

City of Adel Manual of Policy and Procedure

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City of Adel
Manual of Policy and Procedure

Section: 1. Financial

Title: Accounting and Cash Handling Procedures

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1. PURPOSE

The purpose of this policy is to define and communicate the acceptable procedures for accounting and cash handling operations in order to ensure clear and consistent practices and minimize opportunities for loss and those potentially involved in an investigation of losses of funds.

2. CASH TRANSACTIONS

- A. Patrons conducting a cash transaction will be encouraged to receive a receipt and will be provided a copy. All instances involving a cash transaction will require a receipt printed out from the City’s accounting system. If a system receipt is not available, then a receipt will be completed in the sequentially numbered receipt book.
- B. In most instances, the receptionist, clerk or utility billing clerk will receive a payment and must record it in the computer, or in the receipt book if necessary.
- C. The Treasurer will reconcile and balance payments received. In the event the Treasurer receives a payment, the Clerk will initial during reconciliation.
- D. Payments made by check must contain the following information: name of person signing, phone number and address, and a driver’s license number. The staff member processing the transaction must request verification with a photo identification, unless the staff member can identify the individual without photo identification. All checks received must be immediately stamped with the proper endorsement.

3. LIBRARY

- A. The City of Adel Library will maintain a change fund of \$40.00 in the cash drawer on an imprest basis.

- B. Cash payments received from the library are logged on the register log and reconciled at the close of business daily by the Library Director or designee. Receipts will be logged and completed in accord with Section IIA of this policy and reconciled with the register log, which is balanced with the cash drawer.

4. FOUNDATIONS AND ASSOCIATIONS

- A. Foundations and Associations such as the Library Foundation and Fire Association regularly receive donations and make payments from these designated accounts. Once received, the chief administrative officer of the particular foundation or association (library director / fire chief) will make a copy of the check and forward it to the City Treasurer, or provide a monthly statement and/or access to the account online. A deposit slip will be prepared to be deposited into the designated account. The deposit slip must contain the signature of the officer making the deposit and initials of a second officer.
- B. Reconciliation of the accounts must be conducted by an officer other than the individual accepting payment.
- C. Payments or draws made from the designated accounts must contain two signatures of officers. The City Treasurer may be used as a second signatory if they are on the account as a signatory.

5. SATELLITE AREAS

- A. Satellite areas that receive monies such as field concession stands and the pool will have assigned individuals receiving the money.
- B. A manager or assigned shift lead will reconcile the money collected on a daily / night time basis and will initial the reconciliation form.
- C. The money and reconciliation sheet will be dropped off at the designated location overnight.
- D. The next business day the utility billing clerk, treasurer, or treasurer's designee will reconcile for accuracy and prepare a deposit slip.
- E. Any discrepancies will be reported to the City Treasurer and City Administrator immediately.

6. GENERAL ACCOUNTING AND CASH HANDLING PROCEDURES

- A. In accord with the City's Identity Theft Prevention program, computer logon passwords containing financial and other protected data are required to be changed every 90 days. A password log will be maintained by the City Administrator. The same password is not permitted to be used more than once and strong passwords consisting of alpha, numeric, special characters and a mix of lower case and capital letters must be used.
- B. All journal entries / adjustments will be completed by the Treasurer and initialed following review by the Clerk, or the City Administrator if the Clerk performs the function in the absence of the Treasurer.
- C. The Vault will remain locked at all times when not in use and have limited access. Only the Utility Billing Clerk, City Clerk, and Treasurer will have keys to the vault and be permitted in the vault, or others as assigned by the City Administrator.
- D. Bank Reconciliation: Any variance between the treasurer's report / general ledger and the bank balance statement must be reported to the City Administrator and Chair of the Finance and Budget Committee.

- E. All tax supported debt obligations shall have a maximum maturity of the earlier of the estimated useful life of the capital improvements being financed, twenty (20) years, or the final maturity of the debt obligations being refinanced for the issuance of refinancing outstanding debt obligation, unless a longer term is recommended by the Budget and Finance Committee and approved by the City Council.
- F. The City may issue revenue based debt to fund costs for water and sewer system improvements that benefit all or substantially all of the residents of the City. User fees will be adjusted, if necessary, to support the debt.
- G. If revenue based debt is included in the CIP, the City shall calculate the impact of the additional debt at the expected time of issuance on its utility budget, and if rates are insufficient to cover the projected debt, operations, and or necessary reserves and maintenance costs, then the City shall immediately begin the process to adjust rates sufficient to accommodate the debt at the time when it is scheduled to be issued.
- H. A 5-year analysis of utility operating income, expenses, debt, capital items and cash flow shall be prepared for each budget. The analysis shall assume expense growth in all areas where expenses would normally grow at a rate not less than the CPI-U for all items.
- I. The City may issue TIF or general obligation securities to fund improvements to the water and sewer system that either benefit a smaller number of users (for example, a water line to a new development), or where cash flow coverage on revenue debt, including debt service, reasonable reserves and coverage would be cost prohibitive to residents. For example, a complete re-build of the water treatment plant.

3. TAX INCREMENT FINANCING

- A. The City may use TIF revenues to repay obligations if TIF revenues are available from the development in question or if an agreement is entered into that produces sufficient TIF revenue to repay the debt.
- B. TIF Development agreements will be assessed individually on their own merit. The City's obligations under a development agreement shall not exceed the expected TIF income, using reasonable assumptions from the development itself and no other income source over the term of the agreement.
- C. All TIF development agreements will contain "annual appropriation" provisions to ensure the agreement does not count against the City's constitutional debt limit.
- D. Cash incentives to businesses or developers shall be in the form of TIF rebate of actual property taxes paid from the development or based on job creation or retention.

In the case of a rebate, the term shall not exceed 10 years unless the City is receiving substantial public property out of the agreement or the City is receiving jobs that exceed Iowa's "High Quality Jobs" description as it evolves. The term substantial shall not mean the construction of roads, water and sewer lines necessary to support the proposed development. If the Council specifically determines that low or moderate income housing is required, then the City may enter into rebates that exceed 10 years where necessary, within the current statutory provisions.

- E. Proposed TIF debt may be issued with an annual appropriation pledge where the City determines that the new taxes created by the development will support the debt being contemplated with a repayment that does not exceed 15 years from original issuance of the debt.
- F. The City may issue debt payable from the TIF area to fund Urban Renewal projects that benefit residents of the City, and may repay any proposed debt over a period not to exceed 20 years from original issuance. Any proposed debt under this section must be able to be supported with current TIF income or TIF income known to be available in future years. The City may not issue debt payable from the TIF area that is based on assumption of future growth that cannot be backed up by either actual construction in progress or minimum assessment contracts.

4. REFUNDING

- A. Periodic reviews of outstanding debt by the City staff and Budget and Finance Committee shall be undertaken to determine refunding / refinancing opportunities. Refunding may be considered by the City Council if it appears there may be a net economic benefit of the refunding.
- B. In general, refunding for economic savings may be undertaken when the present value of future annual debt service savings net of issuance cost amount to at least three percent (3%) of the refunded debt.

5. NEEDS ASSESSMENT AND FUND ALTERNATIVES

- A. Identifying Useful Life of Project:
 - 1) Capital projects and equipment financed through the issuance of debt shall be financed for a period not to exceed their expected useful lives.
 - 2) Utilization of debt for capital expenditures shall normally be limited to the purchase of equipment or real property that has a useful life of two or more years, and a cost \$10,000.00 or more, with the exception of equipment such as furnaces, fixtures or equipment that lose identity when installed on real property.

B. Review of Financing Alternatives:

- 1) The City may implement impact fees, and negotiate developer contributions and grants to finance capital improvements whenever possible to ensure that new development pays its fair share of the increased costs created by the new development.
- 2) During budget preparation, the City will determine the appropriate mix of tax levy paid projects to debt service projects based on the financial interests of the City, and in accord with the City's financial policies.
- 3) No installation of public improvements will commence without fully securing the City's financial interests prior to the installation.

6. **ISSUANCE OF OBLIGATIONS**

It is the policy of the City of Adel that the City Administrator, City Clerk, City Treasurer, City Attorney, and the City's Financial Advisor and Bond Counsel will coordinate their activities to ensure that all securities and other debt obligations are in compliance with all applicable legal requirements and the City's financial policies, and that the securities and other debt obligations are issued in the most cost-effective manner.

7. **DISCLOSURE**

The City of Adel is committed to transparent financial disclosure, and to cooperating fully with rating agencies, institutional investors, other units of government, and the general public, in order to share clear, comprehensible and accurate financial information.

- 4) Current catalog pricing, etc.
- C. The quotations received must be submitted with the purchase requisition, prior to obtaining authorization from the City Administrator.
- D. In the event the department head is recommending an item which is not the lowest quoted option, a written statement must be submitted with the requisition outlining the reasons for this recommendation, unless it falls under the Local Preference section 3 of this policy.
- E. Purchasing budget items with a cost between \$2,500.00 and \$9,999.99 must be coordinated through the City Administrator. Purchase requests falling in this pricing category must be accompanied by a minimum of three (3) formal written quotations. Prior to soliciting the written quotation, the department head must provide the vendors with like information regarding the terms and scope of the service or specifications of the item to ensure proper and fair comparisons can be validated.
- F. All purchases of \$10,000.00 or greater require review and approval by the City Council prior to expending the funds, unless it is a pay request from a Council approved project, with signature authorization from the City's engineer. In these instances the City Administrator may authorize the payment upon receiving approval from the budget and finance committee, or refer it to Council depending on the timing. This section includes when the item has been specifically identified in the current budget.
- G. All expenditures of City funds, regardless of the amount or inclusion in the City budget, require approval by the City Council. In accord with the provisions of this policy, Council approval may occur prior to the purchase or retroactively except for purchases exceeding \$10,000.00, for which approval must be obtained beforehand.
- H. Purchase orders shall be used whenever a purchase is to be transacted involving a non-budgeted item, for which the cost is greater than \$500.00. Purchase orders shall be prepared and signed by the Department Head. The information on the purchase order will identify the specific City account the payment is to be charged. Purchase orders shall be reviewed by the City Administrator, who shall submit to the Finance / Budget Committee for approval prior to the purchase being completed. For non-budgeted items greater than \$5,000.00, City Council approval must be received after obtaining a recommendation from the appropriate committee.
- I. For items and services already received, the accompanying bills / invoices must be initialed by the Department Head of the department that received the item or service. Bills and invoices will be forwarded to the Treasurer within five (5) days of receipt.

3. LOCAL PREFERENCE

In an effort to promote the local business economy, with all other aspects being relatively equal in terms of product quality and services delivered, local Adel merchants will be given preference for commodity and service purchases under \$5,000.00 based on the convenience and proven positive relationship provided the quote is within 5% of the next lowest quote.

In accord with Iowa Code, Chapter 73.1, preference will be given to products and provisions grown and produced within the State of Iowa. Department Heads shall make every reasonable effort to support Iowa products when making a purchase.

4. PUBLIC IMPROVEMENT PROJECTS

All public improvement projects shall be carried out in accord with Iowa State Statutes, in particular Chapter 26 relating to competitive bids and quotes.

5. COMPETITIVE BIDDING, REQUESTS FOR PROPOSAL AND SOLE SOURCE

- A. An openly publicized competitive process for the procurement of goods and services is the most effective means of determining the lowest cost from a responsible source, and shall be utilized whenever possible. Purchases of goods and services in excess of \$10,000.00 shall be subject to competitive sealed bidding. The lowest responsible bidder will be utilized in all instances requiring competitive sealed bidding. If the lowest bidder is not recommended by the department head or City Administrator, an explanation will be provided to the City Council regarding why the lowest responsible bidder is not appropriate for that particular instance by the Department Head or City Administrator requesting such action.
- B. A Request for Proposal (RFP) will be used for goods and services when the end product cannot be adequately defined or specified, or when factors other than the products or services need to be considered. RFP's will utilize the same notice requirements as the statutes require for competitive public improvement bids.
- C. All sole source procurements must be approved by the Budget and Finance Committee. Sole Source procurement is used when there is only one source for the required product or service. This may be the case where a product is patented and no other product exists that offers equal performance. Other examples of sole source procurement or contracts which may not be suitable for competitive bids or proposals, include, but are not limited to the following:
 - 1) There exists only one single source for the required good, service, or construction item.
 - 2) There exists a long-standing, successful relationship for professional services, and the knowledge gained through this relationship adds value integral to the services provided.
 - 3) A sole supplier's items are needed for trial use or testing.

4) The purchasing of used equipment.

5) Purchases at auction.

D. All RFP's for materials, products, supplies, provisions and other needed articles and services to be purchased using public funds, shall not knowingly be written in such a way as to exclude any company capable of filling the needs of the purchasing entity from submitting a responsive proposal. The City may consider life cycle costing analysis, and may give weight to the value of standard facilities and equipment, in selecting a vendor.

6. PROFESSIONAL SERVICES

When contracting the services of professionals such as engineers, architects, attorneys or other professionals working on City projects, it is not necessary to advertise and engage in the bidding process. A variety of factors in addition to price will be considered when contracting for professional services. These factors include: level of expertise, professional referrals, past record and experience, and work on similar projects, past relationships, convenience and availability. Proposals may be obtained on a periodic basis at the direction of the Council or City Administrator to ensure the best quality service and that the City is the recipient of competitive pricing.

7. EMERGENCY PURCHASES

Emergency goods, services and construction items are those that are necessary to prevent or mitigate serious disruption of government services or threats to public health, welfare, or safety, or if it is needed as a result of events or circumstances not reasonably foreseeable. Emergency procurements shall be made with such competition as is practical based on the circumstances.

A. A written determination of the basis for the emergency and for the selection of the particular contractor and / or product shall be certified or prepared by the City Administrator, after review from the City Attorney, for emergency purchases exceeding \$5,000.00. Every attempt should be made to contact the Chair of the Finance and Budget Committee and / or the Mayor for emergency purchases exceeding \$500.00. The services of a professional such as an architect or engineer may be utilized to assist in determining the nature of the emergency.

B. A confirming resolution shall be submitted to the City Council for all emergency procurements of \$10,000.00 or more. When time is of the essence, Council approval in accord with Section II (G) of this policy may take place retroactively following approval from the Mayor or Budget and Finance Committee Chair.

8. CHANGE ORDERS AND CONTRACT MODIFICATIONS

- A. When the total of all change orders, contract modifications or price adjustments on any contract approved by the City Council exceeds ten percent (10%) of the original contract amount, approval is required by the City Council.
- B. When a change order or series of change orders authorize or necessitate an increase or decrease in either the cost of a contract by a total of \$10,000.00 or more, or the time of completion by a total of 30 days or more, the City Administrator shall make a determination in writing that:
 - 1) The circumstances said to necessitate the change in performance were not reasonably foreseeable at the time the contract was entered into; or
 - 2) The change is germane to the original contract signed; or
 - 3) The change order is in the best interests of the City and is authorized by law.
- C. The written determination and the written change order resulting from that determination shall be retained in the contract file, which shall be open to the public for inspection. Approval to proceed must be received from the Council Committee overseeing the public improvement project unless an emergency as defined in this policy exists. In the case of an emergency, the City Administrator will confer with the City Attorney and Committee Chair prior to providing authorization.
- D. The City Administrator is authorized to sign all change orders following the provisions of this policy, ordinances of the City of Adel, and applicable statutes. The City Engineer and Attorney may be conferred with prior to signing off on any change orders.

9. PROCUREMENT CARD (CREDIT CARD) PURCHASES

- A. For authorized travel, business and operational related expenses, department heads are permitted to use the City issued procurement card. For each expense charged to a City procurement card, the cardholder must provide to the Treasurer an itemized receipt as soon as practical along with authorization from the City Administrator if it is for travel related expenses. If the charge is for normal operational expenses, all provisions of this purchasing policy must be followed. Upon reconciliation by the Treasurer, all charges on the invoice must have a corresponding itemized receipt.
- B. Travel expenses charged to the City procurement card, which exceed the dollar amount contained in the travel related expense policies must be reconciled at the time of the transaction with the employees' personal funds. Procurement card purchases may only be used in accord with **Policy 3.02.01 – Credit Card Use and Guidelines**.

10. COOPERATIVE PURCHASING

The City may initiate or participate with other governmental bodies, including the State of Iowa in cooperative purchasing. This may take place either through the use of the Iowa Code Chapter 28 E for intergovernmental agreements or utilization of a contract clause. This allows a legal purchase at the cost designated in another entity's contract, in the best interest of the City, notwithstanding any provisions of this policy to the contrary. Utilization of existing state or federal government contracts would satisfy bidding and quotation procedures under this policy with the possible exception of public improvement projects.

Where possible Department Heads are encouraged to coordinate their purchasing activities with other departments, GSA pricing outlets, and other purchasing resources in an effort to obtain the best possible price.

11. ELECTED OFFICIALS

Elected officials are prohibited from initiating a purchase on behalf of the City unless the elected official is the chair of a particular committee utilizing funds from a segregated, designated account such as an endowment or grant, which is under the authority of said committee.

12. CONFIDENTIALITY

In order to ensure one vendor does not enjoy an unfair advantage over another, employees must be careful not to disclose information regarding a vendor's prices, terms, or other information, to another vendor during the course of the bidding process. Confidentiality must be maintained during the formal bidding process and informal quotation process. All Vendor requests for information will be referred to the City Administrator.

- D. **Governing Body** means the City Council of the Issuer.
- E. **Issuer** means the City of Adel, in the County of Dallas, State of Iowa.
- F. **Rules** means Sections 103 and 141 through 150 of the Internal Revenue Code of 1986, as amended, and the U.S. Treasury Regulations promulgated thereunder.

3. EFFECTIVE DATE AND TERM

The effective date of this policy shall be the date of approval by the Governing Body, and shall remain in effect until superseded or terminated by action of the Governing Body. The Issuer shall comply with this policy upon issuance of Bonds and as long as the Bonds remain outstanding. This policy may be revised to comply with amendments to the Rules during the period the Bonds are outstanding.

4. RESPONSIBLE PARTIES

- A. The City Treasurer / Budget Clerk shall be the party primarily responsible for ensuring that the Issuer successfully carries out its tax compliance requirements under applicable provisions of the Rules with regard to all obligations of the Issuer. The City Treasurer / Budget Clerk is referred to as the "Compliance Officer" for purposes of this policy. The Compliance Officer shall be assisted by other staff and officials when appropriate and at the Compliance Officer's discretion. The Compliance Officer shall also be authorized to retain and consult with the Advisors during the time the Bonds are outstanding for assistance in carrying out post-issuance tax compliance requirements.
- B. The Compliance Officer shall be responsible for assigning post-issuance tax compliance responsibilities to other staff. The Compliance Officer shall consult Advisors or such other professional service organizations as are necessary to ensure compliance with the post-issuance tax compliance requirements of the Issuer. The Compliance Officer shall provide training and educational resources to staff responsible for ensuring compliance with any portion of the tax compliance requirements of this policy.

5. EXPENDITURE OF BOND PROCEEDS – REVIEW PROCESS

The Compliance Officer shall review the resolution authorizing issuance for each tax-exempt obligation, and shall:

- A. Obtain a computation of the yield on such issue from the Issuer's financial advisor.
- B. Create a separate Project Fund (with as many sub-funds as shall be necessary to allocate proceeds among the projects being funded by the issue) into which the proceeds of issue shall be deposited.

- C. Review all requisitions, draw schedules, draw requests, invoices and bills requesting payment from the Project Fund.
- D. Determine whether payment from the Project Fund is appropriate, and if so, make payment from the Project Fund (and appropriate sub-fund if applicable).
- E. Maintain records of the payment requests and corresponding evidence of payment.
- F. Maintain records showing the earnings on, and investment of, the Project Fund.
- G. Ensure that investments acquired with proceeds are purchased at fair market value.
- H. Identify bond proceeds or applicable debt service allocations that must be invested with a yield-restriction and monitor the investments of any yield-restricted funds to ensure that the yield on such investments does not exceed the yield to which such investments are restricted.
- I. In the event the Issuer seeks to utilize bond proceeds for costs that were incurred prior to the issuance of the Bonds, the Compliance Officer shall consult with the Advisors to ensure that such expenditures are within the sixty (60) day period prior to the date in which the Issuer made a "declaration of intent" to reimburse such costs or are preliminary expenditures under the Code. If proceeds are used for such reimbursement, a copy of the declaration of intent shall be obtained and included in the records for the Bonds if not already part of the transcript.
- J. If not otherwise provided for in the Tax Exemption Certificate executed by the officers of the Issuer at closing, the Compliance Officer shall prepare an "allocation memorandum" for each issue of Bonds that accounts for the allocation of the proceeds of the Bonds to expenditures not later than the earlier of:
 - 1) Eighteen (18) months after the later of the date the expenditure is paid, or the date the project that is financed by the Bonds is placed in service; or
 - 2) Sixty (60) days after the earlier of the fifth (5th) anniversary of the issue date of the Bonds, or the date sixty (60) days after the retirement of the Bonds.

6. RATE OF EXPENDITURE

The Compliance Officer shall ensure that the expenditure of bond proceeds will be monitored against the expenditure expectations represented in the tax exemption certificate for such bond issue to ensure that:

- A. Five percent (5%) of the net sale proceeds were spent or committed within six (6) months of the issue date.
- B. Eighty-five percent (85%) of the net sale proceeds were spent within three (3) years of the issue date; and
- C. The Issuer proceeded with due diligence to complete the project and fully spend the net sale proceeds; or
- D. One hundred percent (100%) of proceeds used for current refunding within ninety (90) days of issuance.

Failure to meet the expected expenditure expectations represented in the tax exemption certificate for such bond issue shall be documented and retained by the Compliance Officer in the records for the bond issue.

7. ARBITRAGE RULES AND REBATE REQUIREMENTS

The Compliance Officer shall review the Tax-Exemption Certificate for each tax-exempt obligation, and the expenditure records, and shall:

- A. Monitor and ensure that proceeds of each such issue are spent within the temporary period set forth in such certificate.
- B. If the "small issuer" exception does not apply (not more than \$5 million issued in a calendar year), monitor and ensure that the proceeds are spent in accordance with one or more of the applicable exceptions to rebate as set forth in such certificate (e.g. six month exception, eighteen month exception, two year "construction issue" exception).
- C. Not less than sixty (60) days prior to a required expenditure date within applicable rebate exception(s), confer with bond counsel if it appears expenditures will fail to meet the applicable temporary period or rebate exception expenditure requirements of the Tax Exemption Certificate;
- D. In the event of failure to meet a temporary period or rebate exception:
 - 1) Procure a timely computation of any rebate liability and, if rebate is due, file a Form 8038-T and arrange for payment of such rebate liability.
 - 2) Arrange for timely computation and payment of "yield reduction payments" (as such term is defined in the Code and Treasury Regulations), if applicable.

- E. Ensure that the investment of bond proceeds is made only in permitted investments of the Issuer as outlined in Iowa Code chapters 12B and 12C, and any official policy.
- F. Consult with the Advisors to ensure that the investment of bond proceeds is performed in compliance with the arbitrage rules and rebate requirements.
- G. Consult with the Advisors to identify bond proceeds that must be yield-restricted and shall monitor the investments of any yield-restricted funds to ensure that the yield on such investments does not exceed the yield to which such investments are restricted.
- H. Contact the rebate analyst (and, if appropriate, bond counsel) prior to the fifth anniversary of the date of issuance of each issue of bonds of the Issuer and each fifth anniversary thereafter to arrange for calculations and reports of the rebate requirements with respect to such bonds.
- I. If a rebate payment is required to be paid by the Issuer, the Compliance Officer shall prepare or cause to be prepared the appropriate form to be filed with the IRS (Form 8038-T).
- J. The Compliance Officer shall ensure that guaranteed investment contracts (GIC) will be purchased only using the three-bid "safe harbor" of applicable Treasury regulations, in compliance with fee limitations on GIC brokers in the regulations. The Compliance Officer shall ensure that all other investments will be purchased only in market transactions.

8. FILINGS WITH INTERNAL REVENUE SERVICE

The Compliance Officer, with assistance from bond counsel, shall ensure that each issuance of Bonds is properly reported with the Internal Revenue Service (IRS) as required by Section 149(e) of the Code. On the issue date of each series of Bonds, the Compliance Officer shall consult with the Advisors to identify the deadline to file the requisite IRS form for such issue.

If a bond issue consists of tax-exempt Bonds, the Issuer must report the tax-exempt portion on Form 8038-G or 8038-GC.

9. REPORTING THE ISSUANCE OF TAX-EXEMPT BONDS

The original issuance of a tax-exempt bond issue with an issue price of one-hundred thousand dollars (\$100,000) or greater shall be reported on Form 8038-G. The original issuance of a tax exempt bond issue with an issue price less than one-hundred thousand dollars (\$100,000) shall be reported on Form 8038-GC.

- A. Forms 8038-G and 8038-GC shall be filed by the Compliance Officer or bond counsel no later than the 15th day of the 2nd calendar month following the quarter in which the Bonds were issued.

- B. The Compliance Officer shall consult with the Advisors to ensure the Form 8038-G is accurately filled out.

10. REBATE REPORTING REQUIREMENTS

The Compliance Officer shall contact the rebate analyst prior to the 5th anniversary of the issue date on each series of Bonds and each 5th anniversary thereafter to arrange for calculations of the rebate requirements with respect to such Bonds. If a rebate payment is required to be paid, the Compliance Officer shall prepare or cause to be prepared a Form 8038-T, and submit such Form 8038-T to the IRS with the required rebate payment.

If the Issuer is authorized to recover a rebate payment previously paid, the Compliance Officer shall prepare or cause to be prepared a Form 8038-R, with respect to such rebate recovery, and submit such Form 8038-R to the IRS.

11. USE OF BOND-FINANCED PROPERTY

The Compliance Officer shall monitor the use of all bond-financed facilities in order to determine whether private business uses of bond-financed facilities have exceeded the de minimis limits set forth in Section 141(b) of the Code (generally 10% of bond proceeds) as a result of leases and subleases, licenses, management contracts, research contracts, naming rights agreements or other arrangements that provide special legal entitlements to nongovernmental persons. Prior to entering into such leases or other contracts, the Compliance Officer shall consult with bond counsel to ensure appropriate action is taken with respect to the bond-financed facilities.

To this end, the Compliance Officer shall:

- A. Maintain appropriate records and a list of all bond financed assets. Such records shall include the actual amount of proceeds (including investment earnings) spent on each of the bond financed assets.
- B. With respect to each bond financed asset, the Compliance Officer will monitor and confer with bond counsel with respect to all proposed:
 - 1) Management contracts.
 - 2) Service agreements.
 - 3) Research contracts.
 - 4) Naming rights contracts.

- 5) Leases or sub-leases.
 - 6) Joint venture, limited liability or partnership arrangements.
 - 7) Sale of property.
 - 8) Any other change in use of such asset; or
 - 9) Output contracts (including retail and wholesale requirements contracts).
- C. Maintain a copy of the proposed agreement, contract, lease or arrangement, together with the response by bond counsel with respect to the proposal for at least three (3) years after retirement of all tax-exempt obligations issued to fund all or any portion of bond financed assets, or obligations issued to refund those obligations.
- D. Provide training and educational resources to any staff member that has the primary responsibility for the operation, maintenance, or inspection of bond-financed facilities with regard to the limitations on the private business use and on the private security or payments with respect to bond-financed facilities.
- E. Ensure that no item of bond-financed property will be sold or transferred to a nonexempt party without advance arrangement of a "remedial action" under the applicable Treasury Regulations and the Compliance Officer shall consult with bond counsel prior to the sale or transfer of any bond-financed property.
- F. In the event of an action with respect to a bond financed asset, which may cause the private business tests or private loan financing test to be met, the Compliance Officer shall contact bond counsel for advice and ensure timely remedial action under IRS Regulation Sections 1.141-12.

12. ADVANCE REFUNDINGS

The Compliance Officer shall be responsible for the following current, post issuance, and record retention procedures with respect to advance refunding bonds:

- A. Identify and select bonds to be advance refunded with advice from internal financial personnel, and/or the Issuer's financial advisor.
- B. Identify, with advice from Advisors, any possible federal tax compliance issues prior to structuring any advance refunding.
- C. Review the structure with the input of the Advisors, of advance refunding issues prior to the issuance to ensure:

- 1) That the proposed refunding is permitted pursuant to applicable federal tax requirements if there has been a prior refunding of the original bond issue.
 - 2) That the proposed issuance complies with federal income tax requirements which might impose restrictions on the redemption date of the refunded bonds.
 - 3) That the proposed issuance complies with federal income tax requirements which allow for the proceeds and replacement proceeds of an issue to be invested temporarily in higher yielding investments without causing the advance refunding bonds to become "arbitrage bonds."
 - 4) That the proposed issuance will not result in the Issuer's exploitation of the difference between tax exempt and taxable interest rates to obtain a financial advantage nor overburden the tax exempt market in a way that might be considered an abusive transaction for federal tax purposes.
- D. Collect and review data related to arbitrage yield restriction and rebate requirements for advance refunding bonds. To ensure such compliance, the Compliance Officer shall engage a rebate consultant to prepare a verification report in connection with the advance refunding issuance. Said report shall ensure said requirements are satisfied.
- E. Ensure, whenever possible, the purchase of demand deposit Treasury securities from the State and Local Governmental Series ("SLGS") to size each advance refunding escrow. The financial advisor shall be included in the process of subscribing SLGS. To the extent SLGS are not available for purchase, the Compliance Officer shall, in consultation with bond counsel and the financial advisor, comply with IRS regulations.
- F. To the extent as Issuer elects to the purchase a guaranteed investment contract, the Compliance Officer shall ensure, after input from bond counsel, compliance with any bidding requirements set forth by the IRS regulations.
- G. In determining the issue price for any advance refunding issuance, the Compliance Officer shall obtain and retain issue price certification by the purchasing underwriter at closing.
- H. After the issuance of an advance refunding issue, the Compliance Officer shall ensure timely identification of violations of any federal tax requirements and engage bond counsel in attempt to remediate same in accordance with IRS regulations.

13. RECORD RETENTION

Management and retention of records related to the Issuer's bond issues shall be supervised by the Compliance Officer. Records and documents pertaining to cancellation, transfer, redemption

or replacement of Issuer bonds shall be preserved by the Issuer or its agent for a period of not less than 11 years, as set forth in Iowa Code Section 76.10. Other records shall be retained during the period in which the bonds remain outstanding (plus any refunding bonds) plus three (3) years. Records may be in the form of documents and electronic copies of documents, appropriately indexed to specific bond issues and compliance functions.

The Compliance Officer shall collect and retain the following records with respect to each issue of Bonds of the Issuer and with respect to the facilities financed with the proceeds of such Bonds:

- A. Audited financial statements of the Issuer.
- B. Appraisals, demand surveys, or feasibility studies, if any, with respect to the facilities to be financed with the proceeds of such Bonds.
- C. Publications, brochures, and newspaper articles, if any, related to the bond financing.
- D. Trustee or paying agent statements.
- E. Records of all investments and the gains (or losses) from such investments.
- F. Paying agent or trustee statements regarding investments and investment earnings.
- G. Reimbursement resolutions, if any, and expenditures reimbursed with the proceeds of such Bonds.
- H. Allocations of proceeds to expenditures (including costs of issuance) and the dates and amounts of such expenditures (including any requisitions, expenditure/draw schedules, expenditure/draw requests, invoices, bills, and cancelled checks with respect to such expenditures.
- I. Contracts entered into for the construction, renovation, or purchase of bond-financed facilities.
- J. An asset list or schedule of all bond financed depreciable property and any depreciation schedules with respect to such assets or property.
- K. Records of the purchases and sales of bond-financed assets.
- L. Private business uses of bond-financed facilities that arise subsequent to the date of issue through leases and subleases, licenses, management contracts, research contracts, naming rights agreements, or other arrangements that provide special legal entitlements to nongovernmental persons and copies of any such agreements or instruments; arbitrage rebate

reports and records of rebate and yield reduction payments, if any; resolutions or other actions, if any, taken by the Governing Body subsequent to the date of issue with respect to such Bonds.

- M. Formal elections authorized by the Code or Treasury Regulations that are taken with respect to such Bonds.
- N. Relevant correspondence relating to such Bonds.
- O. Documents related to guaranteed investment contracts or certificates of deposit, credit enhancement transactions, and financial derivatives entered into subsequent to the date of issue.
- P. Copies of any and all forms filed with the IRS for each series of Bonds including, as applicable, Form 8038-G, Form 8038-GC.
- Q. The official transcript prepared by bond counsel with respect to each series of Bonds of the Issuer.

14. IDENTIFICATION OF VIOLATIONS AND CORRECTIONS

If, during the period the Bonds remain outstanding, it is determined that a violation of federal tax requirements has occurred, the Compliance Officer shall immediately consult with the Advisors to ensure that corrective or remedial action is taken. In consultation with bond counsel, the Compliance Officer shall become acquainted with the remedial actions under Treasury Regulations, Section 1.141-12, to be utilized in the event that private business use of bond-financed facilities exceeds the de minimus limits under Section 141 (b)(1) of the Code. In consultation with bond counsel, the Compliance Officer shall become acquainted with the Tax Exempt Bonds Voluntary Closing Agreement Program, described in Notice 2008-31, 2008-11 I.R.B. 592, to be utilized as a means for an issuer to correct any post-issuance infractions of the Rules with respect to its outstanding Bonds.

15. CONTINUING DISCLOSURE OBLIGATIONS

In addition to its post-issuance compliance requirements under applicable provisions of the Rules, the Issuer has agreed to provide continuing disclosure, such as annual financial information and event notices, pursuant to a continuing disclosure certificate or similar document (the "Continuing Disclosure Certificate") prepared by bond counsel and made a part of the transcript with respect to each issue of Bonds of the Issuer that is subject to such continuing disclosure requirements. The Continuing Disclosure Documents shall be executed by the Issuer to assist the underwriters of the Issuer's Bonds in meeting their obligations under Securities and Exchange Commission Regulation, 17 C.F.R. Section 240.15c2-12, as in effect and interpreted from time to time ("Rule 15c2-12"). The continuing disclosure obligations of the Issuer shall be

governed by the Continuing Disclosure Certificate and by the terms of Rule 15c2-12. The Compliance Officer shall be primarily responsible for undertaking such continuing disclosure obligations and to monitor compliance with such obligations.

16. OTHER POST-ISSUANCE ACTIONS

If, in consultation with the Advisors, the Compliance Officer determines that any additional action not identified in this policy must be taken by the Compliance Officer to ensure the continuing tax-exempt status or "qualified" status of any issue of the Issuer's Bonds, the Compliance Officer shall take such action if the Compliance Officer has the authority to do so. If, after consultation with the Advisors, the Compliance Officer determines that this policy shall be amended or supplemented to ensure the continuing tax-exempt status or "qualified" status of any issue of the Issuer's Bonds, the Compliance Officer shall follow the appropriate Issuer policy that this document be so amended or supplemented.

17. TAXABLE GOVERNMENTAL BONDS

Most of the provisions of this policy, other than the provisions Continuing Disclosure Obligations subsection of this policy, are not applicable to governmental Bonds the interest on which is includable in gross income for federal income tax purposes (i.e. "taxable governmental Bonds"). If an issue of taxable governmental Bonds is later refunded with the proceeds of an issue of tax-exempt governmental Bonds, then the uses of the proceeds of the taxable governmental Bonds and the uses of the facilities financed with the proceeds of the taxable governmental Bonds shall be relevant to the tax-exempt status of the refunding Bonds. Therefore, if there is any reasonable possibility that an issue of taxable governmental Bonds may be refunded, in whole or in part, with the proceeds of an issue of tax-exempt governmental Bonds then, for purposes of this policy, the Compliance Officer shall treat the issue of taxable governmental Bonds as if such issue were an issue of tax-exempt governmental Bonds and shall carry out and comply with the requirements of this policy with respect to such taxable governmental Bonds. The Compliance Officer shall seek the advice of bond counsel as to whether there is any reasonable possibility of issuing tax-exempt governmental Bonds to refund an issue of taxable governmental Bonds.

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Section:	1. Financial		
Title:	Unassigned General Fund Balance Policy		
Effective Date:	March 2012	Resolution No.	11-59
(Revisions)	November 12, 2013 – Council Approval		N/A
Policy Number:	1.05.01		

1. PURPOSE

The purpose of this policy is to establish a formal policy applying acceptable conditions for the application of the City’s Unassigned General Fund (UGF) Balance pursuant to the Governmental Accounting Standards Board (GASB) Statement #54. This policy provides an effective financial management tool to realize optimal utilization of the City’s resources, stabilize the City’s levy rate, and continue to provide a satisfactory level of municipal services to residents and businesses.

2. DEFINITIONS

- A. **Fund Balance** measures the net financial resources available to finance expenditures of future periods.
- B. The **General Fund** is the general operating fund of the City. It is used to account for all financial resources except those specifically accounted for in other funds.
- C. The **Unassigned General Fund (UGF) Balance**, is also commonly referred to as the Unreserved / Undesignated Fund or Contingency Fund. The UGF Balance is the residual classification used for reporting those funds currently existing within the General Fund that are not restricted, committed or assigned. The UGF Balance may only be assigned by the City Council of the City of Adel, Iowa.
- D. The **Restricted Fund Balance** includes amounts that can be spent only for the specific purposes stipulated by constitution, external resource providers, or through enabling legislation.
- E. The **Committed Fund Balance** classification includes amounts that can be used only for the specific purposes determined by a formal action of the government’s highest level of decision-making authority.

- F. The **Assigned Fund Balance** is intended to be used by the City for specific purposes, but do not meet the criteria to be classified as restricted or committed. In governmental funds other than the general fund, assigned fund balance represents the remaining amount that is not restricted or committed.
- G. The **Annual General Fund Surplus** is the sum of all general fund operating income less all general fund operating expenses, (the “operating surplus”) that occurs during a particular fiscal year.

3. **POLICY**

In order to preserve the City’s working capital and to enable appropriate future responses to unforeseen events requiring timely access to funds, it is the policy of the City to maintain an appropriate Unassigned General Fund (UGF) balance. In determining the acceptable range for the UGF balance, the City will consider the historical stability of the its revenues, expenditures, levy rate, timing of revenue collections in relation to payments made, anticipated growth, and statutory changes the State implements for municipal aid and taxes.

A. Unassigned General Fund Balance Range

- 1) The City seeks to maintain its UGF balance at a minimum of 25% and a maximum of 35% of the total annual General Fund Budget.
- 2) To maintain the City’s UGF balance within this defined range, the City shall:
 - a. Abstain from using funds from the UGF balance to provide for a balanced annual operating budget.
 - b. In the event the UGF exceeds the maximum UGF, the City may use the excess to lower the general fund levy, so long as the City does not expect the UGF, at the time of budget adoption, to fall below the maximum UGF.
 - c. Apply any operational surplus at the end of the fiscal year first to the City’s UGF balance to meet the policy minimum.
 - d. Apply any general funds in excess of this policy’s maximum level for the UGF balance to one or more of the Levy Stabilization Fund, Emergency Reserve Fund, Capital Expenditure Reserve Fund, or other such fund as designated by the City Council.

B. Unassigned General Fund Balance Appropriation and Utilization

- 1) Any appropriation from the UGF balance aside from those listed in section II(A)(2)(d) requires a majority affirmative vote of the full City Council, by resolution of the City Council of the City of Adel.
- 2) The City Administrator and Budget and Finance Committee will annually review the status of the UGF balance and recommend to the City Council appropriate action as necessary.
- 3) Amendments and modifications of the committed unassigned general fund balance must be approved by Resolution of the City Council of the City of Adel.
- 4) In circumstances where an expenditure is to be made for a purpose for which amounts are available in multiple budget categories within the same fund, the order in which resources will be expended is as follows: restricted fund balance; committed fund balance; assigned fund balance, and lastly, unassigned fund balance.

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Section: 1. Financial

Title: Investment Policy

Effective Date: August 2006 **Resolution No.** 06-44
(Revisions) November 12, 2013 – Council Approval N/A

Policy Number: 1.06.01

1. PURPOSE

The purpose of this policy is to set out rules and regulations governing the City of Adel’s investments and investing procedures.

2. SCOPE OF INVESTMENT

- A. The Investment Policy of the City of Adel shall apply to all operating funds, bond proceeds and other funds and all investment transactions involving operating funds, bond proceeds and other funds accounted for in the financial statements of the City of Adel. Each investment made pursuant to this Investment Policy must be authorized by applicable law and this written Investment Policy.
- B. The investment of bond funds or sinking funds shall comply not only with this investment policy, but also be consistent with any applicable bond resolution.
- C. This Investment Policy is intended to comply with Iowa Code Chapter 12B or subsequent Code references.
- D. Upon passage and upon future amendment, if any, copies of this Investment Policy shall be delivered to all of the following:
 - 1) The governing body or officer of the City of Adel to which Investment Policy applies.
 - 2) All depository institutions of fiduciaries for public funds of the City of Adel.
 - 3) The auditor engaged to audit any fund of the City of Adel.

3. DELEGATION OF AUTHORITY

- A. In accordance with Section 12B.10(1) of the Code of Iowa, the responsibility for conducting investment transactions resides with the Clerk/Treasurer of the City of Adel. Only the Clerk/Treasurer and those authorized by ordinance or resolution may invest public funds and a copy of any empowering ordinance or resolution shall be attached to this Investment Policy.
- B. All contracts or agreements with outside persons investing public funds, advising on the investment of public funds, directing the deposit or investment of public funds or acting in a fiduciary capacity for the City of Adel shall require the outside person to notify in writing the City of Adel within thirty days of receipt of all communication from the Auditor of the outside person or any regulatory authority of the existence of a material weakness in internal control structure of the outside person or regulatory orders or sanctions regarding the type of services being provided to the City of Adel by the outside person.
- C. The records of investment transactions made by or on behalf Adel are public records and are the property of the City of Adel whether in the custody of the City of Adel or in the custody of a fiduciary or other third party.
- D. The Clerk/Treasurer shall establish a written system of internal controls and investment practices. The controls shall be designed to prevent losses of public funds, to document those officers and employees of the City of Adel responsible for elements of the investment process and to address the capability of investment management. The controls shall provide for receipt and review of the audited financial statement and related report on internal control structure of all outside persons performing any of the following for this public body:
 - 1) Investing public funds.
 - 2) Advising on the investment of public funds.
 - 3) Directing the deposit or investment of public funds.
 - 4) Acting in a fiduciary capacity of this public body.
- E. A Bank, Savings and Loan Association or Credit Union providing only depository services shall not be required to provide an audited financial statement and related report on internal control structure.
- F. The Clerk/Treasurer of Adel and all employees authorized to place investments shall be bonded in the amount of \$25,000.00.

4. GOALS OF INVESTMENT POLICY

The primary goals, in order of priority, of all investment activities involving the financial assets of the City shall be the following:

- A. **Safety:** Safety of principal in the overall portfolio is the first priority.
- B. **Liquidity:** Maintaining the necessary liquidity to match expected liabilities are the second priority.
- C. **Return:** Obtaining a reasonable return is the third priority.

5. PRUDENCE

- A. The Clerk/Treasurer of Adel, when investing or depositing public funds, shall exercise the care, skill prudence and diligence under the circumstances then prevailing that a person acting in a like capacity and familiar with such matters would use to attain the Section 4 investment goals. The standard requires that when making investment decisions, the Clerk/Treasurer shall consider the role that the investment or deposit plays within the portfolio of the assets of the City of Adel and the investment goals stated in Section 4.
- B. When investing assets of the City of Adel for a fixed period, the Clerk/Treasurer shall request competitive investment proposals for comparable credit and term investments from all authorized named depositories. The highest bid shall determine the placements of funds. If a depository holds the funds presently, and the bid is equal to another depository, the funds shall remain with the present depository.

6. INSTRUMENTS ELIGIBLE FOR INVESTMENT

Assets of the City may be invested in the following:

- A. Interest bearing savings accounts, interest bearing money market accounts, and interest bearing checking accounts at any bank, savings and loan association or credit union in the State of Iowa. Each bank must be on the most recent Approved Bank List as distributed by the Treasurer of the State of Iowa or as amended as necessary by notice inserted in the monthly mailing by the Rate Setting Committee. Each financial institution shall be properly declared as a depository by the governing body of the City of Adel. Deposits in any financial institution shall not exceed the amount approved by the governing body in the Depository Resolution.
- B. Obligations of the United States government, its agencies and instrumentalities.

- C. Certificates of deposit and other evidences of deposit at federally insured Iowa Depository approved and secured pursuant to Chapter 12C of the Code of Iowa or subsequent Code references.
- D. Iowa Public Agency Investment Trust (IPAIT)

All instruments eligible for investment are further qualified by all other provisions of this Investment Policy, including Section 8, investment maturity limitations, and Section 9, diversified requirements.

7. PROHIBITED INVESTMENTS AND INVESTMENT PRACTICES

Assets of the City shall not be invested pursuant to the following investment practices:

- A. Reverse repurchase agreements.
- B. Futures and options contracts.
- C. Trading of securities for speculation or the realization of short-term trading gains.
- D. Pursuant to a contract providing for the compensation of an agent or fiduciary based upon the performance of the invested assets.
- E. If a fiduciary or other third party with custody of public investment transaction records of the City of Adel fails to produce requested records within a reasonable time, the City of Adel shall make no new investment with or through the fiduciary or third party and shall not renew maturing investments with or through the fiduciary or third party.

8. INVESTMENT MATURITY LIMITATIONS

- A. Operating Funds must be identified and distinguished from all other funds available for investment. Operating Funds are defined as those funds which are reasonably expected to be expended during a current budget year or within fifteen months of receipt.
- B. All investments authorized in Section 6 are further subject to the following investment maturity limitations:
 - 1) Operating Funds may only be invested in instruments authorized in Section 6 of this Investment Policy that mature within three hundred ninety-seven (397) days.

- 2) The Clerk/Treasurer may invest funds of the City of Adel that are not identified as Operating Funds in investments with maturities longer than three hundred ninety-seven (397). However, all investments of the City of Adel shall have maturities that are consistent with the needs and use of the City of Adel.

9. DIVERSIFICATION

Where possible, it is the policy of the City of Adel to diversify its investment portfolio. Assets shall be diversified to eliminate the risk of loss resulting from over concentration of assets in a specific maturity, a specific issuer, or a specific class of securities. In establishing specific diversification strategies, the following policies and constraints shall apply:

- A. Portfolio maturities shall be staggered in a way that avoids undue concentration of assets in a specific maturity sector. Maturities shall be selected which provide stability of income and reasonable liquidity.
- B. Liquidity practices to ensure that the next disbursement date and payroll date are covered through maturing investments, marketable U.S. Treasury bills or cash on hand shall be used at all times.
- C. Risks of market price volatility shall be controlled through maturity diversification so that aggregate price losses on instruments with maturities approaching one year shall not be greater than coupon interest and investment income received from the balance of the portfolio.

10. SAFEKEEPING AND CUSTODY

- A. All invested assets of the City of Adel involving the use of a public funds custodial agreement, as defined in Section 12B.10 of the Code of Iowa, shall comply with all rules adopted pursuant to Section 12B.10C of the Code of Iowa. All custodial agreements shall be in writing and shall contain a provision that all custodial services be provided in accordance with the laws of the State of Iowa.
- B. All invested assets of the City of Adel eligible for physical delivery shall be secured by having them held at a third party custodian. All purchased investments shall be held pursuant to a written third party custodial agreement requiring delivery versus payment and compliance with all rules set out elsewhere in Section 10 of this Investment Policy.

11. ETHICS AND CONFLICT OF INTEREST

The Clerk/Treasurer and all officers and employees of the City of Adel involved in the investment process shall refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair their ability to make impartial investment decisions.

12. REPORTING

The Clerk/Treasurer shall submit monthly an investment report. The investment report shall set out the current portfolio in terms of maturity, rates of return and other features and summarize all investment transactions that have occurred during the reporting period.

13. INVESTMENT POLICY REVIEW AND AMENDMENT

This Investment Policy shall be reviewed every two (2) years or more frequently as appropriate. Notice of amendments to the Investment Policy shall be promptly given to all parties noted in Section 2.

methods it provides to access its Accounts, and its previous experiences with Identity Theft. The Utility identifies the following Red Flags, in each of the listed categories:

A. Notifications and Warnings from Consumer Reporting Agencies or Local Law Enforcement

- 1) Receiving a report or notice from a consumer reporting agency.
- 2) Receiving a report of fraud with a consumer report or local law enforcement.
- 3) Receiving indication from a consumer report of activity that is inconsistent with a customer's usual pattern or activity.

B. Suspicious Documents

- 1) Provided documents that are for identification that appear to be forged or altered.
- 2) Documentation on which a person's photograph or physical description is not consistent with the person presenting the documentation.
- 3) Documentation with information that is not consistent with existing customer information (such as if a person's signature on a check appears forged).
- 4) Receiving an application for service that appears to have been altered or forged.
- 5) A person's identifying information is inconsistent with other sources of information (such as an address not matching an address on a consumer report or a SSN that was never issued).
- 6) A person's identifying information is inconsistent with other information the customer provides (such as inconsistent SSNs or birth dates).
- 7) A person's identifying information is the same as shown on other applications found to be fraudulent.
- 8) A person's identifying information is consistent with fraudulent activity (such as an invalid phone number or fictitious mailing address).
- 9) A person's SSN is the same as another customer's SSN.
- 10) A person's address or phone number is the same as that of another person.
- 11) A person fails to provide complete personal identifying information on an application when reminded to do so.

12) A person's identifying information is not consistent with the information that is on file for the customer.

C. Unusual Use Of or Suspicious Activity Related to an Account.

- 1) A change of address for an Account followed by a request to change the Account holder's name.
- 2) An account being used in a way that is not consistent with prior use (such as late or no payments when the Account has been timely in the past).
- 3) Mail sent to the Account holder is repeatedly returned as undeliverable.
- 4) The Utility receives notice that a customer is not receiving his paper statements.
- 5) The Utility receives notice that an Account has unauthorized activity.
- 6) Breach in a Utility's computer system.
- 7) Unauthorized access to or use of customer Account information.

D. Notice regarding possible identity theft.

- 1) The Utility receives notice from a customer, an identity theft victim, law enforcement or any other person that it has opened or is maintaining a fraudulent Account for a person engaged in Identity Theft.

3. DETECTION OF RED FLAGS

A. In order to detect any of the Red Flags identified above with the opening of a new Account, Utility personnel will take the following steps to obtain and verify the identity of the person opening the Account:

- 1) All applications shall be made in person.
- 2) Require the following identifying information: name, date of birth, residential or business address, principal place of business for an entity, government issued picture identification.
- 3) Request SSN and driver's license number at time of application.
- 4) Verify with landlord the identity of the tenant.
- 5) Verify the customer's identity by copying and reviewing a driver's license or other identification card.

- 6) Review documentation showing the existence of a business entity
 - 7) Independently contact the customer if necessary.
 - 8) Account changes require proof of identity.
 - 9) Name changes including those caused by marriage and/or divorce require documentation to be brought in for proof.
- B. In order to detect any of the Red Flags identified above for an existing account, Utility personnel will take the following steps to monitor transactions within an account:
- 1) Verify the identification of customers if they request information (in person, via telephone, via facsimile, via email).
 - 2) Verify the validity of requests to change billing addresses.
 - 3) Verify changes in banking information given for billing and payment purposes.

4. PREVENTING AND MITIGATING IDENTITY THEFT

- A. In the event Utility personnel detect any identified Red Flags, such personnel shall take one or more of the following steps, depending on the degree of risk posed by the Red Flag:
- 1) Continue to monitor an Account for evidence of Identity Theft.
 - 2) Contact the customer.
 - 3) Change any passwords or other security devices that permit access to Accounts.
 - 4) Terminate services.
 - 5) Not open a new Account.
 - 6) Close an existing Account.
 - 7) Notify law enforcement.
 - 8) Determine that no response is warranted under the particular circumstances.
 - 9) Notify the Program Administrator (as defined below) for determination of the appropriate step(s) to take.

- B. In order to further prevent the likelihood of identity theft occurring with respect to Utility accounts, the Utility will take the following steps with respect to its internal operating procedures:
- 1) Privacy Officers will be the Utility Account Specialist and Finance Director.
 - 2) Each workstation will make sure the computer monitor is turned so that customers at the counter cannot see private information.
 - 3) All computers are password protected and logged off when not in use.
 - 4) Password-activated screen savers will be used to lock employee computers after a period of inactivity.
 - 5) Passwords will not be shared or posted near workstations.
 - 6) Private information is stored in locked files until the account is inactive for at least one year at which time it will be shredded.
 - 7) Application and service changes are required to be made in person.
 - 8) The utility office is set up so non employees cannot access the computers or trash to obtain information illegally.
 - 9) Private information is kept under lock and key.
 - 10) Only specially identified employees with a legitimate need will have access to the key.
 - 11) Employees maintain a "Clean Desk Policy" which means when the employee is going to be away from the desk paperwork will be removed from the desk or put into a locked file.
 - 12) The use of laptops is restricted to those employees who need them to perform their jobs.
 - 13) Laptops are stored in a secure place.
 - 14) Laptop users will not store sensitive information on their laptops.

5. UPDATING THE PROGRAM AND THE RED FLAGS

This Program will be periodically reviewed and updated to reflect changes in risks to customers and the soundness of the Utility from Identity Theft. At least yearly the Program Administrator will consider the Utility's experiences with Identity Theft situation, changes in Identity Theft methods, changes in Identity Theft detection and

prevention methods, changes in types of Accounts the Utility maintains and changes in the Utility's business arrangements with other entities. After considering these factors, the Program Administrator will determine whether changes to the Program, including the listing of Red Flags, are warranted. If warranted, the Program Administrator will present the City Council with his or her recommended changes and City Council will make a determination of whether to accept, modify or reject those changes to the Program.

6. PROGRAM ADMINISTRATION

A. Oversight

The Utility's Program will be overseen by a Program Administrator. The Program Administrator shall be the Director of Public Works and/or the City Administrator. The Program Administrator will be responsible for the Program's administration, for ensuring appropriate training of Utility staff on the Program, for reviewing any staff reports regarding the detection of Red Flags and the steps for preventing and mitigating Identity Theft, determining which steps of prevention and mitigation should be taken in particular circumstances, reviewing and, if necessary, approving changes to the Program.

B. Staff Hiring and Training

Utility staff responsible for implementing the Program shall be trained either by or under the direction of the Program Administrator in the detection of Red Flags, and the responsive steps to be taken when a Red Flag is detected. Special procedures will be followed when hiring new employees who would have access to the customer accounts:

- 1) Check references or do background checks before hiring employees who will have access to sensitive data.
- 2) New employees sign an agreement to follow our confidentiality and security standards for handling sensitive data.
- 3) Access to customer's personal identifying information is limited to the employees who need to know.

C. Service Provider Arrangements

In the event the Utility engages a service provider to perform an activity in connection with one or more Accounts, the Utility will take the steps to ensure the service provider performs its activity in accordance with reasonable policies and procedures designed to detect, prevent, and mitigate the risk of Identity Theft.

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Section:	1. Financial		
Title:	Code of Conduct – Federal Grant Funds		
Effective Date:	September 10, 2013 – Council Approval	Resolution No.	N/A
(Revisions)	November 12, 2013 – Council Approval		N/A
Policy Number:	1.08.01		

1. PURPOSE

The purpose of this Code of Conduct is to ensure the efficient, fair and professional administration of federal grant funds in compliance with 24 CFR; Part 85 (85.36(b)(3)) and other applicable federal and state standards, regulations, and laws.

2. APPLICATION

This Code of Conduct applies to all officers, employees or agents of the City of Adel engaged in the award or administration of contracts supported by federal grant funds.

3. REQUIREMENTS

A. No officer, employee or agent of the City of Adel shall participate in the award, selection 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:

1. The employee, officer, or agent;
2. Any member of his/her immediate family;
3. His/her partner; or
4. An organization which employs, or about to employ any of the above or has a financial or other interest in the firm selected for award.

B. The City of Adel's officers, employees, or agents shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, potential contractors or subcontractors.

4. REMEDIES

To the extent permitted by federal, state or local laws or regulations, violation of these standards may cause penalties, sanctions, or other disciplinary actions to be taken against the City of Adel's officers, employees, or agents, or the contractors, potential contractors, subcontractors, or their agents.

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Section: 2. Human Resources

Title: Return to Work Program

Effective Date: November 12, 2013 – Council Approval **Resolution No.** N/A
(Revisions)

Policy Number: 2.01.01

1. PURPOSE

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

- A. To return employees who are injured on the job to work as soon as possible when there is not risk of substantial harm to themselves or others.
- B. To minimize financial hardship and emotional stress to the employee who has sustained a work-related injury.
- C. To assist employees in returning to work at a level as close as practicable to his / her pre-injury earnings and productivity.
- D. To retain qualified and experienced employees.
- E. To reduce the cost of the City’s disability benefit programs.

2. POLICY

After reading this policy, the employee must complete the **Return to Work Acknowledgement Form**.

- A. It is the policy of the City of Adel to provide modified or alternate work, if available, for employees injured on the job, who are unable to temporarily or permanently return to their regular job classifications. Regular, modified, and alternate work will be provided as available consistent with the provisions of the **Americans with Disabilities Act (ADA)** and **Iowa Workers’ Compensation Act**.

- B. The City of Adel will make reasonable accommodations for a qualified disability unless the accommodations would impose an undue hardship on the employer; however, the disabled employee must be able to perform the essential functions of the job with or without reasonable accommodation.
- C. The feasibility of reasonable accommodations shall be determined on a case-by-case basis taking into consideration the employee, the specific physical or mental impairment, the essential functions of the job, the work environment, and the ability to provide accommodations.

3. LIGHT DUTY WORK ELIGIBILITY

- A. Temporary light duty assignments may be made for employees with work-related injuries or illnesses that are covered by Workers' Compensation. Eligibility for light duty is limited to employees for whom the assignment would be a progressive step in their return to work.
- B. The Employer does not guarantee the availability of light duty work. In addition, employees on light duty are not guaranteed the rate of pay they received for the position they held at the time they sustained their work-related injury or illness. The pay rate for a light-duty assignment shall be based on the knowledge, skills, and abilities required for the job, as well as general labor market conditions. Employees who return to work in light-duty positions before they have reached maximum medical improvement may be eligible for temporary partial disability benefits under Workers' Compensation if they earn less than they earned in the position held at the time they sustained the work-related accident or illness. Employees in light-duty positions are not permitted to supplement their Workers' Compensation benefits by using their accrued vacation, personal, or medical/sick leave.
- C. An employee with a job-related injury or illness who refuses a light duty assignment may lose Workers' Compensation payments.

4. DURATION OF LIGHT DUTY

Assignment of light duty tasks within an employee's medical restrictions is intended to be for a temporary duration determined by the Employer. Light duty assignments will normally not exceed 12 weeks. Light duty assignments will be documented with a list of the functions assigned and the duration of the assignment. Temporary light duty assignments are not intended to become regular assignments.

5. MEDICAL CERTIFICATION

Before assigning temporary light duty, the Employer will require medical certification from the employee's physician or other City's health care provider that the employee is unable to perform his or her normal job duties within medical restrictions, and that the employee is able to perform the proposed light duty assignment within medical restrictions. At the conclusion of the light duty assignment, the Employer may require fitness-for-duty medical certification to determine whether the employee is able to return to his or her normal job duties.

6. RETURN TO WORK AFTER LIGHT DUTY

If, at the end of the temporary light duty assignment, the employee is able to perform his or her normal job duties without posing significant risk of harm to his or her health or the safety or health of others, the employee may return to his or her normal position. If, at the end of the temporary light duty assignment, the employee is not able to perform his or her normal job duties without posing significant risk of harm to his or her health or the health or safety of others, the Employer will review the employee's medical condition and determine whether the individual is a qualified individual with a disability and whether the employee's work restrictions can be reasonably accommodated to allow the employee to return to work. If no reasonable accommodation is available to return the employee to his or her previous position, the Employer will then consider transferring the employee to a vacant position for which the employee is qualified. If nothing suitable is available, the employee may be terminated.

7. RESPONSIBILITIES OF THE EMPLOYEE

- A. The laid off employee is responsible for notifying the City Clerk or City Administrator of any changes to his / her current mailing address. Job vacancy notices will be mailed to the last address shown on the City of Adel records.
- B. To determine appropriateness of job assignment, the employee who is unable to return to work without restriction is responsible for keeping his department head (or the department head's designee) informed of the status of the employee's medical condition.
- C. If the employee rejects any assignment which is compatible with medical restrictions, the employee shall not be compensated by the City of Adel or the City of Adel's workers' compensation carrier with temporary, partial, temporary total or healing period benefits during the period of refusal (**Code of Iowa, Section 85.53**).
- D. The employee assumes responsibility for contacting the City Clerk to apply for a bid on available jobs.

8. QUESTIONS AND ANSWERS ABOUT WORKERS' COMPENSATION

A. What do I do if I am injured on the job?

Notify your supervisor immediately. Your supervisor will then evaluate the situation and either transport you to Iowa Methodist Occupational Health & Wellness or direct you to a clinic on your own, depending on the severity of the injury. Your immediate medical attention is the first priority.

B. Where do I go for medical treatment?

Iowa Methodist Occupational Health & Wellness Lakeview Medical Park 6000 University Ave. Suite 124 West Des Moines, IA 50266 (515) 241-2020	Dallas County Hospital 610 10 th Street Perry, IA 50220 (515) 465-3547	Mercy Adel Medical Center 1120 Greene Street Adel, IA 50003 (515) 993-4656
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After hours emergencies should be treated at Iowa Methodist Occupational Health. If not an emergency, employees should make an appointment with a doctor at one of these facilities.

C. Do I have to complete an Employee Injury or Illness Notification Form?

Yes. Your supervisor should sit down with you and complete this report within 24 hours of the injury. This report is then sent to the City Clerk or City Administrator and used to complete the **Iowa Workers' Compensation – First Report of Injury or Illness**. Please be as detailed as possible in how the accident/injury occurred, including any equipment involved and body parts affected.

D. What types of injuries are covered by workers' compensation?

In Iowa, "injury" is defined very broadly to include any health impairment arising out of and in the course of employment. An employee is not entitled to benefits for a pre-existing injury or disease unless it is aggravated, or worsened, by the employment.

E. Can I choose my own medical care?

No. The City provides medical care reasonably suited to treat the employee's injury, and has the right to choose the medical care. If you are dissatisfied with the care offered, you should discuss the problem with the City Clerk, the City Administrator, or the City's insurance carrier.

F. What if I choose to go to my own family doctor?

You must realize that if you have a work related injury, your health insurance through the City will not cover your visit unless it is later decided not to be work related. You must go to the clinic provided by the City. If you choose to do otherwise, you may end up paying for the cost of the appointment.

G. What if I am injured severely and need to be transported by ambulance?

If an ambulance is needed to transport you to the emergency room, the City will allow you to be transported to the facility of your choice. If you are not able to make a decision, the ambulance personnel will take you to the ER best suited to treat the injury, depending on proximity and availability.

H. Do I get paid for my lost time from work if the doctor says I can't go back to work?

Workers' compensation will pay benefits if an injury results in more than three calendar days of disability. There is a three-day waiting period and benefits will begin on the fourth day and continue until the employee has returned to work. The three-day waiting period will be paid by the City and charged to accrued sick leave. The three day waiting period becomes payable by workers' compensation insurance if the disability period exceeds fourteen calendar days.

During the leave, the city pays you your full wage or salary less any amounts paid to you by workers' compensation insurance for lost time, unless a union agreement states otherwise, which will be charged to your accrued sick leave.

3. DEFINITION OF UNACCEPTABLE CONDUCT

While it is not possible to list all those additional circumstances that may constitute sexual harassment, the following are some examples of conduct that if unwelcome, may constitute sexual harassment depending upon the totality of the circumstances, including the severity of the conduct and its pervasiveness:

A. Unacceptable Behavior:

- 1) Sexual propositions
- 2) Inquiries into one's sexual experiences or discussions of one's sexual activities
- 3) Uninvited and offensive touching, pinching, brushing against the body
- 4) Coercing sexual assault.

B. Unacceptable Verbal Harassment:

- 1) Sexual epithets, jokes, whistling, oral references to sexual conduct
- 2) Gossip regarding one's sex life
- 3) Comment on an individual's body and comment about an individual's sexual activity, deficiencies, or prowess
- 4) Making crude, lewd, demeaning or derogatory remarks, or slurs

C. Unacceptable Non-Verbal Harassment:

- 1) Leering, making obscene gestures
- 2) Displaying sexually suggestive objects, pictures or cartoons

4. POLICY

- A. This policy sets forth our goal of promoting a workplace that is free of sexual harassment. The policy is not designed or intended to limit our authority to discipline or take remedial action for workplace conduct that we deem unacceptable, regardless of whether that conduct satisfied the definition of sexual harassment.

- B. Sexual harassment of employees occurring in the workplace or in other settings in which employees may find themselves in connection with their employment is unlawful and will not be tolerated by the City of Adel.
- C. Further, any retaliation against an individual who has complained about sexual harassment or retaliation against individuals for cooperating with an investigation of a sexual harassment complaint is similarly unlawful and will not be tolerated by the City of Adel.

Any proposed changes or exceptions to this policy shall be made by written request to the City Administrator justifying need, proposed solution and effective dates of changes.

5. NON-RETALIATION

All employees should have no doubt that, as stated previously, retaliation against an individual who has complained about sexual harassment, and retaliation against individuals for cooperating with an investigation of a sexual harassment complaint is unlawful and will not be tolerated by the City of Adel.

6. COMPLAINT PROCEDURE

- A. If any of our employees believes that he or she has been subjected to sexual harassment, the employee has the right to file a complaint. This may be done in writing or orally.
- B. This policy designates more than one person to whom an employee may report sexual harassment. Any employee may report offensive behavior to their supervisor, department director, or directly to the City Administrator. Supervisors or department directors shall immediately report any sexual harassment complaint received to the City Administrator.
- C. Alternative reporting is available to the employee when a supervisor or someone “in charge” uses that management position to demand sexual favors or to create a discriminatorily hostile environment. In this situation, the employee may bypass their supervisor to register a complaint.
- D. To file a complaint or for alternate reporting, contact the Chair of the Personnel Committee; this person is also available to discuss any concerns any employee may have and to provide information about the policy on sexual harassment and the complaint process. The process does not cost the employee unpaid time or days off to deal with the problem, or any fees.

7. SEXUAL HARASSMENT INVESTIGATION

- A. When a sexual harassment complaint is reported, the City Administrator, Chair of the Personnel Policy Committee, or the Chief of Police for the police department, will promptly investigate the allegation in a fair and expeditious manner.

B. Confidentiality

- 1) The investigation will be conducted in such a way as to maintain confidentiality to the extent practicable under the circumstances.
- 2) The investigation will include a private interview with the person filing the complaint and with witnesses. An interview with the person alleged to have committed sexual harassment will also be conducted.
- 3) When the investigation has been completed, the investigators will, to the extent appropriate, inform the person filing the complaint and the person alleged to have committed the unacceptable conduct, of the results of that investigation.

C. If it is determined that inappropriate conduct has occurred, action will be taken by management to promptly eliminate the offending conduct and follow-up afterward to make sure behavior has changed, and protect the employee from retaliation.

8. DISCIPLINARY ACTION

- A. If it is determined that inappropriate conduct has been committed by any City employee, the applicable department director will take such action as is appropriate under the circumstances.
- B. Such action may range from counseling to termination from employment, and may include other forms of disciplinary action as deemed appropriate under the circumstances.

9. SUPERVISOR'S DUTY OF CARE

- A. The supervisor is charged with maintaining a productive, safe work environment and this includes preventing a discriminatorily offensive environment.
- B. All supervisors have a duty to accomplish equal opportunity.
- C. Everyone "in charge" has a special Duty of Care to talk and act on a higher standard. They should not be involved in sexual touching, romantic advances, comments, or joking about sex, race, religion, age, ethnicity, sexual orientation, disability, or other state or federal equal employment opportunity categories.

City of Adel
Manual of Policy and Procedure

Section: 2. Human Resources

Title: Cellular Telephone Policy

Effective Date: April 10, 2012 **Resolution No.** 12-15
(Revisions) November 12, 2013 – Council Approval N/A

Policy Number: 2.03.01

1. PURPOSE

The purpose of this policy is to establish standards and procedures for the procurement and use of cellular telephone technology.

2. POLICY

It is the policy of the City of Adel to provide staff with the essential tools and equipment necessary to safely and effectively carry out their responsibilities within the scope of the City's mission.

3. ASSIGNMENT OF CELLULAR TELEPHONES

A. The City Administrator and Chief of Police are responsible for determining which of their management and direct report staff shall be assigned a City owned cellular telephone in accord with this policy.

B. Criteria to determine who shall be assigned a cellular phone includes, but is not limited to, the following:

- 1) Management and supervisors with decision making authority who may be contacted outside of customary and normal business hours.
- 2) Employees who are regularly or semi-regularly away from a land line and are required to maintain open lines of communication with a supervisor, administration, other agencies or the public.
- 3) Any other situation in which assignment of a cellular telephone will enhance organizational efficiency and effectiveness.

- 4) Prior to determining whether or not a cellular phone will be provided, and what type of hardware and call plans may be utilized, there must be actual budgetary appropriations for such.

4. USE OF CELLULAR TELEPHONES (EXEMPT EMPLOYEES)

With increased service providers, enhanced multiple user contracts, and the availability of air time, the employee personal use of an employer provided cell phone has been treated as a de minimis fringe benefit by the IRS since January 1, 2010. For all of the reasons listed above, plus the impracticality of carrying two cell phones, certain exempt, management and supervisory personnel are permitted occasional personal use in accord with the guidelines listed below:

- A. Authorization was received by the City Administrator or Chief of Police for police personnel.
- B. On duty personal use of the employer provided cell phone is limited to minimum usage that does not distract or interfere with the employee's duties and responsibilities.
- C. All applicable laws, City rules and regulations and policies and procedures must be adhered to.
- D. The City provided cellular telephone shall never be used in connection with a secondary job or other outside business.
- E. Off duty personal use shall be limited to usage within the constraints of the current plan. For instance, usage shall not exceed the amount of minutes the calling plan for a given line allow.
- F. Certain exempt employees required to carry a cellular telephone may opt to utilize their own personal cellular phone for business use. Employees selecting this option will be provided a monthly stipend payable on the first check of each month. The stipend will be in accord with IRS regulations for non-taxable income. The amount of the stipend is set at \$50.00 per month, subject to change as approved by the budget and finance committee and recommended to the Council. In no case will the amount of the stipend exceed the amount of the necessary line within the City's plan.

5. USE OF CELLULAR TELEPHONES (NON-EXEMPT EMPLOYEES)

- A. The City Administrator, or Chief of Police for police department employees, shall determine those non-exempt employees who are authorized to receive an employer provided cellular telephone. Non-exempt employees shall limit the use of their

assigned cellular telephone to those occasions when an alternative, more economic communication method is unavailable. The only exception to this is intra-agency communication when the City's plan allows for unlimited air time between the two employees within the plan.

- B. Non-exempt employees shall not generally use a City provided cellular telephone to place personal calls. Occasional incidental use may be permitted at the discretion of the City Administrator or Chief of Police. In the event an additional charge is incurred by the City as the result of a personal telephone call initiated by a non-exempt employee, the employee shall reimburse the City all such costs immediately upon receipt of the monthly billing statement.

6. OPEN RECORDS

Employees who are authorized to use a City provided cellular telephone must realize it is City property and there is no right to privacy. All data messages and phone records generated from, or received by, a City provided cellular telephone are available for public inspection pursuant to applicable open records and freedom of information laws. In addition all phone records may be audited at any time by the City Council or City administration to determine compliance with City policies.

7. CELLULAR TELEPHONE EXPENSES

Fiscal staff will forward all cellular bill statements to the appropriate department. Department managers will monitor the use of the cellular telephones by reviewing the monthly billings and checking for accuracy. The Department Head will forward the invoice to City Hall for payment following review and determining there are no discrepancies.

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Section: 2. Human Resources

Title: Travel Policy

Effective Date: November 12, 2013 – Council Approval **Resolution No.** N/A
(Revisions)

Policy Number: 2.04.01

1. PURPOSE

It is the expressed purpose of this policy to provide the employee with reasonable travel accommodations and City business related expense reimbursement, while maintaining prudent spending practices. The City of Adel encourages employees to participate in job related training for enhanced professional development and for maintaining requisite certifications. On occasion, employees may be required to attend business related functions which serve the best interest of the City. Expenses incurred during the course of out-of-office business and business related travel will be reimbursed by the City based upon documented, reasonable, and necessary expenses with the prior approval from the City Administrator or Chief of Police.

2. POLICY

- A. Budget appropriations for travel and training should be reviewed by the department head prior to requesting travel approval. Travel requests that exceed budget balances will not be automatically approved and will require substantial justification to merit approval.
- B. All training, conference, travel, and business related expenses must be pre-approved by the City Administrator, Chief of Police, or City Council. A **Travel Request – Reimbursement Form** must be completed and contain signed approval prior to incurring the expense for the reimbursement.
- C. Once an employee submits a request, the employee will receive a response. If it is approved, the employee must retain the copy of the approval and resubmit a copy with the post event expenses documented and appropriate substantiation within ten days of completing the event in order to be reimbursed. Any request for travel advance monies must be indicated on the form and submitted no less than five days prior to the event. Expenses submitted for reimbursement must be accompanied by

the **actual receipt** for the expense. Without a proper receipt, the reimbursement will not be approved. Advances made to the employee must be supported by attaching actual receipts to the copy of the **Travel Request – Reimbursement Form** following the training.

- D. Employees are expected to seek the most reasonable prices available for lodging, meals, and fares, considering location and services. In accord with IRS Regulations, the City will reimburse employees for meals only when overnight travel is required or when the cumulative travel time and instruction is twelve hours or greater. There will be no meal reimbursement for sponsored activities providing the meal free of charge to the attendees. Rates listed below include gratuity where applicable:
 - 1) Breakfast: \$8.00
 - 2) Lunch: \$12.00
 - 3) Dinner: \$20.00
- E. Costs incurred above the applicable expense ceilings will not be paid and are the responsibility of the employee, unless prior approval from the City Administrator or Chief of Police is obtained.
- F. When traveling in a group, each employee is responsible for paying and accounting for his or her own meals and incidental expenses. However, payment and accounting of registration fees, transportation, and lodging can be consolidated and either advanced or reimbursed to one person in the group.

3. **ADVANCES**

- A. An advance of funds for actual or estimated travel expenses will be made upon application for such on the **Travel Request – Reimbursement Form**, and will only be approved by the City Administrator or Chief of Police based on proper documentation and need.
- B. Travel expenses eligible for advanced funding include:
 - 1) Registration
 - 2) Lodging
 - 3) Mileage
 - 4) Public transportation (air, rental car, cab, rail, or bus)

5) Meals (within the daily expense ceiling)

- C. Incidental expenses are considered reimbursable and will not be advanced.
- D. No funds advanced may be used for any purpose other than those applied for on the form, even if the employee intends to subsequently reimburse the City those funds. For example, employees may not use the advance for entertainment or similar personal expense even if they intend to repay the City.
- E. Except for registration fees, advances for expenses less than \$30 will not be made.

4. MISCELLANEOUS NON-REIMBURSABLE EXPENSES

Ineligible expenses include, but are not limited to, the following:

- A. Non-business related entertainment
- B. Alcoholic beverages
- C. Late check-out fees
- D. Gifts
- E. Personal calls
- F. Laundry or dry cleaning
- G. Towing
- H. Parking
- I. Traffic fines
- J. Room upgrades
- K. Room service
- L. Pay-per-view movies
- M. Tobacco
- N. Personal products

- O. Change of flight fees
- P. Any expense for spouse, dependents, or guests
- Q. Transportation costs or mileage for travel unrelated to city business
- R. Any incidental expense not pre-approved

5. TRAVEL TIME

- A. In the event employees are required to report to their work facility prior to travelling for work related training or conferences, they will receive pay for time spent travelling from the workplace and when returning if leaving immediately following the event. Time spent at the workplace on work related duties is considered regular work time.
- B. When travelling by personal vehicle or a City vehicle and departing from home, employees will be paid travel time, beginning at their time of departure, at their regular hourly rate for travel in excess of 30 miles. Travel directly from home to a location less than 30 miles will not receive travel pay for the time in the commute, unless the employee holds a safety sensitive position that upon observance of an event may require a response that would divert him or her from the intended training event (e.g., full-time police officer or fire fighter commuting in a squad car).

6. IN-STATE TRAVEL

Unless another mode of transportation is specifically approved by the City Administrator, all in-state travel will be by either City vehicle or private automobile. In the case of the latter, mileage at the current allowable IRS rate will be paid. For police department travel, City vehicles shall be used except for academy training which the officer candidate shall use his or her own vehicle and be reimbursed per policy.

7. OUT-OF-STATE TRAVEL

Unless time is a critical factor, all out-of-state travel within five hours driving time will be by car. Air travel will be approved, in lieu of the car, in those instances where it is deemed absolutely necessary.

8. TRANSPORTATION

Arrangements for travel by airline are to be made with the assistance of the City Administrator to secure the lowest possible fares and reduce complications. All air travel

will be by coach class. Travel by rail or bus may be arranged by the department head, with the assistance of the City Administrator if desired. Requests for airline tickets should be made well in advance of the travel date, but under no circumstances less than three (3) working days from that date.

9. LODGING

Arrangements for lodging should be made through the accounting clerk or City Clerk. When it is not possible to make lodging arrangements through the accounting clerk or City Clerk, the employee may secure the room on his or her credit card. Regardless of an advance or a reimbursement, the employee must submit a hotel/motel bill upon completion of the trip. A credit card receipt alone is not sufficient documentation.

10. ROUTINE TRAVEL

Routine travel for regular in-state meetings of professional organizations, in which the employee holds membership or sponsored by an organization the employee is a member of, does not require the completion of a **Travel Request – Reimbursement Form**, provided lodging is not required. Similarly, travel to State sponsored training or conferences follows the same exception. Under both exceptions outlined above, if mileage reimbursement from use of a personal vehicle, reimbursable meals, or travel time is requested, then a **Travel Request – Reimbursement Form** must be submitted. The Chief of Police shall oversee this travel policy for the police department.

City of Adel
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Section: 2. Human Resources

Title: Mileage and Expense Reimbursement

Effective Date: July 1, 2006

(Revisions) November 12, 2013 – Council Approval

Resolution No. 06-41

N/A

Policy Number: 2.04.02

1. PURPOSE

To provide efficient and consistent policies, standards, and procedures for the understanding and practice of reimbursing city employees for mileage and expenses related to carrying out work related duties.

2. POLICY

The City of Adel will reimburse for mileage and expenses for work related activities required in the normal course of the job function provided the mileage and expenses are approved by the City Administrator prior to the charges being incurred.

3. SPECIAL CONSIDERATIONS

A. Mileage shall be reimbursed at the rate published by the Internal Revenue Service at the time the mileage is accrued. <http://www.irs.gov/newsroom>

B. Reimbursement for expenses shall be at the discretion of the City Administrator and shall be approved prior to purchases being made.

1) Every attempt shall be made to purchase supplies and equipment from a local vendor with whom the city has an established account.

2) If an account is not established an attempt should be made to establish a vendor account with the business.

3) When it becomes necessary for an employee to purchase supplies and equipment out of their own pocket the employee must:

a. Receive verbal approval from the City Administrator

b. Submit detailed receipt showing date of purchase and description of item purchased.

c. Provide explanation for posting to proper account.

C. A reimbursement check shall be provided within the next available check writing schedule.

City of Adel
Manual of Policy and Procedure

Section: 3. City Hall and City Operations

Title: Annexation Procedures

Effective Date: November 12, 2013 – Council Approval **Resolution No.** N/A
(Revisions)

Policy Number: 3.01.01

1. PURPOSE

This policy outlines the procedures to be followed by City staff and the individuals who are petitioning to annex into the City.

2. POLICY

This policy and process begins when the City receives an **Application and Request for Voluntary Annexation Form** that is dated and signed by all the owners of each included parcel.

3. REQUEST FOR ANNEXATION

Publicly owned land may be included without the written consent of the owning jurisdiction. Land may be included without the owners' consent to avoid creation of an island or to create a more uniform boundary.

- A. Each request filed must contain a full legal description and map of the territory owned by that applicant. A composite map is also required to show the general vicinity of the territory in relationship to the City of Adel boundary limits. A Plat of Survey may be required by the City.
- B. The requesting party must provide a map identifying all the individual parcels within and adjoining the territory, consecutively numbered, with the list of included and adjoining owners indexed to the parcel numbers. The legal descriptions and list of owners must also identify the tax parcel number for each parcel for ease of cross-reference of the tax records.
- C. The request must include signature of every titleholder and contract purchaser identified in the County tax records.

- D. If the application is signed by an officer of a corporation or partnership, evidence must be made a part of the record to demonstrate that the officer was authorized to sign for the corporation or partnership. An example includes a copy of the Articles of Incorporation downloaded from the Secretary of State's web page showing that an officer of the corporation may sell real estate.
- E. If the application is signed by a trustee for a trust, then the trustee should also be asked to sign an affidavit similar to that identified in Iowa Code Section 614.14.

4. VERIFICATION BY COUNTY AUDITOR

City staff will provide a copy of the request including maps and full legal description of entire territory proposed to be annexed, and a list of the name and addresses of each owner of land within the territory and each owner of land adjoining the territory, to the County Auditor with a request that the Auditor verify the accuracy and completeness.

5. DETERMINATION OF PROCESS

City Staff will determine which of the four voluntary annexation processes to follow:

- A. 100% voluntary annexation.
- B. 80/20 voluntary annexation.
- C. In an urbanized area (territory is within two miles of a city other than the city to which the annexation is directed).
- D. Not in an urbanized area (territory is not within two miles of a city other than the city to which the annexation is directed).

The steps the City follows in all voluntary annexations are the most restrictive out of an abundance of caution and are listed below.

6. NOTICE OF CONSULTATION

At least 14 business days prior to the notice of hearing mailed out, the City will hold a consultation meeting with the Board of Supervisors and the Township Trustees of each County and Township containing any part of the territory to be annexed. Notice of the consultation meeting must be mailed out to each County Supervisor and Township Trustee and shall contain a copy of the application (annexation request) submitted. Notice of the consultation meeting shall be provided at least 7 days in advance absent extenuating circumstances.

7. NOTICE OF PUBLIC HEARING

Notice must be provided at least 14 business days prior to the public hearing before the Council and no less than 14 business days following the consultation meeting. Notice must also be given by publication in an official County newspaper of each county that contains a portion of the territory at least 14 days prior to the hearing.

The notice of the hearing and a copy of the application including legal description and map of the territory showing its location in relationship to the City shall be mailed by certified mail at least 14 business days prior to the public hearing before the City Council to the following entities:

- A. Each affected public utility.
- B. All non-consenting property owners within the territory.
- C. Board of Supervisors of each county that contains a portion of the territory.
- D. City Council of each other city within two miles of the territory.
- E. Regional Planning Authority, if any (if territory within an urbanized area).
- F. County Attorney (If County Roads are included).
- G. Iowa Attorney General if State lands or highways are included.
- H. Director of Iowa Department of Transportation (as a courtesy if a highway is included; this step is not statutorily required).
- I. Solid waste collection providers.
- J. Chairperson of the Board of Supervisors.
- K. Each owner of property that adjoins the territory to be annexed.

8. PUBLIC HEARING

The annexation may only be approved by the City Council after consideration at a properly noticed public hearing, which is scheduled no less than 28 business days after the consultation meeting and at least 14 business days after the publication and mailing of notices.

The City Council resolution shall:

- A. Expressly close the public hearing.
- B. Acknowledge receipt and consideration of any comments received from the Board of Supervisors and Township Trustees.
- C. Allow for withdrawal of any application or Consent within three business days after hearing, before the approval becomes effective.
- D. Allow a phase-in of City taxes if appropriate.
- E. Specifically states why and land is included without the owner's consent (either to avoid the creation of an island or to create a more uniform boundary).
- F. Reference as exhibits the Application, composite map and legal description, certificate of mailing, affidavit of publication and auditor's response.

9. FINAL DISPOSITION REQUIREMENTS

- A. If the Territory to be annexed is not within an urbanized area of another city (not within two miles of a city other than Adel):
 - 1) The City Clerk shall record a copy of the resolution, map and legal description with the County Recorder and file a copy of the resolution, map and legal description with the following:
 - a. Secretary of State.
 - b. The County Board of Supervisors.
 - c. Each affected Public Utility.
 - d. The Iowa Department of Transportation.
- B. The annexation is complete upon acknowledgement by the Secretary of State that the legal description, map and resolution have been received.
- C. If the territory to be annexed is within an urbanized area of another city (within two miles of a city other than Adel), then the original and 15 copies of the following documents must be filed with the City Development Board. In these instances, the following items must be filed with the City's request to the City Development Board for approval of any voluntary annexation:

- 1) The names and addresses of all owners of the land included within the owner's consent and a legal description of all land owned by each non-consenting owner.
- 2) A general statement of the proposal, describing:
 - a. The current and expected use of the territory.
 - b. Any service currently provided to the territory by the City to the territory.
 - c. The reason for the owners' request for annexation, if known.
- 3) A statement indicating whether the territory is subject to an annexation moratorium agreement, and if so, that the annexation is consistent with the agreement.
- 4) A complete composite legal description of the territory, including the adjoining portions of any roads. (Must annex to the centerline of any adjoining secondary roads).
- 5) The County Auditor's response to the City's request to verify the accuracy and completeness of the legal description and the list of owners and adjoining owners.
- 6) A map or series of maps showing:
 - a. The entire boundary of the City and the relevant boundary of any other city in relationship to the territory.
 - b. The entire boundary of the territory showing any roads in and adjoining the territory.
- 7) A statement of whether any State owned property or County roads have been included in the territory, and if so, a statement that proper notice was provided pursuant to IC 368.5.
- 8) A statement indicating whether the City has applied smart planning principles to the territory and, if applicable, a description of how the City has applied or intends to apply smart planning principles.
- 9) A copy of the certificate of mailing of the required notices, and a copy of the affidavit of publication of the published notice.

10) A statement of whether the City has allowed a phase-in of City taxes. The phase-in must be specifically allowed, if at all, in the City Council resolution approving the annexation.

11) The City Council Resolution approving the annexation.

10. ADDITIONAL 80/20 REQUIREMENTS

If the territory includes non-consenting owners, then the request the City Development Board must include the following additional information:

- A. The names and addresses of all non-consenting owners, and the legal description of land owned by each.
- B. Acreage of each parcel owned by each consenting owner and each non-consenting owner, the acreage of any railroad right-of-way, and the acreage of any State or County owned property pursuant to Iowa Code 368.5.
- C. A calculation showing the percentage of the territory consenting to the annexation. Non-consenting public lands should be excluded from the calculation.
- D. A map showing the non-consenting parcels in relationship to the consenting parcels.

11. CITY DEVELOPMENT BOARD CONSIDERATION

- A. For those annexations requiring City Development Board approval (all that are not 100% voluntary and not in an urbanized area), the Board will meet to consider the voluntary annexation and may immediately approve if it is purely voluntary. The annexation may be approved by a simple majority of the Board.
- B. If the application contains any private property without the owner's consent, then the Board will schedule a public hearing to be held at a later date to consider the application. The hearing will typically be held in the annexing city. The annexation may be approved only upon the affirmative vote of four/fifths of the Board.
- C. The annexation is complete when the Board has filed and recorded its order and proceedings approving the annexation with the County Recorder, and filed with the Secretary of State, city clerk and Department of Transportation.

City of Adel
Manual of Policy and Procedure

Section: 3. City Hall and City Operations

Title: Credit Card Use and Guidelines

Effective Date: November 1, 2007
(Revisions) November 12, 2013 – Council Approval

Resolution No. 07-36
N/A

Policy Number: 3.02.01

1. PURPOSE

To provide efficient and consistent policies, standards, and procedures governing the possession and use of credit cards issued by the City for use by City employees related to carrying out work related duties.

2. POLICY

The City of Adel will issue credit cards to the City Administrator and department heads for use in City related business. Each card will be issued in the employee's name and may only be used by that employee. Cards may not be loaned to other employee's within the department. Cards will have a \$1,000 limit.

3. SPECIAL CONSIDERATIONS

Credit Cards may be used generally for the following items, although they may be used for other purchases as approved by the City Administrator and/or Mayor:

- A. Meal expense when on City business (no liquor expenses or gratuity expenses beyond 15% of the bill submitted can be included).
- B. Gasoline for City vehicles
- C. Lodging
- D. On-line purchases requiring a credit card and no other payment or billing option is available. On-line purchases require prior approval for non-budgeted items.
- E. Purchases requiring immediate payment if the City is unable to issue a check for the purchase. Prior approval is required.

4. RECEIPTS

All receipts must be brought into the City Clerk's office upon use of the card. If receipts are not turned in, the City will not be responsible for those charges on the card and said charges shall become the responsibility of the employee making the charges. All credit card purchase receipts must be itemized.

5. STAFF AUTHORIZED TO HOLD A CARD

A. City Administrator

B. Chief of Police

C. Library Director

D. Parks & Recreation Director

E. Building & Zoning Officer

F. Public Works Director

G. Others as identified by the City Administrator or Chief of Police.

- C. The Public Works Supervisor is authorized to drive a city vehicle home in order to more quickly respond to emergencies.
- D. Employees on weekend standby are authorized to drive home a city vehicle to carry out their standby duties and in order to more quickly respond to emergencies.
- E. An employee's department supervisor should know of intended travel plans by way of an itinerary or other equivalent method. This also allows a means of contact during an emergency.
- F. Employees who are assigned city vehicles are responsible for keeping the interior clean, reporting any vehicle problems or defects and maintaining the vehicle according to city policy.
- G. Employees not assigned city vehicles are not allowed to use one without prior management approval. All vehicles must be returned in the same condition, according to department policy, reporting any problems to the supervisor.
- H. A photocopy of each driver's state operator license will be kept on file. This will provide the necessary information for running a MVR and review the driver's restrictions.
- I. A copy of each driver's Motor Vehicle Report (MVR) may be obtained annually or more frequently if the driver is under disciplinary action, probation or suspension.
- J. The following are considered minimal guidelines for new employees and will place current employees under disciplinary action if not in compliance:
 - 1) No more than three convictions for moving traffic violations within any 12 month period.
 - 2) Conviction of any traffic violation that is defined as serious by Iowa Code.
 - 3) No OWI convictions in the last 5 years.
 - 4) No designation of being a "Habitual offender" within the last 5 years.
- K. All accidents must be reported to your department supervisor immediately. The city police department shall be called to the scene and shall call for mutual aid to assist in preparing a report. The accident report in the glove box should be filled out regardless of fault and will help speed the insurance process. The driver of the city vehicle involved in the accident should provide all the necessary identification and insurance information to the other party involved. The driver may be held accountable for the deductible if the driver is found in violation of the driving policy.

- L. Seat belts are required to be worn in Iowa and must be used at all times; and the driver is responsible for making sure all passengers are also wearing their seatbelts. This includes all vehicles which have factory installed seat belts including skid loaders, utility carts, backhoes and mowers which have a ROPS.
- M. Drivers are personally responsible for promptly paying any and all traffic tickets received while driving any city vehicle.
- N. The driver is responsible for locking the vehicle when parking and may be held responsible for any items stolen from the vehicle if not properly secured.
- O. Drinking alcohol or illegal drug use while driving or prior to driving a city vehicle is prohibited and can result in immediate termination.
- P. Drivers are required to inform their supervisor of any OWI tickets, suspensions or revocation of driving privileges immediately, regardless of which state they are received. Continuing to drive a city vehicle while under suspension can result in termination.
- Q. Drivers should not consume food in vehicles while driving since this can cause distractions and possibly accidents. The use of cell phones and other communication devices while driving should conform to state code.

4. EMPLOYEES USING THEIR OWN CAR ON CITY BUSINESS

In addition to the above rules, employees driving their personal vehicle on city business are subject to the following:

- A. All employees using their personal vehicle for city business on a regular basis will provide a Certificate of Insurance to the City Clerk indicating the minimum coverage as stated by the city. A photocopy of an insurance statement is not considered adequate since it does not provide notification if coverage is terminated. A certificate of insurance will provide a statement to the certificate holder when the policy is renewed or canceled.

5. COMMERCIAL DRIVERS LICENSE (CDL)

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

- A. A CDL is required to operate any of the following vehicles:

- 1) A single vehicle with GVWR over 26,000 pounds.

- 2) A trailer with GVWR over 10,000 pounds if the gross combination weight is over 26,000 pounds.
- 3) A vehicle designed to transport more than 15 people.
- 4) Any vehicle requiring hazardous material placards.

B. Firefighters are excluded from this requirement.

C. Do not drive a vehicle that may fall into one of the above categories without approval from the head of the department. Transporting hazardous materials or a regulated load weight without the proper CDL license can subject the driver and city to significant litigation.

6. INSPECTION OF EQUIPMENT

A. The driver shall report any defects that may have developed during the day. If the brakes are not working properly, they shall be adjusted or repaired before the vehicle is put in operation. Other items that affect safety shall be repaired before continued vehicle operation.

B. All lights and reflectors of vehicle shall be inspected by the driver, and if found defective, they shall be repaired immediately.

C. The driver shall inspect windshield wipers frequently and see that they are in good operating condition and that the windows and windshield give sufficient visibility for safe operation of vehicle.

7. OPERATION

A. Before leaving a parked vehicle unattended, off City property, the ignition key shall be removed to prevent theft or unauthorized starting of vehicle.

B. Drivers shall also place a traffic cone at the left rear bumper when leaving a vehicle unattended, unless the vehicle is on City property or a legal public parking space. When approaching the vehicle, and prior to entering, driver will walk around the vehicle and check for obstacles while picking up the cone.

C. Vehicles are to be driven in a manner such as to create a favorable impression on the public. Drivers shall exercise special precaution when:

- 1) Children are playing on the roadway, alley or near the curb.
- 2) Passing schools or play grounds.

- 3) Approaching persons on bicycles.
- 4) Driving during inclement weather.

8. BACKING PROCEDURES

- A. Backing situations shall be avoided when practical, however, when vehicle must be backed, the following procedures shall be observed:
 - 1) The backing maneuver shall be accomplished upon arrival at site when possible.
 - 2) A safety zone shall be established before vehicle is moved. Establishing safety zone requires completing a 360-degree visual inspection around the vehicle looking for potential hazards. NOTE: The visual inspection shall include all sides of the vehicle and the intended travel path.
 - 3) Where possible, back from the driver's side.
- B. Backing operations involving an obstructed view to the rear shall:
 - 1) Be equipped with a reverse signal (backup alarm) audible above the noise level of the surrounding area.
 - 2) Be backed with the assistance of a ground observer, whenever a second employee is available, stationed at the rear of the vehicle.
- C. During all vehicle operations, the vehicle operator shall:
 - 1) Keep a constant lookout during the entire time.
 - 2) Carefully check any blind areas.
 - 3) Back or move ahead slowly until clear of obstructions.
 - 4) Watch both sides. Do not depend entirely on mirrors.
- D. Enlist the aid of other employees to act as a guide whenever a second employee is in the vehicle or available at the job site.

City of Adel
Manual of Policy and Procedure

Section: 3. City Hall and City Operations

Title: Examination and Copying of Public Records

Effective Date: January 1, 2010 – Council Approval **Resolution No.** N/A
(Revisions) November 12, 2013 – Council Approval N/A

Policy Number: 3.04.01

1. PURPOSE

- A. To provide efficient and consistent policies, standards, and procedures governing the examination, copying or retrieval of public records (open records) and to establish procedures for the collection of fees for copies of City documents and/or reports.
- B. The City is custodian to public records, documents, maps, and information. This information is available for public examination and copying pursuant to Iowa Code Chapter 22. The City also maintains a Public Record Retention Policy detailing which records are kept on file and for how long. This Public Record Retention Policy is consistent with Iowa Code Chapter 372.13(5).

2. POLICY

- A. The City will charge rates and fees as outlined in the table below and for out-of-pocket expenses for records and documents that may be requested by the public. These fees are collected for the equipment and supply costs, and retrieval and staff resources involved in satisfying a request from the public.

8 ½ x 11 Black and White	\$0.25 per page
8 ½ x 11 Color	\$0.50 per page
8 ½ x 14 or 11 x 17 Black and White	\$0.25 per page
8 ½ x 14 or 11 x 17 Color	\$0.50 per page
Copies of Audio Tapes or CD/DVD	\$25.00
Copies of Video Tapes or CD/DVD	\$25.00
Duplicate digital photos	\$3.00
Fax	\$1.00 per page
Postage and Mailing Expense	Actual costs

- B. These charges shall not apply where other charges have been previously established by the City (i.e., project plans, zoning maps, etc.)

Any proposed changes or exceptions to this policy shall be made by written request to the City Administrator justifying need, proposed solution and effective dates of changes.

3. RIGHT TO EXAMINE PUBLIC RECORDS

- A. This is provided for in Chapter 22 of the Iowa Code.
- B. Every person shall have the right to examine and copy a public record and to publish or otherwise disseminate a public record or the information contained in a public record. Unless otherwise provided for by law, the right to examine a public record shall include the right to examine a public record without charge while the public record is in the physical possession of the custodian of the public record.
- C. The right to copy a public record shall include the right to make photographs or photographic copies while the public record is in the possession of the custodian of the public record.
- D. All rights under this section are in addition to the right to obtain a certified copy of a public record under section 622.46 of the Iowa Code.

4. SUPERVISION

- A. The examination and copying of public records shall be done under the supervision of the lawful custodian of the records or the custodian's authorized designee.
- B. Fulfillment of a request for a copy of a public record may be contingent upon receipt of payment of expenses to be incurred in fulfilling the request and such estimated expenses shall be communicated to the requester upon receipt of the request.

5. FEES

- A. All expenses of the examination and copying shall be paid by the person or organization desiring to examine or copy. The lawful custodian may charge a reasonable fee for the services of the lawful custodian or the custodian's authorized designee in supervising the examination and copying of the records.
- B. If copy equipment is available at the office of the lawful custodian of any public records, the lawful custodian shall provide any person a reasonable number of copies of any public record in the custody of the office upon the payment of a fee. The fee

for the copying service as determined by the lawful custodian shall not exceed the actual cost of providing the service.

6. CERTAIN RECORDS DETERMINED CONFIDENTIAL

A. This is provided for in Chapter 22 of the Iowa Code.

B. Records deemed confidential include, but are not limited to:

- 1) Hospital records, medical records, and professional counselor records of the condition, diagnosis, care, or treatment of a patient or former patient or a counselee or former counselee, including outpatient.
- 2) Records which represent and constitute the work product of an attorney, which are related to litigation or claim made by or against a public body.
- 3) Peace officers' investigative reports.
- 4) Criminal identification files of law enforcement agencies. However, records of current and prior arrests and criminal history data shall be public records.
- 5) Personal information in confidential personnel records of public bodies including but not limited to cities, boards of supervisors and school districts.
- 6) The records of a library which, by themselves or when examined with other public records, would reveal the identity of the library patron checking out or requesting an item or information from the library.
- 7) Records of identity of owners of public bonds or obligations maintained as provided in section 76.10 of the Iowa Code or by the issuer of the public bonds or obligations. However, the issuer of the public bonds or obligations and a state or federal agency shall have the right of access to the records.
- 8) Information in a record that would permit a governmental body subject to Chapter 21 of the Iowa Code to hold a closed session pursuant to section 21.5 of the Iowa Code in order to avoid public disclosure of that information, until such time as final action is taken on the subject matter of that information.

City of Adel
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Section: 3. City Hall and City Operations

Title: Flowers and Sustenance Supplies Policy

Effective Date: May 2001

Resolution No. 01-04

(Revisions) November 12, 2013 – Council Approval

N/A

Policy Number: 3.05.01

1. PURPOSE

The City Council of the City of Adel believes that it is in the best interest of the residents of the City to establish a public purpose policy for the expenditure of funds for flowers and sustenance supplies.

2. DEFINITIONS

- A. **Immediate family** shall be defined as an employee's brother, sister, mother, father, legal guardian as a child, children, parent-in-law, or child-in-law.
- B. **Sustenance** is defined as something that gives support, endurance, or strength in times of illness or in times of grief due to a death.

3. POLICY

- A. The City may send flowers to the employees or family members of employees and/or elected or appointed officials who are suffering an illness or who experience a death in their immediate family as defined above.
- B. The maximum City expenditure for these gifts should not exceed \$40.00.
- C. The Department Heads shall be responsible for the purchase of these gifts for employees under their own supervision.
- D. The City Administrator may approve expenditures for flowers and/or gifts to other persons as appropriate.
- E. The City may purchase sustenance supplies for the City's use. Sustenance supplies will include, but not be limited to, the following:
 - 1) Coffee, paper products, and/or utensils.
 - 2) Any products deemed necessary by the Department Head and falling under the term sustenance.

City of Adel
Manual of Policy and Procedure

Section: 3. City Hall and City Operations

Title: Hazardous Communications Written Program

Effective Date: November 12, 2013 – Council Approval **Resolution No.** N/A
(Revisions)

Policy Number: 3.06.01

1. PURPOSE

The purpose of this document is to ensure that the hazards of all chemicals are evaluated, and that information is transmitted to City employees. This transmittal of information is to be accomplished by container labeling and other forms of warning, material safety data sheets, and employee training.

2. POLICY

This policy applies to any chemical in the workplace that is liable to be used by the employees of the City of Adel. The City shall develop, implement, and maintain at each major workplace, a written hazard communication program which will include the criteria for labeling and other forms of warning, material safety data sheets (MSDS), and employee information and training. As part of this written program, a list of hazardous chemicals known to be present at the workplace shall be available.

3. LABELS & OTHER FORMS OF WARNING

A. Each container of hazardous chemical shall be labeled, tagged, or marked with the following information:

- 1) Identity of the hazardous chemical(s);
- 2) Appropriate Hazard Warnings; and
- 3) Name, address, and web addresses of the chemical manufacturer, importer, or other responsible party.

B. The City is only responsible for the first two (2) items on containers that employees label except in the following circumstances:

- 1) If the hazardous chemical is regulated by OSHA in a substance specific health standard, the label must conform to that standard.
- 2) An alternate method, such as signs, placards, or written operating procedures, may be used in lieu of labels for individual stationary process containers as long as the alternate method identifies the containers to which it is applicable and conveys the required information.
- 3) No label is required on portable containers into which hazardous chemicals are transferred from labeled containers, and are intended only for immediate use of the employee who performed the transfer.

C. All labels shall be written in English. If a container's existing label has the required information, it does not have to be replaced. The City shall have three (3) months to replace or revise any label after it has become aware of any significant information regarding the hazards of the chemical.

4. MATERIAL SAFETY DATA SHEETS (MSDS)

The City shall have in each of its major work areas an MSDS for each hazardous chemical which they use. These will be located in a binder in an accessible designated location. The City shall receive the MSDS from the manufacturer, importer, or distributor for each hazardous chemical which they use. Old or outdated MSDS will be replaced with the most current ones. This can be identified by date on MSDS.

5. EMPLOYEE INFORMATION & TRAINING

The City, using OSHA's Hazard Communications website (<https://www.osha.gov/dsg/hazcom/global.html>), shall provide effective information and training on hazardous chemicals in the workplace at the time of hire, initial assignment, or whenever a new physical or health hazard that employees have not been trained about is introduced into their work area.

A. Employees shall be made aware of the following information:

- 1) The requirements of OSHA Code 29 CFR 1910.1200, which is the Hazard Communication Standard: "The purpose of this section is to ensure that the hazards of all chemicals produced or imported are evaluated, and that information concerning their hazards is transmitted to employers and employees. This transmittal of information is to be accomplished by means of comprehensive hazard communication programs, which are to include container labeling and other forms of warning, material safety data sheets and employee training."

- 2) Any operations in their work area where hazardous chemicals are present; and
- 3) The location and availability of the written hazard communication program, including the required list(s) of hazardous chemicals, and material safety data sheets.

B. Employee training shall include:

- 1) Methods and observations that may be used to detect the presence or release of a hazardous chemical in the work area (such as monitoring conducted by the employer, continuous monitoring devices, visual appearance or odor of hazardous chemicals when being released, etc.);
- 2) The physical and health hazards of the chemicals in the work area;
- 3) The measures employees can take to protect themselves from the hazards, including specific procedures the employer has implemented to protect employees from exposure to hazardous chemicals, such as appropriate work practices, emergency procedures, and personal protective equipment to be used; and
- 4) The details of the hazard communication program developed by the employer, including an explanation of the labeling system and the material safety data sheet, and how employees can obtain and use the appropriate hazard information.

City of Adel
Manual of Policy and Procedure

Section:	3. City Hall and City Operations		
Title:	Toll Road Fundraiser Policy		
Effective Date:	February 2013	Resolution No.	N/A
(Revisions)	November 12, 2013 – Council Approval		N/A
Policy Number:	3.08.01		

1. PURPOSE

Toll roads set up for the purpose of raising funds are allowed for local service clubs, nonprofit organizations, or charitable purposes.

2. DEFINITION

Local service clubs, nonprofit organizations, or charitable purposes are defined as those organizations that meet in the Adel – DeSoto – Minburn School District (ADM) and/or whose members are ADM residents, or who raise money to support programs or services that benefit citizens of Adel and the surrounding area.

A. Local service clubs must be established and operate with a board and bylaws

B. Nonprofit organizations must regularly meet in the City of Adel or the ADM community.

3. POLICY AND PROCEDURE

The only groups eligible to hold a toll road fundraiser within the City of Adel corporate limits are local service clubs, nonprofit organizations, or charitable purposes as defined above.

A. Organizations must make a written request to the City Clerk and include:

- 1) The name of the organization
- 2) Contact person and contact information, including telephone number and email address
- 3) The date(s) and exact time(s) of the toll road fundraising efforts
- 4) Description of the purpose for holding the fundraiser

5) A copy of the requesting group's insurance certificate

B. The City Administrator will review the request and make a decision based on the criteria established by this policy.

1) If the City Administrator denies the request and the organization feels their project meets the criteria, they may appeal the City Administrator's decision before the City Council at their next regularly scheduled meeting.

4. INSURANCE

A. There must be a valid insurance certificate accompanying each request that indicates the insured and lists the City as an additional insured.

B. The insurance must contain liability coverage with a minimum amount of \$1,000,000 per occurrence and holding the City harmless for any damage or injuries caused as a part of the fund raising activity.

5. RESERVING A DATE

Dates may be reserved on a first come, first served basis as noted on the reservation calendar located at City Hall.

6. REQUIREMENTS

The following is a list of some of the requirements for operating a toll road fundraiser:

A. Hours shall be between 6:00 a.m. – 6:00 p.m.

B. There must be adult supervision at all times.

C. No child under 14 years of age is permitted in the street.

D. All volunteer participants must wear outer clothing that is bright and / or made of reflectorized material.

E. All volunteers must wear or carry information identifying them as a volunteer of the sponsoring organization.

F. Vehicles must be provided with some type of material, placard, brochure, or other suitable item to serve as recognition that the car has been stopped once already.

- B. **Social Media:** Various forms of discussion and information-sharing, including social networks, blogs, video sharing, podcasts, wikis, message boards, and online forums. Technologies include: picture-sharing, wall postings, email, and instant messaging. Examples of social media applications include, but are not limited to, Facebook (social networking) and Twitter (social networking and microblogging), and news media comment sharing/blogging.
- C. **Social Networking:** The practice of expanding business and/or social contacts by making connections through web-based applications. This policy focuses on social networking as it relates to the Internet to promote such connection for official city business and for employees, elected and appointed officials who are using this medium in the conduct of official city business.

3. **POLICY AND PROCEDURES**

- A. The City Council will review and approve all Departmental requests to create social media accounts.
- B. The City's website www.adeliowa.org will remain the official location for content regarding city business, services, and events. Whenever possible, links within social media formats should direct users back to the City's website for more information, forms, documents, or online services necessary to conduct business with the City of Adel.
- C. Links to all social media accounts to which the city belongs are to be listed on the city's website. Interested parties wishing to interact with these accounts will be directed to visit the city's website for more information on how to participate.
- D. All city social media accounts should be viewable to the public therefore privacy settings should not be used.
- E. The city logo and authorized departmental extensions should be used on all social media accounts to confirm authenticity of site.
- F. Departments that use social media accounts are responsible for complying with applicable federal, state, and local laws, regulations, and policies. This includes adherence to established laws and policies regarding copyright, records retention, Freedom of Information Act (FOIA), First Amendment free speech rights, privacy laws (permission to post pictures), and information security policies established by the City of Adel.
- G. City social media accounts should only join a group or become a fan of a page if it is related to city business, services, and events.
- H. Online representation on social media accounts is ultimately the responsibility of each Department Head.

- 1) The Department Head or a designee will control the social media account to ensure the appropriateness of content.
- 2) Department Head or designee should:
 - a. Be an employee or official volunteer of the City of Adel.
 - b. Be familiar with the City of Adel's personnel policies.
 - c. Understand the scope of responsibility and be appropriately trained to interact on behalf of that Department.
- I. Departments should design a regimen to regularly monitor and update accounts as necessary on a weekly basis. Departments should also address how they will utilize social media accounts during an emergency within their respective department Emergency Operations Plan.
- J. Employees representing the City of Adel via social media accounts must conduct themselves at all times as a representative of the City of Adel. Employees who fail to conduct themselves in an appropriate manner shall be subject to the Disciplinary Action Procedures outlined in the Personnel Policy and Procedure Manual.

4. POSTING/COMMENTING GUIDELINES

- A. When posting information on the City's social media sites, moderators must adhere to the following:
 - 1) All messages posted to social media accounts should strengthen the City's image, increase positive publicity, and improve community relations.
 - 2) Moderators must ensure information is accurate, timely, and appropriate.
 - 3) Moderators must consistently check feedback and responses posted to the social media account to reduce/eliminate inappropriate discussions/posts.
 - 4) All content is to be fully accessible to any person requesting documents from that site.
 - 5) Before posting someone else's material, check with owner for permission.
 - 6) When disagreeing with others' opinions, keep it appropriate and polite. Provide factual information, rather than subjective information.
 - 7) Always pause and think before posting. If you are unsure, check with Department Head first. It's better to err on the side of caution.

- 8) Stick to your area of expertise. For example, if Park & Recreation receives a question about Library Summer Program registration, it is not appropriate for Park & Recreation staff to answer the question since it's not the Department's area of expertise. Instead the moderator should direct the question to the appropriate department.

B. Acceptable forms of posted material include, but are not limited to:

- 1) Text.
- 2) Multimedia video.
- 3) Live streaming video.
- 4) Photographs or graphics.
- 5) Links.

C. To assure that information posted on social media accounts are official, timely, and accurate, all material posted should be tied to the moderator(s)' City of Adel's email account.

D. Postings and comments to the City of Adel social media accounts containing any of the following forms of content will not be allowed:

- 1) Profane language or content.
- 2) Content that promotes, fosters, or perpetuates discrimination of protected classes under the Equal Employment Opportunity/Affirmative Action Policy Plan of the City of Adel.
- 3) Explicit sexual or harassing content, images or links to sexual or harassing content, images, or links.
- 4) Information that may compromise the safety or security of the public or public systems; or content that violates a legal ownership interest of any other party.
- 5) Conduct or encouragement of illegal activity.
- 6) Solicitation of others for commercial ventures or religious, social, or political causes.
- 7) Personal information about employees.
- 8) Off topic discussions or postings.
- 9) Making or publishing of false, vicious, or malicious statements concerning any employee, supervisor, the city, or its operations.
- 10) Chat sessions in any social media accounts will not be used.

- E. The Department Head, or designated representative, reserves the right to delete submissions that are deemed inappropriate, according to prescribed unacceptable content standards. If any record is deleted for unacceptable content, it is still that particular Department's responsibility to retain a public record of that content and keep a running record of why the information was removed.
- F. Friends, fans, or followers should be removed if they continue to post inappropriate content. One warning should be given. If the individual posts inappropriate content a second time, they should be removed or blocked. The following verbiage can be used to warn individuals about their content: *"Your recent post is in violation of the City of Adel's Social Media Policy. Please refrain from posting inappropriate content in the future. If you do not refrain from posting such content, we will regretfully have to block you from further posts. Thank you for understanding."*
- G. Material that is tagged to departmental accounts should be monitored to ensure appropriateness. If the tag is inappropriate, moderators or designees should remove the tag promptly.

5. SECURITY OF SOCIAL MEDIA ACCOUNTS

- A. The following protection strategies should be implemented within Departments using social media accounts:
 - 1) Moderators should never leave a workstation unattended when logged on the social media account.
 - 2) Only the Department Head, or designee, and moderator(s) should know login and password to social media account(s).
 - 3) If moderator(s) change, login and password should change.
- B. If security of social media account has been compromised, the Department Head or designee should:
 - 1) Respond quickly.
 - 2) Change login and password information immediately.
 - 3) Acknowledge security breach to social media followers.
 - 4) Look for signs of damage and make necessary corrections.
 - 5) Report incident to the City Administrator.

City of Adel
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Section: 4. Parks and Recreation

Title: Memorial Tree Plantings

Effective Date: August 1, 2005

(Revisions) November 12, 2013 – Council Approval

Resolution No. 05-18

N/A

Policy Number: 4.01.01

1. PURPOSE

To provide efficient and consistent policies, standards, and procedures for the understanding and implementation of trees, shrubs, bushes, and flowers planted by the public in memory or honor of someone.

2. POLICY

The City of Adel will approve the planting of trees, shrubs, bushes, or flowers in designated city parks and green spaces for the purpose of serving as a living memorial or honorarium for someone provided the species of trees, shrubs, bushes, or flowers meets the guidelines of the approved and accepted species list as designated in the City of Adel Ordinance Chapter 151 “Trees.”

3. SPECIAL CONSIDERATIONS

- A. The trees, shrubs, bushes, or flowers must be planted by the resident(s).
- B. The City will assume no responsibility for the health of the trees, shrubs, bushes, or flowers, including initial watering during the critical first year of life.
- C. The City will maintain the trees, shrubs, bushes, or flowers after the first year of life in the regular course of routine maintenance as is part of standard practice with care and treatment of existing foliage.
- D. The City’s boards, commission, or administrator may not approve a planting if it is deemed inappropriate for the area suggested or if there appears to be excessive maintenance and care required during the life of the planting.
- E. Any recognition of the planting designating it as a memorial or honorarium shall have the approval of the City’s boards, commission, or administrator.
- F. Plaques, engraved rocks, or other methods used to recognize the planting are not permitted next to or around the planting. All recognition mementos must be attached to a central location provided and maintained by the City of Adel.

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Section: 4. Parks and Recreation

Title: Park Shelter Rental Policy

Effective Date: November 12, 2013 – Council Approval **Resolution No.** N/A
(Revisions)

Policy Number: 4.03.01

1. PURPOSE

The purpose of this policy is to set guidelines and procedures for renting park shelters at the City of Adel's parks.

2. POLICY

- A. Individuals and organizations may reserve a park shelter by using the **Park Shelter Reservation Permit** and paying the applicable fee to the City of Adel.
- B. Park shelters may be used without a permit on a first come, first served basis if no other individual or organization has reserved the shelter.

3. RESERVING A SHELTER

- A. Individuals and organizations must completely fill out the **Park Shelter Reservation Permit**. This permit shall be posted on the City's website and be available at City Hall.
- B. Individuals and organizations cannot reserve or use park shelters for any specific times that have been already reserved.
- C. A reservation is not confirmed until both the **Park Shelter Reservation Permit** and the applicable fee has been submitted to City Hall and approved.
- D. Individuals and organizations must provide the following information to reserve a park shelter:
 - 1) Name of individual or organization.
 - 2) Contact person and phone number.
 - 3) Address.

- 4) Facility requested.
- 5) Date requested.
- 6) Type of activity or function of event.
- 7) Approximate hours of the event.
- 8) Approximate number of people attending event.

E. A fee will be assessed dependent upon the type of organization:

- 1) Local nonprofit and civic organizations will not be charged.
- 2) All other groups and individuals will be charged the fee set out at the current year's fee schedule.

F. Individuals and organizations that wish to use amplified noise or sound must also submit an application for a **Sound Permit**.

G. There is no deadline for reserving a park shelter. Reservations may be made on the day of the event as long as the **Park Shelter Reservation Permit** and applicable fees are submitted to City Hall and approved. City Hall hours of operation are Monday through Friday, 8:30 a.m. to 4:30 p.m. Therefore, weekend reservations must be made in advance.

H. First come first served with community activities having priority.

I. The permit is valid for the entire day applied for, with a placard indicating the event to be visible at the facility requested. Police are to be contacted for any disagreements at the facility.

4. GUIDELINES

A. The applicant is responsible to maintain order among the participants attending the event.

B. The applicant and the event's participants are required to obey all park rules.

C. The applicant and the event's participants are responsible for damage to park property.

D. The applicant and the event's participants are responsible for cleaning the shelter or area used following the event.

E. No kegs or glass bottles are allowed.

F. The event must finish before the park closes.

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Section: 4. Parks and Recreation

Title: Special Events and Live Performance Policy

Effective Date: November 12, 2013 – Council Approval **Resolution No.** N/A
(Revisions)

Policy Number: 4.04.01

1. PURPOSE

The purpose of this policy is to set guidelines, regulations, and procedures for special event applications and permits for the City of Adel. Individuals or organizations requesting use of City property or right-of-way for special events must fulfill basic responsibilities in order to conduct the event with the approval of the City.

In addition, this policy includes guidelines, regulations, and procedures for events that amplify sound of live performances in the City. This policy, as it pertains to noise permits, follows Chapter 43.08 of the City Code.

2. GENERAL GUIDELINES

- A. Receiving approval from the City does not preclude responsibility for any additional permits, approvals, or state and federal regulations.
- B. The City reserves the right to impose special guidelines and restrictions based on the nature of the proposed special event and its attendant circumstances.
- C. Applicants must complete the following forms and submit them to the City Clerk's office at least 30 days prior to the proposed event, and prior to the next Council meeting. City Council meetings are held on the second Tuesday of each month at 6:00 p.m.
 - 1) Special Event Permit Application.
 - 2) Sound Permit (if applicable).
 - 3) Indemnification / Hold Harmless

- 4) Supporting documents such as maps.
- D. A non-refundable application fee must accompany the application for the special event.
 - 1) Additional charges may apply depending on the type of special event or the special event's requirements.
 - 2) Sound permits require an additional fee, which is dependent on the length of time.
- E. The City Administrator or City Clerk is authorized to grant or deny permission for most special events unless arterial streets are closed or the event will go past 9:00 p.m. weekdays or 10:00 p.m. on weekends.

3. TYPES OF EVENTS

The following is a partial list of acceptable special events:

- A. Parades.
- B. Timed events.
- C. Athletic events.
- D. Street fairs.
- E. Outdoor concerts.
- F. Rallies involving the use of public land.
- G. Walk/Run.
- H. Festival

4. POLICY

- A. Upon issuance of the permit, the applicant must comply with insurance provisions requiring a certificate of insurance naming the City of Adel as an additional insured in the following amounts:
 - 1) Public Liability Insurance for any one person not less than \$500,000.
 - 2) Public Liability Insurance for any one accident not less than \$1,000,000.

- 3) Each policy and certificate shall have endorsed thereon: “No cancellation of or change in this policy shall become effective until after ten (10) days’ notice by registered mail to: Code Compliance Officer, Adel City Hall, 301 South 10th Street, Adel, IA 50003”
- B. Upon filing an application, an Indemnification and Hold Harmless Agreement (prepared by the City of Adel) holding the City of Adel and its Boards, Commissions, Officers and Employees harmless must be executed by the applicant or an authorized representative.
- C. The application must include a map of the specific area to be used or route of travel. The map must delineate the City property to be used (Streets/Sidewalks/Trails, etc.), start and finish points and direction of flow, if applicable, as well as location(s) of outdoor toilet and liquor dispensing area(s), if any.
- D. The applicant must comply with all federal, state, county, and city laws, ordinances and regulations including all regulations adopted and established by the City.
- E. The applicant must assume extra costs associated with public safety and sanitation at the level of service recommended by the City of Adel. This includes the number and type of barricades, number of toilets / kybos and trash receptacles, and the number and hours of police/security officers.
- F. If alcoholic beverages are to be sold or if an entrance or admission is charged for an event at which alcoholic beverages will be served, a Liquor Permit and Dram Shop Insurance will be required. This permit, which is not included in the application fee for the Special Event, requires consideration and approval by the Adel City Council and, in some instances, re-quires approval by the State of Iowa. Questions concerning liquor permits must be directed to the City Clerk.
- G. If the event is held in a secured area, allowance must be made for access for fire emergencies including a minimum of two (2) exits, Events held on public streets must include an allowance for a continuous, through traffic lane for use by public safety personnel in an emergency.
- H. The use of a tent of more than 200 square feet (enclosed) or canopy style (open on three sides) of more than 400 square feet will require the Adel Volunteer Fire & Rescue Department to review proof of fire retardancy from the manufacturer or supplier as well as the proposed location and intended use of the tent.

- I. A building/electric permit will be required for construction, electric, or plumbing work necessitated by the event. The cost of the permit, issued by the Code Compliance Department, is not included in the application fee for the Special Event.
- J. If the event will utilize amplified sound a sound permit will be needed. As indicated above, the cost of the permit, issued by the Code Compliance Department is not included in the application fee for the Special Event.
- K. Type III barricades are always required, with lights added after dark. The barricades must be sufficient so as to completely close the street or roadway but yet be easily and quickly removable solely for emergency vehicle access.
- L. The following number of portable toilets/kybos is required in accordance with estimated event attendance:
 - 1) For events with alcohol: 1 toilet/kybo for every 150 people.
 - 2) For events without alcohol: 1 toilet/kybo for every 250 people.
- M. The applicant must utilize police/security officers if recommended by the Adel Police Department. When alcohol is available at the event, the applicant must comply with the recommendations of the Police Department. In some instances off-duty police officers may be hired; contact Support Services in the Police Department for details.
- N. The applicant must propose a plan to address sanitation/garbage collection for the event.

4. BLOCK PARTY RULES

- A. The applicant must comply with all federal, state, county, and City laws.
- B. The block party should not last longer than eight (8) hours and may not start before 9:00 a.m., nor extend beyond 10:00 p.m. This does not include set-up and cleanup.
- C. No alcohol may be kept or consumed on the street or public right-of-way. Alcohol must be kept and consumed on private property.
- D. Any dunk tank, recreational inflatable item, semi-permanent exhibit, or any other item of any kind that may prevent or limit the access of public safety vehicles shall be prohibited from being placed in the street or public right-of-way.
- E. Any music or other noise shall be maintained in conformance with the City's Noise Ordinance. All music shall be turned off at 9:00 p.m. on weekdays and 10:00 p.m. weekends.
 - 1) Any valid complaint of disturbance of the peace will result in a warning.
 - 2) If the disturbance continues, it shall be reason to terminate the block party.
- F. The use of fireworks is not allowed per Iowa Code. Persons using fireworks may be criminally charged and the block party may be terminated.
- G. Block party organizers must comply with all street closure rules.

5. STREET CLOSURE RULES

- A. Barricades will be placed on the street right-of-way at the intersections of the street closing by Public Works staff prior to the event.
- B. The persons(s) in charge of the block party will set out the barricades at the intersections just prior to the start of the block party.
- C. When the block party has concluded and the street right-of-way is clear of people, materials, and debris, those in charge shall remove the barricades from the street. The removed barricades shall be placed back at the location where they were dropped off. The street shall be opened for vehicular traffic no later than the concluding time listed.
- D. The Public Works Department shall pick up the barricades the following business day.
- E. The person(s) requesting the block party is / are responsible and will be billed for all damaged or lost barricades. The fee for damaged or lost barricades may be up to \$300.00 each.

- 1) The line shall be cut, crimped, and capped so as to be made absolutely water tight. Before the trench is backfilled on an abandoned line the City's water superintendent shall inspect the procedures used in abandoning the line. City staff shall be the final authority on abandonment inspections.
 - 2) If possible, and without permanent damage to the street, the service shall be terminated and capped at the main trunk line.
 - 3) Once the abandonment has been completed and inspected, the City may issue a letter releasing the property owner from further liability of the capped line.
- C. All work to abandon utility service lines shall be completed within fifteen days of disconnection and discontinuation of service.

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Section: 5. Public Works and Utilities

Title: Deduct Meter Policy

Effective Date: April 2004

Resolution No. 04-12

(Revisions) November 12, 2013 – Council Approval

N/A

Policy Number: 5.02.01

1. PURPOSE

The City of Adel Water and Sewer Committee has reviewed Section 91.10 of the City of Adel Code of Ordinances and recommends adoption of a Deduct Water Meter Policy.

2. POLICY

- A. Deduct water meters may be purchased at City Hall.
- B. Once the meter is purchased it is the owner's responsibility to install, maintain, and replace the meter. Only meters purchased and registered by the City will be allowed a sewer usage credit.
- C. If a deduct meter is purchased for a new construction it will be required to be plumbed in with a radio transmitter and read monthly along with the regular meter.
- D. Sewer credits will be given two ways:
 - 1) Meters plumbed in will receive a sewer credit monthly.
 - 2) Meters not plumbed in will be brought to City Hall in October to be read and the credit calculated for the next water bill.
 - 3) If a meter is not brought in on an annual basis, credit will be based on the following formula:
 - a. Amount of water used since last reading divided by the number of years since last reading to determine the gallons for which a credit will be given.

City of Adel
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Section: 5. Public Works and Utilities

Title: Water and Utility Billing Procedures

Effective Date: October 1, 2006 – Council Approval **Resolution No.** N/A
(Revisions) November 12, 2013 – Council Approval N/A

Policy Number: 5.03.01

1. PURPOSE

To provide efficient and consistent policies, standards, and procedures for the understanding and practice of disconnecting water service to residents delinquent in paying for their water service.

2. POLICY

In accordance with Chapter 92 of the City Code of Ordinances, the City of Adel establishes its water and utility billing procedures.

3. APPLICATION FOR SERVICE

A. The City of Adel requires all new and relocating customers to complete a written application for utility service in person at City Hall located at 301 S. 10th Street, Adel, IA 50003 between the hours of 8:30 a.m. and 4:30 p.m. and provide a \$100 deposit.

B. Each customer shall provide the following information:

- 1) A contact for the party responsible for bill payment.
- 2) Mailing address, if different from service address.
- 3) An address of residence prior to application.
- 4) You may also be asked to provide employer information, credit references, and social security and driver's license numbers to help prevent identity theft.

- C. Under certain circumstances an application may be mailed, emailed, or faxed to the customer and returned to City Hall in the same manner. The Utility Billing Clerk shall determine when this may be appropriate.

4. UTILITY BILLING

- A. The billing process begins on the 20th of the month following the reading. Reports are printed, reviewed, and corrections are made if needed.
- B. Utility bills are generally sent out on the last business day of the month.
- C. Water/Sewer Utility Bill payments are due the 20th of every month.
- D. The next business day following the 20th, a utility deposit is performed and a 10% late payment penalty is applied to the delinquent accounts.

5. UTILITY BILLING DISPUTES

- A. As soon as a utility customer believes there is a discrepancy, the customer should first contact the City Clerk to try to resolve the problem.
- B. If the disputed issue cannot be resolved, the Clerk shall inform the customer of the right to appeal to the City Administrator and request a hearing.
- C. If a hearing is requested within 48 hours of receipt of delinquent notice, the City Administrator shall conduct an informal hearing and make a determination. The City Administrator will only decide whether the delinquent account is justified.

6. DISCONNECTION PROCEDURES

- A. Notice shall be sent each month of a water customer's usage and amount due for such usage.
 - 1) Accounts are considered delinquent the first business day after the 20th if payment has not been received in full.
 - 2) The Utility Billing Clerk shall notify each delinquent customer that service will be discontinued if payment of the combined service account, including late payment & penalty charges, is not received within ten (10) days after the due date.
 - 3) Notice shall be sent by first class mail within five (5) working days after a bill becomes delinquent and shall inform the customer of the nature of the delinquency to afford the customer the opportunity for a hearing prior to

discontinuance. All attempts will be made by the Utility Billing Clerk to mail the notice on the third day after the account becomes delinquent.

- 4) A disconnection notice tag will be hung on the front door of any residence that has not made payment within the ten days after the due date, but only after the initial notice is sent by first class mail. The fee for having a “shut-off” tag hung shall be \$30.00.
- B. A list of water service disconnections required shall be generated on the morning of the tenth (10) day and public works staff shall proceed to turn off all water service to customers once they receive the list. The \$50.00 shut-off fee will be assessed to the account at this point. If a customer pays the amount due plus any late fees prior to their water service being physically shut off, the staff will be notified and water service will not be interrupted.
 - C. If water service is shut off, service will not be restored until all disconnection fees have been settled. In some cases this may be the next business day.
 - D. Public Works staff will not be called in on overtime to restore water service unless authorized by the City Administrator.

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Section: 5. Public Works and Utilities

Title: Firearm Use and Storage by Wastewater Treatment Facility Operator

Effective Date: December 2005 – Council Approval **Resolution No.** N/A
(Revisions) November 12, 2013 – Council Approval N/A

Policy Number: 5.04.01

1. PURPOSE

To provide efficient and consistent policies, standards, and procedures for the use of firearms by the Waste Water Treatment Facility operator expressly for the purpose of eradicating vermin and pests from the City Waste Water Treatment Facility.

2. POLICY

The City of Adel will acquire and place a firearm into service when doing so will ensure and/or substantially enhance the ability of the Waste Water Treatment Facility operator to carry out the basic duties and responsibilities of his job and when other less expensive or safe methods of expedient eradication of vermin and pests are not available or appropriate.

3. REQUESTING AND USING A FIREARM

Department managers may request a firearm for City employees with job duties and responsibilities that require the eradication of vermin and pest at the Waste Water Treatment Facility. The following standards shall be applied by the Waste Water Treatment Facility operator:

- A. Use of the firearm for the eradication of vermin and pest shall be a last resort method of eradication of the vermin and then may only be used if the vermin is a potential threat to the safe and efficient operation of the facility.
- B. The firearm shall only be used by City employees who have been properly instructed as to use, care and proper storage.

- C. The firearm shall be stored with a trigger lock and in a locked cabinet or locker at all times. Ammunition rounds shall be stored in a separate locked facility from the firearm.

4. OTHER USE RESTRICTIONS

- A. When possible, City funds shall not be used to purchase firearms. Firearms shall be procured from a local law enforcement agency when possible and appropriate.
- B. Firearms shall be cleaned and cared for on a regular basis. Maintenance and cleaning shall be recorded on the written discharge report attached to this policy.
- C. The Waste Water Treatment Facility operator shall be the sole authorized user of the firearm and shall successfully complete a training program as conducted by and through the Adel Police Department.
- D. The facility operator shall limit the use of the firearm to those occasions when an alternative, safer, and more economical communication method is unavailable. This rule is particularly important because of the safety required with firing a weapon.
- E. The firearm shall not be used for target practice and shall only be fired when the intent is to eradicate a vermin or pest.
- F. A written record shall be kept and filed with the City Administrator each time the firearm is fired. The report shall include the date, time, names of others present, type of animal exterminated, and number of rounds of ammunition spent.
- G. Requests for additional rounds of ammunition shall be made to the City Administrator.
- H. If it is necessary to transport the firearm from the Waste Water Treatment Facility to another location the City Administrator and the Chief of Police shall be notified. The firearm shall only be transported with the trigger lock in place and the firearm in a carrying case.

City of Adel
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Section: 5. Public Works and Utilities

Title: Live Trap Loan Policy

Effective Date:	November 8, 2011 – Council Approval	Resolution No.	N/A
(Revisions)	November 12, 2013 – Council Approval		N/A

Policy Number: 5.05.01

1. PURPOSE

Live Traps are loaned out by the City of Adel to residents who need to trap wild or domestic animals, which pose a nuisance to their property.

2. POLICY AND PROCEDURE

- A. Requests for a live trap can be made by residents of Adel at City Hall - either in person, or by phone or email.
- B. If a trap is not available at the time of request, the name of the resident shall be placed on a waiting list along with their telephone number and date the request was made.

3. DEPOSIT

- A. When a trap is available, the resident shall pay an \$80.00 deposit at the time the trap is picked up at City Hall. City staff shall instruct resident how to set trap.
- B. The \$80.00 deposit will be refunded upon the return of the trap.

4. TIME LIMIT

- A. Live traps shall be on loan for only 1 week at a time. If after that time, the user wishes to keep it another week, they must call City Hall. If there are names on the waiting list, the trap shall go to the next person on the list. If there are no names on the waiting list, the user can keep it for an additional week.
- B. If after one week, the user does not call City Hall, public works personnel will pick up the trap, and the deposit will be mailed to the resident. If the trap is not available for city personnel to pick up, the deposit will be forfeited.

5. RETURN OF TRAP

- A. Upon capture of an animal, the user shall call City Hall (993-4525) and Public Works personnel will retrieve the trap and animal (Monday through Friday, 8:30 a.m. to 4:30 p.m. only).
- B. Wild animals will be released outside of city limits. Domesticated animals will be taken to the Adel Veterinary Clinic where owners, if known, will be contacted.

C. Once the police department has notified one of the above personnel, it will be the notified person's responsibility to coordinate the snow removal policy of all streets and alleys. Crews will be mobilized as necessary and as determined by the Public Works Director and / or City Administrator.

D. The criteria for notifying the above personnel are:

- 1) When there is two inches or more of snow on the ground
- 2) When icing occurs which exceeds normal winter driving conditions
- 3) When the snowfall exceeds normal winter driving conditions: i.e. blizzard conditions with a forecast of continued snow

4. SNOW REMOVAL ROUTES

The Street Department will remove snow from all areas of town in the following order:

- A. First – Remove snow from Downtown area and Greene Street.
- B. Second – Remove snow from designated snow routes.
- C. Third – Remove snow from secondary roads and cul-de-sacs.
- D. Fourth – Remove snow from alleys.

5. BUSINESS DOWNTOWN

Snow will be picked up the morning after a snow of more than two inches. The police department will have cars moved from the city streets in accordance with the snow removal ordinance or as requested by the Public Works Director.

6. CUL-DE-SACS

Snow will be pushed up in the center and hauled off as time permits.

7. TRAFFIC, PARKING, AND ENFORCEMENT

A. The police department will begin issuing citations to vehicles parked on the street after a snow plow has made one pass on a street. In accordance with City Ordinances 69.10, 70.03, and 70.06 the city may issue citations or tow a vehicle in violation of the City Snow Parking Ordinance.

- B. Only after the street has been completely cleared of snow (curbed – four passes of snow plows) will citizens be allowed to park on the street.
- C. Downtown residents may park vehicles in the Public Safety Building parking lot without getting a ticket. Public Works crews will clean-up Downtown snow the day after the initial snow. After the Downtown is completely cleared of snow, residents of the Downtown area will be allowed to park their vehicles on the streets again.

8. INCIDENT/ACCIDENT REPORTS

Property damage caused by city equipment will be reported to the Public Works Director. Damaged property will be repaired or replaced as soon as possible and as needed. The Public Works Director will also notify City Hall of any damaged property. All incidents / accidents will be handled according to the City of Adel Personnel Handbook.

9. EQUIPMENT

The Street Department has three snowplow trucks and several other pieces of snow moving equipment. The trucks will have a designated route to keep clean and sanded initially and will respond to trouble spots once these routes are completed.

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Section: 5. Public Works and Utilities

Title: Water Weekends Policy

Effective Date: July 1, 2005
(Revisions) November 12, 2013 – Council Approval

Resolution No. 05-14
N/A

Policy Number: 5.07.01

1. PURPOSE

To provide efficient and consistent policies, standards, and procedures for the understanding and implementation of work duties associated with monitoring and testing water qualities on a regular and consistent basis.

2. POLICY

The City of Adel will schedule employees to work in the water treatment facility on a regular and rotating basis for the purpose of conducting water treatment testing and monitoring. Schedules of work will be posted with a minimum of two weeks advance notice. Primary importance will be placed on the establishment of a rotating weekend schedule to be included in regular work duties and responsibilities.

3. SPECIAL CONSIDERATIONS

- A. The workweek begins on Saturday at 12:01 a.m. Water Weekend duties are to be performed between the hours of 6:00 a.m. and 10:00 a.m. unless previously discussed with the City Administrator.
- B. The full week's schedule will be written and posted at least two weeks in advance. Any deviation from the schedule including substitutions will be discussed with the city administrator.
- C. If the water weekend falls on a holiday or includes a three-day weekend; the holiday will be paid at the holiday rate. If staff desires to split duties and responsibilities with another employee on a holiday weekend sufficient notice must be given so that the remaining workweek time may be scheduled accordingly.
- D. If an employee is notified of a grave closing to take place on the same date(s) as he or she is scheduled for a water weekend, then that employee shall be provided the opportunity to schedule a water weekend so as to take advantage of time conservation. Grave closings will be paid as overtime assignments.

- C. Any other method of procurement must have prior approval from the Iowa Economic Development Authority.

4. SMALL PURCHASE PROCEDURES

Small purchase procedures are relatively simple and informal procurement methods that sound and appropriate for a procurement of services, supplies, or other property, costing in aggregate not more than \$100,000. If small purchase procedures are used for a procurement under a grant, price or rate quotations shall be obtained from an adequate number of qualified sources to determine the most advantageous provider.

5. SEALED BIDS (FORMAL ADVERTISING)

- A. In sealed bids (formal advertising), sealed bids are publicly solicited and a firm fixed price contract (lump sum or unit price) is awarded to the responsible bidder whose bid conforming with all of the material terms and conditions of the invitation for bids, is lowest in price. The sealed bids methods is the preferred method for procuring construction.
- B. In order for formal advertising to be feasible, the following conditions must be present:
 - 1) A complete, adequate and realistic specification or purchase description.
 - 2) Two or more responsible suppliers are willing and able to compete effectively for the City of Adel's business.
 - 3) The procurement lends itself to a firm fixed price contract, and selection of a successful bidder can appropriately be made principally on the basis of price.
- C. When sealed bids are used for a procurement under a grant, the following requirements shall apply:
 - 1) A sufficient time prior to the date set for opening bids shall be solicited (publicly advertised) from an adequate number of known suppliers.
 - 2) The invitation for bids, including specifications and pertinent attachments, shall clearly define the items or services needed in order for the bidders to properly respond to the invitation.
 - 3) All bids shall be opened publicly at the time and place stated in the invitation for bids.
 - 4) A firm fixed price contract award shall be made by written notice to that responsible bidder whose bid, conforming to the invitation for bids, is lowest. Where specified in the bidding documents, factors such as discounts,

transportation costs and life cycle costs shall be considered in determining which bid is lowest. Payment discounts may only be used to determine low bid when prior experience of the City of Adel indicated that such discounts are generally taken.

- 5) Any or all bids may be rejected when there are sound documented business reasons in the best interest of the program.

6. COMPETITIVE PROPOSALS

In competitive proposals, proposals are requested from a number of sources and the Request for Proposal is publicized. Negotiations are normally conducted with more than one of the sources submitting offers, and either a fixed price or cost reimbursable type contract is awarded, as appropriate for the use of formal advertising. If the competitive proposals method is used for a procurement under a grant, the following requirements shall apply:

- A. The Request for Proposal shall be publicized and identify all evaluation factors and their relative importance. Any response to publicized request for proposals shall be honored to the maximum extent practical.
- B. Requests for proposals shall be solicited from an adequate number of qualified sources.
- C. The City of Adel shall provide mechanisms for technical evaluation of the proposals received, determinations of responsible offers for the purpose of written or oral discussions, and selection for contract award.
- D. Awards will be made to the responsible offerer whose proposal will be most advantageous to the procuring party, with price and other factors considered. Unsuccessful offers will be promptly notified in writing.
- E. The City of Adel may utilize competitive proposal procedures for procurement of architectural/engineering (A/E) professional services, whereby competitor's qualifications are selected, subject to negotiation of fair and reasonable compensation. The methods, where price is not used as a selection factor, can only be used in the procurement of A/E professional services. It cannot be used to procure other types of sources (e.g. administration professional services) even though A/E firms are a potential source to perform the proposed effort.

7. NON-COMPETITIVE PROPOSALS

Non-competitive proposals are procured through solicitation of a proposal from only one source, or after solicitation of a number of sources, competition is determined inadequate. Non-competitive proposals may be used only when the award of a contract is not feasible under small purchase, sealed bids (formal advertising), or competitive proposals.

Circumstances under which a contract may be awarded by non-competitive proposals are limited to the following:

- A. The item is available from only a single source.
- B. After solicitation of a number of sources; competition is determined inadequate.
- C. A public urgency or emergency when the urgency for the requirement will not permit a delay incident to competitive solicitation.
- D. The awarding agency (IEDA) authorizes non-competitive proposals. (Sole source procurement for supplies, equipment, construction, and services valued at \$25,000 or more must have prior approval of the Iowa Economic Development Authority.)

8. CONTRACT PRICING

- A. The cost plus a percentage of cost and percentage of construction cost method of contracting shall not be used.
- B. The City of Adel shall perform some form of cost/price analysis for every procurement action, including modifications or change orders.
- C. The City of Adel 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.

approximate number of dwelling units by size and provide information identifying the specific location and number of dwelling units by size as soon as it is available.

- E. The source of funding and a time schedule for the provision of replacement dwelling units.
- F. The basis for concluding that each replacement dwelling unit will remain a low/moderate-income dwelling unit for at least ten (10) years from the date of initial occupancy.
- G. Information demonstrating that any proposed replacement of dwelling units with smaller dwelling units is consistent with the housing needs of low/moderate-income households in the jurisdiction.

3. RESPONSIBLE ENTITY

- A. The City of Adel, City Hall, 301 S. 10th Street, Adel, Iowa, 50003, telephone (515) 993-4525, is responsible for tracking the replacement of housing and ensuring that it is provided within the required period.
- B. The City of Adel is responsible for ensuring requirements are met for notification and provision of relocation assistance, as described in CFR 570.496(a)(c)(2), to any low/moderate-income person displaced by the demolition of any dwelling unit or the conversion of a low/moderate-income dwelling unit to another use in connection with an assisted activity.

4. STEPS TO MINIMIZE DISPLACEMENT

Consistent with the goals and objectives of activities assisted under the Act, the Local Government will take the following steps to minimize the displacement of persons from their homes:

- A. Evaluate housing codes and rehabilitation standards in reinvestment areas to prevent their placing undue financial burden on established owners or tenants of multi-family buildings.
- B. Establish facilities to house persons who must be relocated temporarily during rehabilitation.
- C. Adopt policies which protect tenants from developers that would rehabilitate housing in such a manner that it would no longer be affordable to low/moderate-income families or individuals.
- D. Establish counseling centers to provide homeowners and renters with information on the assistance available to help them remain in their neighborhood in the face of revitalization or rehabilitation efforts.