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Central Personnel Study: IOWA

Conducted by

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Director, Iowa Merit Employment Department

INVENTORY OF FUNCTIONS

KINDS OF PERSONNEL MANAGEMENT FUNCTIONS

MED
Job
Service
Individual
Agencies
Employment
Relations
General
Services
State
Comptroller
Governor's
Policy Committee
State Labor
Department
Governor's
Office
Executive
Council
Civil Rights
Commission
Institute of
Public Affairs
(U. of I)

KINDS OF PERSONNEL MANAGEMENT FUNCTIONS	MED	Job	Service	Individual Agencies	Employment Relations	General Services	State	Comptroller	Governor's Policy Committee	State Labor Department	Governor's Office	Executive Council	Civil Rights Commission	Institute of Public Affairs (U. of I)
1. Recruitment (Gen'l, Special)	★○	○	○											
2. Test Scheduling & Scoring	★○	○												
3. Selection & Exam Validation	★		★○											
4. Registers/Referrals of Eligibles	★		★											
5. Classifications	★		○											
6. Wage/Salary Admin/Recommendations	○			★										
7. Records Management	★		○		★	★								
8. Transactions Monitoring	★		○			★					★			
9. Appeals/Grievances	★		★											
10. Trng., Educ., Tuition & Development	○		★					○						○
11. Safety Programs/OSHA			○						●					
12. Employee Public./Communications	★●	★	●	★		★				★	★●			
13. Payroll Processing	★					★								
14. Affirmative Action/EEO	★○		★									★●		
15. Human Resources Plan./Forecasting	○		●											
16. Performance Eval./Monitoring	★		★	★			○							○
17. Insurance, Benefits, Admin./Input	○	★		●		★				★				
18. Pensions/Counseling/Social Security	○	★	★											
19. Unemployment Compensation		●	●			★								
20. Worker's Compensation			●			★								
21. Labor Relations	○		○	★										
22. Spec. Exec. Salary Admin./Benefits	○													
23. Counseling (Drugs, Alcohol)			●											
24. Personnel Research/Planning	★		○					●						
25. Recognition Prog./Suggestion Systems											●			
26. Discipline			●											

LEGEND

- ★ Primary or Specific Responsibility/Function
- Shared Responsibility - Voluntary
- General Agency Individual Responsibility/Handling

PERSONNEL MANAGEMENT RESPONSIBILITIES/FUNCTIONS

IN

IOWA STATE GOVERNMENT

Recruitment (Gen'l, Special)	1
Test Scheduling & Scoring	3
Selection & Exam Validation	4
Registers/Referrals of Eligibles	5
Classifications	6
Wage/Salary Admin/Recommendations	8
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Transactions Monitoring	10
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Training, Education, Tuition & Development	12
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Merit Employment Department
March 30, 1979

PERSONNEL MANAGEMENT RESPONSIBILITIES/FUNCTIONS

IN

IOWA STATE GOVERNMENT

I. FUNCTION: RECRUITMENT

AGENCY:

Primary Responsibility

Merit Employment Department

Shared Responsibility

Job Service (ACCESS Centers)
Individual Agencies

GENERAL RECRUITMENT:

General recruitment to fill the registers of eligible applicants is provided by the Merit Employment Department for the benefit of all departments and in keeping with the public's right to know about making application for state jobs. It includes time-cycled mailings, campus visits, and the ACCESS center program. At present, approximately 50,000 applications are received and processed annually.

Mailings include the "Hot List" of current hard-to-fill vacancies, various self-help and counseling aids, brochures, guides and directories. They are provided for 1600 targeted resource groups including colleges, area schools, high schools, vocational rehabilitation centers, ACCESS centers, model neighborhood centers, minority organizations, veterans groups, women's organizations, legislators, public libraries, bus stations, airports, and State agency facilities.

The Merit Employment Department visits colleges, area schools, and high schools to a limited extent to talk with seniors about job opportunities in State government. Each spring, the department holds a Career Fair in Des Moines to provide information to prospective graduates, mainly about clerical positions.

The ACCESS program (Area Centers for Counseling and Examining for State Service) provides eighteen centers located in strategic areas of Iowa where individuals can be counseled and tested. This program combines the facilities and services of Job Service of Iowa and the Merit Employment Department to meet the needs of State agencies needing to fill vacancies and applicants needing information about State jobs. Audio-visuals, training, and counseling aids are furnished by Merit Employment, and Job Service of Iowa provides the facilities and personnel to make the ACCESS program function.

SPECIALIZED RECRUITMENT:

State agencies recruit for specialized background that is used in their particular agency. For example, DOT advertises in civil engineering periodicals, does campus recruiting in Wisconsin, Illinois, Missouri, Kansas, and Iowa, and circulates an internal flyer to encourage DOT employees to help recruit. The Data Processing Division of the Comptrollers is engaged in continuous active recruitment nationwide through data processing associations and journals and shares their information with other State agencies having similar needs. Social Services makes recruitment trips to sources of minority applicants such as black colleges and universities, does nationwide searches for hard-to-fill positions and participates in career fairs, career days, and visits to colleges and area schools for information exchange on job opportunities. DEQ actively recruits from technical journals and periodicals, mainly in the midwest and western states, and does informal recruiting at association conferences. Many other examples could be given of specialized recruitment for technical, professional, or skilled classes by individual State agencies.

RECRUITMENT (Continued)

Many agencies also are engaged in recruitment for clerical classes to differing degrees. In addition, individual agencies recruit for other classes that are consistently in short supply and may cross agency lines such as accounting and auditing, health care (MD's, Nurses, therapists), analysts and program planners.

Two major elements are lacking in the present recruitment effort in Iowa State government:

1. There is minimal coordination between and among state agencies in their recruitment effort. Resources are splintered and considerable overlap occurs. Individual trips are made in behalf of one agency which is recruiting for qualifications which may be applicable to other agencies as well. Example: engineers in DOT, Soil Conservation, DEQ, Conservation, Agriculture, and Commerce. While there are differing needs and requirements, there are some marked similarities which possibly could justify a coordinated effort. In addition, many agencies use common classes but recruit individually to fill simultaneous vacancies in those classes.
2. At present, there is no system for forecasting vacancies so that meaningful coordinated planning for recruitment can occur. Various other states have work force planning systems, some using rather sophisticated methodology. While there appears to be no ideal method of workforce planning, Iowa COULD move in the direction of projecting vacancies through anticipated shifts due to retirement, program changes, administrative and budget considerations, turnover figures, etc.

RECOMMENDATION:

With proper resources and support, one Recruitment Coordinator position located in the Merit Employment Department could address these two major needs. The cost benefit is obvious, based on the foregoing information. The Merit Employment Department requested the addition of such a position in the upcoming biennium, but approval is doubtful.

2. FUNCTION: TEST ADMINISTRATION

AGENCY:

<u>Primary Responsibility</u>	<u>Shared Responsibility</u>	<u>Degree of Involvement</u>
Merit Employment Department	Job Service of Iowa (local offices)	Each office administers tests on a regularly scheduled basis as determined by each office.
	Exempt Authorities	No formal examination or test administration.

This function involves the administration of a statewide testing program. It requires that applicants and employees desiring appointment must have access to a test facility. The Merit Employment Department insures that a sufficient number of test booklets and supporting material are made available to the 18 test sites throughout the state. The Department provides the Job Service Offices with training in proper test administration and maintains standards of security. While the admittance and actual scheduling of applicants is determined by the available resources within the local office, the Merit Employment Department insures, through monthly monitoring a minimum provision of service. Twice a month Merit Employment conducts its own testing program on a scheduled basis in Des Moines. All test scoring, typing of grade notices are handled by the Merit Employment Department.

RECOMMENDATION

Maintain current testing program, with compensation to Job Service derived from placement credits feedback system.

3. FUNCTION : SELECTION AND EXAM VALIDATION

AGENCY:

Primary Responsibility

Merit Employment Department

Shared Responsibility

Individual Agencies

State statute gives both final authority and accountability for the Selection and Exam Validation function to the Iowa Merit Employment Department, with provision for input from appropriate operating agencies, as required for specific Selection and Exam Validation Functions.

The Iowa Merit Employment Department is responsible for developing and implementing sound Selection and Exam Validation methodologies which are consistent with both legal requirements and professional standards; for conducting and finalizing Selection and Exam Validation Projects; and for determining priorities in a manner which will maximize overall cost/benefit effectiveness.

Primary operating agency responsibility is to supply subject matter experts to Iowa Merit Employment Department when requested for specific Selection and Exam Validation Projects. These subject matter experts are used primarily to provide technical job specific information which identify major job duties and to insure the exam is appropriately related to these major duties.

RECOMMENDATION:

It is recommended that the Selection and Exam Validation function continue primarily as delineated above, but with one important change which could improve production. If personnel officers, especially in larger agencies, were trained in Iowa Merit Employment Department methodologies and procedures, they could conduct additional needed Selection and Exam Validation Projects, under general guidance from Iowa Merit Employment Department technical staff, thus significantly increasing overall Selection and Exam Validation production. Large operating agencies could concentrate on agency specific projects with Iowa Merit Employment Department concentrating on studies which cross agency lines.

4. FUNCTION: APPLICANT REFERRAL/INTERVIEWING AND APPOINTMENT

AGENCY:

Primary Responsibility

Merit Employment Department

Shared Responsibility

Individual Agencies

Exempt Appointing
Authorities

Names of applicants who have met established minimum qualifications and have completed the appropriate examinations are advanced to a file consisting of the names of applicants in rank order by score. As requests are received by the Department, names are referred out according to statutory and administrative requirements. Applicants considered and selected for appointment must be from among the top five (or 10% of all applicants when the number exceeds fifty) applicants who are available for employment. The Appointing Authority has absolute discretion in determining the manner in which selection will be made from among certified applicants. Once an appointment has been made the certificate is returned to the department for post-audit to determine if the appointment was proper.

Appointing authorities determine what, if any, formal procedures are to be followed in the screening of applicants. The Merit Employment Department does provide some guidance through infrequent advisory notes.

Exempt Appointing Authorities have local control, with no review or guidance.

The Merit Employment Department has no control over the quality or manner in which final selection is made by individual agencies. There are no minimum requirements established to provide for true and fair consideration of all certified applicants in the interviewing and/or hiring process by state agencies. No standards have been developed or implemented on a statewide basis for proper interviewing and selection.

5. FUNCTION: CLASSIFICATION PROGRAM

AGENCY:

Primary Responsibility

Merit Employment Department

Shared Responsibilities

Individual Agencies
State Comptroller
Executive Council

1. Individual/agency requests for position reviews

- (a) On average receive and evaluate 700 such requests per year.
- (b) More often than not, proper justification and support does not accompany requests.
- (c) Each request by rule must be evaluated within a 90 day time period.
- (d) Any tentative decision rendered by IMED by rule may be appealed to a Classification Review Board for final disposition. Approximately 50 appeals are resolved through this process each year.
- (e) All tentative decisions must be properly documented by an audit report and supported by the reviewing analyst before appeals board.

2. Agency requests for class series reviews

- (a) On average, ten significant class studies are requested by agencies each year.
- (b) The majority of these requests entail reorganizations of significant magnitude.
- (c) Departmental requests are generally given top priority over other staff work (see #3 below), as failure to respond in timely fashion is perceived by Appointing Authorities as IMED foot dragging.
- (d) Each recommended change must be "negotiated" with the Appointing Authority. Each proposal must be accompanied by proper documentation and facts. Each proposal must be defended before Merit Employment Commission and Executive Council of Iowa. Not all determinations are acceptable to either management or affected employees. Can if so inclined make known their thoughts at public hearing - sometimes delay implementation.
- (e) Any permanent classified employee who perceives that they have been adversely affected by a classification action resulting from foregoing may appeal such decision to either Merit Employment Commission or Review Board depending upon nature of appeal.

3. Merit initiated class studies in perceived problem areas which impact on allocation process

- (a) On average, ten class studies are initiated by this Department each year. Such studies ranges from classes with few incumbents to hundreds of employees.
- (b) Merit initiated studies generally take a back seat to departmental initiated studies.
- (c) All considerations previously indicated in #2 must be similarly addressed.
- (d) An overall reduction of 200 classes has been accomplished by the Merit Employment Department during the past several years. In majority of cases this has been done without significant input from the employing agencies.

CLASSIFICATION PROGRAM

(Continued)

General Comments

As is evidenced by several outside merit system reviews, Appointing Authorities and/or their duly authorized representatives do not as a general rule take an active part in the important classification process. The exception to this general rule would be when the Appointing Authority wants something done to correct management's perception of a problem area needing immediate attention. Even in the latter case, the brunt of the work required to resolve the perceived problem area falls upon the shoulders of the Classification Analyst and not the agency Personnel Officer whose role at best is that of an intermediary or go between, little more. This program activity which on an ongoing basis has the greatest drain on available departmental resources is perceived by and large to function without appreciable help and assistance from majority of agencies.

6. FUNCTION: SALARY ADMINISTRATION

AGENCY:

Primary Responsibility

Merit Employment Department

Shared Responsibility

Office of Employment Relations

1. The assignment of all classes (900) to proper pay grades based upon those factors enumerated in rule 4.1(1) is a primary ongoing responsibility of IMED. This responsibility applies to both contractual and non-contractual employees in the Classified Service.
2. Approximately 12,000 employees in the Classified Service are covered by a collective bargaining agreement. Although general across the board pay adjustments are "negotiated" between union and office of employment relations, the prevailing rates of pay for a class are not negotiated.
3. IMED works closely with OER in evaluating requests to change the pay rate for a given class in a bargaining unit; however, in changes which do not affect bargaining unit employees, no "consensus" is required.
4. IMED is obligated pursuant to Chapter 19A to recommend a salary plan for those employees who are not covered by a bargaining agreement. At the present time this includes approximately 8400 employees in 450 classes.
5. Rules and regulations pertaining to the classification and pay plan (administration thereof) cover both contractual and non-contractual employees. The negotiated contracts do not cover all phases of pay plan administration.

General Comments

In spite of the changes brought about through the advent primarily of collective bargaining, IMED still has a strong role in determining individual rates of pay as well as recommending a salary plan for a significant number of employees many of which are precluded from the bargaining process. We have identified a number of problem areas which has resulted primarily but not limited to external forces. Past legislative salary adjustments, collective bargaining agreements and related factors have created serious equity disparities. A proposal is now pending which is anticipated to alleviate said concerns. This function handled with minimal input from agencies.

7. FUNCTION: RECORDS MANAGEMENT

AGENCY:

Shared Responsibility

State Comptroller
Merit Employment
Individual Agencies
Records Management Division
of General Services

As with other resources, the State of Iowa is required to keep accurate records of personnel actions. These records provide both historical and immediate information to internal and external monitors of personnel.

The various involved agencies keep some records depending upon current practices. While the Division of Records Management has established some formal procedures, these more accurately reflect the current situation and not the desired condition. Duplicate recordkeeping is extensive.

8. FUNCTION: TRANSACTION MONITORING/PAYROLL PROCESSING

AGENCY:

Primary Responsibility

Merit Employment Department

Shared Responsibility

Comptroller's Office
Executive Council
Individual Agencies

In coordination with the State Comptroller's Office, a position numbering system is maintained which identifies each agency, class code number and a position number for each established position. Any changes in an agency's number of authorized positions must be approved by the Comptroller's Office, the Executive Council and the Merit Classification Division before a change can be made. Positions are reviewed periodically for determining proper classification and salary before changes are made.

Persons are appointed only to authorized positions. A standard Personnel Action form initiated by appointing agencies to hire or make a change in an employee's payroll record is reviewed for compliance with Merit Rules regarding appointments, pay, demotion, promotion, pay increase eligibility, layoff, termination, vacation accrual and retroactive pay to insure that all employees are treated equally. A copy of this form is submitted to the Comptroller's Payroll Section and a copy is retained to be placed in the individuals employment file. Assistance is provided to interpret Merit Rules and payroll procedures.

The form is also reviewed for differences brought about by Collective Bargaining contracts regarding salary (currently four different pay schedules), shift differentials, employee status (confidential, exempt, supervisory), eligibility for special duty, extra-meritorious service increases, leadworker status, part-time vs. full-time variables and automatic vs. satisfactory service pay increases.

The submission of Performance Evaluations when granting satisfactory service pay increases is monitored for certain requirements as set forth by policy prepared jointly by the Merit Employment Department and the Comptroller's Office.

The Personnel Action form serves as authorization to pay employees. After changes have been made in the employee's payroll record a new Personnel Action form is created by the computer with pre-printed information and sent to the employing agency for future use.

9. FUNCTION: GRIEVANCE/APPEALS

AGENCY:

Primary Responsibility

Merit Employment Department

Shared Responsibility

Individual Agencies

Both are first agency responsibilities and then resolve into final appeals to the Merit Commission under the merit rules or to arbitration under the terms of the bargaining contracts.

There is also an appeal process for classification appeals which is independent of the Merit Commission. This goes to an independent group appointed to rule on the dispute as to classification. This decision is binding on the Merit Department, employee and the agency.

10. FUNCTION: TRAINING AND STAFF DEVELOPMENT,
EDUCATION AND TUITION REIMBURSEMENT

AGENCY:

Shared Responsibility

Merit Employment Department
Governor's Policy Committee on Training and Staff Development
Individual Agencies
Institute of Public Affairs, University of Iowa

The Iowa Merit Employment Department is responsible for "...the development and operation of programs to improve the effectiveness and morale of employees in the merit system, including, training, safety, health, welfare, counseling, recreation, and employee relations." (Code of Iowa, 19A.9.19) This department has long recognized the need for and value of comprehensive employee training and development, and the positive results of motivation, increased skill, and commitment such training and development provides.

The past few years have brought important progress to this area of activity. The Governor appointed the Governor's Policy Committee on Employee Training and Development to study and provide some coordination for management and supervisory training in the state. Intergovernmental Personnel Act Grant monies have enabled the Policy Committee to retain one support staff position, housed within Merit Employment, and to provide some coursework in management and supervisory training. The University of Iowa's Institute of Public Affairs has been the mainstay of the effort to provide basic skill training to government managers and supervisors.

Quite recently, the Policy Committee presented its recommendations to the Governor regarding future directions of employee training and development, and these recommendations stress the need for centrally coordinated, comprehensive, and sequential curriculums of study for government managers and supervisors. We now anticipate the establishment of a Management Training System and the addition of a Training Administrator to MED's Table of Organization.

Prior to these recent developments, training in state government has not been well-coordinated. We find that many departments enroll managers and supervisors in training courses offered by private consulting and training firms; such courses may be held locally or they may require the additional time and expense of travel. Many departments make extensive use of the courses offered by the Institute of Public Affairs. We have undoubtedly improved the performance and efficiency of our managers and supervisors through such training efforts; we seem to have fallen short however in providing our personnel with well-coordinated and sequential professional development and performance improvement opportunities.

We must recognize that a great deal of training occurs in state government that is not amenable to central coordination. Many of our agencies provide specialized technical training to their staffs. Examples of this include the substantial training done within the Department of Transportation for its engineers; the Department of Revenue does extensive training of its auditors in auditing techniques and selection; the Department of Social Services provides a great deal of training to its Social Workers and Income Maintenance Workers; the Department of Health provides specialized training to individuals who complete Nursing Home reviews.

TRAINING AND STAFF DEVELOPMENT (Continued)

There are many additional examples to be found throughout state government of departments providing specialized training and development to their employees. Obviously it would not be desirable or even feasible to centralize this type of training.

RECOMMENDATION

It does seem both feasible and desirable to centrally coordinate management and supervisory training, and to locate this function within the Merit Employment Department. One of the very exciting features of a Management Training System housed within Merit is the possibilities it opens up for us to coordinate and link this program with related management innovations - like the Public Service Executive Series - so that, in this specific case, we have a training curriculum that complements position qualifications, and we can easily monitor both functions to assure this.

As presently conceived, this training system will attempt to maximally utilize existing resources in state government, especially training personnel, to develop and provide coursework. This will allow us to have a system that is both very responsive to changing needs and is very cost-effective. However, this particular arrangement will additionally require a great deal of coordinated planning and participation by all state agencies to insure a system that reflects the needs of all state agencies.

While this first effort to centrally coordinate commonly needed training is focusing on the crucial area of management and supervisory training, we fully anticipate that, as future resources permit, this Management Training System will become the core around which other relevant and beneficial areas of training and programming will be built.

EDUCATION AND TUITION REIMBURSEMENT

AGENCY:

Shared Responsibility

Comptroller
Individual Agencies
Legislative Council

Education and tuition reimbursement is presently a joint function of the Office of the Comptroller and the Legislative Council. The primary purpose of the Educational Assistance Program is to aid state agencies in acquiring qualified staff in areas which have traditionally presented recruitment problems. Requests for reimbursement must meet certain criteria. Each agency may establish its own procedures for in-house review of tuition reimbursement requests.

At this time tuition reimbursement is offered to employees in an uneven fashion depending upon which agency employs them. Most agencies are not budgeted to provide this benefit. Tuition reimbursement should not be offered on the basis of agency employment but rather on standards and funding that are common to all agencies.

II. FUNCTION: SAFETY/OSHA

AGENCY:

Primary Responsibility

State Labor Department

Shared Responsibilities

Individual Agencies

The State Labor Department is responsible for the OSHA program by delegation from the federal authority. They have the authority to fine, bring charges, etc. However, there appears to be little coordination at this time between the agencies and the Labor Department in the areas of overall OSHA compliance and standards.

By the contracts there are provisions for meetings relative to safety, training, hazards, etc. These are to various states of the art among the agencies. Woodward now has a Safety Officer, but it is unknown how much progress or how far the program has advanced.

The DOT seems to have the most advanced program for safety. They have a Safety Officer who works with employees as well as fleet safety problems. They are beginning to have a breakout of figures, comparison and causes for coordination of the safety, workmen's compensation.

12. FUNCTION: EMPLOYEE INFORMATION DISSEMINATION/COMMUNICATIONS

AGENCY:

Primary Responsibility

Merit Employment Department
Office of the State Comptroller
Office of Employment Relations
Executive Council
Governor's Office
Job Service of Iowa

Shared Responsibility

Personnel Officers
Training Officers

Information of concern to state employees is currently distributed in various forms, depending on the source.

Most--MED, Governor's Office, Executive Council, Employment Relations-- rely on memorandums independently posted throughout the capitol complex and distributed to agency personnel officers (who in turn, select internal distribution methods). The office of the State Comptroller generally uses inserts with employee warrants. Job Service of Iowa prepares brochures ("Your IPERS Benefits").

Once the information reaches the agencies, internal distributions systems vary widely in sophistication and effectiveness. Seventy-five percent of state employees receive information through an internal employee publication. The quality ranges from the sophisticated DOT video cassette network which 'broadcasts' current information and changes weekly, supplemented by a monthly magazine--to newsletters, flyers, bulletin board items, and no information.

An example of one communication need -- new employee orientation, is equally inconsistent. Ninety percent of all state employees are given some formal orientation on their arrival. The quality of that orientation, however, varies. In some state institutions, training programs last for two weeks; preparing individuals for the work environment. Other orientations are much shorter, some only consisting of an hour or two of conversation. Most agencies do have handbooks, however.

In the areas of employee orientation, MED is in the process of developing a workshop for those with responsibility for orientation in each agency. It will offer a forum for idea exchange, areas of management responsibility in orientation, and the importance of orientation. Additionally, new employees will be given a brief message from the Governor in letter form.

RECOMMENDATION

Recommendation for employee information is a central coordination of personnel information to assure that all employees receive accurate information. Possibly an employee newsletter or other information system.

14. FUNCTION: EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION

AGENCY:

Primary Responsibility

Individual Agencies

Shared Responsibility

Merit Employment Department
Iowa Civil Rights Commission
Individual Agencies

Each agency must first analyze its own situation and assess this in light of its particular goals. The Merit Employment Department provides requesting agencies with technical assistance in developing affirmative action plans. Assistance includes the method of assessment to be employed, identifying valuable statistical or other resources, and review overall programming for adequacy and sufficiency from a personnel perspective and most particularly the employment aspect.

All statistical reporting by the state of individual agencies, to both federal and state compliance commissions, or agencies, is coordinated and conducted by the Merit Employment Department. The Iowa Civil Rights Commission has responsibility for the monitoring of Affirmative Action Plans and programs, and reports to the Governor annually on the State's progress in the this area.

15. FUNCTION: HUMAN RESOURCES PLANNING/FORECASTING

AGENCY:

Primary Responsibility

Individual Agencies

Shared Responsibility

Merit Employment Department

This is now pretty much an agency function. There is some cooperation between the Merit Department and agencies as to recruitment, classification, special testing, etc. where there is to be a change in organizational structure, new programs, etc. But this is voluntary and there is no real element of need felt for such sharing in most cases.

There are ways to present certain facts as a start -- manpower profile inventories or skills, replacement needs, recruitment coordination, affirmative action programs, training, etc. However, this would only be useful if the facts obtained were used, not just more facts.

RECOMMENDATIONS

If the Recruitment Coordinator position which was recommended under the Recruitment function, and the State Training Administrator position recommended under Training function, were funded, a simplified system for human resources forecasting possibly could be developed.

16. FUNCTION: PERFORMANCE EVALUATION/MONITORING

AGENCY:

Primary Responsibility

Merit Employment Department

Shared Responsibility

Governor's Policy Committee on
Employee Training & Development
Institute of Public Affairs, U. of I.
Office of Employment Relations
Comptroller
Individual Agencies
Exempt Authorities

The current uniform system of performance evaluation was fully implemented July 1, 1978. The Merit Employment Commission is authorized to provide a system of performance records by Code of Iowa 19A.9(13). Merit Employment Department designs the system and modifies it as appropriate, provides manuals and technical assistance in its use, and monitors its application on approximately 22,000 positions. Performance evaluation on exempt positions, approximately 2,500, is administered by the Director of Employment Relations and monitored by the Comptroller.

The Iowa Performance planning and evaluation system is results oriented and is applicable at all levels of the organizational structure. It has served as a model for several other states, and most recently, for a federal agency. The forms provide an instrument which is useful in hiring, training, probationary and merit reviews, communication on job performance, counseling, assessing training needs, documentation for disciplinary action, promotion appraisals, reduction-in-force, job analysis, and continuity and consistency in management planning.

Primary training on performance evaluation has been funded to date through an Inter-governmental Personnel Administration (IPS) grant. Interagency training is provided by the Governor's Policy Committee on Training and Staff Development through the auspices of the Institute of Public Affairs of the University of Iowa. Individual agencies provide continuing training and review of performance evaluation through their training officers and personnel officers or other designated staff.

RECOMMENDATION

If and when the State Training Administrator position is established, the proposed management training system should include ongoing components which deal with performance planning, standards, evaluation, and monitoring. The state cannot rely on IPA project funds for this integral part of management training and performance.

17. FUNCTIONS: INSURANCE, BENEFITS, ADMINISTRATIVE INPUT

AGENCY:

Primary Responsibility

Governor's Office
Comptroller's Office
Office of Employment Relations
Insurance Committee

Shared Responsibility

Merit Employment Department

The Executive Council of Iowa has authority under Chapter 509A of the Code to provide insurance for state employees. On August 5, 1963 the Council established a three member Insurance Committee comprised of the State Comptroller, Secretary of State, and Commissioner of Insurance. In August 1978 a fourth member was named to represent the Board of Regents.

The Committee is responsible for the procurement, implementation and monitoring of Life, Health, and Long Term Disability insurance plans. It advises the Executive Council as to revisions necessitated by experience and changes in the law; makes recommendations, and responds to questions from employees and employee groups. Administration of these three insurance programs is by the State Comptroller.

We have at various times had small ad hoc groups come together to address a particular problem or study need to improve a benefit. But very often the input is limited and the results are a fact before too much is known or wide input obtained.

Programs are placed into effect without going into all of the facets that would be affected; e.g. when flexible scheduling (flex-time) was being talked about, one suggestion was for job sharing. However, many forget about the provisions as to insurance coverage, pension restrictions, etc. Our present disability program has many current problems which were not addressed or perhaps understood when the program was instituted. Worker's compensation, use of sick leave, vacation, compensatory leave present questions that are at least out of the ordinary.

We do not really know in some cases if we are getting the most for the benefit cost involved. If one group gets something and another does not, what could and would be the results? What are alternatives?

Some departments, regents institutions, DOT, have within the personnel sections or other units, persons knowledgeable about benefits and a place where the employees can go for help and facts. But most do not. True, there may be a book put out or some kind of orientation given, but this does not give the facts in the manner which is needed then or later. This must be supplied.

In many areas we do not know what is the real burden of costs of a benefit -- this could be sick leave (no real breakdown), worker's or unemployment compensation, etc. They are really not taken into consideration as a burden cost of doing business. e.g. right now most administrators do not realize that any new employee besides the loss because of learning, perhaps added equipment costs, etc., will be paid for 12 months, but will only work for 11 months regardless of the non-use of sick leave.

18. FUNCTION: PENSIONS, COUNSELING, SOCIAL SECURITY

PENSIONS

AGENCY:

Primary Responsibility

Board of Regents
Public Safety
Court Administrator
Job Service-IPERS

On July 4, 1953 the General Assembly established the Iowa Public Employees Retirement System. (I.P.E.R.S.) All state employees, with very few exceptions, are members and must contribute a portion of their salaries. Currently the employee's share is 3.6% and the state's share is 5.25% of his/her state salary. Both contributions will increase on July 1, 1979 to 3.7% and 5.75% respectively. The maximum taxable salary is \$20,000.

The system also includes county, municipal and public school district employees. Total membership presently is about 135,000.

Benefits are now computed at the rate of 44% on two factors: length of service and the average salary of the highest five consecutive years of employment.

Some Board of Regents employees contribute to a retirement program other than IPERS.

Employees of the Department of Public Safety who are members of the Highway Patrol, and employees in the Bureau of Identification, Division of Drug Law Enforcement, Arson Investigators, and Beer and Liquor Law Enforcement, except clerical workers in these divisions, are covered by the Public Safety Peace Officers Retirement, Accident and Disability System, administered by the Department of Public Safety.

A fourth retirement program for judges in the municipal, superior, district, court of appeals and supreme court including district associate judges is known as the Judicial Retirement System. This system is administered by the Court Administrator.

COUNSELING

AGENCY:

Primary Responsibility

Employing Agency

Shared Responsibility

Merit Employment Department

Most of the counseling is with employees who call inquiring about an alleged complaint or grievance. They are advised of their rights under the Merit System, and the requirement that unless the action of the employer is of a disciplinary nature, the appeal must follow the procedure prescribed in Chapter 15, rules of the Merit System or the agency's own procedure which has received prior approval of the Merit Employment Commission.

PENSIONS, COUNSELING, SOCIAL SECURITY (Continued)

COUNSELING (Continued)

Employees involved in a disciplinary action are advised of the option under Merit rules of an appeal to his/her Appointing Authority or directly to the Merit Employment Commission, the procedure preferred by most employees.

Provisions of Chapter 12.6 - Appeal from Discrimination - are pointed out to probationary employees who do not have the right of appeal to the Commission, and to applicants as a possible method of seeking redress.

Occasionally agency personnel inquire as to the appropriate disciplinary action in a particular situation. The concept of progressive discipline is explained and they are apprised of the kinds of action provided in the Merit rules.

Interpretation of Merit Employment Department rules and Policies/Methods/-Procedures to agency personnel and to employees account for a relatively small number of informational requests.

SOCIAL SECURITY ADMINISTRATION

AGENCY:

Primary Responsibility

Job Service-IPERS

State employees came under the provisions of the Federal Insurance Contributions Act (F.I.C.A.) by General Assembly enabling legislation effective July 1, 1953. Chapter 97C of the Code extends to employees of the state and its political subdivisions and to the dependents and survivors of such employees, the basic protection accorded to others by the old-age and survivors' insurance system embodied in the Social Security Act of Congress approved on August 14, 1935.

Covered employees are required to pay into the contribution fund a portion of their wages, currently 6.13%; and a tax of equal amount is imposed on the employer. Such payment by the public employee is considered a condition of employment.

The Department of Job Service through the IPERS Division administers the Social Security program for all public employees covered by IPERS.

PENSIONS, COUNSELING, SOCIAL SECURITY (Continued)

BENEFITS COSTS

AGENCY:

Primary Responsibility

State Comptroller

Shared Responsibility

Merit Employment
Individual Agencies

Appropriate costs of benefits are built into the pay roll projections. When an agency develops its budget, these costs have already been provided by the Comptroller.

Cost to the state for the five benefits named below total nearly 16% of the average salary, and are currently chargeable at the rate of:

FICA-----	6.13%
IPERS-----	5.25%
Increasing to 5.75% on July 1, 1979	
HEALTH INSURANCE-----	3.45%
State's share of monthly salary	
LIFE INSURANCE-----	.05%
Basic coverage is \$10,000	
LONG TERM DISABILITY INSURANCE-----	.65%
Per employee	

About 15,000 employees, exclusive of those under the Board of Regents, are enrolled in the state's health insurance program. Blue Cross-Blue Shield is the carrier.

Merit Employment is cooperating fully in assisting LTD recipients, whose benefits have been discontinued, in obtaining re-employment in state government. The department was instrumental in bringing about a policy change two years ago which allows the reinstatement period to begin at the time LTD benefits cease.

19. FUNCTION: UNEMPLOYMENT COMPENSATION

AGENCY:

Primary Responsibility

Job Service
Individual Agencies
State Comptroller

Shared Responsibility

Gates-McDonald (Contractor)

Since 1972, state agencies have been covered by unemployment compensation. At the present time we have two state contracts to cover central state government with Gates-McDonald, an Indiana firm, to represent certain state agencies on unemployment claims before the Job Service of Iowa. This contract is now in the process of bids.

Social Services was the first state agency to use the Gates-McDonald service, although the Regents had previously used this or some other service for a period. The second contract covers other state agencies with the exception of Department of Transportation, Job Service, Blind Commission and a couple of others.

Cost of the contracts is around \$55,000-\$60,000. Both Social Services and the Comptroller's office receive detailed breakdowns from Gates-McDonald as to costs, representation, etc. These are distributed to the agencies by the Comptroller's office and to the Social Services units by their central office. There is no information as to what is done with the information.

The Comptroller's office pays the costs out of the general fund, with a bill back to certain agencies that do not have appropriations from the general fund. Comptroller's office states the last quarter payment was around \$155,000.00.

Gates-McDonald does not make the first appearance before the Job Service which is fact finding. And usually would like to have someone from the agency attend the hearings, but this is not always done. Reaction seems to be mixed as to the value of the service, and how much is saved through the service has not been ascertained.

Gates-McDonald gives instruction about unemployment compensation about every three or four months. But attendance is voluntary and there are normally about 10-15 persons present.

The Department of Transportation and Job Service presented the same reasons for not utilizing the contract services:

1. Cost --- would not be an advantage when you consider the number of claims; the preparation that has to be made for Gates-McDonald; representation at the hearings by the supervisors is felt to be essential, and control should be with the agencies to see this is done.
2. Both have given instructions to their personnel and this is an ongoing thing.

Job Service has the expertise in the area and can provide the information and instructions necessary. They do this for the private area. And in the beginning in cooperation with the Merit Employment did present meetings for the agencies.

UNEMPLOYMENT COMPENSATION (Continued)

The Department of Transportation's cost for a year has been around \$150,000 and Job Service around \$130,000.

There are some areas of the law which should be considered for change -- short term employment (intermittent, legislative). Some of our internal procedures which require intermittent, rather than part time employment, add to the cost. Agencies do not realize the "triggering effect" of time periods the way they should and the consequences.

20. FUNCTION: WORKER'S COMPENSATION

AGENCY:

Primary Responsibility

Comptroller
Industrial Commission
Attorney General

Shared Responsibility

Individual Agencies
Office of Employment Relations

State employees have been covered under worker's compensation for a very long time. But it is only recently that an attempt has been made to get a "handle on things" through Dick Andrews in the Comptroller's office. He coordinates activities in the field to a limited degree. He has issued a procedures manual and operates in a sense like an insurance carrier with an employer. He fills certain specific forms with the Industrial Commission, investigates some accidents on site, reviews all accident reports, makes payments for medical, worker's compensation and awards from the general fund, bills back some costs to agencies not having general funds appropriations, makes certain reports on costs, number of accidents, etc. But does not make break down on specific breakouts, comparison, etc.

Mr. Andrews gets some assistance from the agencies on the site investigations. He has two clerks to assist him in the paper work of the office. He also handles subrogation claims when he has the time. The latest cost figures he has prepared are in excess of one million dollars.

The Department of Transportation probably has the best organization in the work in the compensation area. But there is an overall lack of coordination between or within agencies as to costs, where or who treats the employee, severity, frequency figures, etc.

The Attorney General represents the agencies before the Industrial Commission on contested cases for awards. Eighty percent of the time Mr. Andrews does not know of the notice of hearing, except through the agencies. The Attorney General at one time had three attorneys handling worker's compensation, but lately there has been only one. Some agencies have complained about not being notified or having input into the presentation.

The use of sick leave, vacation, compensatory time with worker's compensation has caused some problems in administration of the program and control.

21. FUNCTION: LABOR RELATIONS

AGENCY:

Primary Responsibility

Office of Employment Relations

Shared Responsibility

Merit Employment Department
Individual Agencies

1. Responsibility for the development, enforcement and administration of negotiated settlements rests with the Office of Employment Relations pursuant to chapter 20 Code of Iowa.
2. Grievance and appeal rights as they relate to the contract provisions are handled outside the jurisdiction of the Merit Employment Commission.
3. Grievances and appeals relating to classification, examinations and other areas not specifically covered by the bargaining agreement reside under the jurisdiction of the Merit Employment Commission.
4. At the request of OER, Merit is represented on management bargaining teams to provide current information on rules, policies and related standards and to ensure that those program areas set aside as being within the jurisdiction of Merit are not intruded upon.
5. Close liaison is required with OER to keep abreast of developments which potentially either directly or indirectly impact on program areas of joint concern and interest e.g., proper classification, pay practices, overtime provisions, vacation accruals, holidays, sick leave and related items of mutual concern.

General Comment

There is a serious communication problem between Iowa Merit Employment Department and Office of Employment Relations. The Departments do not always see eye to eye on perceived problems nor work in tandem in problem discussion and resolution. There is an apparent difference in approach and in management styles that do not at face value appear to be easily reconciled. Serious voids and gaps are widespread and two way communication and coordination needs to be improved. Although it is difficult to properly assess agency involvement in this area because we are somewhat removed from the grassroots, we suspect, based upon our observations, that agency input would be minimal.

22. FUNCTION: SPECIAL EXECUTIVE SALARY ADMINISTRATION/BENEFITS

Current practices within the State do not suggest that State Executives' salary and/or benefits are handled in any special manner. Salary is either set by statute or legislation, and any benefits are administered as with any other employee.

23. FUNCTION: COUNSELING

DRUG/ALCOHOL

AGENCY:

Primary Responsibility

Individual Agencies

Shared Responsibility

Employee Assistance Program
(Not an Agency)

Agency Responsibility: Presently neither the Merit Employment Department or any other State agency provides professional counseling for alcohol/drug abuse.

Many state agencies utilize the Employee Assistance Program, (EAP), an Affiliate of the National Council on Alcoholism. EAP provides counseling to employees and their families on any personal life problems that are affecting job performance.

There is no charge to the employee or employee's family for contacting the Employee Assistance Program. EAP, however, recommends that those state agencies utilizing the program send their supervisors to a one-day training seminar provided by the Employee Assistance Program. Agencies are charged \$30/participant. Follow-up service to the agency includes a direct mailing of information to each employee's home.

HANDICAP

AGENCY:

Primary Responsibility

Vocational Rehabilitation

Shared Responsibility

Governor's Committee for Employment
of the Handicapped
Merit Employment Department
Individual Agencies

Vocational Rehabilitation is the primary service agency for handicapped persons in the State of Iowa. Vocational Rehabilitation provides counseling and placement services for any handicapped individual.

The Merit Employment Department works with Vocational Rehabilitation for placement of handicapped individuals and special accomodation requirements. Vocational Rehabilitation provides technical assistance to Merit Employment Department as well as other state agencies.

The Governor's Committee for Employment of the Handicapped, although primarily an education agency, provides limited referral and coordinating services.

24. FUNCTION: PERSONNEL RESEARCH, PLANNING

AGENCY:

Primary Responsibility

Merit Employment Department

Shared Responsibility

Individual Agencies
Governor's Policy Committee
on Training and Staff Development
Office of Employment Relations
Intergovernmental Personnel
Administration Council

An ongoing function of the Merit Employment Department is keeping abreast of developments in the total field of public personnel administration, being knowledgeable about federal regulations and requirements, participating in intergovernmental personnel administration programs at all levels, and periodically surveying other jurisdictions regarding particular technical or professional areas of concern and how problems relating to those areas have been resolved.

Iowa has taken a leadership role in the development of programs and approaches which are innovative in resolving some traditional problems in personnel administration. Some examples are our exam validation program, ACCESS (Area Centers for Counseling and Examining for State Service), performance evaluation system, availability coupon system, and most recently, the computerization of our manual processes and the captured information potential therein. In comparison to many other states, especially in this region, Iowa is looked to for its professionalism, ingenuity, and advanced methodologies.

However, the planning for long range personnel administration is limited and somewhat fragmented as this report shows. While there can be a sense of pride in some of the stronger aspects of Iowa's personnel administration, still the Governor's office and the Iowa Legislature have encouraged a study of possible centralization of personnel functions. No doubt, this is due to the desire to see improvements in problem areas such as we have pointed out.

The management of the human resources is taking on accelerated interest today as administrators look for ways to operate more effectively with restricted resources. The Merit Employment Department welcomes the opportunity to discuss with the Governor, the Legislature, and agency heads the possible directions to go in planning for the future of personnel administration in Iowa state government.

25. FUNCTION: EMPLOYEE AWARDS

AGENCY:

Primary Responsibility

Executive Council of Iowa
Individual Agencies

Shared Responsibility

Comptroller
Legislative Fiscal Director

Under 19.33 of the 1977 Code of Iowa, the Executive Council of Iowa approves all cash incentive awards to any employee with the recommendation of the Comptroller and the Legislative Fiscal Director.

These awards may be given to individual employees for a plan that will result in significant cost reduction or increased efficiency of state government. Individual agencies may adopt a cost reduction plan and provide awards for participating employees. Maximum award is \$1,000.

In the last 12-month period, only two such requests have been submitted for approval. Upon recommendation, both requests have been deferred until cost savings can be substantiated.

Many individual agencies provide vehicles for employee suggestions, (newsletters, suggestion boxes) or employee recognition, ("Liquor Store Manager of the Month", "Bulldog Award"), but managers argue that these programs have limited participation because of the lack of cash awards or prizes. Presently recognition is limited to written announcements, certificates of merit, or may be funded out of the managers pockets.

Several agencies directors have recommended that agencies be authorized to expend a certain portion of their budget for cash award/recognition programs as part of their employee development programs.

26. FUNCTION: EMPLOYEE DISCIPLINE

AGENCY:

Primary Responsibility

Individual Agencies

Shared Responsibility

Merit Employment Commission
Office of Employment Relations

This is the agency prerogative, subject to merit rules and contract provisions. Treatment and procedures vary widely among and within agencies. There has been some supervisory training in the areas of employee discipline, uniform handling, but it is far from universal or consistent.

The whole subject needs much work to provide the training and coordination necessary to accomplish the results desired.

