

**HUMAN RESOURCES DEPARTMENT**  
600 West Fourth Street  
Davenport, Iowa 52801-1030

Ph: (563) 326-8767 Fax: (563) 328-3285  
HR@scottcountyiowa.com



---

Date: March 26, 2019  
To: Mahesh Sharma, County Administrator  
From: Mary J. Thee, Human Resources Director/Asst. County Administrator  
Subject: Policy Updates - Policy P Insurance and Deferred Compensation

The proposed updates were reviewed by the Department Heads/Elected Officials and any recommendations were incorporated. Here are the proposed changes to the Administration Policies:

General Policies 11 “Purchasing”, 30 “Grant and Funding Assistance” and Human Resources Policy G “Employee Conduct” are updated to comply with updated language required for the processing of purchases being made under federal grants.

General Policies 28 “Electronic Device Policy” and 34 “Technology Use” are updated to address overtime eligible employees receiving electronic devices that expose them to working after approved hours. The supervisors are responsible for monitoring. It also extends the email retention from 3 years to 5 years.

General Policies 4 “Emergency Plans” and 44 “Emergency Notification and Alerting” address updates to our emergency notification systems. The current phone system now can process a direct 911 call with location servicing. The implementation of Alertus requires us now to have a policy concerning the utilization and notification of emergent situations.

General Policy 9 “Credit Cards” is modified to eliminate taking card numbers over the phone.

Human Resources Policy C “Recruitment and Selection” is modified to reflect the practices related to recruitment and clarifies the current nepotism policy to address not only hiring, but supervision.

Human Resources Policy D “Classification and Compensation” updates the policy to reflect the movement away from the Hay compensation system to the market and equity system recommended by our consultant, Public Sector Personnel Consultant.

Human Resources Policy F “Performance Appraisal and Development System” is updated to reflect the changes in the compensation system and requiring staff to achieve an overall score of three (3) or better to obtain a step increase. Additionally the policy eliminates the bonus program. The bonus program is being eliminated for various reasons including the influence on performance ratings, inequity of the amount between exempt and non-exempt staff and positive impact of changes to the compensation systems. The recommendation is to replace the amount with an increase to the deferred compensation match, creating a larger economic impact of the amount and encouraging retirement savings.

Human Resources Policy I “Hours of Work” addresses the impact of changes to the collective bargaining law no longer allowing supplemental pay issues to be addressed in the union contracts. The shift differential has not increased for non-represented employees in over 15 years and is at \$0.40. Some union contract had built in escalation of shift differential which is now at \$0.47. The recommendation is to set it at \$0.50. Additionally Field Training Officers in the Jail currently receive an incentive for serving as training officers at a rate of \$1.00, while training.

Human Resources Policy J “Overtime Compensation” adds language requested by the Sheriff to address Bailiff, Bailiff Sergeant, Classification Specialist and Corrections Sergeants ability to receive overtime after their regular shift, rather than in compliance with the federal law (FLSA). Additionally changes are recommended to compensatory bank limits for consistency between all staff.

Human Resources Policy K “Holidays” deleted language not being used by the Health Department.

Human Resources Policy L “Vacation” allows for employees to obtain 5 weeks of vacation after 20 years of employment. This language was available already in the AFSCME and PPME contracts and is consistent with comparable governmental entities.

Human Resources Policy P “Insurance and Deferred Compensation” modifies the pay grades eligible for one times their salary as a life insurance benefit. The employees currently eligible, where the position is no longer eligible, will be grandfathered into the coverage. Additionally, the policy reflects the increase in the deferred compensation match as a replacement to the end of the bonus program.

Human Resources Policy S “Employee Grievance Procedure” modifies the policy so the County Administrator would hear the final step.

Human Resources Policy U “Separation of Employment” clarifies that employees need to be physically present on their last day of work and adds “catastrophic events” as possible reason for layoffs.

Human Resources Policy V “Employee Recognition” clarifies that regular part-time employees, not temporary or PRN, are recognized based on date of hire.

All policies would be effective immediately; except D, F, I, J, L, and P which would be effective July 1, 2019.

## 11. PURCHASING POLICY

### POLICY

Scott County Code provides that the Director of Budget and Administrative Services shall be responsible for developing, implementing and administering a centralized purchasing function for all County offices and departments.

This policy encompasses the purchasing, contracting and leasing of goods, materials, supplies, equipment, and services and shall be accomplished through competitive bidding or qualifications whenever possible and specifically where it is required by the Code of Iowa; through competitive quotes; or Government Contracts.

### SCOPE

Administrative authority to purchase, sign leases or contract agreements shall be limited to aggregate purchase prices not exceeding \$15,000. Purchases, leases and contract agreements in excess of \$15,000 must be approved by the authorized board. This policy shall not be circumvented by purchasing or leasing a group of similar or identical items each costing \$15000 or less, but exceeding \$15,000 in aggregate.

Any and all lease or contract agreements exceeding three (3) years in length must be approved by the authorized board even though the total aggregate lease or contract cost may not exceed \$15,000.

If the lease or contract agreement is open ended, it should be re-bid at least every three years. If the lease or contract agreement does not include a total cost amount for services provided, then an estimated total cost should be determined and based on that estimated total cost, appropriate approval requirements shall be followed.

This policy does not cover purchases made with the County Approved Purchase Card. Those purchases are covered under Policy Number 26.

[This policy does not cover purchases made with Federal grant dollars \(direct or indirect\). Those purchases are covered under Policy Number 11.](#)

In the event that there is a conflict between this policy and Iowa or Federal law, the applicable law will prevail.

### PURPOSE

The purpose of this policy is:

- A. To professionally coordinate and maximize the effectiveness of the purchasing, contracting and leasing of goods, materials, supplies, equipment, and services by Scott County.
- B. To protect and provide for increased public confidence and trust in the procedures followed by the County in public procurements.
- C. To ensure the ethical, fair and equitable treatment of all persons who deal with the purchasing system of the County. To ensure that purchases<sup>s</sup> made with public funds have a public purpose.
- D. To provide increased economy in County purchasing activities and to maximize, to the fullest practical extent, the purchasing value of public funds.
- E. To foster effective broad-based competition.
- F. To effectively support other county departments, component units and agencies.

#### **ADMINISTRATIVE PROCEDURES**

##### **A. Approval to Purchase, Lease or Contract Goods and Services**

1. Unencumbered spending authority must exist at the appropriate departmental budget level prior to the issuance of a purchase order.
2. No lease or lease-purchase contract for real or personal property shall be entered into until a public hearing has been held on the proposed contract. Notice of the public hearing shall be published in at least one newspaper of general circulation at least 4 days and no more than 20 days prior to the public hearing date.
3. Purchases, leases or contracts up to \$2,500 shall require department head (or designee) approval or authorization from the individual with budgetary responsibility.
4. Purchases, leases or contracts between \$2,500 and \$5,000 shall require approval of the department head (or designee) and the Purchasing Specialist.
5. Purchases, leases or contracts exceeding \$5,000 and up to \$15,000 shall be approved by the department head (or designee), and the Director of Budget and Administrative Services (or designee), or the County Administrator.
6. Purchases, leases or contracts exceeding \$15,000 shall require approval of the department head, Director of Budget and Administrative Services, County Administrator and the Board of Supervisors.

7. Lease and contract agreements which do not include a total cost amount for services (i.e., the agreement may only make reference to an hourly rate plus cost of parts) require the department to estimate the total cost. The calculation at arriving at this estimate should be documented with the purchase request and depending on the amount, will require appropriate approvals as stated above. If the agreement is open ended, then the calculation of the total cost amount shall be based on a three year period.

8. Purchasing division shall utilize appropriate insurance and indemnification language if required. Insurance and indemnification requirements shall be developed in conjunction with the Risk Management Coordinator or County Attorney.

B. Individual Department / Office Responsibilities

1. Determine the quality and quantity of goods, materials, supplies, equipment, and services needed and delivery date required. Utilize past purchase information or resources when appropriate. Research specifications to ensure that appropriate information is provided to adequately describe the desired product or services along with minimum standards or requirements.

2. If a lease or lease-purchase contract is being proposed the requesting department shall submit the proposed lease or lease-purchase contract to the Director of Facility & Support Services or Director of Budget and Administrative Services, as appropriate, with the following attachments:

- a. Prior to submitting lease for approval to the Board of Supervisors, originating department shall request legal review of proposed contract by the County Attorney's office. A letter from the County Attorney's office acknowledging that they have reviewed the contract and find it to be in compliance with applicable state laws **is required**. (Note: Departments should send a copy of their initial review request from the County Attorney's office to Administration so it may be identified as a future agenda item on the Board of Supervisors' information memo.)

Copy of the public notice to be published in the per Iowa Code Section 331.305.

- b. The Director of Facility & Support Services will submit the lease proposal to the Board at the next Board meeting that coincides with the public hearing publication date requirements in accordance with Iowa Code Section 331.305.

Whenever possible, competitive bids for lease agreements shall be secured with the assistance of the Purchasing **D**ivision.

3. Anticipate requirements, giving accurate description of article(s) required and sufficient time to purchase item(s) on a competitive basis. When needed, the originating department will identify and collaborate with Purchasing Division to prepare additional specifications and insurance requirements if any, to secure required items.

4. Receive and inspect item(s) delivered direct by vendor and refuse shipments that fail to meet the purchase order contract. All commodity type items will be coordinated to be received by Facility & Support Services. For specialized items, the department shall coordinate with Facility & Support Services to inspect and accept all items, at time of delivery.

5. Handle all purchases within established procedures. Utilize applicable purchasing resources (competitive bidding, purchasing system, pre-bid items, web-bid items) whenever possible and where appropriate.

C. Computerized Purchase Order System

County departments shall use the Enterprise Financial Planning (ERP) system following guidelines and procedures as promulgated by Administration.

D. Competitive Quotations

1. Whenever feasible, all purchases, leases and contracts for goods, supplies, materials, equipment and services required for public use shall be on an equal and competitive basis. All acquisitions or purchases for like item purchases are to be awarded to the lowest responsible bidder. In determining the lowest responsible bidder consideration shall be given to the vendor's price, conformance with specifications in all material respects, and past performance. In addition, the Purchasing department-Division may take into consideration reputation, business, and financial capabilities.

2. Utilization of professional services shall be awarded based on consideration of factors including, but not limited to, ability to perform work, responsiveness, past performance, references, and price. In addition, the department may take into consideration reputation, business, and financial capabilities.

3. For public improvements and construction contracts (excluding design and consulting contracts) that exceed the public bidding requirements as set forth in the Iowa Code Section 331.341 the determination and criteria for determining the lowest responsible bidder shall be accomplished through a formalized process. That process shall set out criteria and notification in the specifications document and gather qualification, reference and other pertinent information at the time of the bid. The use of an American Institute of Architects Form 305A with an addendum or a similar standardized form for gathering appropriate information from bidders shall be used whenever possible. Scott County reserves the right to reject a bid based on the criteria set forth and the evaluation of the submitted

information and research conducted

4. For purchases less than \$2,500.00 departments/ offices that require a purchase order may enter the purchase into ERP directly as a purchase order.

For purchases between \$2,500.00 and \$15,000.00 departments/ offices are strongly encouraged to obtain at least three competitive quotes. Departments may request the Purchasing ~~Division~~department to obtain quotes on their behalf or may obtain their own quotes utilizing applicable purchasing resources (competitive bidding, purchasing system, pre bid items, web bid items), and enter them directly into the ERP requisition form, attaching PDF's as documents.

For purchases over \$15,000.00 requisitions shall be entered into the ERP system and routed to the Purchasing Division, who shall solicit bids utilizing open competitive bidding practices. Typically bids received by the Purchasing ~~Division~~department will be submitted through the bidding service selected for use by Scott County. The Purchasing ~~Division~~department acknowledges that there may be some occasions where it is not possible to obtain three bids based on the type of purchase. If this is the case, the ~~Purchasing Division~~department shall submit a written statement why they did not obtain multiple bids for the item being purchased.

5. All parties involved shall comply with all applicable laws and regulations pertaining to their employment practices, and shall not discriminate in providing services on the basis of race, color, creed, national origin, sex, handicapped condition or religious affiliation.
6. The County shall comply with the state preference law as it relates to Iowa products.
7. In accordance with Iowa Code, Chapter 73, whenever possible, all requests for bids and all proposals for expenditure of public funds must be made in general terms so that no brand or trade names are specified. Also, all requests must contain this statement: "By virtue of statutory authority, a preference will be given to products and provisions grown and coal produced within the State of Iowa."

#### E. Unsolicited Proposals

Definition- an unsolicited proposal is a document or package of documents submitted to Scott County or a Scott County Office or Department, that proposes to provide a product or service that was not solicited nor initiated by Scott County.

1. An unsolicited proposal that does not correspond to the Scott County mission , vision, or values, is outside of the normal scope of Scott County government services, is not a product Scott County requires or a service Scott County needs may be rejected without further consideration by the Purchasing Division



2. An unsolicited proposal that does correspond with the mission and scope of Scott County government will be evaluated for merit by the department or office with jurisdiction or control in the service area that best matches the proposal. In the absence of a clear corresponding department or office, the review of the unsolicited proposal shall be made by the Director of Budget and Administrative Services with input and assistance from other County departments.
3. The Purchasing Division may require the submission of additional or supplemental information from the submitter in order to fully evaluate the submission. An unsolicited proposal submission that refuses to provide typical, pertinent information that the evaluator deems necessary, may be rejected without further consideration.
4. Unsolicited proposals that are found to have merit may be forwarded to the Board of Supervisors for consideration. Proposals without merit or determined to be outside of the scope of Scott County government shall not be forwarded to the Board of Supervisors.
5. Proposals that have the potential for competitiveness, either by their nature or as required by law, shall initiate a request for proposal process. The Purchasing Division shall take measures to protect information contained in the unsolicited proposal. Said measures may include returning all copies of the unsolicited proposal to the submitter for resubmission as part of the RFP process. At a minimum, the Purchasing Division shall notify the submitter that the unsolicited proposal is, by law, a public document.

F. Public Access to Procurement Information

Purchase orders and other information of a public nature shall be available for inspection upon request to the Purchasing Specialist, providing that they are not deemed to be confidential because they contain trade secrets or reports that give a competitive advantage and serve no public purpose. Purchasing records are also governed by Freedom of Information Act laws for public records. See policy 31- Public Records and Information for further information. The Budget and Administrative Services Administration Department shall maintain records of purchases made (award information, contracts and purchase orders) and the purchasing process (bid requests, specifications, proof of publication, bid results, bid documents and submittals, etc.) for all centralized purchasing transactions. In the absence of other legislative requirements, the retention duration for said records shall be: three years past the award date or the contract completion date (whichever is later).

G. Bids on Contracts for Repair or Construction of County Buildings.

See Iowa Code section 331.341 for specific contract letting procedures to follow.

H. Special Provisions for Secondary Roads Department:

1. Construction and Maintenance Projects: These types of services will be either bid through the I.D.O.T., Secondary Roads office or in coordination with I.D.O.T. meeting their specifications and requirements and bid through the Secondary Roads Department. Participation by ~~Facility & Support Services~~Budget and Administrative Services Department will not be required in these areas.
  2. Purchases through the State of Iowa General Services Office and the Iowa Department of Transportation Purchasing Department: The Secondary Roads Department will take advantage of State Purchasing Facilities and their volume purchasing discounts when practical and possible.
    - a. The Secondary Roads Department will fill out the required State Order Forms or submit a department "requisition order".
    - b. Upon receipt of order and billing, the Secondary Roads Department will check shipment against the order and prepare the necessary County claim for payment.
    - c. All orders exceeding \$15,000 will require prior Board of Supervisors approval.
  3. Equipment Repair Parts, Materials and Services: The specifics on these items generally cannot be anticipated or determined in advance. These are generally items that cannot be inventoried and must be purchased expeditiously to prevent costly delays and operational problems. The purchase of these items require the technical expertise and knowledge of Secondary Roads's ~~fleet management~~garage personnel for effective, expeditious purchasing. These purchases may also be the type or nature where they are only available from one source.
    - a. The ordering of these materials and supplies and services may only be authorized by a Secondary Roads Department "requisition order".
    - b. Any individual "requisition order" in excess of \$1,000, with the exception of purchase of tires, must receive prior approval by the County Engineer.
    - c. Upon receipt of the order, billings will be checked by the Secondary Roads Department and claims prepared for the Engineer's authorization and approval by the Board of Supervisors.
- I. Emergency Purchases
1. County Administrator, or designee, may declare an emergency when:

- a. The circumstances pose a threat to the public health, welfare or safety.
  - b. The situation must be taken care of immediately in order to prevent immediate and apparent loss to the County.
  - c. Conditions beyond reasonable control of the County occur; such as accidents or unforeseeable failure in equipment, which are essential to the operation of the County.
2. In the event that the circumstances surrounding the emergency do not allow sufficient time to convene the Board of Supervisors, the County Administrator, or designee may authorize emergency purchases in excess of \$15,000.
  3. If the emergency purchase requirements are met, the County Administrator, or designee shall take informal bids if time allows.
  4. In all cases of emergency purchases by the County Administrator or designee, the following must be submitted to the Board of Supervisors at the next meeting following the purchase:
    - a. A detailed purchase description outlining the critical nature of the need to purchase
    - b. An invoice if goods have been received
    - c. A written account explaining why an emergency was declared
    - d. The effects of the emergency on County operations or the public
    - e. Why the particular vendor was chosen.
  5. All emergency purchases will be reviewed carefully by the Board of Supervisors at the next regularly scheduled meeting to assure that the use of the procedure is not being abused.

## **30. GRANTS AND FUNDING ASSISTANCE POLICY**

### **POLICY**

It is the policy of Scott County to account for, and file all appropriate documentation in relation to, any grants or other funding that the county applies for and receives. Applicable Federal Labor Standards shall be complied with for all Federal Grants received for construction projects. All procurement related to federal programs will be done in accordance with 2 CFR; Part 200.

### **SCOPE**

This policy shall be applicable to all County offices, departments, and authorized outside agencies and component units funded, in whole or in part, by the County.

### **PURPOSE**

Grant management includes responsibilities by staff to apply requirements to operations, compliance, sub-recipient monitoring, and reporting. Typically, there are negative consequences for failing to meet these requirements, such as the need to return funds to the grantor. Likewise, a grant may result in a program that continues, or as an asset, that is maintained, well beyond the expiration of the grant. The following procedures are designed to promote awareness throughout the county that grants normally come with significant requirements.

### **GENERAL PROCEDURES**

To ensure awareness of the grant administration, compliance and related risk areas, the County shall:

- A. Ensure the efficient administration and operation of grant programs by:
  1. Maintaining a process to monitor for changes in grant terms and conditions that occur after the acceptance of a grant;
  2. Establishing a project plan with timelines and parties responsible for implementing the steps of the plan;
  3. Providing initial training for new and unfamiliar programs;
  4. Providing continuing training, for county employees (County Administration / department / program administrator) and others involved with the grant program (e.g. sub recipients);
  5. Maintaining a process to address specific personnel issues (e.g. preparation of timely, complete, accurate) reporting related to grants;
- B. Ensure the efficient financial management of grant programs by:

1. Following appropriate cash management procedures for drawdown and receipt of funds as well as disbursements of funds;
2. Reconciling internal control records with federal and state reports;
3. Maintaining a process to ensure that costs charged to grants are allowable, necessary, responsible, properly allocable, and that these determinations are consistently applied;
4. Determining whether indirect costs will be allocated to grant programs, and if so maintain an appropriate process to make the allocation within program guidelines;
5. Maintaining a process to track information about local matching funds including identification of the continuing source of such funds;
6. Integrating grants in the annual budget process;
7. Integrating grants in the county's cash flow planning;
8. Developing if a contingency plan for funding services is necessary if the grant funds terminate;

C. Maintain proper systems to support grants by:

1. Ensuring that financial systems provide information to all parties to allow them to comply with both Generally Accepted Accounting Principles (GAAP) and grant requirements;
2. Identifying and segregating costs as necessary for the grant (e.g., separate allowable and unallowable costs, separate direct costs from indirect costs, and separate administrative costs);
3. Developing systems and methods to account for and track capital items;
4. Including the capability to track information for non-cash grants (e.g. loans, loan guarantees, insurance, endowments, free rent, food stamps, food commodities, and donated property);
5. Developing a methodology to store and provide information electronically so that it is available to multiple users;

D. Maintain proper internal controls that:

1. Document grant procedures;
2. Maintain internal controls over accounting, financial reporting, and program administration;
3. Maintain internal controls to identify and adhere to Federal and State compliance requirements, such as those related to contracting;
4. Consider the level of program risk (e.g. high, medium, low) when establishing internal controls;
5. Establish procedures to ensure the reliability of information obtained from third parties utilized within County reporting;

E. Maintain processes for sub recipient monitoring that:

1. Provide for programmatic monitoring, including requirements for sub

- recipients to submit progress reports;
  2. Provide for administrative monitoring including timely reporting and adherence to compliance requirements;
  3. Provide for financial monitoring including understanding of and adherence to cost principles;
  4. Establish periodic monitoring meetings;
  5. Provide for the receipt, review, and appropriate follow up of single audit reports, when applicable;
- F. Develop a continuous communication process with:
1. Grant sponsor / provider;
  2. Those that have oversight responsibility including, when applicable, the Federal Cognizant Agency;
  3. External auditors (e.g. Financial, Program, State of Iowa Auditor);
  4. Auditors engaged for single audit purposes;
  5. An interdisciplinary implementation task force within the County that meets regularly to discuss changes and how they should be implemented;
- G. Processes to meet various specialized reporting requirements that:
1. Maintain a comprehensive list of reporting requirements and reminder system for meeting reporting deadlines;
  2. Develop the methodology for the preparation of specialized reports;
  3. Develop an approval process for certifying specialized reporting;
  4. Develop a process to aggregate all of the information needed for the Schedule Expenditures of Federal Awards;
- H. Ensure the completion of auditing requirements for grants by:
1. Developing an understanding of audit requirements unique to the grant including those in Generally Accepted Government Auditing Standards (GAGAS), Generally Accepted Auditing Standards (GAAS), and applicable Office of Management and Budget (OMB) circulars;
  2. Developing an understanding of audit requirements that may be necessary for grant close-out;
  3. Ensuring the completion of audit procedures relating to the information to be included in GAAP- basis financial statements.

In regards to purchases using Federal dollars (direct or indirect grants):

I.METHODS OF PROCUREMENT (CFR 200 references)

- 1.Procurement under grants shall be made by one of the following methods, as described herein: (a) small purchase procedures; (b) sealed bids (formal advertising); (c) competitive proposals; (d) noncompetitive proposals.
  - i. Micro-Purchase Procedures 200.320(a)

1. The acquisition of supplies or services, the aggregate dollar amount of which does not exceed the micro-purchase threshold - \$10,000 (200.67)
2. To the extent practicable, must distribute micro-purchases equitably among qualified suppliers
3. May be awarded without soliciting competitive quotations if the non-Federal entity considers the price to be reasonable
- ii. Small Purchase Procedures 200.320(b)
  1. Are those relatively simple and informal procurement methods for securing services, supplies, or other property that does not cost more than the simplified acquisition threshold - \$250,000 (200.88)
  2. Price or rate quotations are to be obtained from an “adequate number” of qualified sources
- iii. Sealed Bidding (formal advertising) 200.320(c)
  1. Lowest priced, responsive, responsible, bidder WINS
  2. The preferred method for construction when sealed bidding is “feasible”, which is when certain conditions are present
  3. Bids must be solicited from an “adequate number of known suppliers”, providing them sufficient response time before date for the opening of bids
  4. Bids will be opened at the time and place prescribed in the invitation for bids
  5. Must publicly advertise the invitation for bids
  6. Bids must be opened publicly
  7. Other procedural requirements at 200.320(c)(2)
- iv. Competitive Proposals 200.320(d)
  1. Used when conditions are not appropriate for the use of sealed bids
  2. The appropriate method when more than one source is expected to submit an offer and either a fixed-price or cost-reimbursement type contract is awarded
  3. Awards will be made to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered
  4. Requests for proposals must be publicized and identify all evaluation factors and their relative importance
  5. Proposals must be solicited from an adequate number of qualified sources
  6. Must have written method for conducting technical evaluations of the proposals received and for selection of the contract
- v. Noncompetitive Proposals 200.320(f)
  1. Procurement through solicitation of a proposal from only one source and may be used only when one or more of the following circumstances apply:
  2. One Source: the item is available only from a single source

3. Exigency/Emergency: an exigency or emergency will not permit a delay resulting from competitive solicitation
4. Awarding Agency Approval: the Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity
5. Inadequate Competition: after the solicitation of a number of sources, competition is determined inadequate

J. CONTRACTING WITH SMALL AND MINORITY BUSINESSES, WOMEN'S BUSINESS ENTERPRISES, AND LABOR SURPLUS AREA FIRMS (200.321)

1. Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
2. Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
3. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises;
4. Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises;
5. Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and
6. Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (a) through (e).

K. CONTRACT PRICING (200.323)

1. The cost plus a percentage of cost and percentage of construction cost method of contracting shall not be used.
2. Scott County shall perform some form of cost/price analysis for every procurement action, including contract modifications, amendments, or change orders. Scott County shall make an independent estimate prior to receiving a bid or proposal.
3. Scott County shall negotiate profit as a separate element of the price for each contract in which there is no price competition and in all cases where cost analysis is performed. In determining a fair and reasonable profit, Scott County must consider the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance and the industry profit rates in the surrounding geographical area.

L. PROCUREMENT RECORDS

1. Scott County shall maintain records sufficient to detail the significant history of a procurement, including the rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price. (200.324)



- i. Scott County must make available, upon request of the Federal awarding agency or pass-through entity, technical specifications on proposed procurements where the Federal awarding agency or pass-through entity believes such review is needed to ensure that the item or service specified is the one being proposed for acquisition.
- ii. Scott County must make available upon request, for the Federal awarding agency or pass-through entity preprocurement review, procurement documents, such as requests for proposals or invitations for bids, or independent cost estimates, when:
  1. Scott County's procurement procedures or operation fails to comply with the procurement standards in this Part;
  2. The procurement is expected to exceed the Simplified Acquisition Threshold and is to be awarded without competition or only one bid or offer is received in response to a solicitation;
  3. The procurement, which is expected to exceed the Simplified Acquisition Threshold, specifies a "brand name" product;
  4. The proposed contract is more than the Simplified Acquisition Threshold and is to be awarded to other than the apparent low bidder under a sealed bid procurement; or
  5. A proposed contract modification changes the scope of a contract or increases the contract amount by more than the Simplified Acquisition Threshold.
- iii. Scott County is exempt from the pre-procurement review in paragraph (b) of this section if the Federal awarding agency or pass-through entity determines that its procurement systems comply with the standards of this Part.
  1. Scott County may request that its procurement system be reviewed by the Federal awarding agency or pass-through entity to determine whether its system meets these standards in order for its system to be certified. Generally, these reviews must occur where there is continuous high-dollar funding, and third party contracts are awarded on a regular basis;
  2. Scott County may self-certify its procurement system. Such self-certification must not limit the Federal awarding agency's right to survey the system. Under a self-certification procedure, the Federal awarding agency may rely on written assurances from Scott County that it is complying with these standards. Scott County must cite specific policies, procedures, regulations, or standards as being in compliance with these requirements and have its system available for review.

#### M. AWARDED CONTRACTS

1. Scott County will not award a contract to a party listed as debarred, suspended, or otherwise excluded in the System for Award Management

- (SAM). [www.sam.gov](http://www.sam.gov) (200.213)
2. Contracts awarded shall contain the applicable contract provisions described in 2 CFR 200.326 and Appendix II to Part 200.
  3. Scott County will maintain written standards of conduct covering conflicts of interest and must provide for disciplinary action to be applied for violations of such standards as defined in 2 CFR 200.318 (c) (1).
  4. No officer, employee, or agent of the Scott County shall participate in the selection, award, or administration of a contract supported by federal grant funds, if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when:
    - i. The employee, officer, or agent:
    - ii. Any member of his/her immediate family;
    - iii. His/her partner; or
    - iv. An organization which employs, or is about to employ any of the above;
    - v. has a financial or other interest in the firm selected for award.
    - vi. Scott County officers, employees, or agents shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, potential contractors, or subcontractors.
    - vii. To the extent permitted by federal, state, or local law or regulations, violation of these standards may cause penalties, sanctions, or other disciplinary actions to be taken against Scott County's officers, employees, or agents.

## ADMINISTRATIVE PROCEDURES

- A. Responsibilities of County Administration
  1. Work with all departments and authorized agencies to ensure that any money those entities apply for and receive is properly accounted for.
  2. Work with all departments and authorized agencies to provide supporting work papers and tools to meet grant administration, compliance, and risk awareness to all departments and authorized agencies.
  3. Every three (3) months, with the quarterly reports, County Administration will present a report to the Board of Supervisors detailing activity of all grant funded positions.
  4. Ensure that all original agreements and grants are maintained in the submitting department and cataloged in the Enterprise Resource Planning (ERP) system.
  5. Identify one person from each office or department as a contact person

for grants and funding.

6. Consult with the outside auditing firm in preparing annual audit work papers, provide all grant and funding information, particularly relating to any federal money received.
7. Develop and lead annual grants update training for all grant program and fiscal managers.
8. Prepare the Schedule of Federal Awards (SEFA) from supporting information within ERP, communications from department heads or designees, grant managers and other related documents. The SEFA will then be sent to grant managers for review and reconciliation to grant records for approval. County Administration is responsible for the SEFA.

**B. Responsibilities of Departments and Authorized Agencies**

1. All departments and authorized agencies which receive money from grants or other funding sources shall designate an individual from that agency to be a contact person with County Administration. This contact person will be knowledgeable about all grants or other funding received in that department and will transmit necessary documentation to the Office of the County Administrator. The program manager is responsible for program compliance. The fiscal manager is responsible for grant fiscal reporting.
2. Maintain original grant documents and record in the Enterprise Resource Planning system.
3. Any department or authorized agency applying for grants or other reimbursement, and when awarded a grant, shall notify County Administration.
4. If any department or authorized agency receives a grant or other funding, that agency shall notify County Administration and also transmit, and maintain, a signed copy of the agreement to the County Administration designee through the ERP / Electronic Content Management (ECM) system.
5. All records related to the grant will be maintained by the department or authorized agency and be made available at any time for inspection.
6. Attend grant training, either internally or externally, at least once a year.
7. Communicate to County Administration designee any program findings

assessed from granting parties, or to grant sub\_recipients of the county within five business days.

8. Provide copies of any external audit reports to the County Administration designee within ten business days of receipt.
9. Reconcile each grant for fiscal year activity 75 days after fiscal year end. Communicate any difficulties of reconciliations within ten days after identification of error.
10. Obtain and prepare any requested documentation for external audit parties within five days of request.
11. Adhere to Federal purchasing and quotation policies. Maintain supporting documentation. Where Federal or State purchasing or quotation guidelines conflict with County policy, the Federal or State Policy will supersede County policy in purchasing decisions.
12. Maintain payroll and benefit supporting time and effort allocations in compliance with Federal guidelines.

## G. EMPLOYEE CONDUCT

### GENERAL POLICY

Scott County recognizes the importance of providing ethical, efficient and effective service to its citizens and upholding the public trust. It is the policy of Scott County to require its employees to maintain high standards of honesty, integrity and conduct, both as public employees and as citizens of the community.

### SCOPE

The section of this policy entitled "Conflict of Interest: Acceptance and Reporting of Gifts" is applicable to all elected officials and appointed employees of Scott County. All other sections of this policy are applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder providing the appropriate elected office holder and the Board of Supervisors have certified its applicability;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors has certified its applicability;

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

### CONDUCT AT WORK

While on-the-job, County employees are expected to:

1. Report to work punctually as scheduled and being at the proper work station, ready for work, at the assigned starting time.
2. Provide truthful and proper notice to their supervisor when the employee will be absent from work or is unable to report to work on time.
3. Render full, efficient, and industrious service.
4. Be responsible for and not misuse County property, vehicles, equipment, labor, service, supplies, records or other materials in their care, custody or control. The aforementioned shall not be removed from the premises or used for the

Draft for discussion purposes only

personal convenience without written permission from the department head.

5. Assure that all purchases made with public funds serve a public purpose.
6. Treat all citizens, customers, visitors and co-workers in a courteous, professional and helpful manner; and demonstrate a considerate, friendly and constructive attitude.
7. Maintain a neat and clean personal appearance appropriate to the working environment. All employees shall be subject to specific department rules and regulations concerning acceptable attire, personal hygiene and grooming.
8. Maintain cleanliness and order in the workplace and work areas.
9. Observe the various state and federal laws, County regulations, work rules, and other reasonable instructions by proper authority, in a manner above reproach.
10. Report to management suspicious, unethical, or illegal conduct by fellow employees or citizens utilizing County services.
11. Refrain from engaging in political activity.
12. Refrain from solicitation during working hours or on County premises.
13. Refrain from using their position for personal gain or to coerce others.
14. Refrain from securing special privileged or exemption for themselves, friends or family beyond that which would be available to all citizens.
15. Employees who work at the downtown campus are provided limited off street parking spaces. Employees are issued a permit provided by Facility Support Services that must be displayed as directed. A parking map is available on the intranet and on file in FSS. Employees are prohibited from parking in areas not designated for employees on the parking map.
16. Uphold with integrity the public trust involved in the position to which they are assigned.

### **CONDUCT DURING OFF HOURS**

While off-the-job, County employees are expected to:

1. Conduct themselves in a manner which does not reflect adversely on Scott County as an employer.
2. Avoid outside employment which in any way interferes with the employee's

proper and effective job performance or creates a conflict of interest with the person's duties and responsibilities. Employees must notify their supervisor prior to accepting outside employment.

3. Not use or permit the use of any publicly-owned property, vehicle, equipment, labor, service, supplies, records or other materials for the personal convenience or advantage of the employee or any other person, except for that use which is generally available to the public.
4. Uniforms or clothing with the County department logo should be used only during working hours (unless approved by the department head for an off-duty capacity) and should not be worn in places that would not represent the positive image of the County.

The regulations set forth in this section and the previous one are not intended to be all-inclusive, and the Board of Supervisors may from time to time adopt additional rules as it sees fit. Department heads are authorized to adopt departmental work rules which are reasonable in nature and do not conflict with those stated in this policy.

### **REPORTING POLICY**

To ensure that Scott County complies with the Code of Federal Regulations, 2 CFR, Section 200.133 that requires reporting of violations of federal criminal law involving fraud, bribery, or gratuity potentially affecting a federal grant (direct or indirect):

1. Scott County departments and / or employees are required to disclose, in writing and in a timely manner, all violations of federal criminal law involving fraud, bribery, or gratuity potentially affecting a federal award (direct or indirect). This requirement applies to violations involving Scott County, blended component units, its employees, and any sub-recipients of a federal grant (direct or indirect).
2. If a Scott County Department or employee learns of a violation of federal criminal law involving fraud, bribery, or gratuity potentially affecting a federal grant (direct or indirect), the department or employee must report the violation to the Scott County Administrator (designated Scott County contact). Reportable violations include not only those violations concerning Scott County or its employees, but also include violation relating to sub-recipients of award monies.
- 1-3. The Scott County Administrator is responsible for reporting the violation to the relevant federal agency in writing in a timely manner.

### **CONFLICT OF INTEREST: ACCEPTANCE AND REPORTING OF GIFTS**

The following provisions relate to the avoidance of a conflict of interest in the acceptance and reporting of gifts from a restricted donor by a County official, employee or a member

Draft for discussion purposes only

of the employee's immediate family. These provisions are intended to provide general information about the State of Iowa's gift law. Employee should review the state law for more specific information, but are advised that violations of the law could result in criminal charges in addition or separate from disciplinary action.

Generally speaking, a restricted donor can be defined as a group or individual who is contracting or seeking to contract with the County, or who would be significantly affected financially by the performance or nonperformance of the official's or employee's job duties beyond the effect on the public generally, or is regulated by the state's regulatory agency in question, or lobbyists or agents of lobbyists.

1. A County official, employee or such person's immediate family member is prohibited from soliciting or accepting from any one restricted donor in any one calendar day a gift or a series of gifts having a value of three dollars (\$3.00) or more. For example an employee cannot accept lunch from a restricted donor.
2. A County official, employee or such person's immediate family member may only accept a non-monetary gift having a value of three dollars (\$3.00) or more if the gift is donated within 30 days to a public body, or a bona fide educational or charitable organization.
3. Specific types of gifts that may be accepted by an employee are contained in the state gift law, the following are examples:
  - a. Informational materials relevant to the official job functions of the person receiving the gift, such as books, pamphlets, reports, documents, periodicals, or other information that is recorded in a written, audio, or visual format.
  - b. Item which would normally be available free of charge to members of the general public.
  - c. Items received from a bona fide charitable, professional, educational, or business organization to which the recipient is a dues paying member, and the gift is being distributed to all members of that organization and the dues are not inconsequential when compared to the value of the item.
  - d. Actual expense of a donee for food, beverages, registration, travel, and lodging for a meeting, which is given in return for participation in a panel or speaking engagement, when the expenses relate directly to day(s) when the presentation occurred or food and beverage at a meal honoring the employee.
  - e. Funeral flowers or memorials to a church or nonprofit organization.



## 28. CELLULAR-ELECTRONIC DEVICE POLICY

### POLICY

It is the policy of Scott County to establish procedures for acquiring and guidelines for use of county issued cellular phones, smart phones, ~~and~~ mobile broadband devices and other electronic devices. ~~Cellular-Electronic~~ devices are issued to individuals and departments to support the effective performance of their jobs.

~~Although the IRS no longer views cellular devices as a taxable fringe benefit, County provided cellular devices should not be used as a primary mode of personal communication.~~

### SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a County elected office holder providing the appropriate elected office holder and the Board of Supervisors have certified its applicability;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the code of Iowa, federal law, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the code of Iowa will prevail.

### DEFINITIONS

Cell phone - refers to a cell phone capable of voice calls, and possibly text messages.

Smart phone - refers to a device that serves as a phone and may also have a data plan attached that enables you to use Internet-based services.

Cellular device - refers to either a cell phone or smart phone.

Mobile broadband device - refers to various types of devices that allow wireless high speed internet access to a computer, laptop or PDA, such as a PC card, broadband cellular adapter, broadband card or air card.

Draft for discussion purposes only

Electronic device includes all of the above or any form of device used to communicate electronically.

## ADMINISTRATIVE PROCEDURES

- A. A Department Head may request a cellular device for an individual in their department if one or more of the following criteria are met:
- 1) The employee's position requires a need for constant communication with the individual, including after normal business hours.
  - 2) The employee spends large amounts of time away from the office and access to a land line.
  - 3) Personal safety for the individual while traveling or working in remote areas.
- B. The Department Head will coordinate with the IT Department the most cost effective means of ~~cellular~~ electronic device needed by the employee to safely and efficiently perform their required duties. Smart phones typically will~~shall~~ only be provided to staff that are exempt under FLSA. Non-exempt employees that are permitted to have access to a smart phone are permitted use during authorized work hours. Supervisors are responsible for monitoring usage pursuant to FLSA standards, so as not to create a compensable work event outside of authorized overtime. The business validity of text messaging capabilities shall be determined by the Department Head prior to adding text messaging minutes to employee's cell phone plan.
- C. IT will coordinate all billing procedures. Every attempt will be made to put all cellular phones under one service provider to obtain the best pricing economies and to facilitate monthly billings. In order to obtain the best pricing and comply with purchasing policies, no employee or department head, other than the IT Department, is permitted to negotiate or discuss cellular device plans on County devices with an outside vendor.
- 1) Employee's personal calls may require reimbursement if excessive use is noted and incurs additional expenses by the County. Employees shall be required to reimburse the County for any costs incurred by purchasing apps, games or ringtones. Employees should not use County provided devices to text numbers for charitable causes.
  - 2) Invoices detailing usage will be monitored monthly by the IT Department and ~~violations~~ shall be reported to the Department Head/Elected Official; or County Administrator if requested.
- D. The County will not pay the basic monthly services fee for employee-owned

cellular phones. Any direct costs incurred for County business calls on employee-owned phones above the basic monthly service fee may be submitted to that employee's Department Head for review and approval for reimbursement from that department's budget pursuant guidelines for personal calls established in the Travel Policy.

E. Employee usage of cellular or electronic devices shall comply with the following guidelines along with those in the Technology Use Policy:

1) Termination of Use: An employee's access to an cellular electronic device may be terminated for violations of this policy, the Technology Use Policy, for continued overages related to personal calls, text messaging, or purchases of third party content such as apps, games or ringtones. ~~Employees must realize that p~~Personal calls and text messages do count toward the overall ~~time~~limits established for ~~their~~ cellular devices under the County's service agreement.

2) Lost or stolen device: An employee shall report a lost or stolen device immediately so it can be turned off. Employees should use reasonable precautions to prevent loss, damage, theft or vandalism to County issued cellular-electronic devices. Equipment that is lost, stolen or damaged outside the normal course of business is the responsibility of the employee assigned~~that~~ the device ~~is assigned to~~.

3) Public Record: The phone number and records of a County issued cellular device are~~is~~ considered a public record.

4) Safe Use: In the interest of safety, employees using cellular devices (regardless if County issued) are expected to exercise appropriate care and caution if used in a moving motor vehicle. Employees are to avoid the use of cellular equipment under any circumstances where such use might create or appear to create a hazard. Employees shall be familiar with and comply with the laws regarding cellular devices in the jurisdiction in which they may be driving. Text messaging, reading emails, or writing emails while driving is not allowable under any circumstance. Employees who are charged with traffic violations resulting from the use of a cellular device while driving on duty are responsible for any fines incurred and may be subject to disciplinary action and termination of use.

5) Personal Cellular Devices: During paid work time, employees are expected to exercise the same discretion in using personal cellular devices as is expected for the use of any County phones. Excessive personal calls (including text messaging) during the work day, regardless of phone used, can interfere with employee productivity

and be distracting to others. A reasonable standard the County encourages is to limit personal calls during work time to an average of no more than two or three short-duration calls per day as needed. Employees are expected to make personal calls during breaks when possible and to ensure that friends and family members are aware of the County's policy. Flexibility will be provided in circumstances demanding immediate personal phone use, but this immediate need should be communicated to an employee's supervisor.

- F. Department Heads may establish cellular device use policies or work rules that are more restrictive than this policy.

## 34. TECHNOLOGY USE POLICY

### POLICY

The Scott County Board of Supervisors authorizes the use of computers / Internet / intranet / e-mail / text messages / telephone system / voice mail / fax transmittals (collectively “technology”) for the support of all the County tasks. It is expected that individuals will use technology to improve their job knowledge, access business related information and communicate with peers in other governmental agencies and the private sector. Employees ~~shall~~ not use technology inconsistent with the mission of Scott County. Every employee has a responsibility to maintain and enhance the public image of the County, and to use technology in a productive manner. The purpose of this policy is to outline accessibility and usage of technology. Guidelines are provided for in this policy to ensure that all employees are responsible, productive technology users and are protecting the public image of the County.

### SCOPE

This policy is applicable to all employees, offices, and departments within Scott County Government.

### ADMINISTRATIVE PROCEDURES

1. Access Request: A user and the user's department head (or designee) must complete and sign a Technology Services Use Request shown as Attachment A and return it to the Information Technology Department in order for a username to be assigned and to ensure access to the Internet or technology is allowed with a County owned account.
2. Password/Pass Phrase: Employees are responsible for the selection and security of account password(s). Passwords will be at least eight (8) characters in length and should consist of a combination of upper and lower case letters, numbers or symbols. Employees should avoid using variations of the user login or the same password as other accounts. Employees will be required to change the login password every 120 days. Employees will be unable to repeat the previous three passwords. Passwords shall not be shared with others or left in plain sight.
3. Remote Access: An employee that is classified as exempt pursuant to the Fair Labor Standards Act may access a County account from a remote location other than the site designated for that account (e.g., telecommuting or checking e-mail while away from the office on business) only with approval of the

employee's department head and only for County business. Non-exempt employees are prohibited from forwarding their County account to a personal account.

4. Signature Line: The employee signature line at the bottom of every e-mail message shall include the user's name, title, department and telephone number. The signature line may include the County webpage, employee fax number, or one of the ~~environmental~~ tags attached hereto as Attachment B. The signature line is to remain professional and not include superfluous items.
5. ~~Anti-Virus~~Security Scans: The Information Technology Department shall purchase ~~anti-virus~~security hardware/-software or contract for such services to minimize the potential of ~~malicious~~infected files reaching the ~~C~~ounty ~~network~~ and to reduce the number of spam e-mails. USB Flash drive usage is prohibited unless specifically authorized by your department head.
6. Compliance Review: Violations of the Technology Use Policy will be evaluated on a case-by-case basis by the department head, IT Director and Human Resources Director. Violations may result in disciplinary action, and may include referral of a case to the appropriate authorities for civil or criminal prosecution.
7. Random Audits: The Information Technology Department may make random internal audits of technology use.
8. Web Page: Development of a website or home page for department purposes must be made through the Information Technology Department and the County Webmaster to ensure a uniform County web presentation.

## I. GENERAL POLICIES

### *A. Permitted Use*

The County expects employee use of County technology for business purposes. The County recognizes, however, that employees may, from time to time, use County technology, including the internet and e-mail, for personal use during working hours. Such personal use is permitted provided (1) it does not interfere with the performance of the employee's job duties and obligations; and (2) it does not violate this policy or any other County policy; and (3) it does not interfere with the operation of County technology; and (4) it does not incur additional expense for the County. Non-exempt employees are prohibited from accessing County accounts including Outlook outside of their ~~normal~~ authorized working hours.

### *B. Right and Ability to Monitor*

All technology, including the e-mail system, are the property of the County. All electronic data and information, including electronic messages, on or within County technology are

the property of the County. All messages sent through electronic means are public records unless otherwise provided by the Iowa Open Records Act (Chapter 22). The County (or its designated representatives) maintains the right and ability, with or without notice to the employee, to access and review any information contained on County technology, even if protected by private password. Those individuals using County technology have no expectation of privacy in connection with the use of such technology or transmission, receipt, or storage of information through the use of such technology. The County specifically reserves the right to monitor all internet usage, cellular device usage and e-mail ~~messages~~ either composed or received in the e-mail system. It is possible that e-mail sent from the County can be intercepted ~~on the local system and on the Internet~~; therefore the user should not expect any degree of privacy regarding e-mail messages of any type, including e-mail messages sent or received through a County e-mail account or through a private web-based e-mail account accessed using County technology. Email requiring privacy for any reason including regulatory compliance should be sent/received using end to end encryption as provide by Information Technology.

### *C. Record Retention*

The IT Department will maintain a copy of all emails sent or received for a period of five ~~(5)three-(3)~~ years from the date in which they are sent or received, Records may be retained for a longer time period if it is subject to a litigation hold.

## **II. PROHIBITED USES**

The following uses are strictly prohibited:

- Excessive personal use of County technology.
- Using technology to engage in any conduct that violates any federal, state or local law, or any of the County policy, including but not limited to, using County technology to engage in any form of accessing or transmitting through County technology materials viewed as harassing, offensive, obscene or pornographic.
- Engaging in any political activities.
- Revealing your account password(s) to others or allowing use of your account(s) by others. This includes family and other household members when work is being done at home.
- Any commercial use or any use for personal gain.
- Obtaining and/or using another user's passwords.
- Attempting to gain access to files and resources to which you have not been granted permission.
- Making copies of another user's files without their knowledge and consent.
- Stealing, vandalizing or obstructing the use of computing equipment, facilities, or documentation.
- Installing non-work related software on your County computer without the express consent of the Information Technology Department.
- Sending unsolicited e-mail messages, including the sending of "junk mail" or other advertising material to individuals who did not specifically request such material (email spam).

- Posting, uploading, or downloading of inappropriate messages, photos, images, symbols, sound files, text files, video files, newsletters, or related materials.
- Violating the rights of any person or company protected by copyright, trade secret, patent or other intellectual property, or similar laws or regulations, including, but not limited to, the installation or distribution of “pirated” or other software products that are not appropriately licensed for use by the County. In order to protect the County from copyright infringement penalties, only software purchased by the County shall be operated on County owned computer hardware.
- Unauthorized copying of copyrighted material including, but not limited to, digitization and distribution of photographs from magazines, books or other copyrighted sources, copyrighted music, and the installation of any copyrighted software for which the County or the end user does not have an active license.
- Exporting software, technical information, encryption software or technology, in violation of international or regional export control laws.
- Introducing malicious programs into the network (e.g., viruses, worms, Trojan horses, malware, spyware, etc.).
- Utilization of technology outside of authorized work hours for non-exempt employees.

This list is by no means exhaustive, but attempts to provide a framework for activities which fall into the category of unacceptable use of County technology. Any employee who uses County technology in an inappropriate manner will be subject to discipline, up to and including discharge. Further, any employee aware of any activity by another employee that violates this policy is required to notify their department head and the Information Technology Department immediately. If you are unsure as to an item’s appropriateness, consult the Information Technology Department or Human Resources Department.

### III. COUNTY SOCIAL MEDIA USE

Social media refers to online tools and services that allow any Internet user to create and publish content. Many of these sites use personal profiles where users post information about themselves. The “social” in social media comes in as these individuals find others with similar interests and interact with them through online communities. Social media allows for the easy sharing and re-purposing of existing content, expanding the reach of your work and enabling others to share it with their friends and networks. Examples of social media services include Facebook, Twitter, LinkedIn, Pinterest, Snapchat, Instagram, blogs, YouTube and Flickr.

The County recognizes that social media use is an important tool to communicate with citizens and hear directly from them. These “conversations” are what makes social media so different from traditional forms of communication. As such many County departments and programs utilize official social media presences, similarly branded to communicate that the information they are communicating is official and reliable. Scott County seeks a unified approach to utilization of social media sites by its departments and elected officials. Social media sites should be reflective of the County’s website and other marketing tools.



Access to social media networks from within the County's IT infrastructure is limited to individuals performing official County business and to agencies or departments with sufficient information and technology security controls.

Employees who post on behalf of a County department must adhere to the following policies:

- Departments shall only utilize County endorsed social media networks for hosting official County social media sites.
- Employees shall not create social media sites without authorization of the appropriate department head or board/commission with departmental oversight and consultation with the County's Webmaster.
- Departments with social media sites should assign an employee(s) to be responsible for the content and keeping the information relevant, current and compliant with the comments policy. The County's PIO and Webmaster should be added as administrators on any social media site in order to be able to address immediate concerns.
- Whenever possible social media sites should link back to the County's website.
- Employees responsible for social media sites should respect the County's "collective voice" by remaining professional in tone, complying with this and other county policies and exercise good taste.
- IT shall provide appropriate security access to social media networks to individuals performing official County business within the scope of this policy.
- Employees participating in social media sites shall limit the amount of time spent attending to department's social media presence to what is needed to post content, evaluate traffic data, review related sites and monitor comments.
- Any articles or documents posted are subject to Iowa Public Records laws. Users shall be notified that public disclosure requests must be directed to the relevant department.

~~• Scott County respects the right of employees to write blogs and use social networking sites and does not want to discourage employees from self-publishing and self-expression. Employees utilizing LinkedIn identifying their County employment are required to reflect appropriate demeanor for a County employee. Employees that maintain a professional blog, contribute to another's professional blogs, or make comments on blogs or other social media sites must maintain a professional tone and are prohibited from:~~

- ~~• Disclosing County confidential information or making any statements that violate County policies.~~
- ~~• Drafting, creating or accessing any non-professional blog using County technology.~~
- ~~• Representing that you are speaking or acting on behalf of the County, or that you are representing or presenting the view of the County unless specifically authorized by the County.~~

~~• Employees are expected to follow the guidelines set forth in this policy and the best practices guidelines to provide a clear line between you as the individual and you as the~~

~~employee. If you publish content to any website outside of the County and it has something to do with work you do or subjects associated with Scott County, use a disclaimer such as this: "The postings on this site are my own and don't necessarily represent Scott County's positions or opinions."~~

~~Employees should keep in mind that they are subject to legal action for posting material on a personal blog or social network page that is defamatory to persons; and for posting private information about a coworker's medical or financial affairs. Additionally, the County requires that employees make clear that any views and positions described on a personal blogs or social network page are their own and not those of the County.~~

Any County social media site in which the department permits public comments should contain the following language: "Use of this site is subject to the County's Social Media policy and its user guidelines."

The following language governs all public comments on social media sites. It will be posted on the County's website and social media site:

"The purpose of this site is to present matters of public interest in Scott County to its many residents, businesses and visitors. We encourage you to submit your questions, comments, and concerns, but please note this is a **moderated online discussion site and not a public forum.**

Once posted, Scott County **reserves the right to delete submissions** that contain:

- a) profanity and vulgar or abusive language;
- b) personal attacks or threats of any kind;
- c) offensive comments that target or disparage any ethnic, racial, or religious group.
- d) sexual content or links to sexual content
- e) sensitive information (for example, information that could compromise public safety or ongoing investigations)
- f) spam or include links to other sites;
- g) comments not topically related to the particular social medium article being commented upon clearly off topic;
- h) advocate illegal activity;
- i) promote particular services, products, or political organizations/candidates;
- j) infringe on copyrights or trademarks;

k) use personally identifiable medical information.

Please note that the comments expressed on this site do not reflect the opinions and position of the Scott County government or its officers and employees. If you have any questions concerning the operation of this online moderated discussion site, please contact <insert dept>@scottcountyiowa.com.”

Employees postings on personal social media outside of their professional duties must adhere to the following policies:

•Scott County respects the right of employees to write blogs and use social networking sites and does not want to discourage employees from self-publishing and self-expression. Employees utilizing LinkedIn identifying their County employment are required to reflect appropriate demeanor for a County employee. Employees that maintain a professional blog, contribute to another’s professional blogs, or make comments on blogs or other social media sites must maintain a professional tone and are prohibited from:

• Disclosing County confidential information or making any statements that violate County policies.

• Drafting, creating or accessing any non-professional blog using County technology.

• Representing that you are speaking or acting on behalf of the County, or that you are representing or presenting the view of the County unless specifically authorized by the County.

• Employees are expected to follow the guidelines set forth in this policy and the best practices guidelines to provide a clear line between you as the individual and you as the employee. If you publish content to any website outside of the County and it has something to do with work you do or subjects associated with Scott County, use a disclaimer such as this: "The postings on this site are my own and don't necessarily represent ~~my employer's~~ Scott County's positions or opinions."

Employees should keep in mind that they are subject to legal action for posting material on a personal blog or social network page that is defamatory to persons; and for posting private information about a coworker’s medical or financial affairs. Additionally, the County requires that employees make clear that any views and positions described on a personal blogs or social network page are their own and not those of the County.

~~Scott County respects the right of employees to write blogs and use social networking sites and does not want to discourage employees from self-publishing and self-expression. Employees that maintain a personal social media site or make comments on blogs or other social media sites must maintain a professional tone and are prohibited from:~~

~~• Disclosing County confidential information or making any statements that violate County policies.~~

~~• Representing that you are speaking or acting on behalf of the County, or that you are representing or presenting the view of the County unless specifically authorized by~~

~~the County. If you publish content to any website or social media site outside of your professional duties and it has something to do with work you do or subjects associated with Scott County, use a disclaimer such as this: "The postings on this site are my own and don't necessarily represent Scott County's positions or opinions."~~

~~• Posting on a County social media site without disclosing your employment status. Whether you are at home or in the office, working for Scott County is a material fact that may influence content and that community members have a right to know about. If the nature of your comment is confidential, or recommends an action which could adversely affect our citizens or your co-workers, the County reserves the right to delete your comment.~~

Also be aware that:

- Your activities may attract media interest in you as an individual, so proceed with care whether you are participating in an official or a personal capacity. If you have any doubts, seek advice from your supervisor or manager.
- State law does not give you unlimited “free speech”; your comments could lead to legal action or discipline depending on the context. When you choose to go public with your opinions you are legally responsible for your commentary. Individuals can be held personally liable for any commentary deemed to be defamatory, obscene (not swear words, but rather the legal definition of “obscene”), proprietary, or libelous (whether pertaining to County staff or individuals). For these reasons, you should exercise caution with regards to exaggeration, colorful language, guesswork, obscenity, copyrighted materials, legal conclusions, and derogatory remarks or characterizations.

**Attachment A**

**TECHNOLOGY SERVICES USE REQUEST**

I hereby request access to Technology Services via a Scott County account.

I am specifically requesting access to the following types of technology services (initial by specific requests):

Outlook       Internet       Social Media sites (list: \_\_\_\_\_)

Smart phone (exempt employee)       Smart Phone (non-exempt employee)

My signature below certifies that I have read the Technology Use Policy and Electronic Device policy (if applicable), and that I understand, accept, and will abide by the provisions stated therein. I am also aware that from time to time this policy will be updated and I am expected to be familiar and abide by those updates.

SIGNATURE: \_\_\_\_\_

NAME: \_\_\_\_\_

POSITION: \_\_\_\_\_

DEPARTMENT: \_\_\_\_\_

PHONE: \_\_\_\_\_

DATE: \_\_\_\_\_

SUPERVISOR APPROVAL AND ACKNOWLEDGEMENT IF ISSUING SMART PHONE TO NON-EXEMPT EMPLOYEES:

DATE: \_\_\_\_\_

DEPARTMENT HEAD APPROVAL: \_\_\_\_\_

DATE: \_\_\_\_\_

INFORMATION TECHNOLOGY ASSIGNED USERNAME(S):

\_\_\_\_\_

**Return this form to the Information Technology Department,  
Attention: Network System Administrators**

Attachment B

□ Please consider the environment before printing this e-mail.



**Save a tree.**

**Please don't print this e-mail unless it's necessary.**



Join Scott County in being “Green”; don't print this e-mail unless it's necessary.



**Please consider the environment before printing this e-mail.**



**If you must print this e-mail; be sure to recycle the paper.**



The Emergency-Crisis Operations Team will consist of the Sheriff or ~~his/her~~ designee, the Assistant County Administrator, Risk Manager, and the Director of Facility and Support Services or ~~his~~ designee. The Team will be activated by ~~the Radio Room-SECC~~ operation answering an internal emergency call. The ~~EOT-COT~~ is charged with providing administrative direction and decision making responsibilities in the case of any of the above mentioned situations.

## ALARM SIGNALS

There are only two tones used to signal an emergency:

1. Fire Alarm Signal:

This is an intermittent alarm tone and/or voice alarm and will sound in case of fire, explosion, heavy smoke and fumes and will always mean you are to evacuate the building immediately.

2. Tornado Alarm Signal:

This is a steady, continuous alarm tone and is different from the fire alarm signal. It is used in case of a tornado and will always mean you are to remain inside the building.

## EMERGENCY PROCEDURES

Listed below are potential life threatening situations that may occur in County Facilities. It is critical that employees and the public react as quickly ~~-,yet and~~ safely, as possible to avoid possible injury or death. You should try to remain calm and notify the proper authorities if you are the first person to become aware of an emergency situation. At no time place yourself or others in danger.

A. Fire, Smoke, Fumes and Explosion:

1. Refer to the Emergency Response Reference Guide (the “Red Book”)
2. If you discover fire, smoke or fumes pull the fire alarm handle closest to you and call ~~the emergency number~~ 8772-911
3. Give location and type of fire or emergency and your name.
4. If you are notified by the fire alarm sounds, or by the Emergency-Crisis Operations Team:
  - a. Evacuate the building immediately.



- b. If for some reason the designated exit is blocked, proceed to the next nearest exit.
- c. Department staff shall notify the public in their area of the Evacuation procedures.
- d. Do not panic or run.
- e. WARNING: DO NOT USE THE ELEVATORS FOR EVACUATION

5. Evacuation of Disabled Persons

Disabled individuals may need special assistance to evacuate the building. Floor Captains will provide assistance and oversight. Specially designed evacuation chairs are available ~~at~~on approximately the middle floor of each stairwell. Said chairs allow for the safe transportation of disabled or incapacitated individuals down stairs and out of buildings. Whenever possible seek assistance when evacuating or assisting with the evacuation of disabled individuals. Do not jeopardize the safety of yourself or others.

6. Assembly Areas

Employees are required to report to assembly areas upon evacuation. These areas will be used to distribute information and allow departments to account for their employees.

Employees shall proceed to the designated assembly area closest to their place of work. IMPORTANT: MOVE AWAY FROM EVACUATED BUILDINGS AND REMAIN ALERT.

The following are the designated assembly areas for the specific facilities:

COURTHOUSE

EAST SIDE - across Ripley Street ~~into~~ the Davenport Police parking area.

WEST SIDE - across driveway ~~to~~in the main parking areas.

ADMINISTRATIVE CENTER

EAST SIDE - across Western Avenue ~~to~~in the Courthouse public parking lot.

WEST SIDE - southwest corner of parking area close to the corner of Gaines and Fourth Street.

ANNEX BUILDING (this is now all considered JDC)

Assemble in the large parking area NORTH of the center drive.

COUNTY GENERAL STORE

FRONT EXIT -- to the Northwest corner of parking lot.

EMPLOYEE EXIT -- across parking lot to backside of Media Com Building.

Cross parking lot to McDonalds. - DETERMINE NEW LOCATION

TREMONT SUBSTATION

FRONT EXIT - acCross Tremont Avenue and assemble in the parking area.

B. Procedures for Tornado:

1. Refer to the Emergency Response Reference Guide (the “Red Book”)
2. The steady, continuous tornado alarm will be sounded when word is received of a tornado warning where the chances of a tornado hitting downtown Davenport appears likely. The decision to take shelter will be made by the Emergency Management Agency and Emergency Crisis Operations Team.
3. When you hear the steady, continuous tornado alarm, move away from windows or doors and toward an interior shelter area such as a stairwell, hallway, lobby or other room. Move as quickly as possible, to a shelter area. Assist any visitors in your area in seeking shelter.
4. DO NOT USE THE ELEVATORS IF A TORNADO IS EMINENT.
5. Once you get to the interior shelter area, find a comfortable location against a solid wall; be prepared to cover your head. Stay away from doorways, windows, and exterior walls.
6. Be prepared to spend some time, an Emergency a Crisis Operations Team member will tell you when it is safe to return to your work area.

C. Medical Emergencies:

1. Refer to the Emergency Response Reference Guide (the “Red Book”).
2. If you find a person ill, injured, or lying on the floor, get involved to help them.

3. Determine if assistance is needed (if they are conscious) and find out what the problem might be.
4. When assisting in a real emergency be sure to take appropriate precautions for ~~bloodborne~~blood borne pathogens.
5. If you determined this to be a medical emergency call, or have someone else call, #8772911 for assistance. Stay on line ~~with~~ with #8772911 until help arrives.
6. Someone should remain with the person until medical service arrives.

D. Robbery/Violence:

1. Refer to the Emergency Response Reference Guide (the “Red Book”).
2. If you are robbed, or observe violent behavior:
  - a. Signal for co-worker’s assistance or push panic alarm if your workstation is so equipped.
  - b. Stay Calm; speak in a soft, even tone.
  - c. Observe:
    - 1) Subjects: Height, Weight, Race, SexGender, Length of Hair, Facial Hair, Hair Color, Eye Color, Scars, Marks & Tattoos, etc.
    - 2) Description of what subject was wearing: Hat, Coat, Trousers, Shirt, Gloves, Shoes, Glasses, etc.
    - 3) What, if any, weapon was displayed: Gun (description), Knife, Club, etc.
  - d. When subject leaves, observe:
    - 1) Direction of travel.
    - 2) Vehicle used (if possible).
  - e. After subject leaves, call or have someone else call #8772-911 and provide the following information:
    - 1) Your location.
    - 2) Type of incident. Tell wWhat happened.
    - 3) Report any injuries.
    - 4) Stay on the line until an Officer arrives, and you are told to terminate the call.
2. If you observe a robbery or violent situation and are:
  - a. Refer to the Emergency Response Reference Guide (the “Red Book”).
  - b. Unable to report it, follow same procedure as if you were being robbed.

- c. Able to report it (without endangering yourself or others), call [#8772911](#) and report what is happening or trigger a panic alarm. Signal for co-worker's assistance or push panic alarm if your workstation is so equipped.

At No Time Place Yourself or Others In Danger!

—E. Hostage Situation

Refer to the Emergency Response Reference Guide (the "Red Book").  
Use Robbery Procedures.

F. Bomb Threat Procedures:

1. When a bomb threat is received ~~telephonically~~ over the phone the person receiving the call should:
  - a. Remain calm.
  - b. Use the Emergency Response Reference Guide "Red Book" Telephone Bomb Threat Form as a guide to solicit as much information as possible.
  - c. Record details of conversation on Bomb Threat Form.
  - d. Quietly notify co-worker of bomb threat being received.
  - e. Co-worker should notify [#8772911](#) of threat.
  - f. At conclusion of call person should notify their supervisor.
  - g. Call Director of Facility and Support Services or designee and provide information obtained from caller.
2. If the bomb threat is received by mail, e-mail, or expressed by an individual in person, notify [#8772911](#).
3. Department Heads (or designee) should:
  - a. Encourage employees to glance around immediate work areas for strange or suspicious packages or articles and report any suspicious items to the Emergency-Crisis Operations Team.
  - b. Ensure employees evacuate the area/building when directed to do so by the Emergency-Crisis Operations Team.
  - c. Notify visitors in their area, of evacuation procedures.
4. Detailed Bomb Threat Procedures:

Are on file with the Emergency-Crisis Operations Team and Facility and Support Services

TRAINING

A. Mail Handlers Training:

All personnel significantly involved in the County mail handling process (i.e., delivery, sorting, etc. of in-coming mail) shall receive periodic (approximately once every two years) training in mail bomb awareness and proper handling techniques. New employees shall receive training as soon as practically possible after hire. Said training shall be the responsibility of the responsible department head and will be at the individual department's expense.

B. Emergency-Crisis Operations Team:

1. Team members are highly encouraged to seek out training regarding disaster planning and recovery, critical decision making and emergency policies and procedures. EmergencyCrisis Operations Team members shall make every effort to seek adequate training to ensure proper decision-making knowledge is available.
2. Team members shall meet bi-annually to review and update all pertinent policies and procedures. ~~At this time corrections, additions or deletions shall be made to said documents to ensure accuracy and applicability.~~

C. All Employees:

1. County shall offer periodic training to employees on workplace violence.
2. County shall offer periodic training to employees on this policy and the current emergency plans and procedures.
3. County shall hold ~~annual~~ orientation training for newly hired employees that covers the major elements of workplace violence and the current emergency plans.

## **44. Emergency Notification and Alerting Policy**

### **POLICY**

It is the policy of Scott County to immediately notify County employees, tenant employees, and visitors (all collectively known as the County community), upon the confirmation of a significant emergency or dangerous situation involving an immediate threat to the health or safety of staff or visitors occurring in Scott County buildings or on campus locations, unless issuing a notification will worsen or compromise efforts to contain the emergency. This policy should be read in conjunction with Policy 4 Emergency Plans and merely creates a notification system.

### **SCOPE**

This policy is applicable to all offices and departments within Scott County or those offices located in Scott County facilities. It may also include partner agencies that utilize Scott County's network or phone systems.

### **PURPOSE**

To establish guidelines and provide protocols regarding the timely dissemination of information to County employees, tenant employees and visitors regarding actual or potential threats or emergency events occurring at Scott County buildings or campus locations. It is recognized that there are additional potential uses of mass notification systems including approved informational messages delivered to all end users or that may target specific groups or buildings.

### **DEFINITIONS**

- A. Emergency (Immediate) Notification: Dissemination of critical emergency information regarding a significant emergency or dangerous situation, occurring in a Scott County building or property, involving an immediate threat to the health or safety of employees or visitors.
- B. Mass Notification Communications System: Communications systems utilized by County officials to quickly disseminate information across multiple communication channels including: the Alertus Notification system, Alertus Mobile Application, and mass email notifications.
- C. Timely Warning Notification: Dissemination of critical information regarding a situation that arises that, in the judgement of authorized County officials, constitutes a serious or continuing threat to the safety of staff or visitors.

- D. Authorized County Officials: Selected County employees with the authority to provide leadership and manage unexpected events using established operational protocols.
- E. Crisis Operations Team: Team of decision makers consisting of the following and/or their designee
  - a. County Administration - Assistant County Administrator
  - b. Facility & Support Services - Director
  - c. County Attorney - Risk Manager
  - d. Sheriff's Office - Sheriff, Major, and Bailiff Sergeant
- F. County community: Includes all regular County employees, tenant employees, volunteers, interns, contractors or other visitors in facilities where County employees are regularly staffed.

### ADMINISTRATIVE PROCEDURES

1. Confirm the Existence of a Significant Emergency or Dangerous Situation and Initiate the Emergency Notification System:
  - A. The Scott County Sheriff's Office and/or other staff identified by the Crisis Operations Team may become aware of a critical incident or other emergency situation that potentially affects the safety and/or health of the County community.
  - B. Once confirmed that there is, in fact, an emergency or dangerous situation that poses an immediate threat to the health or safety to some or all members of the County community, Authorized County Officials may issue an Emergency Notification.
  - C. The Authorized County Officials will immediately initiate all or some portions of the County's emergency notification system. If, in the professional judgment of first responders, issuing a notification potentially compromises efforts to assist a victim or to contain, respond to, or otherwise mitigate the emergency, the Authorized County Officials may elect to delay issuing an emergency notification. As soon as the condition that may compromise efforts is no longer present, the County will issue the emergency notification to the County community or applicable segment of the community.
2. Generally speaking Emergency Notifications will be sent to all end users on the County's network, County phone system or those subscribed to the mobile notification application. There may be some instances where a specific building or group is targeted as recipients of an emergency notification message. If a specific building or group receives an emergency

notification message, additional messages may be sent to other segments of the County campus as an informational message.

3. Determining the Contents of the Emergency Notification Message
  - A. Pre-scripted messages will be created for several identified scenarios.
  - B. In the event a pre-scripted message is not available to cover the nature of the emergency, Authorized County Officials may create an appropriate message. In those cases where a pre-scripted message is not available for the type of event, the individual issuing the alert will develop the most succinct message to disseminate appropriate information to the County community. The goal is to ensure that individuals are aware of the situation and know the steps to take to safeguard their personal and community safety.
4. Types of Emergency Messaging
  - A. The first message is intended to **ALERT** the County community or appropriate segment (s) of the County community of the dangerous condition and the actions they should take to safeguard their safety. Messages distributed in this stage of a rapidly unfolding critical incident will be short, precise and directive.
  - B. The second message is intended to **INFORM** the County community or appropriate segment (s) about additional details of the situation. This message is generally distributed once first responders and the Crisis Operations Team has additional information about the dangerous situation.
  - C. The third message is intended to **REASSURE** the County community or appropriate segment (s) that the situation is nearly or completely resolved. It can also be used to share additional information about the event.
  - D. The fourth message is intended as an **ALL CLEAR** notifying the County community or appropriate segments (s) that the situation has resolved.
5. Non-Emergency Messaging
  - A. Incidents may occur that do not pose an immediate threat to the County community. These events may be evaluated



to determine the need for a mass notification announcement.

- B. Departments may work with the Crisis Operations Team to develop other types of non-emergency messaging for their departments.

## **PLANNING STATEMENTS**

Many emergencies requiring activation of the alert system will be “without warning”.

No one method of communication will reach everyone, everywhere, every time.

Intended audiences may not receive or may receive delayed messages due to situations beyond the control of the County.

Incorrect information may be generated and distributed by individuals outside official channels (i.e. word of mouth, text messaging). This requires emergency notifications to be clear, concise, accurate and readily identifiable as “official” Scott County Alert Messages.

Regular testing of the alert system components is required to ensure functionality and to familiarize recipients with the system’s features. All tests should be evaluated and corrective actions implemented as necessary.

New communication methods may be identified and others may become obsolete, the current communications methods will be evaluated on a periodic basis with regards to their appropriateness for continued use.

## 9. CREDIT CARD AND CHECK ACCEPTANCE POLICY

### GENERAL POLICY

The establishment of control measures for credit card transactions is necessary to maintain proper security over credit cardholder information. The purpose of this policy is to establish guidelines for processing charges/credits on credit cards to protect against exposure and possible theft of account and personal card holder information and to comply with the Payment Card Industry's Data Security Standards (PCI DSS) requirements for transferring, handling and storage of credit card information.

### SCOPE

This policy is applicable to all offices and departments within Scott County government.

### PURPOSE

The County has adopted the following policy and departmental procedures for all types of credit card activity transacted in-person, over the phone, via fax, mail or Internet. Any department utilizing a web based storefront must use due diligence to choose a vendor that can provide a secure environment. Individual departments may determine if it is necessary or feasible to accept payments via credit/debit cards by considering the volume and frequency of payments received.

### SPECIFIC POLICY PROVISIONS

#### *Types of Cards Accepted*

Departments may only accept merchant cards from credit card associations that have agreements with the vendor utilized by the County.

#### *Transaction or convenience fees*

Transaction fees (convenience fees) shall be charged to cover the cost of permitting a person to complete a transaction using a web application or other means of electronic access. The Conservation Board may enact rules or regulations related to the acceptance of credit cards for recreation transactions.

Any revenues from transaction fees and expenditures funded by the fee must be accounted for separately to provide an audit trail on the collection and use of the fees.

#### *Responsibility of Departments*

A Department shall consider the following items before deciding to accept credit cards:

- 1) Determine the volume of transactions handled annually to determine the business need for accepting credit cards.
- 2) Ensure that all credit card data collected, regardless of how it is stored (physically or electronically, including but not limited to account numbers) is secured. Ensure that only secure communication protocols and/or encrypted connections are being utilized for processing electronic transactions.
- 3) Ensure access to credit card data is limited by business need-to-know and that employees have a unique ID for computer access to this data.
- 4) Ensure that any contract with a vendor to conduct credit card transactions complies with County Policy 17 Identity Theft Prevention Program.
- 5) Ensure employees are familiar with County Policy 17 Identity Theft Prevention Program and trained biennially on the issues. Ensure that applicable employees are trained on merchant card rules.
- 6) Departments shall consult with the Webmaster to create a “store front” on the County’s web site to ensure continuity and comfort in the individual that the transaction is being conducted with the County on a secure site.

### *Business Functions*

Employees accepting credit cards shall:

- 1) Credit card transaction shall only be performed by authorized staff.
- 2) If the employee handles the credit card during a transaction, the signature must be verified with the signature on the card or a picture ID observed.
- ~~3) For phone transactions (i.e. card not present) the security code or address verification shall be used and verified with the credit card processing service.~~
- ~~No phone transactions (i.e. card not present) shall be allowed. Limited hospitality reservations are permitted, by direct entry into the credit card processor, and verbal receipt of the security code and address verification. The credit card processing service shall verify the transaction and a receipt shall be mailed or emailed to the customer. -~~
- 4)3) An authorization approval code must be obtained from the merchant card processor, with real time authorization being the preferred method or telephone authorization as an alternative.
- 5)4) If authorization is not received the card cannot be accepted and an alternative payment means of payment will be required.
- 6)5) If fraud is suspected the procedures in County Policy 17 Identity Theft Prevention Program shall be followed.
- 7)6) Refunds or credits are to be pre-approved by management. They are to be processed to the original credit card number charged. Any exceptions are to be made by the Department Head. Refunds and credits are allowed under a reasonable time period established in advance by the department.
- 8)7) Departments may have more specific processes for accepting credit cards.
- 9)8) It is highly recommended that departments and offices utilize the same processor as the Treasurer.

### *Regular Process and Reports*

Reconciliation shall be done by the department on a daily basis, and all credit card information will be handed over to the Treasurer's office with the same frequency as any cash collected. Departments shall establish written procedures related to daily processes for reconciliation.

Chargebacks will be handled by the department responsible for the charge.

Departments shall receive training on how to journalize transactions from Treasurer's Office.

### *Confidentiality and Security of Account Information*

In order to maintain confidentiality of data the following processes must be followed:

- 1) Any hardcopy containing cardholder information will be destroyed immediately after processing. Credit card information shall not be stored for future use such as periodic billing or partial payments.
- 2) Only the last four digits of any credit card shall appear on a receipt or document where credit card information is displayed.
- 3) Any electronic media containing cardholder information shall be securely collected and held as confidential. The County shall not store credit card account numbers.
- 4) The three digit card validation code printed on the signature panel of a credit card is never to be stored in any form.
- 5) Employee shall not obtain or transmit credit card information via e-mail.
- 6) All transactions shall occur at workstations that have antivirus software installed and updated regularly.
- 7) Terminals shall be located in secure area during and after work hours to prevent unauthorized access. Employees shall ensure logging off at the conclusion of the workday.
- 8) Background checks shall be performed prior to hiring or promoting any position with unrestricted access to credit cardholder information.

### *Process for responding to a Security Breach*

In the event of a security breach or suspected security breach the Department must do the following:

- 1) Comply with County Policy 17 Identity Theft Prevention Program
- 2) Contact the IT Director to assure the preservation of any electronic evidence and remediation.
- 3) Alert the merchant bank, payment card association and Sheriff's office. The Department Head will notify the County Administrator who will in turn notify the appropriate officials of any suspected breaches.
- 4) Within 48 hours of the breach the Department Head will provide the affected credit card association with proof of PCI compliance.
- 5) Within 4 business days of the breach the Department Head will provide the

- affected credit card association with an incident report.
- 6) At the request of the credit card association or depending on the level of risk and data elements compromised the IT Director will arrange for a network system vulnerability scan.
  - 7) In the event that personal data is exposed the department shall comply with County Policy 17 Identity Theft Prevention Program.

### *Acceptances of checks*

Before accepting check payments the department shall post signage indicating that all checks will be converted into ACH transactions and will processed electronically. In addition, the receipt shall provide written notice of this disclosure.

A service charge of \$30 will be imposed for each check, ACH payment, or other draft tendered which is subsequently dishonored or otherwise refused by the bank or other payer. Acceptance of any check or other draft shall be only upon this condition, to which the person tendering the check or draft is deemed to have consented.

### **Additional resources:**

Payment Card Industry Data Security Standard:

[https://www.pcisecuritystandards.org/security\\_standards/pci\\_dss.shtml](https://www.pcisecuritystandards.org/security_standards/pci_dss.shtml)

Visa Merchants Cardholder Information Security Program:

[http://usa.visa.com/merchants/risk\\_management/cisp\\_overview.html](http://usa.visa.com/merchants/risk_management/cisp_overview.html)

Mastercard International Rules Manual:

<http://www.mastercard.com/us/merchant/support/rules.html>

## C. RECRUITMENT AND SELECTION

### GENERAL POLICY

It shall be the policy of Scott County to recruit and select the most qualified candidates. Recruitment and selection shall be conducted in an affirmative manner to ensure open competition, provide equal employment opportunity and prohibit discrimination based on non-merit factors.

### SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder providing the appropriate elected office holder and the Board of Supervisors have certified its applicability;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

### APPROVAL TO FILL VACANCY

When a vacancy exists in a regular County position, or a department is made aware of an impending vacancy, the department head shall submit to the Human Resources Department an on-line request to fill such vacancy prior to the commencement of any recruitment or selection process.

The Board of Supervisors must approve the filling of any position vacancy through the budgetary process or an organizational change. During times of economic necessity the Board or County Administrator may direct the Human Resources Department to receive Board approval before proceeding with a recruitment process. ~~prior to the selection of an individual to fill such vacancy.~~

Draft for discussion purposes only

~~Requests to fill position vacancies will be submitted to the Board at a regularly-scheduled meeting, and deadlines for submission shall be the same as those established for submission of other Human Resource related items.~~

~~So as not to cause undue delay in the recruitment and selection process, the County Administrator may authorize initiation of the recruitment process prior to consideration by the Board. In addition, the County Administrator shall provide a recommendation to the Board relative to the filling of any regular position vacancy.~~

~~The Board's approval is not required on positions that become vacant within 90 days of previous Board approval, however, the on-line request form shall be completed to notify the Human Resources Department of the need to begin recruitment efforts.~~

### **ACTING APPOINTMENT**

When a vacancy occurs in a position which, from the standpoint of the County's business, cannot be left vacant for the period of time necessary to conduct a recruitment and selection process, the department head, with the approval of the County Administrator, may appoint a current employee to fill the vacant position in an acting capacity. The duration of such an appointment shall be only until a permanent appointment subject to standard recruitment procedures can be made. Normally, acting appointments will not exceed three months.

### **RECRUITMENT PROCESS**

The Human Resources Department, in conjunction with the hiring department(s), shall conduct an active recruitment program designed to meet current and projected staffing needs. In an effort to minimize delays in filling vacancies, ~~previously submitted~~ employment applications on file and submitted within the previous 90 days may will be reviewed to recruit and select qualified candidates. Recruitment efforts (including advertisements) will be tailored to the type of position(s) being filled and will be directed to all sources likely to yield qualified candidates. Particular effort will be made to reach qualified minority and female candidates in accordance with the County's EEO policy (See Policy B).

Except as provided below under the section entitled "Promotional Opportunities", all regular County vacancies shall be posted and open to the public for a minimum of seven (7) calendar days. Job announcements will be

Draft for discussion purposes only

developed by the Human Resources Department and posted on the intranet, internet distributed electronically to all County departments and other relevant recruitment sources. Announcements shall summarize the primary duties of the position, the standards for initial consideration and the application deadline.

Application for regular County employment must be made through the on-line application process. In order to be considered for an open position, all application material must be received in the Human Resources Department prior to the posted application deadline.

The recruitment process for temporary (positions not on the department's organizational chart and performing duties for less than 520 hours in a fiscal year) and/or seasonal staff shall be at the discretion of the hiring department with assistance from the Human Resources Department as requested.

## **PROMOTIONAL OPPORTUNITIES**

In the interest of providing promotional opportunities for current employees, a department head, in consultation with the Human Resources Director, may elect to restrict the recruitment process to individuals currently employed in a regular County position. Announcements of such vacancies shall be posted for a minimum of five (5) working days. Applications for promotional opportunities must be made through the on-line application process. If a suitably qualified candidate is not found through a promotional only listing, the Human Resources Department shall conduct an outside recruitment process as outlined above.

## **MANAGERIAL RECRUITMENT**

In the interest of attracting the most qualified candidates available for managerial openings, the County will reimburse the following expenses to finalists for regular upper management County positions ~~rated at 350 Hay points or above~~:

1. Each management candidate requested to come to Scott County from outside the Quad-City metropolitan area will be reimbursed for reasonable expenses incurred for lodging, transportation, and meals in compliance with Policy T.
2. The County will underwrite the cost of movement of employee, family members and household goods by commercial carrier at an



agreed upon amount for each newly-appointed management group member.

3. As may be necessary, the cost of temporary lodging will be underwritten by the County for each newly-appointed management group member up to a maximum of thirty (30) calendar days.
4. The County may reimburse selected management group candidates from outside the Quad-City metropolitan area, reasonable expenses for transportation and lodging for a trip to the area for the purpose of locating housing.

### **SELECTION PROCESS**

The screening and selection process for a regular County position shall be determined jointly by the hiring department head in consultation with the Human Resources Director. Selection devices and/or techniques used to screen and select applicants must, in all cases, be directly related to the position being filled. It is understood that the hiring department head has authority to make the final selection decision.

Normally, the Human Resources Department will conduct the initial screening process for regular County positions and refer the best qualified applicants to the hiring department for further consideration. Such screening will compare the requirements and qualifications established for the open position to the relevant education, training and work experience of each applicant. Upon request, the hiring department may review the application material of any or all applicants included in a selection process.

Aside from the screening process, selection techniques may include (as appropriate to the position being filled) verbal interview, reference checks, written exams, medical exams, physical agility testing, background investigations, performance evaluations and other measures considered relevant to the job and reliable as a predictor of performance.

Online screening (including but not limited to "googling" the applicant or reviewing their social media sites) of applicants may only be conducted by Human Resources personnel or Sheriff deputies with specialized training and in consultation with Human Resources. Hiring supervisors or managers are prohibited from conducting any online screening. Online screening will only be conducted after candidates are screened for possible interviews and shall be conducted on all applicants at that stage of the recruitment process. Online screening is limited to actions relating to the following activities: criminal

convictions, job skills, work experience, work habits, activities in conflict with the position sought, communication skills or unique factors bearing upon the applicant's employability. Deputyies and Correctional Officers applicants with social media sites are required at the conclusion of their polygraph test, to permit a deputy in their presence to examine the site for any illegal activities or those that would make the individual unsuitable or unfit for employment. Applicants shall not be required to provide their personal passwords at anytime. Staff conducting online screening shall include "google" name search, local media sites, online court records for convictions relevant to the position and make a general record of additional sites used to screen the applicant. All reasonable attempts shall be made to verify the accuracy of any disqualifying information obtained. All relevant information to the decision making process shall be retained with any applicant files. Any information related to protected classifications or activities shall not be shared with hiring supervisors or managers.

Following an offer of employment the County may require a physicalmedical and/or psychological evaluations. Successful completion of such test may be a condition of an offer of employment. The Human Resources Department will be available to assist the hiring department during all phases of the selection process to ensure that adequate screening and selection procedures have taken place (including reference checking) prior to the hire of any new employee into a regular County position.

### PRE-EMPLOYMENT PHYSICAL EXAMINATION

A pre-employment physical examination is required for those County positions that are considered to be physically active on a regular basis or that, on occasion, may require rigorous physical activity. The purpose of this examination is to verify that the individual selected is capable of performing the physical requirements of the job without undue risk of injury to him or herself, fellow employees or the general public.

This requirement for a pre-employment physical examination shall apply to all potential new hires for positions identified as physically active as well as to current employees in non-physically active positions who seek transfer or promotion to a physically active job. Only the top candidate in each selection process will be required to submit to a physical exam.

For those positions requiring a pre-employment medical exam, the hiring department must make a formal offer of employment prior to the physical exam. Successful completion of the exam may be a condition of the offer of employment. If the candidate does not meet the physical requirements of the

Draft for discussion purposes only

job, as determined by the County and its medical examiner~~provider~~, and is considered to be disabled, the job will be reviewed. Consideration shall be given as to what functions of the job are essential and whether or not job restructuring is possible to make the job available to the candidate, before the candidate is excluded from the job.

In recognition of an individual's right to privacy, all physical examination records shall remain in confidential, separate and secure files within the Human Resources Department. Only that information considered to be directly job-related will be made known to the hiring department.

The Human Resources Department, in consultation with all County departments, will maintain a list identifying jobs for which a pre-employment physical examination is required. Examinations will be scheduled by the County at no cost to the individual.

## **ELIGIBILITY ROSTER**

In the interest of conducting efficient recruitment efforts and minimizing delays in filling position vacancies, the hiring department head and the Human Resources Director may elect to establish eligibility rosters for those job classifications ~~or occupational areas~~ in which there are regular and recurring vacancies.

An eligibility roster is defined as a list of candidates who have completed a selection process, except for medical and/or psychological evaluations, and have been certified as eligible for employment in the classification for which the roster was established. Normally, an eligibility roster will be in effect for no more than one (1) year from its initial effective date.

## **CIVIL SERVICE COMMISSION**

As may be requested by the Scott County Civil Service Commission, the Human Resources Director shall assist the Commission in ~~conducting recruitment and selection~~ procedures for Civil Service positions in the County Sheriff's department pursuant to Chapter 341A of the Code of Iowa.

## **EMPLOYMENT OF RELATIVES**

It is the policy of Scott County to prohibit the ~~employment-hiring~~ of a relative of an elected official, department head or any other supervisory employee in

an organizational unit over which the supervisory employee exercises jurisdiction or control.

If during employment a situation occurs where a supervisory relationship with a relative is created, then that supervisor has a duty to report said relationship to the elected official or department head; or Human Resources Director if the relationship involves the head of the department. The supervisor and head of the department shall create a written management plan establishing the remedial measures by which any potential conflict of interest will be resolved (for example, recusal from decisions affecting a related person, alternate reporting line, etc.), and the impact of these measures on the operations of the organizational unit. The related persons shall sign the management plan indicating their agreement to its terms.

The term "relative" as used in the above paragraph shall include the following relationships: spouse, anyone in a romantic relationship, and whether related by blood, adoption, or marriage, the parent, child, sibling, uncle, aunt, first cousin, nephew, niece, or any person residing in the immediate household. The term "relative" as used in the above paragraph shall include the following relationships: father, mother, son, daughter, sister, brother, uncle, aunt, first cousin, nephew, niece, husband, wife, father in law, mother in law, son in law, daughter in law, brother in law, sister in law, step father, step mother, step son, step daughter, step brother, step sister, half brother, half sister.

### ~~PRE-EMPLOYMENT PHYSICAL EXAMINATION~~

~~A pre-employment physical examination is required for those County positions that are considered to be physically active on a regular basis or that, on occasion, may require rigorous physical activity. The purpose of this examination is to verify that the individual selected is capable of performing the physical requirements of the job without undue risk of injury to him or herself, fellow employees or the general public.~~

~~This requirement for a pre-employment physical examination shall apply to all potential new hires for positions identified as physically active as well as to current employees in non-physically active positions who seek transfer or promotion to a physically active job. Only the top candidate in each selection process will be required to submit to a physical exam.~~

~~For those positions requiring a pre-employment medical exam, the hiring department must make a formal offer of employment prior to the physical exam. Successful completion of the exam may be a condition of the offer of employment. If the candidate does not meet the physical requirements of the~~

Draft for discussion purposes only

~~job, as determined by the County and its medical examiner, and is considered to be disabled, the job will be reviewed. Consideration shall be given as to what functions of the job are essential and whether or not job restructuring is possible to make the job available to the candidate, before the candidate is excluded from the job.~~

~~In recognition of an individual's right to privacy, all physical examination records shall remain in confidential, separate and secure files within the Human Resources Department. Only that information considered to be directly job-related will be made known to the hiring department.~~

~~The Human Resources Department, in consultation with all County departments, will maintain a list identifying jobs for which a pre-employment physical examination is required. Examinations will be scheduled by the County at no cost to the individual.~~

## PROBATIONARY PERIOD

The probationary period shall be regarded as an integral part of the screening and selection process and shall be utilized for closely observing the employee's work during the initial period following his/her appointment to a new position.

Any individual who is appointed, transferred and/or promoted to a regular County position shall be required to successfully complete a probationary period of six (6) calendar months. ~~If an individual is placed in a regular part-time County position, the probationary period may be pro-rated in relation to the total number of hours worked if considered necessary by the hiring department and approved in advance by the Human Resources Director.~~

An employee may be removed from a position at any time during the probationary period, if, in the opinion of the department head, the employee is unable ~~or unwilling~~ to perform the duties of the position satisfactorily. Employees removed from a position or dismissed from employment during a probationary period do not have access to the grievance procedure.

~~In the event an employee is transferred and/or promoted into a new position and subsequently fails to successfully complete the probationary period, the employee may be demoted into his/her previous or similar classification, provided such position is available, or may be placed on a priority rehire list for positions for which the employee is qualified.~~

The Human Resources Department shall notify the hiring department approximately one (1) month prior to the scheduled expiration of an

Draft for discussion purposes only

employee's probationary period. The department head will notify the Human Resources Director whether he/she desires to continue the employee in the position. A probationary period may be extended by the department head, with approval of the Human Resources Director, up to an additional three ~~(3)six (6)~~ months if deemed necessary to adequately evaluate the employee's ability to effectively perform the job.

## D. CLASSIFICATION AND COMPENSATION

### GENERAL POLICY

It is the policy of Scott County to maintain a system for classifying and compensating its employees which is based on the principles of fairness and equity, and allows the County to recruit and retain qualified employees necessary for the fulfillment of its mission.

### SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder with the exception of the elected office holder themselves and deputies;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors has certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

### JOB CLASSIFICATION PLAN

The County utilizes a classification system developed by Public Sector Personnel Consultants (PSPC) which reviews a position based on the market value of the classification and internal equity within the department and countywide. the Hay Guide Chart Profile Method of Job Evaluation for evaluating and classifying positions, based on the position's job description. Under the Hay system, each position is evaluated and assigned a point total based on the "know how" required for the job, and the degree of "problem solving" and "accountability" present in the job. The resulting Hay point value assigned to the position is the basis for determining an appropriate pay range (see section below entitled "Pay Plan").

The Human Resources Director is responsible for maintaining the job classification plan, including an analysis of the duties and responsibilities assigned to and the qualifications required of each position. Department heads shall cooperate with the

Draft for discussion purposes only

Human Resources Department in maintaining an accurate and up-to-date job description for each regular position in the County table of organization.

As may be required in establishing new positions or reclassifying existing positions, the Human Resources Director shall provide recommendations to the County Administrator as to salary range that should be utilized for the position based on the market comparables and internal equity, both in the department and countywide. The review should consider any compression factors with the classification attempting to maintain at least two grades between a position and the supervisor or subordinates. appropriate Hay point values for all regular positions in the County service. All Hay point values (and resulting pay ranges) require approval by the Board of Supervisors upon the recommendation of the County Administrator.

### **ADJUSTMENTS TO A DEPARTMENT'S TABLE OF ORGANIZATION DURING THE BUDGET REVIEW PROCESS**

Proposed changes to a department's table of organization, including the addition or elimination of positions as well as the upgrading or downgrading of existing positions, will normally be accomplished during the County's annual budget review process prior to the start of each fiscal year. Should a department desire to move an individual to a higher classification already in existence it may only be done through the budgetary process by requesting an adjustment to the number of FTEs in each classification.

Departmental requests for changes to its table of organization shall be included with its annual budget request utilizing the "organizational change request" form provided. Requests must be submitted in accordance with established time frames and should include detailed justification for the proposed changes. The Human Resources Director will study all proposed changes and provide a recommendation to the County Administrator. Changes of this nature require approval by the Board of Supervisors upon the recommendation of the County Administrator.

### **ADJUSTMENTS TO A DEPARTMENT'S TABLE OF ORGANIZATION OUTSIDE OF THE BUDGET REVIEW PROCESS**

Proposed changes to a department's table of organization are normally accomplished during the annual budget review process, exceptions to this rule must meet at least will generally be limited to one of the following criteria:

1. Situations in which there is an increase in the documented volume of work which could not have been forecast during the most recent budget review process. Requests of this nature should be supported by in-depth documentation of the increased workload, the formula or method used to determine the number of additional staff needed, and an explanation as



Draft for discussion purposes only

to why the situation could not have been anticipated during the previous budget cycle.

2. Situations in which the requested change provides greater efficiency of operation and results in a net reduction in the number of FTE's in the department and/or a reduction in overall salary/benefit expenditures. Requests of this nature should include a specific description of the increased efficiency and how it will be accomplished.
3. Situations in which there is a change in key personnel and a reorganization of the function is desired. Requests of this nature should include a detailed rationale as to the benefits and cost savings of reorganization.
4. Situations resulting from a change in external funding. Requests of this nature should identify the reason(s) for the change in funding and should set forth staffing alternatives to deal with such change.
5. ~~Situations in which there has been a significant and unanticipated increase in the duties and responsibilities assigned to a given position, as verified by a job audit conducted by the Human Resources Department. Requests of this nature should include specific justification for the necessity of increasing the duties and responsibilities of the position rather than assignment to a higher level position and should address why such changes were not anticipated during the previous budget cycle.~~

The Human Resources Director will study all proposed changes under this section and provide a recommendation to the County Administrator. Changes of this nature require approval by the Board of Supervisors upon the recommendation of the County Administrator.

**PAY PLAN**

~~The County has adopted a fourteen (14) step wage scale with 2.5% between each step maintaining an approximate 40% overall spread between the top and bottom of the scale. The Human Resources Director shall maintain the scale annually by applying any cost of living adjustment to the scale as approved by the Board of Supervisors through the budget process. The midpoint of the range shall be considered step 7 of the range. Positions are assigned a particular pay range. As noted earlier in this policy, Scott County utilizes the Hay system for evaluating and classifying positions, the Hay point value assigned to a position determines the midpoint of the pay range for that position. In addition, as may be necessary to recruit and retain qualified staff in a given occupational area, the County also may take into consideration the market value of a job in the relevant labor market are in establishing an appropriate pay range.~~

Draft for discussion purposes only

~~Once the midpoint in the pay range has been established, the minimum in the pay range is calculated at 85% of midpoint. For non-union employees the maximum in the pay range is calculated at 115% of midpoint.~~

The Human Resources Director is responsible for maintaining the County pay plan and administering the pay practices and procedures established in this policy. This shall include advising departments on pay administration matters and conducting periodic salary surveys of comparable positions in other public and private organizations. The County pay plan will be updated annually and included in the official budget plan document.

Hourly pay rates for temporary, part-time and/or seasonal staff shall be established on an as-needed basis. The Human Resources Director shall recommend appropriate pay rates for such positions in consultation with the hiring department. Final approval shall be by the Board of Supervisors.

### ENTRY-LEVEL PAY RATES

The entry-level or base pay rate for a new employee shall normally be the minimum in the pay range established for the position being filled.

A department head, subject to a recommendation by the County Administrator and approval by the Board of Supervisors, may make an appointment above the entry-level pay rate to midpoint for non-represented positions. Appointments above the entry-level pay rate will be considered when there are special labor market considerations or in recognition of a candidate's exceptional qualifications.

~~Conversely, a department head may make an appointment below the minimum in the established pay range, subject to a recommendation by the County Administrator and approval by the Board of Supervisors. Appointments below the entry level pay rate will be considered when none of the applicants possess the minimum qualifications established for the position, or for the purpose of developing a current regular employee who does not possess the minimum qualifications but who has demonstrated an aptitude and ability to successfully perform the work.~~

### TRANSFERS

When an employee is transferred from one classification to another with the same pay range in a Hay point pay range within ten points, he/she shall continue to receive the same pay rate. The employee's anniversary date in the position will not change.

If the transfer is to a position with a Hay point differential of more than ten points different pay range, the employee's pay rate shall be modified as a "promotion" or "demotion". ~~The employee's anniversary date in the position will not change.~~

Inter-departmental transfers require a minimum of two (2) week notice prior to the official transfer of an employee. However this time frame may be shortened or extended based on the staffing needs of the affected departments, after consultation with the Human Resources Director. →

## **PROMOTIONS**

When a fully-qualified employee is promoted from one class to another having a higher pay range, the incumbent's salary rate will be set at the minimum of the new pay range, or placed on a step in the new pay range at a rate of five (5) percent above the incumbent's current rate, whichever is greater providing it does not exceed the maximum in the new pay range. The employee will be given a new position anniversary date.

Inter-departmental promotions will require a minimum of two (2) week notice prior to transfer of an employee. However this time frame may be shortened or extended based on the staffing needs of the affected departments, after consultation with the Human Resources Director.

## **DEMOTIONS**

When an employee is demoted for ~~reasons other than~~ cause to an existing job classification with a lower ~~Hay point value their salary rate~~ pay range they shall be placed on a step in the new pay range with a pay rate decrease of at least five (5) percent shall be established at the same percentage of midpoint in the new pay range or the equivalent of the years of service. The employee will be given a new position anniversary date. ~~The employee's anniversary date in the position may or may not change depending on the circumstances involved.~~

If the employee voluntarily demotes to a job classification they previously held they shall be placed on a step in the new pay range closest to their current rate of pay, unless the voluntary demotion occurs within 6 months of a promotion in which case they shall return to their previous rate of pay along with any COLAs that may have occurred. The anniversary date shall return to the original anniversary date.

If an employee applies for and obtains a new job classification with a lower pay range, the employee shall be placed on a step in the new pay range with a pay rate decrease of at least five (5) percent so long as the new rate is at midpoint or less. An employee who applies for a new position which results in a voluntary demotion shall not be placed on a step higher than midpoint. Their anniversary date shall not change.

## JOB RECLASSIFICATIONS

In the event of an upgrade resulting in a ~~new pay range~~ ~~increase in Hay point value~~, the incumbent's pay rate will be set at the minimum of the new pay range, or at a rate of five (5) percent above the incumbent's current rate, whichever is greater providing it does not exceed the maximum in the new pay range. The incumbent's anniversary date in the position will not change.

In the event of a downgrade resulting in a decrease in ~~the pay range~~ ~~Hay point value~~, the incumbent's ~~shall be placed on a step in the new pay range closest to their current pay rate.~~ ~~pay rate will be reduced to the same percentage of midpoint in the new pay range as the employee occupied in the old pay range prior to the downgrade.~~ The incumbent's anniversary date in the position will not change. If the employee's ~~position receives lower Hay points or~~ pay range ~~is lowered~~ as part of a salary or market study, the individual's salary shall be "red circled" and not eligible for ~~merit or step or cost of living adjustment (COLA) adjustments~~ until the individual's salary is within the new pay range.

In the event a position is officially removed from a certified bargaining unit, the incumbent's pay rate will not change, but will establish ~~a step on their percentage of midpoint in~~ the new range. If the incumbent's pay rate is below the minimum pay rate in the new range, the incumbent's pay shall be set at the minimum.

## TEMPORARY ASSIGNMENTS

Department heads may assign employees from one job to another for the following reasons:

1. To temporarily fill a vacancy or replace an employee who is absent due to illness, training or leave of absence.
2. To observe the performance of an individual for the purpose of determining employee potential and ability to assume the duties and responsibilities of a vacant position on a full-time basis.
3. To complete short-term assignments such as special projects, or to assist in relieving a back-log of work over a short period of time.

In the event an employee is temporarily assigned to a position with a higher pay range for more than ten working days, and the employee is fully performing the duties of such position, the employee shall be paid at the same rate of pay, starting with the eleventh working day, that he/she would have been paid if promoted to that position. However if the temporary assignment is that of interim or acting department head due to a termination the individual shall be placed on a step in the new range equivalent to ten (10) percent without exceeding the new range

Draft for discussion purposes only  
immediately upon the vacancy.

Upon conclusion of the temporary assignment, if the employee is returned to his/her previous position, the employee will receive his/her former rate of pay plus any earned increments that might have accrued.

Employees temporarily assigned to a position of the same or lower ~~Hay points~~pay range than their present position will maintain their current salary.

## ADMINISTRATIVE PROCEDURES

1. Processing ~~bargaining unit~~ step increases. The Human Resources Department shall process step increases for employees annually on the employee's position anniversary, not necessarily the hire date. notify County departments shall notify Human Resources one (1) month in advance of an employee's anniversary date ~~via the performance appraisal system if they anticipate an employee will not score an average of 3.0 "Meets expectations" on the performance evaluation.~~ Advancement to the succeeding pay step will be processed on schedule by the Human Resources Department unless the appropriate department head advises otherwise.
2. ~~Processing performance based pay adjustments. The Human Resources Department shall notify County departments one (1) month in advance of those employees scheduled for a performance evaluation pursuant to the County's performance appraisal policy. The department also will be furnished with the appropriate appraisal forms. Departments are responsible for returning the completed appraisal forms and salary adjustment shall be processed by the Human Resources Department pursuant to policy. Merit increases shall be processed from the anniversary date, but not considered due until the performance appraisal is submitted.~~
3. Processing upgrades at the beginning of the fiscal year. The Human Resources Department shall notify County departments in advance of upgrades, including those implemented at the beginning of the County's fiscal year. For salary administration purposes, it is important to note that the County's July 1, Cost of Living Allowance must be applied prior to the calculation of the position upgrade. The upgrade shall then be calculated as addressed in the previous Job Reclassifications section.

## F. PERFORMANCE APPRAISAL AND DEVELOPMENT SYSTEM

### GENERAL POLICY

It is the policy of Scott County to regularly evaluate the work performance of its employees and provide them with relevant feedback to enable improvements to their effectiveness and efficiency as County employees. In addition, a regular employee eligible under this policy may receive a salary adjustment so long as an overall score of three (3) or better is achieved on his/her performance appraisal.~~in accordance with the outcome of his/her individual performance appraisal.~~

### SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder, with the exception of the elected office holder themselves and Deputies;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

### PURPOSE OF PERFORMANCE APPRAISAL SYSTEM

The County's performance appraisal system represents an important part of the employee's work experience. The intent of the system is to not only assess performance periodically, but to provide an opportunity to establish future individual goals, —thus further clarifying management's expectation and direction for the employee.

~~The County also recognizes the importance of encouraging the recruitment and retention of highly-qualified, competent and productive employees. To that end, the performance appraisal system will provide a method for~~

Draft for discussion purposes only

~~determining individual salary adjustment based on the employee's documented record of performance on the job.~~

## **PROCEDURE FOR EVALUATING PERFORMANCE**

~~Departments will be required to complete formal check-in with the employee upon completion of the first six (6) months in the new position. Each employee will then be evaluated at twelve (12) months and then annually thereafter on their position anniversary date upon completion of the first six and twelve months in a new position and yearly annually thereafter.~~ Departments may wish to schedule more frequent reviews, either formal or informal, depending upon the need.

Salary adjustments will occur on the employee's anniversary date upon attaining an overall score of three (3) or better until the grade maximum is reached. ~~however, only be available at the identified milestones of six months, twelve months and annually thereafter.~~

The completed performance appraisal for each employee shall be electronically signed by the performance rater and by the employee being evaluated. The employee signature merely indicates ~~that~~ a discussion was held with the performance rater. If the employee disagrees with the evaluation, he/she may comment in the designated area on the evaluation and/or submit a statement of exception for placement in the personnel file.

~~In the event an adjustment in salary is warranted the Human Resources Department will process one based on the "Attendance Ratings" below.~~

## **APPRAISAL FORMAT**

Upon hire or promotion to a new position, each employee will be oriented to the criteria that will be used to assess job performance. Upon completion of ~~six months,~~ twelve months and annually thereafter of service in the position, the incumbent's work performance will be evaluated by their immediate supervisor. Appraisal forms are generated from the County's web based performance appraisal system administered by the Human Resources Department.

An important part of the review is the employee's completion of a ~~self evaluation~~ self-evaluation which is an opportunity to provide their insight into their performance and goal progress over the review period. Once completed the employee's supervisor receives an electronic copy of this document for consideration. The manager is responsible for completing the employee's



performance review. In addition to assessing the employee's job performance in key competencies the manager is tasked with the creation of several specific goals for the employee to accomplish over the next review period. The initial goals are set at the employee's six (6) month check--in and will be evaluated at the one (1) year appraisal review. The goals may be targeted to meet personal, professional or organizational needs. The source of the goals will be the employee and the supervisor, but the final selection and prioritizing will be the responsibility of the supervisor.

When establishing goals supervisors should take into consideration the employee's role in meeting budgeting for outcomes objectives, departmental goals or County-wide goals, so as to align the goals. Additionally goals may relate to specific skills set forth in the job description, career development, improving an employee's professional competence or reflect a required improvement in an employee's past performance level. Human Resources staff will-may assist supervisors in drafting specific goals for individuals.

Performance appraisals influence salaries, promotions and transfers so it is critical that supervisors provide objective, accurate and thorough information when completing performance reviews and assigning ratings.- If an employee has been subject to disciplinary action within the time period preceding his/hertheir performance evaluation, numerical ratings on the evaluation should accurately reflect the action taken and any subsequent improvements.

### NUMERICAL RATING GUIDELINES

County department heads and elected officials as well as the Human Resources Department will periodically review dashboard ratings within the County's web based performance appraisal system to ensure consistency of ratings on a County-wide basis. Raters shall adhere to the following guidelines in assigning numerical ratings:

<u>Rating Code</u>	<u>Guideline</u>
5	Indicates exceptional performance. <u>The employee's performance far exceeds expectations due to exceptionally high quality of work performed in all essential areas of responsibility and the quality and consistency of work is superior.</u> Ratings of 5.0 shall be reserved for those areas in which the employee is performing at a level <del>that is</del> marked by excellence, efficiency, innovation and documented work results. Generally, a rating of exceptional indicates <del>that</del> the



employee is performing well beyond the department's expectations on a continuing basis. ~~RSuch~~ ratings must be backed up by specific examples of the employee's accomplishments during the rating period such as a completion of a major or critical project or a making an exceptional contribution to the department.

4 Exceeds Expectations. Ratings at 4.0 indicate ~~that~~ the employee consistently exceeds department expectations in all essential areas of responsibility and the quality and consistency of work overall was excellent. meets departmental standards and very often exceeds them. Generally, a rating of exceeds expectations means ~~that~~ the employee's performance is well above satisfactory, ~~that~~ he/she frequently goes beyond ordinary efforts to do a superior job, and achieves all performance objectives established for his/her position. Examples of projects completed and/or exemplary performance should accompany ratings of 4.0 or above.

3 Meets Expectations. Ratings at 3.0 indicate the employee is ~~meeting the department's expectations and~~ consistently meeting department expectations in all essential areas of responsibility and the quality and consistency of work overall is good. Generally, a rating of meets expectations means the employee has regularly completed work assignments and completed or made reasonable progress towards projects and goals. ~~is performing at a satisfactory level. Generally, while a rating of meets expectations means that the quality and quantity of work produced by the employee is acceptable to the department, improvements in work performance are possible.~~

2 Improvement Desired. Ratings at 2.0 indicate ~~that~~ the employee's performance is not consistently meeting department expectations and/or failed to meet expectations in one or more of the essential areas of responsibility. ~~is performing at a level that is considered below satisfactory by the department.~~ Generally, a rating of improvement desired means ~~that~~ the employee occasionally fails to complete work

assignments in a satisfactory or timely manner or may have missed critical goals in the year. Such ratings also may indicate a lack of initiative and/or the need for frequent intervention by the supervisor in order to keep the employee in a productive mode. Specific examples of marginal performance should be cited and a plan for improvement noted. If an employee receives an overall score below three (3), a performance improvement plan, with reasonable timelines, must be attached, and submitted to the Human Resources Department. Progress must be monitored and measured.

1

Unsatisfactory performance. ~~A plan to correct performance, with reasonable timelines, must be outlined and monitored to measure progress.~~ Ratings at 1.0 indicate that the employee's performance is consistently below expectations in most of the essential areas of responsibility and requires immediate improvement for continued employment. is performing at a level that requires immediate improvement for his/her continued employment. Generally, a rating of unsatisfactory performance means ~~that~~ the employee consistently fails to complete assignments in a satisfactory manner and has been unresponsive to prior warnings by supervision. Such ratings must be backed up by specific examples of the employee's actions during the rating period and recommendations for improvement. The department must notify the Human Resources Department immediately if an employee receives an overall rating of two (2). A plan to correct performance, with reasonable timelines, must be outlined and monitored to measure progress.

### **ATTENDANCE RATINGS**

Supervisors will review the employee's sick leave usage over a 12-month period and rate the employee in accordance with this scale.

Rating	Measure
(5) Exceptional Performance	<u>    </u> 0 or 1 absence

- |                                |                               |
|--------------------------------|-------------------------------|
| (4) Exceeds Expectations       | 2 or 3 absences               |
| (3) Meets Expectations         | <u>      </u> 4 or 5 absences |
| (2) Improvement Desired        | 6 absences                    |
| (1) Unsatisfactory Performance | 7 or more absences            |

## **WRITTEN COMMENTS**

One of the primary purposes for conducting a performance appraisal is to provide the employee with relevant feedback regarding his/her performance on the job. To that end, raters are required to include written comments to support numerical ratings. Although the performance appraisal system may provide a writing assistant, the supervisor is expected to provide relevant comments regarding the individual's performance.

In those categories in which the employee is rated highly, the rater should identify examples of good performance and provide the employee with positive feedback to encourage the employee to maintain or exceed his/her current performance level during the next rating period.

In those categories in which the employee receives low ratings, the rater should identify examples of past poor performance and provide constructive feedback for the employee to improve his/her performance during the next rating period.

## **BONUS**

~~In an effort to reward long term Scott County employees who have shown exemplary performance, and the ability to exceed expectations on previously set goals, the following bonus program shall be implemented. To be eligible for a bonus an employee must meet the following standards.~~

### ~~Length of service~~

~~Non-represented employees must be at 115% of scale at the scheduled time of the review. Represented employees must have completed 10 years of service at the scheduled time of the review.~~

### ~~Attendance~~

~~Employees must receive a rating of 4 or higher.~~

### ~~Performance~~

~~Employees must receive an average rating of 4 or higher on the "*Performance In Key Competency*" section of the Scott County Performance Appraisal and Development form.~~

### ~~Goals~~

~~Employees must receive an average rating of 4 or higher on the "*Goals*" section of the Scott County Performance Appraisal and Development form. These goals will be established by department supervisors during the Performance Appraisal process.~~

### ~~Bonus Level~~

~~Employees who are able to meet all the standards as outlined will receive up to a \$500.00 bonus. The Scott County Board of Supervisors may evaluate the feasibility of the bonus system on an annual basis.~~

~~The County recognizes the need for complete, accurate and timely assessments of employee performance and will make every effort to ensure that its supervisors make employee feedback and performance appraisals a priority. Timely submission of performance appraisals is required of all supervisors. In the event employee evaluation(s) are overdue by 30 days or more, a management employee's merit increase or bonus will be withheld or reduced until such time that they have completed their subordinate's appraisal. If the supervisor would have been eligible for a merit increase and is overdue on subordinate evaluations, the eligible merit increase shall not take effect until the evaluations are completed and will not be made retroactive to the management employee's anniversary date. If the supervisor would have been eligible for a bonus and is overdue on subordinate evaluations the bonus shall be delayed and be reduced by \$100.00 for every 30 days it takes the management employee to complete the overdue evaluations.~~

~~Part time eligible (.50 FTE—.99 FTE) employees will be eligible for a bonus on a prorated basis.~~

## **SALARY ADJUSTMENT GUIDE**

~~Individual salary adjustments are tied directly to the results of the performance appraisal. Employees are eligible for annual step increases until grade maximum is reached provided an overall score of three (3) or better is achieved on the employee's annual performance appraisal. Once grade maximum is reached, the employee shall be eligible for a bonus based on the above requirements. If an overall score of three (3) is not achieved, the employee will remain at the current step and may not advance to the next step until the following appraisal period. If an employee successfully completes their PIP in six (6) months they will be eligible to receive the missed step at that time.~~

~~Normally, an employee's average appraisal score is converted to a percent increase (or decrease) in salary as provided herein. However, any employee who receives a rating of 2.0 (improvement desired) or below on three or more key performance appraisal categories should be considered for placement on a performance improvement plan regardless of his/her overall average appraisal score.~~

~~At the initial six month review following hire or promotion, the employee's salary will be adjusted five (5) percent if the employee's salary level does not exceed 95% of midpoint and the employee's average appraisal score is 3 or better.~~

~~Following the employee's annual appraisal, or at any time when the employee's salary level exceeds 95% of midpoint, subsequent salary adjustments shall be based on the employee's average appraisal score in accordance with the conversion tables that follow this section. Under no circumstances will the adjusted salary exceed the maximum in relevant salary range.~~

~~Any recommendation for an increase in salary based on performance when an employee is at 105% of salary range midpoint or above shall be documented in writing and shall include specific factual justification for the increase. Such recommendations must be approved by the department head and the Human Resources Director prior to implementation. If, in the opinion of the Human Resources Director, a performance review is insufficiently documented, it may be returned to the department for more complete, concise information. Implementation of proposed salary adjustments shall be suspended until complete justification is provided as prescribed herein.~~

~~CONVERSION TABLE – SALARY BELOW 105% OF MIDPOINT~~

~~APPRAISAL SCORES TO SALARY ADJUSTMENT~~

AVERAGE SCORE \_\_\_\_\_ SALARY ADJUSTMENT

4.75 through 5.00	5.0%
4.50 through 4.74	4.5%
4.25 through 4.49	4.0%
4.00 through 4.24	3.5%
3.75 through 3.99	3.0%
3.50 through 3.74	2.5%
3.25 through 3.49	2.0%
3.00 through 3.24	1.5%
2.00 through 2.99	0%
1 through 1.99	(- 1.5%)

(-) denotes reduction in current salary.

~~CONVERSION TABLE – SALARY AT 105% OR ABOVE~~

~~APPRAISAL SCORES TO SALARY ADJUSTMENT~~

~~AVERAGE SCORE~~ ~~SALARY ADJUSTMENT~~

~~4.75 through 5.00~~ ~~5.0%~~

~~4.50 through 4.74~~ ~~4.0%~~

~~4.25 through 4.49~~ ~~3.0%~~

~~4.00 through 4.24~~ ~~2.0%~~

~~3.00 through 3.99~~ ~~1.0%~~

~~2.00 through 2.99~~ ~~(- 1.00%)~~

~~1 through 1.99~~ ~~(- 2.00%)~~

~~(-) denotes reduction in current salary.~~

## I. HOURS OF WORK

### GENERAL POLICY

It is the policy of Scott County to schedule a normal work week for County employees.

### SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder providing the appropriate elected office holder and the Board of Supervisors have certified its applicability;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement and/or the Code of Iowa will prevail.

### NORMAL WORK SCHEDULES

The normal work week for full-time County employees shall be forty (40) hours. Normally, the forty (40) hours will consist of five (5) eight-hour days; however, variations to this schedule may be allowed pursuant to departmental operating needs and in the best interest of an efficient, effective operation. For payroll purposes the date the shift begins is considered the workday.

Full-time office personnel will generally work eight (8) hours per day, Monday through Friday between the hours of 8:00 a.m. and 4:30 p.m. unless otherwise specified by the department head.

The normal work week for part-time employees shall be established by the appropriate department head pursuant to departmental operating needs and the number of work hours budgeted for such part-time positions.

Variations to "normal" work schedules are encouraged to the extent that they serve departmental operating needs and the best interests of an efficient, effective operation. It shall be at the discretion of the Department Head to implement flexible work schedules, which may include: flextime, compressed work weeks, job sharing, or other alternatives. In no event shall the implementation of a flexible work schedule cause overtime pay or adversely affect the public service hours of the County operations. Department Heads shall discuss options with the Human Resources Department when contemplating the implementation of or a change in flexible work hours.



## CONTINUOUS OPERATIONS

Employees engaged in continuous operations are defined as those employees working in an activity for which there is regularly scheduled work seven (7) days per week, twenty-four (24) hours per day. Because of the operating needs of such continuous operations, it is understood that other scheduling arrangements outside of those described in the section immediately above may be necessary. Any such work schedules shall be developed in the best interest of an efficient, effective operation.

All ~~non-represented~~ employees engaged in continuous operations (and not covered by a CBA) will be eligible to receive shift differential for all hours worked during the afternoon or evening shifts. However departments engaged in continuous operations where non-represented employees are regularly scheduled to work 12 hour shifts, only the second (a.k.a. evening shift) will be eligible to receive shift differential. The amount of the differential shall be \$0.50 per hour to compensate for the shift work established by the Board of Supervisors. Supervisors shall receive the same shift differential as the employees they supervise.

An employee serving as a Field Training Officer (FTO) shall receive a pay differential of one dollar (\$1.00) an hour for each hour such duties are actually performed. In order to qualify the FTO must have been through a sanctioned training program approved by the department head and HR Director.

## 12 - HOUR SHIFT ASSIGNMENTS

Employees who are regularly scheduled to work seven-12 hour shifts in a two-week pay period will accrue vacation, sick leave, holidays, floating holidays and other paid leaves of absences based on a 2,184 hour per year schedule pursuant to applicable policies. This accrual schedule is intended to reflect the additional straight time hours worked above a normal 2,080 hour per year employee.

## MEAL AND BREAK PERIODS

Full-time employees will normally be granted an unpaid meal of up to one half (1/2) hour in duration each work day. Normally, the meal period will be scheduled near the middle of the work day. In the event an employee would be expected to have meals frequently interrupted for duty purposes, the meal period may be considered a part of the employee's paid regular shift.

To the extent possible, and in consideration of departmental staffing needs, employees may be granted two (2) fifteen (15) minute paid break periods during each eight-hour work day as scheduled and approved by the department head. Break periods are normally scheduled near the middle of each half shift and are intended as a relief from the work routine. As such, they may not be saved or combined to extend the meal period or shorten the work day.

## ADMINISTRATIVE PROCEDURES

1. In consideration of an employee's off-duty interests and obligations, departments are encouraged to give advance notice of at least one (1) calendar week prior to changing an employee's regular work schedule. This provision does not apply to emergency situations requiring a temporary change in work schedules.

Draft for discussion purposes only

2. Employees are encouraged to complete their duties within their regularly scheduled work period. Employees eligible for overtime compensation must receive approval from their supervisor prior to working overtime hours.

## J. OVERTIME COMPENSATION

### GENERAL POLICY

It is the general policy of Scott County to provide overtime compensation to eligible employees for approved overtime hours worked in excess of forty hours per week. It is the intent of this policy to comply with the Fair Labor Standards Act (FLSA) to the extent such act is applicable to Scott County.

### SCOPE

Except as limited by the "Exclusions" section that follows, this policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder with the exception of the elected office holder themselves and Deputies;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

### EXCLUSIONS

The Human Resources Department in consultation with the department shall review all County job descriptions in conjunction with the Fair Labor Standards Act (FLSA) for determination of the positions that should be excluded from the overtime provisions of this policy. Generally speaking those positions that meet the federal salary test, supervisory requirements and are considered to be executive, administrative, professional ~~and or~~ computer ~~positions programmer or analysts~~ would typically be exempt. The County has a good faith commitment to comply with the FLSA and to make proper payroll deductions. If an employee believes an improper deduction ~~or overpayment~~ has been made they ~~may utilize the complaint procedure in County Policy~~ Sare encouraged to contact the Auditor's Office payroll staff or Human Resources. The County is committed to reimbursing the employee for any improper deductions.

These exclusions are consistent with the established principle that management officials and supervisory personnel are compensated on a salaried basis and are expected to work whatever number of hours required to accomplish their assigned workload during any

given period. Conversely, during periods of reduced workload, departmental discretion may allow some flexibility to these employees in adhering to a formal schedule of hours. In addition, employees classified as exempt under FLSA shall not have their pay reduced for absences from work of less than one day if the absence cannot be covered by accrued leave. It is expected that employees classified as exempt shall utilize leave banks for absences in increments established by the department, e.g. two or four hours.

Notwithstanding the exclusions specified above, the Board of Supervisors, upon written request from the department head and concurrence by the County Administrator, may grant overtime compensation to an employee whose position could be considered exempt under FLSA, if the job consistently requires overtime work resulting in an unfair demand on the services of the individual filling the position or a salary compression issue with those individuals supervised by the employee. Lieutenants in the Sheriff's Office are permitted to accrue overtime compensation for any grant funded or reimbursable work performed. ~~Corrections Sergeants who are regularly scheduled to work seven 12-hour shifts in a two-week pay period will accrue overtime compensation for approved overtime hours worked in excess of eighty-four hours per two weeks.~~

Also, the County Administrator may grant payment of overtime in cases of emergency.

## DEFINITION AND PAYMENT OF OVERTIME

Except as otherwise allowed by FLSA, overtime is defined as time worked in excess of forty hours, in any workweek (seven consecutive calendar days) or eighty four hours in any two week period for 12 hour shift employees. ~~However, Bailiffs, Bailiff Sergeant, Classification Specialists and Corrections Sergeants may receive overtime after 8 hours or 12 hours in a day depending on their regular work schedule.~~ Vacation, sick leave and other paid leaves of absence shall not count as time worked in determining when an employee is eligible for overtime pay. Holidays on a regular scheduled work day shall count as time worked in determining when an employee is eligible for overtime pay in a work period. An employee must receive approval from the appropriate supervisor prior to working overtime hours.

An employee shall be paid for overtime hours worked at the rate of one and one-half times his/her regular rate of pay. Overtime shall not be paid more than once for the same hours worked.

Nothing in this policy is intended to limit work period scheduling to seven consecutive calendar days, and departments may establish alternate work schedules with overtime thresholds to be determined in accordance with FLSA regulations.

## COMPENSATORY TIME

Employees who are eligible under this policy for overtime compensation may request compensatory time off from work in lieu of overtime pay. Compensatory time may not be

accrued for any work that may be funded or reimbursed by another entity. Final approval of such requests shall be at the discretion of the appropriate department head or elected office holder.

Approved compensatory time shall be accrued at the rate of one and one-half hours for every overtime hour worked. ~~Insofar as practical, compensatory time off shall be used as soon as possible after it is accrued. Compensatory time off will be arranged by mutual agreement with a supervisor within a reasonable time of the request but no later than 7 days. Compensatory time off shall not be denied based on overtime, except in the case of requests to utilize compensatory time off for holidays, the day before a holiday or the day after a holiday. An employee's unused accruals shall not exceed sixty hours and shall be reported through the County's central payroll system. Employees may accrue up to sixty (60) hours of compensatory time at any time in a refillable bank, however may only accrue a total of one hundred (100) hours during a fiscal year.~~ All compensatory time accruals as of June 30<sup>th</sup> each year will be paid on the first paycheck in July at the June 30<sup>th</sup> hourly rate.

Employees not covered by a collective bargaining agreement may notify the payroll clerk in writing two weeks in advance of the desire to have twenty or more hours of compensatory hours paid out in the following payroll cycle.

### CALL-BACK PAY

In the event an employee eligible for overtime under this policy is called back to work outside his/her normal work shift, he/she shall be paid a minimum of two hours at his/her regular rate of pay, or at the rate of one and one-half times his/her regular rate of pay for all time actually worked, whichever is greater. Any Corrections Sergeant mandatorily called back to fill the hours of a Corrections Officer shall be paid at the rate of one and one-half times his/her regular rate of pay, regardless of any vacation, sick leave and other paid leaves of absence taken in the pay period.

### ADMINISTRATIVE PROCEDURES

#### 1. Compliance with FLSA

The Human Resources Department shall be responsible for administering the County's overtime pay policies and monitoring its compliance with the Fair Labor Standards Act. In this regard, the Human Resources Department shall maintain an up-to-date listing by department of those positions which are determined to be exempt from the overtime pay provisions of FLSA.

#### 2. Record-Keeping

The Auditor's Office, as part of its centralized payroll function for the County, shall be responsible for the maintenance and storage of all official payroll and

employee time records in accordance with FLSA record-keeping requirements. All County departments will cooperate with the Auditor's Office in forwarding time cards, time sheets and related payroll documentation to the Auditor's Office for all employees eligible to receive overtime compensation.

## K. HOLIDAYS

### GENERAL POLICY

It is the policy of Scott County to grant its employees certain holidays off from work with pay as specified herein.

### SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder with the exception of the elected office holder themselves and Deputies;

All Deputies provided the appropriate elected office holder and the Board of Supervisors have certified its applicability;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

### HOLIDAYS

Non- represented employees are granted the following holidays: Independence Day; Labor Day; Veteran's Day; Thanksgiving Day; Day after Thanksgiving; Christmas Eve Day; Christmas Day; New Year's Day; Martin Luther King Jr. Day; Memorial Day; and Two (2) Floating Holidays.

### HOLIDAY PAY PROCEDURE

The holidays listed in this policy conform to a Monday through Friday work schedule whereby those holidays falling on Saturday or Sunday are observed on Friday or Monday. However, for those employees involved in continuous operations as defined in Policy I, the traditional day of observance will be used for paying premium holiday pay. If an employee considered exempt pursuant to the FLSA is required to work on a holiday, they are not eligible for premium holiday pay but the department director may permit them to take off a different day in the same pay cycle.

Except as limited by the scheduling requirements of continuous County operations, employees are granted those holidays listed in this policy with pay at their straight time hourly rate for the number of hours which they would normally work, up to a maximum of eight (8) hours pay per holiday.

In those cases where an employee is required to work on a holiday, that employee shall receive one and one-half (1-1/2) times his/her straight time hourly rate of pay for all consecutive hours worked on the holiday, and this shall be in addition to any holiday pay the employee would otherwise receive. For purposes of premium holiday pay in continuous operations the holiday shall be considered to occur when the majority of shift hours are worked on the traditional day of observance. (As an example New Year's Day would be paid as a premium holiday for 11pm December 31 - 11pm January 1 for those with 3 traditional shifts and 6am and 6pm on January 1 for those working 12 hour shifts.) Part-time non-benefit eligible (not seasonal) employees will be paid premium holiday pay only for actual hours worked on the holiday. ~~Part-time Correctional Health Nurses commonly referred to as "contract" or "on-call" receive a \$5.00 an hour premium for actual hours worked on the holiday, however if they do not qualify for the "contract pay rate" they shall receive premium holiday pay for actual hours worked on the holiday.~~ The employee may elect to take up to twelve (12) hours of such holiday pay as compensatory time off. The accrual limitations of the compensatory bank are established in Human Resources Policy J.

Regular, part-time employees are eligible to receive holiday benefits on the condition that such part-time employees are scheduled to work one thousand forty (1,040) hours or more annually. Such employees will receive holiday pay on a pro-rated basis, according to their assigned salary percentage. For example, an employee rated at fifty percent (.50 FTE) would receive four (4) hours of holiday pay. ~~Coop students, t~~Temporary and/or seasonal employees are not eligible for holiday benefits.

If a holiday occurs during a paid leave of absence, the employee will receive holiday pay for that day and the holiday will not be counted as part of the leave of absence.

## 12 - HOUR SHIFT ASSIGNMENTS

Employees who are regularly scheduled to work seven-12 hour shifts in a two-week pay period will accrue holidays and floating holidays based on a 2,184 hour per year schedule. Eligible employees will earn 8.4 hours for each holiday and floating holiday, they may supplement hours to reach 12 hours with floating holiday, compensatory time, vacation or "approved without pay".

## FLOATING HOLIDAYS

Floating holidays will be scheduled by mutual agreement between the employee and the department head. Floating holiday leave will be charged in actual hours used with a



| Draft for discussion purposes

minimum charge of fifteen minutes. Floating holidays shall not be carried from one fiscal year to another fiscal year, nor shall they be granted, if unused, to any employee upon retirement, termination or discharge. No employee will be permitted to work on his/her floating holidays. An employee will not be permitted to use a floating holiday during his/her probationary period without permission of the Department Head or Elected Official.

Floating Holidays are issued in the first pay period including July 1. Employees starting employment after July 1 and before January 1 shall have their floating holidays added during their first payroll cycle.

Regular, part-time employees who are scheduled to work 1,040 hours or more annually, are eligible to accrue floating holiday hours according to their percentage of full-time employment. Floating holidays for regular, part-time employees shall be used according to the number of hours which the individual would normally work.

## L. VACATION

### GENERAL POLICY

It is the policy of Scott County to grant its employees paid vacation time for the purpose of rest and recreation from their daily work routine. Use of accrued vacation time is to be granted with due consideration of operational needs.

### SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder with the exception of the elected office holder themselves and deputies;

All deputies provided the appropriate elected office holder and the Board of Supervisors have certified its applicability;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

### ACCRUAL AND USAGE

Regular full-time employees in active pay status shall accrue annual vacation leave credit, prorated on a pay period basis. Annual vacation shall be accrued as follows:

Years of Continuous Service	Hours Per Year
Less than 1 year	48 hours
More than 1 year, Less than 5 years	80 hours
More than 5 years, Less than 13 years	120 hours
More than 13 years, Less than 20 <del>3</del> years	160 hours
Over 20 <del>3</del> years	200 hours

Regular part-time employees shall receive vacation credits on the condition that such part-time employees are scheduled to work one thousand forty (1,040) hours or more

annually. Accrual of vacation credits for regular part-time employees shall be pro-rated according to their percentage of full-time employment. ~~Co-op students, Temporary and/or seasonal employees do not earn vacation credit.~~

In an effort to attract the best qualified candidate for management level positions classified as exempted at 350 Hay points and above, consideration may be given to enhancing the vacation credits of the finalist, subject to a recommendation by the County Administrator and approval by the Board of Supervisors.

That part of the pro-rated vacation leave credit to which an employee is entitled shall be accumulated into the account of the employee bi-weekly. Thereupon, it is available for use by the employee pursuant to approval of the Department Head or designee. Employees cannot access hours not accrued. Accrued hours are those listed on the employee's preceding payroll check. Vacation leave shall be paid at the employee's straight time hourly rate of pay in effect during the vacation period.

Employees are encouraged to expend vacation during the year it is accrued. Upon attaining each anniversary date of employment, the accumulated vacation credit of the employee shall be reduced to twice the employee's current annual rate of accrual, assuming there is an excess accumulation in the account.

Regular employees who are in a non-pay status for more than one-half (1/2) the scheduled hours in an accrual period will not accrue vacation leave credits for that period.

Absence on account of illness, injury, inclement weather or disability in excess of that authorized for such purposes may, at the request of the employee and approval of the department head, be charged against accrued vacation leave.

Officially designated County holidays falling within the period of an employee's approved vacation will not be charged against the employee's vacation leave account.

## 12 - HOUR SHIFT ASSIGNMENTS

Employees who are regularly scheduled to work seven-12 hour shifts in a two-week pay period will accrue vacation based on a 2,184 hour per year schedule.

Annual vacation shall be accrued as follows:

Years of Continuous Service	Hours Per Year
Less than 1 year	50.4 hours
More than 1 year, Less than 5 years	84 hours
More than 5 years, Less than 13 years	126 hours
More than 13 years, Less than <del>20</del> 3 years	168 hours
Over <del>20</del> 3 years	210 hours

## **PAYOUT OF VACATION ACCRUAL ON TERMINATION OF EMPLOYMENT**

In the event of voluntary resignation, a two (2) week notice shall be given to the department head in writing before unused vacation allowance can be included in the amount of wages due.

In the event of the retirement, layoff or death of an employee, the amount of wages shall include all unused, accrued vacation credit.

In the event of discharge for criminal activity or dishonesty, and said discharge is not reversed, the employee shall forfeit all rights to vacation pay. A discharge for any other reason shall entitle the discharged employee to receive as wages due all unused, accrued vacation credits.

The payout of unused vacation leave under this section shall be at the employee's straight time hourly rate of pay in effect at the time of termination.

An employee terminating County employment who is eligible for payment of unused vacation accruals in accordance with this section shall receive a lump sum payment for such accruals in his/her final paycheck. For the purpose of determining an employee's unused vacation accrual upon termination, the employee's last date of actual work on-the-job shall be considered the termination date unless extenuating circumstances exist. Any exception to this policy must be recommended by the department head and approved by the Human Resources Director.

If an employee is promoted or transferred into an Elected Official or their Deputy position, his/her vacation leave accruals shall be paid out at their straight time hourly rate at the time of the promotion or transfer. Should the employee move back to regular county employment they may request and be advanced up to 40 hours of vacation leave accruals.

## **ADMINISTRATIVE PROCEDURES**

Department heads are responsible for the scheduling of vacations, and in so doing should endeavor to schedule vacation with particular regard to the seniority of employees, provided operating efficiency is maintained. ~~and insofar as possible, in~~ If required to maintain operational efficiencies the department head shall accept annual vacation requests for full weeks through the last day of January for the period beginning March 1. ~~accordance with the written request of the employee by April 1st of each year.~~ No vacation shall be taken unless it is in accordance with a schedule approved in advance, except as otherwise provided in this policy.

## **DONATED LEAVE**

An employee may voluntarily donate accrued vacation leave to a full-time or regular part-time employee whose paid leave banks have been exhausted due to a catastrophic illness (i.e. an illness requiring prolonged hospitalization or recovery, but does not include chronic conditions requiring intermittent leave) or a catastrophic illness in the employee's immediate family subject to the following conditions:

1. To be eligible to accept donated hours, the employee requesting donated leave must not have exceeded the number of absence permitted per policy (Attendance Policy DD) or have been disciplined for sick leave abuse -within the past 24 months.
2. Employees shall submit a request for donated leave to the Human Resources Department and shall waive any and all privacy rights or interests necessary to disseminate a request for donated leave to County employees on their behalf. Employees will not accrue additional paid vacation or sick leave while using the donated leave.
3. Employees donating accrued vacation leave shall complete a form indicating the number of hours to be donated in four hour increments. All hours donated are non-refundable regardless if they are utilized by the recipient employee. Employees may not donate more than 40 hours.
4. The recipient employee shall receive a straight exchange of sick leave hours for every vacation hour of leave donated. The recipient employee will be compensated at the rate of pay that they receive when using their accrued sick leave.
5. The number of donated hours accepted on behalf of an employee shall be capped at the hours necessary to assist the employee to qualify for long term disability (LTD) in case of any employee illness. The number of donated hours accepted on behalf of an employee shall be capped at the number of hours necessary to assist the employee in case of a non-pay status while on approved FML (Policy Y) in case of family member illness.
6. The Human Resources Department is responsible for the administration of this policy. The Human Resources Department will not reveal the identity of donors except to administer the donation or as required to by law.

## **P. INSURANCE AND DEFERRED COMPENSATION**

### **GENERAL POLICY**

It is the policy of Scott County to offer medical, prescription drug, dental, vision, life insurance coverage and deferred compensation options to its benefit-eligible employees.

### **SCOPE**

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a County elected office holder with the exception of the elected office holder themselves and Deputies;

All elected office holders and/or Deputies provided the appropriate elected office holder and the Board of Supervisors have certified its applicability;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

### **HEALTH BENEFIT ELIGIBILITY**

To be eligible for group health and/or life insurance benefits, an employee must occupy a regular full-time position or a regular part-time position scheduled to work at least one thousand, five hundred and sixty (1,560) hours per year. Coverage for employees expected to work full-time is normally effective the first day of the month following appointment to a benefit-eligible position.

The County will use the safe harbor measurements permitted under the Affordable Care Act for variable hour part-time (not anticipated to work thirty (30) or more hours a week) and seasonal employees to determine employee eligibility for group health coverage. The standard measuring period and stability periods are established at twelve (12) months. The County will review at the conclusion of the initial measuring period if the employee worked one thousand, five hundred and sixty (1,560) hour or more to determine eligibility, and if so consider the employee full-time and eligible for group health coverage through the stability period (regardless of hours worked). The administrative period for enrollment following the initial measuring period is thirty (30) days. If the employee worked less than one thousand, five hundred and sixty (1,560) hours during the initial measuring period

Draft for discussion purposes only

then the employee will not be treated as eligible for group health benefits during the stability period. When calculating hours for non-exempt employees under FLSA, the County will include hours worked plus hours where payment was made for vacation/PTO, holiday, sick/medical leave, jury duty, military leave or other paid leave of absence.

## GROUP HEALTH BENEFITS

Coverage available under the County's group health plan include: hospital and medical benefits; prescription drug benefits. Additionally the County provides group coverage for dental benefits and vision benefits. A detailed description of benefits, including deductible, premiums and coinsurance requirements, is available through the Human Resources Department.

~~The County will pay the monthly single premiums for benefits included under the group health, dental and vision plan, and will pay a portion of the dependent premiums for those employees electing dependent coverage. Beginning July 1, 2018 employees will contribute a portion of the single monthly premiums.~~ The specific amount to be contributed by the County for single and family coverage will be established each year by the Board of Supervisors and become effective January 1<sup>st</sup>. Where there are two married employees covered by the County's plan, they may take either one family plan or two single plans and pay premiums accordingly.

Any errors made relative to insurance premiums or flexible spending account deductions will be adjusted accordingly either in the employee's favor (refunding premiums) or in the County's favor (deducting missed premiums). Repayment arrangements will be made between the affected employee and the Auditor's Office Payroll staff on a case-by-case basis.

## GROUP LIFE BENEFITS

Department Heads, Elected Officials, and Deputy Office Holders are eligible to receive term life and AD & D insurance coverage equal to two hundred percent of their annual salary as of September 1st of each year. Benefit-eligible employees in positions classified as exempt under FLSA and in a salary range of 27 or above are eligible to receive term life and AD & D insurance coverage equal to one hundred percent of their annual salary as of September 1st of each year. Employees previously provided this benefit of equal to 100%, who no longer qualify will be grandfathered into the existing coverage. All other  
~~Benefit-eligible employees in positions classified under 350 Hay points are eligible to receive term life and AD & D insurance coverage equal to \$20,000. Benefit-eligible employees in positions classified at 350 Hay points or above are eligible to receive term life and AD & D insurance coverage equal to one hundred percent of their annual salary as of September 1st of each year. Department Heads, Elected Officials, and Deputy Office Holders are eligible to receive term life and AD & D insurance coverage equal to two hundred percent of their annual salary as of September 1st of each year.~~

Draft for discussion purposes only

The County will pay the monthly premium for the term life and AD & D coverage described above.

### **TERMINATION OF GROUP COVERAGE**

Life insurance coverage under the County's group plan will end on the employee's date of employment termination.

Health, dental and vision coverage under the County's group plan will normally terminate at the end of the month in which the employee terminates employment with the County. However, an employee may be eligible to extend coverage under the group plan as required by state or federal law. An employee shall be considered a retiree for purposes of continued insurance coverage until age 65 if one of the following occurs: 1) the employee qualifies for full retirement benefits through IPERS with service from the County, another employer, or purchased service quarters; 2) the employee is age 55 or more and has at least 20 years of service with the County; or 3) the employee is a Sheriff's deputy, is age 50 or more and has 22 or more years of service. Premiums for extended coverage after employment shall be paid by the employee at 102% of the actual cost. Information on the extension of group coverage and/or conversion to an individual medical insurance policy is available through the Human Resources Department

### **LONG TERM DISABILITY**

Benefit eligible employees (excluding deputy sheriff, sergeant, lieutenants, captain, major and sheriff) are provided with a long term disability insurance policy with the premium paid entirely by the County. The amount of coverage is sixty-six and two thirds percent (66 2/3%) of the employee's annual salary, following a determination of eligibility and a 90 day waiting period. Specific details are found in the insurance plan document.

### **DEFERRED COMPENSATION PLAN**

Employees shall have the option of deferring a portion of their compensation for the purpose of building retirement security in a tax-sheltered investment plan in accordance with state and federal law. Payroll deductions can only be made for Deferred Compensation Plan Providers who have completed Deferred Compensation Plan Administrator Agreement and have a minimum of 10 employees requesting enrollment in the plan. All Deferred Compensation Plan Providers must satisfy the requirements of Section 457 of the Internal Revenue Code and the Administrator Agreement to maintain eligibility as a provider.

The County will match an employee's contribution at \$.50 for each dollar the employee contributes during that calendar year, up to a maximum of ~~\$1,000~~500.00. The matching contribution will be paid no later than the second paycheck in January of the following calendar year or upon termination of employment, whichever occurs first. The employee



Draft for discussion purposes only

is responsible for monitoring and not exceeding the maximum allowable annual contribution in accordance with Section 457 of the Internal Revenue Code.

Information regarding payroll deduction for deferred compensation and selection of Providers, distribution, change or designation of beneficiaries is available through the Human Resources Department. The County does not solicit, nor endorse any Deferred Compensation Plan Provider.

### **FLEXIBLE BENEFITS PLAN (SECTION 125)**

Pursuant to Section 125 of the Internal Revenue Code, the County offers employees the option of using a portion of their before tax compensation for one or more of the following flexible benefit plans:

1. Premium Only Plan - Provides for the reduction of compensation by the employee contribution for health and life insurance premiums before taxes.
2. Dependent Care Reimbursement Account - Employees fund the flexible spending account by regular payroll deductions prior to tax pursuant to federal law. Dependent care expenses are then reimbursed up to the amount of the annual election.

**Unused annual elected amounts are forfeited.**

3. Health Care Reimbursement Account - Employees determine an annual election amount permitted by federal law, to be put into a flexible spending account for non-covered health-related expenses. The elected amount is deducted from compensation prior to tax and expenses are then reimbursed up to the amount of the employee's annual election.

**An employee may roll over up to \$500.00 into the next calendar year pursuant to the IRS regulations and plan design.**

Employees electing to participate in one or more of the plans may have expenses for group health premiums, dependent care, or out-of-pocket health care costs deducted from compensation prior to taxes. Detailed information and enrollment forms regarding these flexible benefit plans are available through the Human Resources Department.

### **HEALTH INSURANCE BILL AUDIT PROGRAM**

A participant can receive cash payments by auditing his/her own hospital, medical and/or dental bills. The participant should check each bill for unrecognizable charges such as laboratory tests and procedures that were not received or therapy charges that do not reflect the treatment received. Scott County will share the savings with the participant. The procedures outlined below should be followed.

Draft for discussion purposes only

Before the participant leaves the hospital, physician's or dentist's office, or upon receipt of the itemized bill, the participant should carefully review the charges, looking for errors such as the following:

- an incorrect number of days was billed for a period of hospital confinement;
- an incorrect number of days in an intensive care unit was billed;
- the participant was billed for tests not performed;
- an incorrect number of hours of physical therapy was billed;
- the participant was inaccurately billed for drugs; and/or
- on the day the participant left the hospital, he/she was charged for take-home drugs that were not received.

If the participant questions any charges and believes they are incorrect, he/she should contact the dentist, physician or hospital's billing office. The participant should ask for an explanation of any charges he/she does not understand.

Hospital, medical and dental bills eligible for this program are those for the employee and his/her covered dependents incurred after January 1, 2011 and covered by the County's Plan. This Plan must pay before coordinating benefits with other group health insurance plans also providing benefits.

As an incentive to carefully review healthcare bills, Scott County will pay the participant 25% of the saving of \$100.00 or more to this Plan for overcharges or for charges he/she has eliminated from any hospital, medical or dental bill for treatment, services or supplies not received to a maximum incentive payment of \$250.00 per confinement, illness or injury. Obvious errors (e.g., \$1,000 for an office visit) will not be eligible for this program.

It will be the participant's responsibility, within 90 days of discharge or treatment to contact the hospital's or provider's billing department to report the error and obtain a corrected billing and to forward the original and corrected billing with corrected items circled to the Human Resources Department.

Upon review of the corrected billing, Scott County will notify the participant of the amount of payment for which he/she is eligible.

Employees should note that reimbursements of this nature are considered income for tax purposes.

## **HEALTHY LIFESTYLES PROGRAM**

Employees and spouses on the health plan will be provided the opportunity biennially to submit to a blood test at the Employers cost to determine any risk factors for metabolic syndrome. Employees with 3 or more risk factors will be offered the opportunity to participate in the Healthy Lifestyles Program at no cost to the employee. The Healthy Lifestyles program includes the employee choosing to participate in Naturally Slim classes; Weight Watchers or a diet/exercise program preapproved by their physician and HR. The cost of the program cannot exceed the Naturally Slim class. An employee will be permitted to opt out of the blood test and program, if the employee presents to the

Draft for discussion purposes only

Human Resources Director proof from a physician that a blood test has been performed within the preceding 12 months and the physician is consulting with the individual about any risk factors related to metabolic syndrome. The waiver is due on the last day of scheduled onsite testing. Employees will be permitted to view Naturally Slim videos during work hours. Employees are not compensated for anytime spent outside of normal work hours on personnel health. Those employees with 2 risk factors are encouraged to participate in the Naturally Slim classes, in which the Employer shall pay 25% of the class costs plus blood tests. Other employees may voluntarily participate in the Naturally Slim classes at their own expense. Genesis Occupational Health will confidentially report to the Human Resources Director those employees eligible to attend at which cost level. The employer will make reasonable accommodations for employees so as to not violate the employee's civil rights.

Employees identified by Genesis Occupational Health with 3 or more risk factors that decline to participate in the Healthy Lifestyles program or employees who decline to submit to a blood test shall pay a revised co-payment for any physician medical service as follows:

<u>Current co-pay</u>	<u>Revised co-pay</u>
\$0	\$0
\$20	\$25
\$50	\$55
\$75	\$90
\$100	\$115

Additionally these employees will pay \$25 per month Healthy Lifestyles Premium. Employees who fail to reduce one (1) risk factor when retested shall be moved to the above increased co-pays and Healthy Lifestyles premium in July. The Human Resources Director will report any premium changes to Payroll and the effective date.

If the spouse participates the monthly cost of the family plan premium shall be reduced by ten dollars (\$10.00). If an employee's spouse fails to participate in the program, including the same requirements of an employee the family premium and co-pays shall be affected in the same manner as if the employee failed to participate in the program. If a spouse has three or more risk factors they will be required to complete the above Healthy Lifestyles program as is required by the employee. An employee's spouse will be permitted to opt out of the blood test and program, if the employee's spouse presents to the Human Resources Director proof from a physician that a blood test has been performed within the preceding 12 months and the physician is consulting with the individual about any risk factors related to metabolic syndrome.

Employees or spouses may request the opportunity to retest the following fall if they believe they have reduced a risk factor. If a risk factor has been reduced the increased premiums would cease in January the following year.

Employees (whose insurance is not covered by a collective bargaining agreement) are eligible to participate in the Y@Work program through the Quad Cities YMCA. The

Draft for discussion purposes only

County will pay twenty dollars (\$20.00) a month as a taxable benefit to the Quad Cities YMCA toward a membership for the employee, two adults or family. The employee must attend at least twenty four (24) times a quarter in order for the County to continue its monthly contribution. The employee is responsible for any additional financial obligations to the Quad Cities YMCA.

### **ADMINISTRATIVE PROCEDURES**

1. The Human Resources Department is responsible for administering the County's group health, dental, vision, life, deferred compensation and Section 125 flexible benefit plans.
2. The County retains full authority to change the plan of benefits described in this policy, to self-insure all or any portion of said benefits, and to select the insurance carrier or claims administrator.

## S. EMPLOYEE GRIEVANCE PROCEDURE

### GENERAL POLICY

It is the policy of Scott County to treat all employees equitably and fairly in matters affecting their employment. Each employee will be provided ample opportunity to understand and resolve matters affecting his/her employment which the employee believes are unjust. The grievance procedure established in this policy shall be available to all regular County employees not covered by a collective bargaining agreement and who have completed their initial probationary period with the County. Employees shall have the right to present grievances without fear of reprisal.

### SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder providing the appropriate elected office holder and the Board of Supervisors have certified its applicability;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors has certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa the provisions of the Code of Iowa will prevail.

### DEFINITION OF A GRIEVANCE

The following are matters which may be grieved under this policy:

1. Alleged unjust application of discipline.
2. Alleged discrimination pursuant to Human Resources Policy EE.

NOTE: For a complaint of this nature, an employee has the option of utilizing this grievance procedure or following the EEO complaint procedure established in Policy B. The employee may not file under both procedures.

3. Alleged unfair application, interpretation or violation of the rules and regulations of the County or one of its departments or offices.

## GRIEVANCE PROCEDURE

Any grievance of an employee shall be handled in accordance with the following procedure:

**Step 1.** An employee shall discuss any alleged violation with her/his immediate supervisor within seven calendar days following its occurrence (or within seven calendar days from the date the employee should have had knowledge of its occurrence) in an effort to resolve the problem in an informal manner. The immediate supervisor shall respond verbally no later than seven days after the initial discussion. The County favors communication between supervisors and employees in order to resolve workplace concerns promptly. In an attempt to resolve employee disputes promptly, alternative dispute resolution efforts may be requested through the Human Resources Department. Every effort should be made to resolve the grievances at Step 1.

**Step 2.** If the Step 1 response fails to resolve the matter, the aggrieved employee may present the grievance in writing to the department head within seven days following receipt of the Step 1 response. Within seven calendar days following receipt of the grievance, the department head will answer the grievance in writing.

**Step 3.** In the event the official's answer in Step 2 fails to resolve the employee's grievance, the employee may, within seven calendar days following receipt of the answer in Step 2, present the grievance in writing to the Assistant County Administrator/Human Resources Director. Within 10 calendar days following the Assistant County Administrator/Human Resources Director's receipt of the written grievance, the Assistant County Administrator/Human Resources Director (or his/her designee) shall meet with the interested parties to more fully discover the facts related to the complaint. Within 10 calendar days following said meeting, the Assistant County Administrator/Human Resources Director (or his/her designee) shall answer in the grievance in writing. However the parties may mutually agree to request the services of a mediator to assist in the resolution of the grievance prior to the Employer's Step 3 answer.

**Step 4.** If the Assistant County Administrator/Human Resources Director's decision does not satisfy the employee's grievance and the grievance is related to disciplinary action exceeding a three day suspension, the employee may, within 10 calendar days following date of the answer at Step 3, present the grievance in writing to the Scott County Board of Supervisors County Administrator. The Board County Administrator shall arrange to meet within 30 calendar days following receipt of the grievance with the employee and the official against whom the grievance is filed. Within 10 calendar days following the meeting, the Board County Administrator shall issue a written decision. The Board's decision shall be final and binding. This process does not prohibit an employee from utilizing any rights under state or federal law.

## FAILURE TO APPEAL

Draft for discussion purposes only

If a grievance is not presented within any of the time limits specified in this grievance procedure, the employee's grievance shall be considered waived and the employer's last answer shall be final and binding.

### **ADMINISTRATIVE PROCEDURES**

1. All suspension and discharge grievances shall commence at Step 3 of the grievance procedure, and must be filed in writing no later than seven days following receipt of written notice of such disciplinary action.
2. The employee may be accompanied or represented by counsel at each step of the grievance procedure, if the employee so desires. Any costs incurred by the employee by outside counsel shall be the responsibility of the employee, regardless of the outcome of any decisions at any step of the process.
3. All grievances must specify explicitly the problem, including relevant names, dates, etc.; why the preceding response by management or supervision did not reasonably resolve the problem; and the requested remedy to the problem.
4. An employee shall not have access to this grievance procedure during her/his initial probationary period with the County.

## U. SEPARATION OF EMPLOYMENT

### GENERAL POLICY

This policy is intended to cover Scott County's procedures related to termination of employment due to retirement, resignation or layoff.

### SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder providing the appropriate elected office holder and the Board of Supervisors have certified its applicability;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

### RETIREMENT

There is no mandatory retirement age for employees in the County service except for employees who serve in the capacity of a sworn peace officer. In accordance with Chapter 97B of the Code of Iowa, employees who serve in the capacity of a sworn peace officer shall be retired ~~prior to reaching upon reaching~~ the age of sixty-~~six~~five (665). A regular employee who intends to retire his/her employment with the County pursuant to Policy P is encourage to provide the department head with as much advance written notice as possible in order to assist in an orderly transition of duties and staff.

### RESIGNATION

A regular employee who voluntarily terminates his/her employment with the County is required to provide the department head with advance written notice of at least two (2) calendar weeks to ensure an orderly transition of staff.

~~During this two-week period~~ Upon tendering their resignation or retirement notice, the employee shall remain in active employment without access to unused leave accruals.



Draft for discussion purposes only

Exceptions to this rule may be approved by the department head depending on the nature of the request and the operational needs of the department. Employees shall ~~not~~ be permitted to use paid leave to extend employment for the sole purpose of extending benefits. Employees must physically be at the worksite on their final day of work.

The County has the option of shortening the time period of a resignation notice if adequate staffing needs can be achieved.

## LAYOFF

The Board of Supervisors reserves the discretion to determine the necessity for and implementation of a layoff in the County workforce due to lack of funds or abolishment of the service or job function.

All temporary, seasonal and/or probationary employees working in the classification designated for layoff shall be laid off prior to the layoff of regular, non-probationary employees. Consideration will then be given to seniority and job qualifications. In addition to seniority, the criteria for retaining employment during a staff reduction will be as follows:

- 1) The job itself is necessary for conducting business in an efficient manner.
- 2) The employee possesses the skills needed to perform the required job function.
- 3) The employee has appropriate seniority available.

All employees affected by a layoff shall be given written notice with as much advance notice as possible, but not less than 30 days prior to the effective date of removal. An employee subject to a layoff notice will be afforded reasonable time off work to seek employment elsewhere. Less than 30 days notice may be provided in case of a catastrophic event or natural disaster that results in the need to shut down operations or layoff staff. ~~An employee subject to a layoff notice will be afforded reasonable time off work to seek employment elsewhere.~~

Employees subject to layoff may be recalled into the former position within one year of the effective date of the layoff notice. The order of recall shall be based on the employee's years of service in the recalled position. Employees shall be given a reasonable time to return to work. If an employee was laid off from a full-time position and is recalled to a part-time position, the person can accept or decline the position and remain on recall for a full-time position. After recall the employee will be paid at the same rate of pay before the layoff including other pay adjustments for which the employee would have been eligible while on layoff.

Employees subject to a layoff are encourage to seek other County wide employment when available and managers are encouraged to give due consideration to their applications subject to qualifications.

## ADMINISTRATIVE PROCEDURES

1. The department head or designee shall be responsible for entering a Personnel Action upon notice of termination in order to notify appropriate departments of the need to deactivate access to any computers, technology or buildings.

~~1.2.~~ The Human Resources Department ~~will attempt to conduct an exit interview~~ are available to assist an ~~with each regular County~~ employee upon notice of retirement, resignation, layoff or dismissal in order. ~~The purpose of the exit interview is~~ to provide the employee with information regarding termination of benefits and to discuss related employment concerns.

3. The ~~d~~Department hHead or designee is responsible for retrieving all County property from the separating employee before the end of the final day of work. The ~~d~~Department hHead or designee should review a departmental list of assigned equipment, keys and uniforms to assure proper return of property. Property specifically assigned and receipt acknowledged by the employee may be deducted from the final paycheck if not returned. If this is the case, the ~~d~~Department hHead or designee should consult with Human Resources who will advise Ppayroll on any proper withholdings. ~~The Department Head or designee shall notify appropriate departments of need to deactivate access to any computers, technology or buildings.~~

## V. EMPLOYEE RECOGNITION

### GENERAL POLICY

It is the policy of Scott County to recognize employees for faithful years of service to the organization, for outstanding service to the County, and upon their retirement from County employment. Also to recognize those groups of Scott County employees involved in improving the community as well as improving the delivery of service to the citizens.

### SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder including the elected office holder and Deputies;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors has certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

### RECOGNITION FOR YEARS OF SERVICE

In appreciation for their long-standing contribution to the County service, regular full-time and regular part-time employees shall receive a recognition award beginning at five years of continuous service based on their hire date at the regularly scheduled Committee of the Whole meeting. The schedule of awards will be as follows:

<u>Years of Continuous Service</u>	<u>Recognition Award</u>
5	five-year pin and pad folio

10	ten-year pin and \$25 gift card
15	fifteen-year pin and \$35 gift card
20	twenty-year pin and \$45 gift card
25	twenty-five-year pin and \$40 gift card and a watch which includes the County logo
30	thirty-year pin and \$65 gift card
35	thirty-five-year pin and \$75 gift card
40	forty-year pin and \$100 gift card

### RECOGNITION FOR OUTSTANDING SERVICE

In the interest of recognizing outstanding service by County employees on a quarterly and annual basis, the following recognition program is established.

1. Quarterly Recognition Award. Any regular, full-time, or part-time employee may be nominated by any County employee for quarterly recognition of outstanding service to the County. Nominees should exemplify Scott County's PRIDE philosophy by their activities and contributions to the organization. Nominations will be considered quarterly and must be submitted by 4:30 p.m. on the established deadline date. Nominations received after these dates will be considered the following quarter. Nominations may be considered up to one year from the date of the nomination.

Nominations submitted must be in writing. Nomination forms are available on the Intranet. Nominations must be complete, legible and limited to no more than 500 words.

A selection committee (see #2 below) will review all nominations and select the employee who best exemplifies the County's PRIDE philosophy as Outstanding Employee of the Quarter. The employee will be presented with a plaque of appreciation and a \$100 gift card to be presented by the Board of Supervisors at the Board's Committee of the Whole meeting. In addition, a plaque bearing the recipient's name, department and photograph will be displayed for

the next quarter in an area designated by the Board.

2. Selection Committee. The selection of outstanding employees will be made by a 10-member selection committee. To ensure that a good cross section of employees is represented on the selection committee, appointments will be made in the following manner:

- Departments with 10 or more employees will submit the names of two employees, one management and one non-management employee, for possible appointment to the selection committee. Departments with less than 10 employees will submit the name of only one employee.
- From those names submitted by departments, a ten member selection committee will be appointed two from each group below trying to ~~( balance overall the number of one management and one non-management members.)~~ from each of the following departmental groups:

Group 1

Information Technology  
~~Office of the Administration~~  
~~Human Resources~~  
County Attorney

Group 2

Conservation  
Facility & Support Services  
Secondary Roads

Group 3

Recorder  
Treasurer  
Auditor

Group 4

Sheriff/Jail  
Juvenile Detention  
Community Services

Group 5

Sheriff  
Health  
Planning & Development

- No more than one employee from the same department may serve on the selection committee at any one time.
- Committee members are limited to one term of two years. Appointments will be for two-year staggered terms.
- Anyone serving on the selection committee will be ineligible for the Employee of the Quarter -awards.

A quorum of the selection committee will consist of six members; ~~however, a representative of each departmental group must be in attendance to make a selection.~~

The selection committee will vote annually to elect a chairperson from its membership. In addition other duties as determined by the committee, the chairperson will vote to break a tie in the selection process.

## **RECOGNITION AT RETIREMENT**

In the interest of recognizing an employee's accomplishments at the conclusion of his/her work life, regular full-time and regular part-time employees who retire from the County with ten or more years of continuous service based on their hire date shall be formally recognized as indicated below. These awards will be presented by the Board of Supervisors, at a regular Board meeting. The schedule of awards shall be as follows:

1. An employee who retires with at least ten (10) years of continuous service, but less than twenty (20) years, shall receive an engraved 4X6 plaque.
2. An employee who retires with at least twenty (20) years of continuous service, but less than thirty (30) years, shall receive an engraved 6X8 plaque.
3. An employee who retires with thirty (30) or more years of continuous service shall receive a time piece with an affixed engraved plaque.

## **ADMINISTRATIVE PROCEDURES**

1. The Human Resources Department is responsible for administering the provisions of this policy to ensure the timely presentation of recognition awards. The Human Resources Department shall report the employee name and amount of gift card to the Payroll Division of the Auditor's Office for taxable purposes.
2. Department heads are expected to cooperate in the effective implementation of this policy by ~~verifying lengths of service as may be needed, and by~~ notifying the Human Resources department as far in advance as possible of impending retirements.

THE COUNTY AUDITOR'S SIGNATURE CERTIFIES  
THAT THIS RESOLUTION HAS BEEN FORMALLY  
APPROVED BY THE BOARD OF SUPERVISORS ON

\_\_\_\_\_  
DATE

SCOTT COUNTY AUDITOR

## R E S O L U T I O N

### SCOTT COUNTY BOARD OF SUPERVISORS

April 18, 2019

APPROVING CHANGES TO VARIOUS GENERAL AND HUMAN RESOURCES POLICIES  
BE IT RESOLVED BY the Scott County Board of Supervisors as follows:

Section 1. General Policies 11 "Purchasing", 30 "Grant and Funding Assistance" and Human Resources Policy G "Employee Conduct" are updated to comply with language required for the processing of purchases being made under federal grants.

Section 2. General Policies 28 "Electronic Device Policy" and 34 "Technology Use" are updated to address overtime eligible employees receiving electronic devices that expose them to working after approved hours. It also extends the email retention from 3 years to 5 years.

Section 3. General Policy 4 "Emergency Plans" updates the language to reflect the current phone system utilization of 911.

Section 4. General Policy 44 "Emergency Notification and Alerting" is a new policy implementing the usage of Alertus utilization and notification of emergent situations.

Section 5. General Policy 9 "Credit Cards" prohibits taking credit card numbers over the phone.

Section 6. Human Resources Policy C "Recruitment and Selection" is modified to reflect the practices related to recruitment and clarifies the current nepotism policy to address not only hiring, but supervision.

Section 7. Human Resources Policy D "Classification and Compensation" updates the policy to reflect the movement away from the Hay compensation system to the market and equity system adopted by the Board during budget process.

Section 8. Human Resources Policy F "Performance Appraisal and Development System" is updated to reflect the implementation of changes in the compensation system, thereby directing Human Resources how to process changes.

Section 9. Human Resources Policy I "Hours of Work" addresses the impact of changes to the collective bargaining law no longer allowing supplemental pay issues to be addressed in the union contracts.

Section 10. Human Resources Policy J "Overtime Compensation" adds language requested by the Sheriff to address Bailiff, Bailiff Sergeant, Classification Specialist and Corrections Sergeants ability to receive overtime after their regular shift. Additionally compensatory bank limits are made consistent for staff.

Section 11. Human Resources Policy K "Holidays" deleted language not being used by the Health Department.

Section 12. Human Resources Policy L "Vacation" allows for employees to obtain 5 weeks of vacation after 20 years of employment.

Section 13. Human Resources Policy P "Insurance and Deferred Compensation" modifies the pay grades eligible for specific life insurance benefit and increases the deferred compensation match.

Section 14. Human Resources Policy S "Employee Grievance Procedure" modifies the policy so the County Administrator would hear the final grievance step.

Section 15. Human Resources Policy U "Separation of Employment" clarifies that employees need to be physically present on their last day of work and adds "catastrophic events" as possible reason for layoffs.

Section 16. Human Resources Policy V "Employee Recognition" clarifies that regular part-time employees, not temporary or PRN, are recognized based on date of hire.

Section 17. This resolution shall take effect immediately, however policies D, F, I, J, L and P shall become effective July 1, 2019.