cease motor vehicle operations during the course of the conversation. The Utility deems it unsafe to hold a cellular phone while driving and therefore requires the use of hands-free technology. Any use of a hand-held mobile device while driving should be kept to an absolute minimum and only during emergency situations. Further, any use of a mobile device, including hands-free technology, while driving in a vehicle, public or private, is strongly discouraged.
7. Per Code of Iowa as of July 1, 2010 it is unlawful to text while driving.
8. An employee who has a personal cellular phone shall limit the number of calls received in the workplace. If a supervisor determines that the number of calls being received on a personal cellular phone is unreasonable, the employee may be asked to turn the phone off or leave it outside of the workplace. If a problem persists, misuse of it may be grounds for disciplinary action.

11.4 PURCHASING CARD

It is the intent of the purchasing card program to provide employees with an effective and efficient method of purchasing, reserving, guaranteeing and paying for specific services and/or purchases. The program is intended to provide documentation of purchases at the department level. The use of purchasing cards shall be in compliance with other Utility policies and procedures. It is the responsibility of each cardholder to comply with these policies.

1. Roles and Responsibilities

- A. The conduct of all Utility employees shall meet the highest ethical standards, and that standard is a part of the Utility's purchasing card program. All participants in the program are responsible for conducting themselves in such a way as to exemplify the public trust that they hold.
- B. Program Administrator: The Director of Finance will act as the Program Administrator. Responsibilities shall include:
 - 1. Handling issues with the card provider and cardholders regarding compliance with program policies.
 - 2. Providing policy and procedure revisions to each Department Head.
 - 3. Recommending appropriate action to the General Manager in the event of unauthorized use of a card.
- C. Payment Administrator: The Director of Finance will act as the Payment Administrator. Responsibilities shall include:
 - 1. Coordinating the card application process and keeping a record of all cardholders.
 - 2. Coordinating training sessions and keeping a record of those who have completed training.
 - 3. Handling issues with the card provider and cardholders regarding changes in cardholder status.
 - 4. Handling questions concerning payment procedures and transaction reports.
- D. Accounts Payable Clerk: Responsibilities shall include:
 - 1. Processing payments in accordance with the program policies and the contract with the card provider.
 - 2. Reporting all variances from policies and procedures to the Program Administrator.
- E. Cardholder: Responsibilities shall include:
 - 1. Knowing and complying with the purchasing card policies and procedures, and ensuring purchases are made in accordance with the purchasing policies and procedures, including bidding requirements.
 - 2. Ensuring that funds have been properly budgeted and are available to pay for the items and/or services being purchased.
 - 3. Keeping informed about policy and procedure revision information.
 - 4. Verifying that the quantity and quality of the items and/or services purchased are in compliance with the agreement, whether verbal or written, with the vendor.
 - 5. Notifying the vendor, when applicable, that the purchase is tax exempt and ensuring that such taxes are not added to the prices of items and/or services purchased.
 - 6. Reporting any variances from program policies to the Program Administrator.

2. Security

- A. Purchasing cards are the property of the Utility.
- B. It is the responsibility of the cardholder to keep the card in a safe location.
- C. Carrying cards permanently with personal cards is discouraged because of the possibility of its use in place of a personal credit card.
- D. Lost or stolen cards shall be immediately reported to the Payment Administrator.
- E. Cardholders shall return cards to the Payment Administrator when employment with the Utility is terminated.

3. Included Items

- A. The purchasing card shall only be used for the following types of transactions:
 - 1. To secure and/or guarantee reservations, registrations, attendance, food, etc. to an approved educational or operational out-of-town event.
 - 2. To purchase or provide payment for goods or services necessary for operations.

4. Excluded Items

- A. The purchasing card shall not be used for the following types of transactions:
 - 1. Cash advance.
 - 2. Purchase of alcoholic beverages.
 - 3. Travel-related expenses related to spouses or other non-covered persons.
 - 4. Items for personal use that would not be reimbursable by the Utility.
 - 5. Video rental or “On Your Honor” bar purchases provided in hotel rooms.
- B. The Utility purchasing card shall not be used for personal identification or as a personal credit reference.

5. Dollar Limits

- A. Monthly dollar limits will be established at \$3,500 per cardholder.

6. Use of Card and Transaction Records

- A. Receipts and Invoices: An original receipt or invoice from the vendor, or other verifying document must support each purchase transaction.
- B. Internet Transactions: Cardholders shall confirm the security of proposed Internet order sites prior to placement of orders.
- C. Conference, Training, and Travel Transactions: Cardholders shall confirm budget approval prior to using cards for conference, training, or travel purposes.
- D. Telephone Orders: Cardholders shall confirm the security of proposed telephone orders prior to placement of orders.
- E. Pickup/In-Person Orders: Cardholders may use cards in accordance with the policies at places of business accepting the cards.
- F. Cardholder Verification: Each cardholder shall be responsible to verify documentation of each transaction during each billing period.

7. Payment

- A. Signature Authority: The signature of the appropriate Department Head must be included on the request for payment.
- B. The Accounts Payable Clerk will process payments in accordance with the program policies and procedures, and the contract with the card provider.

8. Disputed Charges

- A. It is the responsibility of each cardholder to resolve any discrepancies between the transaction report for his or her card and the transaction receipts.
- B. All Department Heads shall have the authority to resolve disputes. This is intended to ensure timely resolution of disputes.

9. Program Violations

A. Program Violations:

1. Unallowable Purchases: The cardholder will provide required documentation upon request of the Payment Administrator.
2. Late Submission of Purchasing Card Reconciliation Document and/or Failure to Resolve Disputes: Late submission and/or failure to resolve disputes may result in loss of card privileges.
3. Standards of Conduct Violations: Conduct not complying with Utility standards will be reported to the Program Administrator. In addition to card revocation, violations may result in disciplinary action up to, and including, termination.

Repeated program violations will be reported to the Program Administrator. In addition to temporary de-activation of the card, consequences of violation may include card revocation, payroll deduction for unallowable purchases and expenses that were not reconciled, and/or disciplinary action up to, and including termination.

11.5 VEHICLE USE

A. Utility Vehicle Use

1. The Utility recognizes that certain employees need the regular use of a vehicle to fulfill their job duties and responsibilities. The General Manager assigns the use and responsibility of a vehicle to some employees where their job duties and responsibilities make a vehicle necessary.
2. Prior permission shall be received from the General Manager before a Utility owned vehicle is used for overnight meetings.
3. Employees shall operate Utility vehicles in a safe, courteous, and prudent manner while performing Utility business including specifically the use of seat belts by both the driver and passengers.
4. Vehicles are to be serviced in accordance with manufacturer's specifications at recommended intervals.
5. Vehicles are to be kept neat, clean, and in a good state of repair at all times including washing and waxing at regular intervals.
6. Repairs are to be made promptly.
7. Per the Iowa Smoke Free Air Act it is prohibited to smoke in any Utility-owned vehicle. This prohibition is related to employee health, other employees riding in the vehicle, image, and potential vehicle resale. Violation of this policy may result in disciplinary action including termination.

8. According to Internal Revenue Code Section 274 employees are subject to a \$3.00 per day for vehicle use if not for Utility benefit. This would include vehicles used to commute to and from work, drive home, break time, and lunch hours. Employees will pay all taxes with regard to this amount on a quarterly basis. Not subject to the fringe benefit tax would be police, fire, ambulance, and utility “trucks”, or vehicles driven home for the benefit of the Utility, such as, water department due to specialized equipment in vehicle. Superintendents can exempt the days that they were actually called out AND that they reported directly to the job site to fulfill the essential portions of their supervisory jobs. Normal workdays without callouts are not to be exempted.

B. Personal Use of Utility Vehicles/Equipment

At no time shall an employee use a Utility-owned vehicle, facility, or equipment for personal use except as otherwise provided herein for commuting to and from work.

It is recognized that emergencies will necessitate that vehicles be readily available, therefore the General Manager shall designate those employees who shall drive vehicles to and from work. These employees shall only use the vehicle for commuting and minimize personal use.

Any personal use of said vehicle other than described above shall be ground for disciplinary action up to and including dismissal. Such incidents shall be reported immediately to the General Manager.

C. Personal Vehicle for Utility Use

1. Some employees will be identified by the General Manager to receive a monthly vehicle allowance for using their personal vehicle for Utility business. Any employee receiving a monthly allowance for a personal vehicle shall not have use of a Utility vehicle except where specifically approved by the General Manager.
2. The vehicle allowance of up to \$250/month shall be included in payroll checks less applicable taxes.
3. Staff receiving a vehicle allowance shall be responsible for all expenses including but not limited to insurance, maintenance, repair, oil, lubrication, fluids, tires, battery, washing and fuel costs for their vehicle.
4. When used to conduct Utility business, personal vehicles are required to have a minimum automobile insurance coverage for liability of a split limit of \$100,000 per person and \$100,000 property or a combined single limit of \$500,000. In case of a claim, a Utility's employee's private insurance coverage shall be considered primary. The Utility shall not be responsible for any damage to a personal vehicle.
5. The vehicle allowance and mileage reimbursement include a factor for both liability and collision insurance coverage.
6. Employees who use a personal vehicle to conduct Utility business shall complete an insurance statement form (Exhibit 7), which will be retained throughout their service to the Utility.

7. Employees who receive a vehicle allowance shall be eligible for mileage reimbursement at the mileage rate authorized by the Internal Revenue Service for all mileage in personal vehicles for trips on Utility business outside of the Central Iowa Regional Transportation Area except as otherwise approved by the Board of Trustees. This is in addition to the vehicle allowance payments.
8. Employees shall operate personal vehicle in a safe, courteous, and prudent manner while performing Utility business including specially the use of seat belts by both the driver and passengers.

11.6 COOPERATION IN INVESTIGATIONS

All employees are required to fully cooperate with any representative of the Utility who is conducting a work-related investigation. Employees will be disciplined for lying to any representative of the Utility, or providing information to any representative of the Utility which is dishonest, misleading, inaccurate, or incomplete.

Employees will also be disciplined for impeding, obstructing, or failing to cooperate with an inquiry or investigation conducted by any representative of the Utility. "Obstructing" includes, but is not limited to, threatening, intimidating, or coercing other individuals who may be contacted by a representative of the Utility, and discouraging other individuals who may be contacted by a representative of the Utility from responding to or cooperating with the Utility. "Failing to cooperate" includes, but is not limited to, failing to provide information, documents, or materials requested by a representative of the Utility, and providing information, documents, or materials to a representative of the Utility which are dishonest, misleading, inaccurate, or incomplete.

11.7 INSPECTION OF UTILITY PROPERTY

The Utility attempts to maintain equipment and supplies which permit work to be accomplished in the most efficient and effective manner possible. While employees are encouraged to use these items, it is important to understand that they are Utility property and are only to be used for conducting Utility business.

As a part of an individual's employment, a desk or work space may be made available to the employee. The desk and the work space are Utility property. Because the desk and the work space are Utility property, not the personal property of the employee, the desk and the work space are subject to being inspected by the Utility at any time, with or without notice to the employee.

The Utility assumes no responsibility or liability for any items of personal property which are placed in the desk or work space which is assigned to an employee.

The Utility may also provide a telephone and/or a computer to the employee to perform the employee's job. These items are also Utility property and should only be used to conduct Utility business. If it is necessary to conduct personal business on the telephone or by using the computer, the Utility expects that this personal use will be kept to a minimum and will not interfere with the Utility's business. Naturally, the Utility insists that all personal business conducted on the telephone and the computer be legally proper and that communications not be offensive or harassing. In order to insure that the Utility's property is not being misused, the Utility may monitor communications and examine any computer information. To the extent that any computer or telecommunication activities are regulated by state or federal law, the Utility will observe all such regulations imposed upon it.

If the Utility conducts an examination or inspection under the terms of this policy, there will be at least two individuals present at the time of the examination or inspection.

11.8 CAMERA-EQUIPPED MOBILE DEVICE

The Utility has a responsibility to ensure the use of camera-equipped phones and related mobile devices individuals may bring into the worksite are used in a reasonable manner and to ensure the integrity of proprietary information. Use of these devices by employees and visitors shall be limited to:

1. Camera-equipped devices issued by the Utility to designated employees are permitted in most work areas with the exceptions listed below.
2. No camera-equipped devices are permitted in restricted access areas, such as police and personnel files without the express permission of the General Manager.
3. No camera-equipped devices are to be used in any Utility restroom, exercise area, or shower facility at any time.

11.9 PROTECTED PERSONAL HEALTH INFORMATION

A. Purpose

To also ensure that personal health information is protected during its collection, use, disclosure, storage, and destruction within the Utility.

B. Definition

1. *"Personal Health Information"* means all information, recorded or exchanged verbally, electronically, or in writing about an identifiable individual that relates to:
 - a. The individual's health, or health care history, including genetic information about the individual or the individual's family.
 - b. What the Utility has learned or observed, including conduct or behavior that may be a result of illness or the effect of treatment.
 - c. The provision of health care to the individual.
 - d. Payment for healthcare provided to the individual, and includes:
 1. The personal health identification number and any other identifying number, symbol, etc. assigned to an individual.
 2. Any identifying information about the individual that is collected in the course of, and is incidental to, the provision of health care or payment for health care.
2. Persons associated with the Utility include all employees, agents, or elected officials.

C. Policy

1. All employees and persons associated with the Utility are responsible for protecting the security of all personal health information (oral or recorded in any form) that is obtained, handled, learned, heard, or viewed in the course of their work or association with the Utility.
2. Personal health information shall be protected during its collection, use, storage, and destruction.
3. Use or disclosure of personal health information is acceptable only in the discharge of one's responsibilities and duties (including reporting duties imposed by legislation) and based on the need to know. Discussion regarding personal health information should not take place in the presence of persons not entitled to such information or in public places (elevators, lobbies, cafeteria, off premises, etc).
4. The execution of a Personal Health Information Pledge of Confidentiality (Exhibit 7) is required as a condition of employment/contract/association/ appointment with the Utility, if the employment/contract/association/ appointment requires the use of personal health information.
5. Unauthorized disclosure of confidential information will result in a disciplinary response up to and including termination of employment/ contract/ association/ appointment. A confirmed breach of confidentiality may be reported to the individual's professional regulatory body.
6. All individuals who become aware of a possible breach of the security or confidentiality of personal health information are to follow the procedures outlined in Section E.

D. Pledge Procedure

All employees whose responsibilities include the use of personal health information, as a condition of employment, are to sign a confidentiality pledge. The administration of this pledge is to be handled by the Director of Human Resources and the pledge is to be placed in the employee's HIPAA file.

E. Procedure of Alleged Breach of Confidentiality

1. An allegation of a breach of confidentiality of personal health information may be made to any member of the Utility. Any individual receiving an allegation of a breach of confidentiality or having knowledge or a reasonable belief that a breach of confidentiality of personal health information may have occurred should immediately notify the Department of Human Resources.
2. The Director of Human Resources or designee in consultation with the employee's supervisor will decide whether to proceed with an investigation. It may be decided that a complaint does not require investigation if:
3. The length of time that has elapsed since the date of complaint makes an investigation no longer practicable or desirable.
4. The subject matter of the complaint is trivial or not made in good faith or is frivolous.
5. The circumstances of the complaint do not require investigation.
6. If the decision is made to proceed with an investigation, it is the responsibility of the employee's supervisor and the Director of Human Resources to investigate the allegation and consult appropriate resources to make a determination if a breach of confidentiality of personal health information has been made.

7. If a breach of confidentiality of personal health information has occurred, disciplinary action should be taken.
8. All incidents of a breach of confidentiality of personal health information should be documented and filed in the employee's personnel file and the office of the Department of Human Resources.

11.10 WHISTLE BLOWER

The Utility strives to conduct business with the utmost integrity and in strict accordance with all applicable federal, state and local law. Accordingly, employees are encouraged to bring to the attention of the Utility any improper actions of Utility elected or appointed officials and employees. The Utility will not retaliate against any employee who makes such a disclosure in good faith and in accordance with the procedures set forth in this policy.

Improper actions are actions undertaken by an official or employee in the performance of his or her official duties which (a) are in violation of any federal, state or local law, (b) constitute an abuse of authority, (c) create a substantial and specific danger to public health or safety, or (d) grossly waste public funds. Improper actions do not include common personnel actions, such as the processing of grievances, decisions regarding hiring, promotion, firing and other discipline, or alleged violations of labor (collective bargaining) agreements, employment contracts or policies or procedures set forth in the Utility's policy manual.

A. Purpose

This policy is adopted to:

1. Encourage reporting by employees of improper governmental action taken by Utility officers or employees
2. Protect Utility employees who have reported improper governmental actions in accordance with Utility policies and procedures
3. Act as a safeguard for legitimate interests
4. Provide for speedy dispute resolution.

B. Procedures

1. Misconduct can often be corrected most expeditiously if handled internally. Accordingly, an employee who has a good faith concern that improper action has occurred or is about to occur, must first raise that concern with the Utility. Specifically, the employee must submit their concerns and related information in writing to the General Manager. In the event that the complaint concerns the General Manager or Elected/Appointed Official, the complaint shall be submitted to the Attorney. The identity of a reporting employee will be kept confidential to the fullest extent possible under law, unless the reporting employee provides written authorization for disclosure.
2. The Utility shall have ten (10) working days to address the complaint raised by the reporting employee and provide the reporting employee with a written response which identifies the alleged improper action at issue, describes the scope and findings of the investigation, states what, if any action will be taken against the offending officer(s) and/or employee(s), and explains why such action is appropriate.

3. If the reporting employee is not satisfied with the investigation and/or resolution of the complaint, the reporting employee may request reconsideration in writing within five (5) working days of receipt of the Utility's written response. Written requests for reconsideration must be submitted to the General Manager or Attorney and must identify the specific elements of the Utility's investigation or written response which the reporting employee finds unsatisfactory. The Utility has three (3) working days to advise the reporting employee in writing whether reconsideration will be granted.
Any reconsideration will be limited to examination of the specific issues raised by the reporting party in their written request. The Utility will have five (5) working days from the date reconsideration is granted to complete its additional investigation and provide the employee with a written response.
4. If a reporting employee is still dissatisfied with the Utility's investigation or response, the reporting employee may disclose the complaint to the Mayor. Reporting employees may disclose complaints to the Mayor only after fully exhausting the reporting and reconsiderations procedures set forth in this policy. All reporting employees must strictly follow this policy. Employees who comply with the policy shall not be subject to discipline or discharge for reporting, disclosure, or other activities subject to the policy.
5. Deviation from the reporting and reconsideration policy is permitted only in those rare cases where the reporting employee can show that persons or property will be damaged if the alleged improper conduct is not immediately addressed.
6. Reporting employees who, after exhausting the internal reporting and reconsideration procedures, choose to continue to pursue their complaints should consider contacting the State Ombudsman.
7. All Utility personnel and officials are prohibited from taking any adverse employment action against an employee who registers a complaint with a public body in accordance with this policy. If an employee believes there has been retaliation for reporting improper actions in accordance with this policy, the employee may seek redress as follows.
 - a. The employee must provide written notice of the charge of retaliatory action to the General Manager or Attorney within ten (10) days of the date the alleged retaliatory action occurred. The notice must describe the alleged retaliatory action and the persons allegedly involved, and identify the relief requested.
 - b. The General Manager or Attorney must respond to the charge in writing within fourteen (14) working days of its submission. The response must: identify the alleged retaliatory action and persons involved; identify the relief requested; describe the investigation conducted; state and explain the disposition of the charge; and identify the relief, if any, that is being granted and explain why the relief is appropriate.
 - c. The charging party is entitled to a hearing if they so choose. However, the hearing must be requested in writing within fourteen (14) working days of delivery of the Utility's written response to the charge or, if the Utility fails to respond within the allotted fourteen (14) working day period, within fourteen (14) working days of the last day upon which the Utility should have responded.
 - d. Within five (5) working days of receipt of a timely request for hearing, the Utility shall apply for a hearing before an administrative law judge licensed in the State of Iowa.

CHAPTER 12

VERIFICATION STATEMENT

I have read and understand the policies in the Employee Handbook and will do my best to abide by them.

These policies affect all Utility employees, except for some differences that may pertain to employees who are working under contract terms or employees working under a collective bargaining agreement.

I understand that nothing in the Handbook is considered as an explicit or implicit employment contract between the Utility and myself.

Disciplinary action including termination may result from violation of any of the policies in the Handbook.

I also understand that the Utility may change, rescind, or add to any policies described in the Handbook at its discretion.

Signature

Please Print Name

Date

Return this page to the Director of Human Resources for your official personnel file. If you have any questions please contact your direct supervisor, department director or Director of Human Resources.

EXHIBIT 1

INDIANOLA MUNICIPAL UTILITIES **PERFORMANCE EVALUATION**

NAME:
DEPARTMENT:
POSITION:
ANNIVERSARY DATE:
SUPERVISOR:
DATE OF HIRE:

MISSION STATEMENT

The City of Indianola and the Indianola Municipal Utilities will cooperatively provide essential, high-quality, and cost-effective services that give opportunities for residents to pursue the highest possible quality of life.

WE VALUE

- **A dedicated, creative, professional, and skilled workforce including appointed and elected officials that possess integrity and perform their duty in an ethical and impartial manner;**
- **A safe and efficient workplace and community;**
- **Attaining a high level of customer service;**
- **Sustainable service delivery based on research and foresight;**
- **Protection and responsible use of natural resources;**
- **Affordable rates that balances needs in the community;**
- **Working as partners within our community and with other entities;**
- **Fairly and consistently imposing and applying regulatory actions;**
- **Providing equal access to resources that benefit people's lives;**
- **Citizens that are knowledgeable and engaged in our community.**

Rating Scale:

10.0	Superior Consistently exceeds standards and requirements. Total overall performance is well above the standard for this evaluation category.
9.0	Highly Satisfactory Fulfills standards and requirements, exceeds consistently in some areas.
7.0-8.0	Fully Satisfactory Fulfills standards and requirements, exceeds in some areas occasionally; competent performance, meeting and exceeding standards in all critical areas of this evaluation category.
6.0	Improvement Needed Marginally fulfills standards and requirements; minimal performance competency; marginally meets standards in all critical areas of this evaluation category.
5.0	Unsatisfactory Overall performance needs attention in this category. Performance clearly inadequate in one or more critical areas/

(+ and – are available/use 0.5 point increments)

The purpose of the performance evaluation is to provide a review of the employee's job description and assessment of goals and objectives. The evaluation process will clarify for the supervisor and the employee how well the position's responsibilities are being performed. The evaluation will also set future expectations. The employee's job description is to be used as a guide in addition to the factors listed under each category.

1. QUALITY AND QUANTITY OF WORK RATING _____

Is accurate, thorough, and alert. Follows through on new techniques to enhance quality of work. Complies with policies, rules, and regulations. Performs duties fairly, tactfully, firmly, and impartially. Quickness in learning and understanding job tasks. Maintains work record, organization, and attention to detail regarding task completion, resulting in neat and complete work. Demonstrates initiative and commitment. Provides proper documentation. Work accomplished relates to standards for the position.

Comment:

2. CREATIVITY AND USE OF RESOURCES RATING _____

Practices efficient use of funds, materials, and property. Identifies and implements cost-savings or avoidance measures. Exhibits a strong concern and ability for proper operation and care of equipment and property. Generates new ideas, ways of doing things, and imaginative ways of enhancing performance. Uses work plans, adapts to changes in priorities resulting in consistently high results. Maintains orderliness and cleanliness of work area. Puts equipment and tools away; cleans up work site.

Comment:

3. SERVICE EXCELLENCE RATING _____

Demonstrates a level of respectfulness, cooperation, tolerance, approachability, sociability, tactfulness, and courtesy. Develops effective working relationships. Exhibits ability to deal and get along with citizens, employees, and officials. Maintains good attitude toward job. Able to accept feedback and respond appropriately. Uses sense of personal direction. Provides quality information to citizens. Recognizes needs of others.

Comment:

4. DEPENDABILITY AND PERSONAL

APPEARANCE**RATING _____**

Completes job assignments well with minimal supervision. Trustworthy. Stands strong in times of crisis. Self-starting attitude, exhibiting promptness, faithfulness, punctuality, and regularity in coming to work. Willingness to work overtime if needed. Tidiness, proper wearing of uniform, taste in dress, neatness, high level of grooming. Dependability.

Comment:

5. GOALS AND DRIVE**RATING _____**

Uses effort and persistence to achieve goals. Sets goals and priorities. Continually tries to improve various aspects of self. Preserves high level of self-esteem. Level of effort and persistence given to improving total job knowledge and abilities to become a top employee and person. The effort given to know all you can about job related functions of your respective department.

Comment:

**6. MANAGEMENT OF WORK SYSTEMS
AND JOB KNOWLEDGE****RATING _____**

Performs duties of position with expertise. Able to conceptualize, initiate, organize, and complete necessary projects, assignments, and activities. Develops and maintains proper documentation in an efficient, productive, and timely manner. Uses good judgment. Is able to learn; requests direction when needed; is versatile. Ensures standard procedures are followed in performing duties.

Comment:

7. PROBLEM SOLVING/DECISION MAKING**RATING _____**

Uses appropriate techniques to solve problems; is thorough in analyzing alternatives; seeks new approaches. Reacts quickly and calmly when under pressure. Exhibits self-discipline and perseverance. Displays initiative. Analyzes situations, accurately determines the real problem and the solution. Able to make sound, well thought-out decisions.

Comment:

8. PROFESSIONAL AND PHYSICAL

DEVELOPMENT**RATING _____**

Involves and displays professional integrity. Stays current with one's profession and seeks professional growth and improvement. Accepts responsibility and accountability. Accepts direction and instructions positively. Maintains physical performance under stress, and physical fitness level to meet essential duties.

Comment:

**9. PERSONAL AND PUBLIC
SAFETY****RATING _____**

Follows proper safety procedures to protect self, co-workers and the public. Actively participates in all required safety training. Makes recommendations to accomplish tasks in a safe and efficient manner.

Comment:

10. COMMUNICATIONS**RATING _____**

Establishes and maintains good communications. Listens openly to other's points of view; is objective and fair-minded in communications with the public and co-workers. Uses telephone etiquette, is courteous, and uses discretion to provide caller with proper assistance and/or information as required. Organizes and expresses thoughts and presents information in a clear, concise, and accurate manner; presents ideas convincingly.

Comment:

11. RELATIONSHIP WITH SUPERVISOR**RATING _____**

Follows directions. Cooperates with departmental goals and direction by superiors. Uses chain of command as needed to ensure that items are brought to the attention of the appropriate party.

Comment:

Supervisor's Comments

COMPOSITE
RATING

SUMMARY SCORE

Mark total numerical rating on scale below: X X X X X X X													
0.0		60		70		80		90		100		110	
<u>(60 OR Below)</u>		<u>(61-75)</u>		<u>(76-91)</u>				<u>(92-102)</u>				<u>(103-110)</u>	
Unsatisfactory		Improvement Needed		Satisfactory				Highly Satisfactory				Superior	

Continued composite ratings in the improvement needed range may lead to disciplinary action.

Action Plans/Training and Development Goals

Summarize any specific projects, performance objectives, or training and development plans for the next review period.

Employee Comments/Reactions

Optional. If employee wished to do so, any comments concerning the appraisal may be indicated in this section.

Supervisor

Date

Manager

Date

I have read this evaluation and discussed its significance with my evaluator.

Employee

Date

This performance evaluation is to be retained in the employee's personnel file for future reference.

RECOMMENDATION FOR WITHIN GRADE INCREASE

This is to note that _____ will complete the appropriate waiting period for creditable service to salary class/range _____ on _____ to be reflected in hourly rate on pay date _____. .

Annual

Hourly

Includes Longevity

Does Not Include Longevity

Evaluation

A finding of satisfactory service and a recommendation to advance salary class/range and step on the effective _____ as listed above has been made. The written Performance Evaluation has been completed and forwarded to the Human Resource Office for placement in the employee's personnel file.

Supervisor Signature

Date

Manager Signature

Date

Employment Information

Date of Hire: _____

Present Class/Range: _____

Present Salary: \$ _____

Includes Longevity

Does Not Include Longevity

Eligibility Date for Next Advance: _____

City Council or Board of Trustee

Action Approved: _____

Disapproved: _____

Date: _____

EXHIBIT 2

ORIENTATION CHECKLIST

- _____ **Joint Mission & Values Statement**
- _____ **List of Benefits Provided by the Utility**
- _____ **Health Insurance Booklet**
- _____ **Health Insurance Enrollment Form & Cards**
- _____ **Health Reimbursement Arrangement**
- _____ **STD/LTD Benefit Booklet**
- _____ **LIFE & AD&D Certificate**
- _____ **Flex Spending Information**
- _____ **ICMA Packet**
- _____ **Copy of Personnel Management Guide or Union Contract**
- _____ **Copy of the Employee Handbook**
- _____ **IPERS Form & Booklet OR 411 Forms (MFPRSI will mail to new members)**
- _____ **Basic Information: W-4, I-9, State Withholding, Copy of Social Security Card**
- _____ **EAP Pamphlet**
- _____ **Credit Union Pamphlet**
- _____ **Direct Deposit Authorization Form**

Optional payroll deductions include savings bonds, credit union, dependent life insurance, ICMA, and savings account.

EXHIBIT 3

REPORT OF PHYSICAL EXAM

Employee Name _____

Date of Exam _____

Reviewing Physician _____

Medical Test Performed:

Pulmonary Function Test _____

Vision _____

Audiometry _____

X-Rays _____

Other _____

Physical Exam Revealed/Confirmed: _____

Recommendations:

No work restrictions _____

Restrictions to include _____

Other _____

EXHIBIT 4

ATTACHMENT 1

INCIDENT REVIEW REPORT

Near Miss ☐

Incident ☐

Prior to completing this for, the supervisor should review applicable safety procedures, policies and a job hazard analysis to compare the circumstances of the incident to the prescribed guidelines.

Employee name: _____ Date of incident: _____

Location of incident: _____ Time of incident: _____

What task was the employee performing at the time of the incident?

Is there a procedure for this task? **Circle one:** Yes No N/A
If yes, answer the following:

Was employee following procedure? Yes No

If the answer is no, why not?

Were proper tools or equipment being used? Yes No N/A

If the answer is no, why not?

Were tools or equipment in good condition? Yes No N/A

If the answer is no, why not?

Was the correct personal protective equipment (PPE) used? Yes No N/A

If the answer is no, why not?

If the answer is yes, what type of PPE was used?

Was there housekeeping or an environmental problem (i.e. burnt out light bulbs in stairwell or hoses left on the floor)? Yes No N/A

If the answer is yes, what?

Were immediate corrective steps taken to address causes of the incident? Yes No N/A

If the answer is yes, what?

If the answer is not, why not?

Any recommendations for long-term corrections?

Signature of Immediate Supervisor _____

Signature of Employee _____

Exhibit 5

QUARTERLY EMPLOYEE SAFETY REPORT

Department: _____

Date: _____

Employee Name: _____

Safety Training Classes This Quarter:

October – _____

November– _____

December - _____

Questions pertain to this quarter only. Place an “X” in the appropriate box.

DID YOU:	Yes	No	N/A
1. Attend a safety training class?			
<i>If Yes, what class?</i>			
2. Implement what you learned from the safety training?			
<i>If Yes, what was it?</i>			
3. Perform your job safely?			
4. Encourage a co-worker(s) to work safely?			
<i>If Yes, what did you tell them?</i>			
5. Wear your seat belt?			
6. Use the proper tools for the job?			
7. Ask for help when needed?			
<i>If Yes, doing what?</i>			
8. Report unsafe working conditions?			
<i>If Yes, what was it?</i>			
9. Wear <u>all</u> required PPE?			
List any near misses and/or accidents you had this quarter. Add any additional comments or suggestions.			

Employee

Date

Supervisor

Date

QUARTERLY EMPLOYEE SAFETY REPORT

Department: _____

Date: _____

Employee Name: _____

Safety Training Classes This Quarter:

October – _____

November– _____

December - _____

Questions pertain to this quarter only. Place an “X” in the appropriate box.

DID YOU:	Yes	No	N/A
1. Attend a safety training class?			
<i>If Yes, what class?</i>			
2. Implement what you learned from the safety training?			
<i>If Yes, what was it?</i>			
3. Perform your job safely?			
4. Encourage a co-worker(s) to work safely?			
<i>If Yes, what did you tell them?</i>			
5. Wear your seat belt?			
6. Use the proper tools for the job?			
7. Ask for help when needed?			
<i>If Yes, Doing what?</i>			
8. Report unsafe working conditions?			
<i>If Yes, what was it?</i>			
9. Follow lockout/tagout procedures?			
10. Set up a work zone correctly?			
11. Complete an excavation worksheet?			
12. Complete a confined spaces worksheet?			
13. Use the proper cover-up when working on high voltage?			
14. Wear <u>all</u> required PPE?			
List any near misses and/or accidents you had this quarter. Add any additional comments or suggestions.			

Employee

Date

Supervisor

Date

QUARTERLY DEPARTMENT SAFETY REPORT

Department: _____

Date: _____

Safety Training Classes This Quarter:

October – _____

November – _____

December – _____

1. Did your department attend all of the required safety trainings? Yes No

2. Have the employees implemented what they learned? Yes No

If No, What are they doing incorrectly and what is being done to correct the problem?

3. Are employees performing their jobs safely? Yes No

If No, What is the safety violation and what is being done to correct it?

4. Are employees being recognized for performing their jobs safely? Yes No

5. How are they being recognized? (Excluding annual safety awards)

6. Are co-workers encouraging each other to work safely? Yes No

7. Has an injury occurred because of unsafe practices? Yes No

If Yes, What was the unsafe practice and what is being done to correct it?

8. Is work being completed unsafely? Yes No

If Yes, What is the unsafe practice and what is being done to correct it?

9. Did your safety committee representative regularly attend the monthly meetings this quarter? Yes No

10. Did your department hold any "tailgate meetings" this quarter to discuss safety topics? Yes No

If Yes, What were the topics?

11. Have you noticed improved safety practices this quarter? Yes No

If Yes, What are they?

Include a copy of the following worksheets that are applicable to your department for this quarter:

- ☐ Lockout/Tagout
- ☐ Excavation
- ☐ Confined Space
- ☐ Traffic Control (work zone)
- ☐ High Voltage Zones
- ☐ Other

Supervisor

Date

EXHIBIT 6

Return to Work Program Statement of Acknowledgement

I acknowledge that I have been informed of Indianola's Temporary Alternate Duty (TAD) program, and I understand and agree to abide by the restrictions defined by the attending physician and by the Utility as a condition of my participation in the Return-to-Work Program.

I further understand that if I do not follow the restrictions placed on me by the physician and the Utility, I may receive disciplinary action up to and including termination.

Employee Signature

Date

Witness Signature

Date

EXHIBIT 7

**Employee Insurance Statement
For Those Employees Who Drive
A Personal Car for Utility Business**

I, _____, serving as an employee of the Utility, plan to use my personal automobile to conduct Utility business as necessary. I certify that I have received a copy of the Utility's policy regarding Vehicle Allowance, which I have read the procedure and will abide by its provisions. I further certify that I have now and will keep in effect automobile insurance equal to or greater than the minimum limits required by the Utility procedure.

Signature of Employee

Date

Iowa Driver's License Number

Name and address of automobile insurance company and/or agent

EXHIBIT 8

Pledge for Confidentiality Protected Personal Health Information

I, the undersigned, have read and understand the Utility's policy on "Confidentiality Protected Personal Health Information Policy". In consideration of my employment or association with the Utility, and as an integral part of the terms and conditions of my employment or association, I hereby agree that I will not at any time during my employment or after my employment or association ends, access or use personal health information, or reveal or disclose to any persons within or outside the Utility, any personal health information except as may be required in the course of my duties and responsibilities and in accordance with applicable legislation governing proper release of information. I also understand that unauthorized use or disclosure of such information will result in disciplinary action up to and including termination of employment/contract/association and the imposition of fines pursuant to applicable state and federal laws.

Date

Signature of Individual Making Pledge

I have discussed the Confidentiality Protected Personal Health Information Policy and the consequences of a breach with the above named.

Director of Human Resources

Date

EXHIBIT 9

RELEASE TO PROVIDE INFORMATION REGARDING MY EMPLOYMENT RECORD

I hereby authorize the Utility to release the following information from my personnel file to prospective employers upon their request for a reference:

- ☐ Dates of Employment
- ☐ Job title and/or classification
- ☐ Last compensation and salary history
- ☐ Stated reason for leaving/termination
- ☐ Copy of last performance evaluation
- ☐ Copy of all performance evaluations
- ☐ Copies of commendations, certificates, or awards
- ☐ Record of progress: Promotions/Demotions
- ☐ Attendance record
- ☐ Supervisor's rehire opinion

I acknowledge that the information divulged may be negative or positive with respect to me. Pursuant to this authorization, I unconditionally release the Utility, any person giving such reference on behalf of the Utility, and officers, directors, agents, and employees of the Utility from any and all liability for furnishing such information.

I hereby designate the Director of Human Resources to provide the information. I acknowledge that despite this release, the Utility reserves the right not to provide any reference at all, beyond dates of employment, most recent job title, and most recent salary, and such refusal shall not be grounds for a lawsuit by me against the Utility.

A fax or photocopy of this signed release shall have the same force and effect as the original release signed by me.

_____ Name (please print)	_____ Signature	_____ Date
_____ Witness (please print)	_____ Signature	_____ Date

Information

Subject

Insurance Renewals

Information

Renewal information effective July 1, 2014 for worker's compensation, auto, liability, property, life/AD&D, and equipment replacement is attached. To summarize:

1. The Iowa Communities Assurance Pool policy, premium of \$78,504 (IMU portion), covers general liability, auto, officials' liability, and property insurance. This is a decrease of \$45,465 which was achieved by raising some deductibles and re-evaluating coverage to more align with today's insurance reserve balance, overall risk profile and the 10-year claims history. There is a very short payback anticipated by ICAP and staff.
2. The Iowa Municipalities Workers' Compensation Association policy, premium of \$34,080, covers workers' compensation insurance that is based on payroll and experience history of IMU & City combined. This is an increase of 8.8%, however less than originally thought it would be.
3. Cincinnati Insurance Co. policy, premium of \$46,216, covers machinery & equipment replacement. As stated in news items previously, coverage is somewhat limited due to the age of IMU's higher-risk assets such as the combustion turbines and substation transformers (coverage is for replacement less depreciated age/condition).

Financial Impact

N/A

Staff Recommendation

Simple motion approving insurance policy renewals for FY 2015 as presented is in order.

Attachments

Insurance Renewals

TO: Eric Hanson, City Manager
Todd Kielkopf, General Manager
FROM: RoxAnne Hunerdosse, Director of HR and Risk Management
DATE: May 28, 2014

**RE: LIABILITY, AUTO, PROPERTY, WORKER'S
COMPENSATION, MACHINERY AND EQUIPMENT
REPLACEMENT, AND VOLUNTEER FIREFIGHTER AD&D
INSURANCE RENEWAL**

Renewals are effective July 1, 2014 for worker's compensation, auto, liability, property, life/AD&D insurance, and equipment replacement policies. Attached are detailed spreadsheets representing each department's contribution for the various premiums for our current fiscal year and our renewal rates for 2014-15.

1. **ICAP (Iowa Communities Assurance Pool):** The ICAP policy includes coverage for general liability, auto, officials' liability, law enforcement liability and property insurance.

The council's portion equals \$107,160 (\$123,708 in 2013) and trustee's \$ 78,504 (\$123,969 in 2013) for a grand total of \$185,664 (this includes a \$20,929 credit) which compares to last year's \$247,677.

The renewal premium decreases by \$62,013 over last year due to the increased deductibles on property and vehicles and an increase in credit voucher. The detailed ten year analysis of claims presented by ICAP representative Kasi Koehler showed clearly a savings to the utility and city by increasing property and vehicle deductibles.

We've been with ICAP since July of 1992, a few years after it was first established through efforts of the Iowa League of Cities. Today the pool it has nearly 700 members including cities, counties, fair boards and other governmental entities.

2. **IMWCA (Iowa Municipalities Workers' Compensation Association)**
The attached summary sheet displays the premiums for worker's compensation at \$164,433 (Council \$130,353 & Trustees \$34,080).

The premium is based on payroll (estimated to be \$6.07 million for 2014-15), experience mod factor, member discount and work classification rates. Our estimated premium of \$164,433 is an increase of 2,866 (1.75%) over the current year's \$161,567.

This is a substantially better renewal then the numbers presented during the budget process. A three year average is used in the experience mod factor calculation and we had a very good year rolling off and mediocre year coming

on. The increase in mod factor could have impacted the other discounts offered by IMWCA.

If we did *not* receive member discounts and *if* we had a high experience mod factor we would be paying a much higher premium for our workers' compensation coverage. For example, without discounts our Fire Department premium would be \$98,261 but due to discounts we will be paying \$46,344 in 2014-15.

So far our current plan year through April, actual claims have been \$69,520 and premiums paid \$161,567.

3. Cincinnati Insurance Company

This will be our fourth year with Cincinnati Insurance Company for our Machinery and Equipment Replacement (Boiler & Machinery) coverage. It was moved to Cincinnati three years ago with a three year rate guarantee and a \$5,500 savings per year. This is repair and replacement coverage for turbines, boilers, pump stations and substations for a sudden and accidental breakdown that manifests itself by physical damage requiring repair or replacement not including wear and tear.

Attached are the proposed renewal rates. If you have any questions or need additional information, please let me know.

4. Volunteer Firefighters AD&D

The council has purchased a AD&D policy for our volunteer firefighters to assist members should an accident occur.

Insurance Renewal
2014-15

2014-15 Department	AUTO 64081	G.L. 64082	PROP. 64083	ICAP TOTAL	ICAP MEMBER DISCOUNT	TOTAL ICAP PREMIUM DUE	WORK COMP 61599	FIRE- AD&D 61550	EQUIP REPLACE MENT 64084	TOTAL
GOV'T	\$ 43	\$ 8,651	\$ 17,951	\$ 26,644	\$ 2,699	\$ 23,945	\$ 36		\$ 549	\$ 24,530.26
001-6500										
CITY MANAGER				\$ -			\$ 2,757			\$ 2,757.00
001-6150										
CABLECAST				\$ -			\$ 281			\$ 281.00
001-6210										
BRUSH FACILITY				\$ -			\$ 227			
001-2900										
CLERK/FIN				\$ -			\$ 479			\$ 479.00
001-6200										
HR & RISK				\$ -			\$ 110			\$ 110.00
001-6250										
COMM DEV	\$ 278			\$ 278	\$ 28	\$ 250	\$ 2,902			\$ 3,151.84
001-1700										
STREETS	\$ 6,250	\$ 3,003	\$ 5,667	\$ 14,920	\$ 1,512	\$ 13,409	\$ 18,042		\$ 1,317	\$ 32,767.86
110-2100										
POLICE	\$ 4,213	\$ 13,743	\$ 344	\$ 18,300	\$ 1,854	\$ 16,446	\$ 22,922			\$ 39,368.15
011-1100										
FIRE	\$ 13,866	\$ 1,813	\$ 179	\$ 15,858	\$ 1,606	\$ 14,251	\$ 46,344	\$ 713		\$ 61,308.25
015-1500										
AMB.	\$ 2,870	\$ 355		\$ 3,225	\$ 327	\$ 2,898	\$ 17,991			\$ 20,889.18
016-1600										
PARKS	\$ 1,937	\$ 2,636	\$ 3,766	\$ 8,338	\$ 845	\$ 7,494	\$ 6,264			\$ 13,757.58
042-4300										
REC.	\$ 786	\$ 1,589	\$ 1,476	\$ 3,850	\$ 390	\$ 3,460	\$ 3,877		\$ 494	\$ 7,831.20
042-4400										
P&R ADMIN							\$ 140		\$ 494	\$ 634.00
042-4200										
POOL		\$ 7,500	\$ 936	\$ 8,436	\$ 855	\$ 7,581	\$ 1,543		\$ 823	\$ 9,947.41
045-4500										
LIBRARY		\$ 330	\$ 2,947	\$ 3,276	\$ 332	\$ 2,945	\$ 371		\$ 549	\$ 3,864.56
041-4100										
SEWER	\$ 2,692	\$ 5,131	\$ 8,290	\$ 16,113	\$ 1,632	\$ 14,481	\$ 6,067		\$ 4,446	\$ 24,993.58
610-8300										
Council Total	\$ 32,936	\$ 44,750	\$ 41,554	\$ 119,239	\$ 12,080	\$ 107,160	\$ 130,353	\$ 713	\$ 8,672	\$ 246,897.88
IMU ADMIN		\$ 3,343	\$ -	\$ 3,343	\$ 339	\$ 3,005	\$ 5,304			\$ 8,308.60
620-8080										
WATER	\$ 2,303	\$ 5,534	\$ 9,912	\$ 17,749	\$ 1,798	\$ 15,951	\$ 9,444		\$ 2,909	\$ 28,304.14
600-8180										
ELECTRIC	\$ 7,832	\$ 15,151	\$ 43,278	\$ 66,261	\$ 6,713	\$ 59,549	\$ 19,332		\$ 43,307	\$ 122,187.66
630-8280										
Trustee Total	\$ 10,135	\$ 24,028	\$ 53,190	\$ 87,354	\$ 8,849	\$ 78,504	\$ 34,080	\$ -	\$ 46,216	\$ 158,800.39
Grand Total	\$ 43,071	\$ 68,778	\$ 94,744	\$ 206,593	\$ 20,929	\$ 185,664	\$ 164,433	\$ 713	\$ 54,888	\$ 405,698.27

Insurance Renewal
2013-14

2013-14 Department	AUTO 64081	G.L. 64082	PROP. 64083	ICAP TOTAL	ICAP MEMBER DISCOUNT	TOTAL ICAP PREMIUM DUE	WORK COMP 61599	FIRE- AD&D 61550	EQUIP REPLACE MENT 64084	TOTAL
GOV'T 001-6500		\$ 6,208	\$ 6,164	\$ 12,372	\$ 510	\$ 11,862	\$ 33		\$ 516	\$ 12,410.76
CITY MANAGER 001-6150				\$ -			\$ 2,331			\$ 2,331.00
CABLECAST 001-6210				\$ -			\$ 265			\$ 265.00
BRUSH FACILITY 001-2900				\$ -			\$ 193			
CLERK/FIN 001-6200				\$ -			\$ 431			\$ 431.00
HR & RISK 001-6250				\$ -			\$ 102			\$ 102.00
COMM DEV 001-1700	\$ 302			\$ 302	\$ 12	\$ 290	\$ 2,432			\$ 2,721.55
STREETS 110-2100	\$ 8,352	\$ 4,374	\$ 3,701	\$ 16,427	\$ 677	\$ 15,750	\$ 15,979		\$ 1,039	\$ 32,767.52
POLICE 011-1100	\$ 4,134	\$ 13,104	\$ 277	\$ 17,515	\$ 722	\$ 16,793	\$ 22,985			\$ 39,777.65
FIRE 015-1500	\$ 17,811	\$ 2,725		\$ 20,536	\$ 847	\$ 19,689	\$ 45,904	\$ 714		\$ 66,306.64
AMB. 016-1600	\$ 3,076	\$ 1,696		\$ 4,772	\$ 197	\$ 4,575	\$ 18,361			\$ 22,936.19
PARKS 042-4300	\$ 1,413	\$ 4,449	\$ 2,298	\$ 8,160	\$ 337	\$ 7,823	\$ 6,424			\$ 14,247.47
REC. 042-4400	\$ 874	\$ 3,221	\$ 2,590	\$ 6,685	\$ 276	\$ 6,409	\$ 4,811		\$ 420	\$ 11,640.30
P&R ADMIN 042-4200							\$ 2,061		\$ 420	\$ 2,481.00
POOL 045-4500		\$ 8,285	\$ 1,560	\$ 9,845	\$ 406	\$ 9,439	\$ 1,644		\$ 719	\$ 11,801.98
LIBRARY 041-4100		\$ 254	\$ 7,448	\$ 7,702	\$ 318	\$ 7,384	\$ 415		\$ 518	\$ 8,317.36
SEWER 610-8300	\$ 3,265	\$ 7,419	\$ 14,029	\$ 24,713	\$ 1,019	\$ 23,694	\$ 5,890		\$ 4,078	\$ 33,661.80
Council Total	\$ 39,227	\$ 51,735	\$ 38,067	\$ 129,029	\$ 5,321	\$ 123,708	\$ 130,261	\$ 714	\$ 7,710	\$ 262,392.21
IMU ADMIN 620-8080		\$ 4,694	\$ -	\$ 4,694	\$ 194	\$ 4,500	\$ 4,304			\$ 8,804.41
WATER 600-8180	\$ 2,112	\$ 6,642	\$ 17,670	\$ 26,424	\$ 1,090	\$ 25,334	\$ 8,154		\$ 2,678	\$ 36,166.23
ELECTRIC 630-8280	\$ 8,139	\$ 25,967	\$ 64,078	\$ 98,184	\$ 4,049	\$ 94,135	\$ 18,848		\$ 41,560	\$ 154,542.73
Trustee Total	\$ 10,251	\$ 37,303	\$ 81,748	\$ 129,302	\$ 5,333	\$ 123,969	\$ 31,306	\$ -	\$ 44,238	\$ 199,513.38
Grand Total	\$ 49,478	\$ 89,038	\$ 119,815	\$ 258,331	\$ 10,654	\$ 247,677	\$ 161,567	\$ 714	\$ 51,948	\$ 461,905.59

Information

Subject

Consider Revised Administrative Fee & CIAC Fee Schedules

Information

Proposed revised schedules of administrative charges, service fees, and Contribution in Aid of Construction rates are attached.

It is a good practice to periodically review costs and revise fees/charges to recover them, both at today's cost and that anticipated over the next 2-5 years (during the time these fees will be in effect). This hasn't been done since the fee schedule was compiled & adopted in 2011.

In general, changes include increases for hourly rates for equipment on the CIAC schedule, no increase in labor rates, addition of new equipment to the schedule, and adding some fees that had not previously been included on the list (but historically charged under miscellaneous reimbursement provisions). Since use of equipment (at the higher rate) also requires labor charges (no increase), the net increase is about 14% for the labor & equipment portion of projects on a per-hour of use basis. Projects more heavily reliant on labor (such as outage restoration on-campus at Simpson) compared to equipment will see a lower cost increase.

There is no proposed increase to existing Administrative charges, only additions to the schedule for those not previously listed (but historically charged under miscellaneous reimbursement provisions) and recovery of higher actual meter & ERT costs.

Financial Impact

N/A

Staff Recommendation

Attachments

Fees

CIAC Rates

**INDIANOLA MUNICIPAL UTILITIES
ADMINISTRATIVE CHARGE SCHEDULE**

A detailed description of charges can be found in the below referenced sections of the water,
electric and fiber service plans. Charges apply to each service unless specifically noted as
Pertaining to one or the other.

<u>SERVICE</u>	<u>SECTION</u>	<u>FEE</u>
** Maintenance, Customer Owned Facilities, Business Hours	2.2.4	\$40.00
** Maintenance, Customer Owned Facilities, After Hours	2.2.4	\$120.00
Temporary Disconnect or Reconnect, Business Hours	2.2.5	N/C
** Temporary Disconnect or Reconnect, After Hours	2.2.5	\$120.0
Utility Pole Attachment (per pole)	2.3.5	\$15.00
Meter Testing	2.5.4.10	\$40.00
** Unintentional, Unauthorized Connection Penalty	2.5.5	\$500.00
Unauthorized Removal		\$500.00
Hydrant Meters	2.5.6	\$25.00
Stolen Meter Fee		\$250.00
Non-Emergency Locates, Business Hours	2.6.1	N/C
** Non-Emergency Locates, After Hours	2.6.3	\$120.00
* Service Connection, Business Hours	3.2	\$15.00
* Service Connection, After Hours	3.2	\$60.00
Insufficient Funds	3.3.5	\$30.00
* Service Reconnection, Business Hours	3.5.3, 3.6.6	\$15.00
* Service Reconnection, Business Hours	3.5.3, 3.6.6	\$60.00
Delinquency Notification	3.6.4	\$30.00
<u>ELECTRIC SERVICE FEES</u>		
Overhead Service Installation		\$60.00
Underground Service Installation		\$100.00
Temporary Service (Construction)		\$35.00
Permanent Electric Meter		\$100.00

WATER SERVICE FEES

Each Service Connection (Includes Irrigation Systems)	\$150.00
Meter Connection (Cost of Meter Not Included)	\$50.00
Temporary Service (Construction)	\$35.00
Permanent Water Meter 5/8"	\$270.00
Permanent Water Meter 3/4"	\$310.00
Permanent Water Meter 1"	\$380.00
Permanent Water Meter 1 1/2" Compound	\$1,800.00
Permanent Water Meter 2" Compound	\$2,300.00

* Applicable sales tax will be added.

** Charges shown are minimums, other fees may apply.

**INDIANOLA MUNICIPAL UTILITIES
SCHEDULE OF RATES FOR CONTRIBUTION
IN AID OF CONSTRUCTION**

The following schedule of rates will be applied
on a per hour, per unit (or employee) basis.

<u>SERVICE</u>	<u>FEE</u>
Trenching (per foot)	\$3.00
Skid Loader (per hour)	\$45.00
Pickup (per hour)	\$20.00
Dump Truck (per hour)	\$25.00
Line Truck (per hour)	\$65.00
Digger Derrick (per hour)	\$65.00
Backhoe (per hour)	\$60.00
Mini Backhoe (per hour)	\$45.00
Directional Boring (per hour)	Contractor Bid
Union Labor (per hour)	\$40.00
Administrative Labor (per hour)	\$45.00
Union Labor Overtime (per hour)	\$60.00
Vac Excavation (per hour)	\$30.00
Electric Materials	Inventory Cost
Water Materials	Inventory Cost
Fiber Materials	Inventory Cost
Maintenance, Customer Owned Facilities, Daily Emergency	\$20/day after 3 days