On Behalf of the Ohio Housing Finance Agency,

Congratulations and welcome to our team! We are excited to work with you and look forward to the knowledge and expertise you will bring to our organization.

The Ohio Housing Finance Agency offers affordable housing opportunities for Ohioans from rental assistance to homeownership. OHFA provides access to financial resources for the development and management of affordable housing. The Agency’s programs serve first-time homebuyers, renters, senior citizens and other populations with special needs who otherwise might not be able to afford quality housing.

OHFA has been serving the housing needs of Ohio residents since 1983. In its history, OHFA has issued over $11 billion in single family mortgage revenue bonds and $840 million in multifamily revenue bonds. Our FirstTime Homebuyer Program has helped over 159,200 families find a place to call home, and our Housing Credit and other multifamily programs have facilitated the development of over 135,800 rental units since 1987. Through viable homeownership and rental opportunities, our mission is to Open the Doors to an Affordable Place to Call Home. It is through our unwavering dedication to developing and implementing innovative, effective programs and services that address Ohio’s affordable housing needs that we are able to realize such great achievements.

At OHFA, we know that passion, collaboration and innovation are fundamental to our success and critical in satisfying our mission. These core principles provide us the foundation on which we continue to build this organization and allow us to serve as an industry leader in affordable housing. There is nothing more rewarding than providing housing solutions to Ohio residents.

This Team Handbook contains the official policies of the Ohio Housing Finance Agency. I am confident that you will find great pleasure in working here and experience tremendous pride in the work that we do.

Sincerely,

Sean Thomas
Executive Director
For further information concerning your employment, see the Department of Administrative Services (DAS) website at www.das.ohio.gov for state employees. This website contains information regarding benefits, careers, employee discounts and learning and development. Union employees should also see their collective bargaining agreement. These handbooks are not inclusive of all matters affecting your employment.

The Ohio Housing Finance Agency reserves the right to revise this handbook at any time. This handbook does not constitute a contract guaranteeing employment in any way and should not be construed as such.

Benefits offered to state employees are addressed in the OHFA Team Handbook and the State of Ohio Employee Benefit Handbook. Please refer to the appropriate book for information regarding your employee benefits.
PURPOSE
This policy provides flexibility in attendance practices and compliance with federal and state employment laws, including the Fair Labor Standards Act (FLSA) of 1938.

CROSS REFERENCE
- Fair Labor Standards Act (FLSA) of 1938 and subsequent amendments
- Ohio Revised Code (ORC) § 4111.03
- Ohio Administrative Code (OAC) § 123:1-43-01
- OCSEA Collective Bargaining Agreement; Article 13
- State of Ohio Administrative Policy HR-08, Compensatory Time for Overtime Exempt Employees

REVISION DATE
This policy was last revised on January 6, 2020.

DEFINITIONS
For the purposes of this policy, the following definitions apply:
- **Overtime eligible employees**: Employees who are eligible to receive overtime pay, as determined by the Fair Labor Standards Act (FLSA), for hours worked in excess of forty (40) hours any calendar week.
- **Overtime exempt employees**: Employees who are not eligible to receive overtime pay, as determined by the FLSA, for hours worked in excess of forty (40) hours during any calendar week.

STANDARD WORKWEEK
The standard workweek for all full-time employees is eight (8) hours per day, Monday through Friday, excluding holidays and weekends. Standard hours of operation will be 8:00 a.m. to 5:00 p.m. The office/division Director will determine the standard workweek for part-time employees. The schedules available for working are 6:00 a.m. to 6:00 p.m. The Office Director may approve variation from the standard workweek. No overtime eligible employee may work more than 40 hours in a calendar week (i.e., Sunday through the following Saturday) without prior approval from his or her supervisor. Overtime exempt employees who work more than 80 hours in a pay period must have prior approval from his/her supervisor for compensatory time and are not entitled to receive overtime pay. Overtime and compensatory time requests and approval shall be made pursuant to the Overtime/Compensatory Time Policy.

REPORTING TO WORK
An employee’s start time is that time when an employee actually begins performing the duties for which he/she is employed. All employees shall be at his/her report-in location ready to commence work at his/her start time. An employee’s end time is that time when an employee is scheduled to stop performing the duties for which he/she is employed.

Supervisors shall determine start and end times for all employees. It is permissible for overtime eligible employees to arrive at the workplace prior to his/her start time or remain in the workplace after his/her end time. However, the following restrictions will be strictly enforced during such times:
- No such employee may operate his/her computer, or otherwise operate electronic equipment at his/her workstation;
- No such employee shall receive or make telephone calls for any purpose related to his/her duties. No employee will be expected to answer a telephone prior to his/her start time or after his/her end time;
- No such employee shall otherwise do work that is available at his/her workstation (e.g., open mail, read e-mail, read business materials, etc.);
- No such employee shall interfere with other employees who are working.

These restrictions are a key component of this policy and the agency shall take steps to maintain compliance, including discipline and/or a general prohibition from entering the workplace prior to start time or staying in the workplace after the end time. Overtime eligible employees will stop working at his/her end time. If any overtime eligible employee remains in the workplace beyond his/her scheduled hours of work, he/she shall follow the same restrictions indicated above for early arrival.

LUNCH PERIOD
All employees shall take a one (1) hour or one-half (1/2) hour lunch break at or near the mid-point of his/her workday. Overtime eligible employees may not conduct agency business during his/her lunch period. The employee’s supervisor will determine the time and duration of the lunch period to ensure
adequate office coverage. The lunch period may only be extended to one and one-half (1½) hour when utilizing the Health and Wellness Period Program.

When it is necessary to meet operational needs, a supervisor may allow employees to skip all or part of his/her lunch period and make an adjustment in his/her workweek. Additionally, a lunch period may be taken outside the regularly scheduled time with prior approval of the employee’s supervisor.

BREAKS
All employees may take a fifteen (15) minute mid-morning break and a fifteen (15) minute mid-afternoon break. Supervisors may assign specific break times to ensure adequate office coverage at all times. Employees must notify their supervisor or designee when they are taking a break. Employees on break are still on official state time and are accountable for their actions.

It is not permissible to forego one (1) break and combine it with another break or the lunch period to create a longer break or longer lunch period except when approved to use the Health and Wellness Period program.

FLEXIBLE HOURS
At the complete discretion of the office Director, and with prior approval, employees may flex their hours within the workweek. That is, an employee may work more than 8 hours one (1) day of the workweek and compensate for that variation on another day of the workweek. Under no circumstances may any overtime eligible employee flex his/her hours of work outside of the calendar week.

Overtime exempt employees are permitted to work a flexible work schedule within a pay period, as opposed to a calendar week. It is expected that overtime exempt employees work a schedule that satisfies the unique responsibilities of the position, and these employees often work more than forty (40) hours in a given calendar week.

ENFORCEMENT
Supervisors shall be responsible for active enforcement of this policy and should regularly review the workplace to ensure compliance. Supervisors failing to regularly review the workplace may be subject to discipline. Should a supervisor find any overtime eligible employee violating this policy, in addition to any other action taken, the supervisor shall document the violation. Such documentation shall indicate the name of the violating employee, the date and time of the violation, and any corrective action taken. This documentation is made for the purpose of tracking enforcement of this policy. While such documentation may be used to support discipline, it will not be considered a form of discipline. This documentation will be maintained within the division/office for a time period no shorter than three (3) years after the date of the violation.

TARDINESS
Tardiness is defined as arriving at work at a time later than the employee’s start time. Unexcused tardiness is subject to disciplinary action. The agency has the option of considering tardiness of less than thirty (30) minutes as Absence without Leave (AWOL). However, any period of unexcused tardiness in excess of 30 minutes will be considered AWOL.

Tardiness may be excused where circumstances beyond an employee’s control cause the tardiness. Employees are responsible for providing information sufficient for a supervisor to determine that the circumstances were in fact beyond the employee’s control. Employees who are tardy are not automatically considered to be in approved Leave Without Pay status. Therefore, the employee must make up the time by which they are tardy, either through the use of approved leave or, with supervisor approval, a schedule adjustment or flexible hours. If neither approved leave nor flexible hours is appropriate, the tardy employee’s pay will be reduced by the amount of time they were late.

REPORTING OF TIME WORKED
All employees shall accurately complete their timesheets using the agency’s automated time keeping system supplied by the agency. All employees must complete their time sheets by 12:00 p.m. on the Tuesday following a payday and have them approved by their supervisor. Employees’ time sheets must accurately indicate the total hours worked for each day of the workweek and the total hours worked for the pay period. Only with the approval of the agency’s Payroll Coordinator, may timesheets be modified after 12:00 p.m. on the Tuesday following a payday.

ADJUSTED SCHEDULES
For the purposes of this policy, “Adjusted Schedules” means allowing employees to establish an eight (8) hour workday schedule whereby the employee may arrive at work at a time other than 8:00 a.m. Starting times may vary between 6:00 a.m. and 9:30 a.m. Official agency hours remain 8:00 a.m. to 5:00 p.m., Monday through Friday.

Compressed workweeks, such as ten (10) hour days, should only be considered when practical from an agency perspective.
(i.e., travel, meeting schedules, inspection schedules, etc.) and consistent with operational needs. All employees utilizing a nine (9) or ten (10) hour day adjusted schedule will be required to work 8:00 a.m. to 5:00 p.m. during the week of a holiday unless an alternative eight (8) hour schedule is approved. Adjusted Schedules should not be confused with “true” Flex-Time, whereby the employee works a variable number of hours each day within a forty (40) hour workweek. Such Flex-Time is normally not permitted.

REQUESTING AN ADJUSTED SCHEDULE

Any adjusted schedule requests shall be approved at the discretion of the supervisor/designee. Denial or approval of an adjusted schedule shall be based on operational needs.

Where conflicting requests are made, such will be resolved by assigning the schedule on a “first-come, first-served” basis. Supervisors shall attempt to equitably allow for multiple adjusted schedules if operational needs allow. Once an adjusted schedule is established, it becomes the normal working schedule for that employee.

Management retains the right to adjust the number of employees approved for adjusted schedules as necessary. Previously approved adjusted schedules can be canceled when operational needs require. Management will give the employee reasonable notice of the adjusted schedule alteration or withdrawal, unless impractical.
HOLIDAYS (A2)

PURPOSE
The intent of this policy is to provide general information about holidays for which full-time and part-time permanent employees are granted paid leave. Cross Reference
- Ohio Revised Code (ORC) §124.18
- Ohio Revised Code (ORC) §124.19
- Ohio Administrative Code (OAC) 123:1-44
- OCSEA Collective Bargaining Agreement; Article 26

REVISION DATE
- This policy was last revised on July 15, 2011.

HOLIDAY OBSERVANCE
Eligible state employees receive the following ten (10) paid holidays each year:
1. New Year’s Day (January 1);
2. Martin Luther King, Jr. Birthday (third Monday in January);
3. President’s Day (third Monday in February);
4. Memorial Day (last Monday in May);
5. Independence Day (July 4);
6. Labor Day (first Monday in September);
7. Columbus Day (second Monday in October);
8. Veteran’s Day (November 11);
9. Thanksgiving Day (fourth Thursday in November); and

When a holiday falls on a Sunday, it is observed on the following Monday. When a holiday falls on a Saturday, it is observed on the preceding Friday. Upon request, an employee may observe a religious holiday and either charge the time to the appropriate leave (i.e. vacation, compensatory time, personal leave, etc.), or ask to be given leave without pay. However, the Agency reserves the right to approve a leave without pay only after other paid leaves are exhausted.

HOLIDAY PAY
**Part time employees shall receive four (4) hours pay for each holiday.**

Employees scheduled to work more than eight (8) hours in a day may be required to change their schedule to include five (5) eight (8) hour shifts during the week including the holiday. In such case, the employee will receive eight (8) hours of holiday pay for the day the holiday is observed.

When an employee who is eligible for overtime pay is required to work on the day observed as a holiday, he shall be entitled to pay for such time worked at one and one-half times his regular rate of pay in addition to his regular pay, or be granted compensatory time off at time and one-half thereafter, at the employee’s option. Payment at such rate shall be excluded in the calculations of hours in active pay status.

ELIGIBILITY FOR HOLIDAY PAY
If a holiday occurs during a period of sick or vacation leave of an employee, the employee shall draw normal pay and shall not be charged for sick leave or vacation for the holiday.
PURPOSE
The purpose of this policy is to explain the requirements for approval and use of overtime and compensatory time (comp time) in accordance with the provisions of the Fair Labor Standards Act (FLSA).

CROSS REFERENCE
• Fair Labor Standards Act of 1938 and subsequent amendments
• Ohio Administrative Code (OAC) §123:1-43
• Ohio Revised Code (ORC) §4111.03
• OCSEA Collective Bargaining Agreement, Article 13
• State of Ohio Administrative Policy HR-08, Compensatory Time for Overtime Exempt Employees

REVISION DATE
This policy was last revised on January 6, 2020.

DEFINITIONS
For the purposes of this policy, the following definitions apply to compensation for authorized overtime worked:

Overtime Work: work conducted in excess of 40 hours in active pay status in a calendar week for which the employee is authorized and entitled to receive overtime compensation.

Time in Active Pay Status: For overtime purposes, time in active pay status will include:

Time worked;
• Non-work: Time for which the employee is paid but not working (i.e. vacation, personal, military, jury/witness leave, holiday, compensatory time off and excused paid absence, with the exception of sick leave or time used in lieu of sick leave). For simplification, the term "paid leave time" is used throughout the overtime instructions.
• Work Group: Bargaining unit employees who normally perform the same work in an OHFA office.
• Voluntary Overtime: Overtime which an employee requests to work.
• Mandatory Overtime: Overtime required and not filled through voluntary means. This may include requiring an employee to work in excess of forty (40) hours in any calendar week.

OVERTIME ELIGIBLE EMPLOYEES
Overtime-eligible employees are eligible to receive overtime pay, as determined by the FLSA, for hours worked in excess of forty hours of active pay status during any one calendar week. Such overtime compensation will be at a rate of one-and-one half times the employee’s total rate of pay.

Requests for & Authorization to Work Overtime
Individual requests to work overtime must be submitted, when practicable, to the immediate supervisor, and approved prior to the performance of overtime. In emergency situations, the supervisor’s authorization may be obtained by telephone, email, or text message. In the event that a supervisor determines that there is a need for an employee to work overtime during the work week and the need relates to specialized work, a task, program or account the employee is assigned to, or is necessary to finish a work assignment, the employee is authorized to perform the overtime work agreed to by the employee and the supervisor.

Overtime for which payment is to be made must be reported to Human Resources via the automated timekeeping system at the end of the pay period in which the overtime was worked. All authorizations of secured, Voluntary Overtime shall be maintained by the Office of Human Resources for internal audit purposes.

Compensatory (Comp) Time
Overtime eligible employees may elect to accrue compensatory time in lieu of cash payment for hours in an active pay status more than 40 worked in any calendar week; such comp time will be accrued at a rate of one-and-one half hours of comp time earned for each hour of overtime worked. The decision whether overtime is paid or comp time is accrued should be made at the time the assignment is made for the employee to work overtime.

Maximum accrual of comp time for OCSEA employees and exempt employees designated as overtime eligible shall be 240 hours.
Comp time must be used within 365 days from when it was earned for OCSEA employees and exempt employees designated as overtime eligible. Comp time not used within this time frame shall be paid to OCSEA employees at the employee’s current regular rate of pay; for exempt employees designated as overtime eligible it shall be paid at the rate of pay which was effective for the employee at the time the comp time was earned.

Any employee who has accrued comp time and requests use of it shall be permitted to use such time off within a reasonable period after making the request or, if such use is denied, the comp time requested shall be paid to the employee at his or her option. Comp time is not available for use until it appears in OAKS. When the maximum hours of comp time accrual is reached, payment for overtime work shall be made.

Upon termination of employment, OCSEA employees shall be paid for unused compensatory time at a rate which is the higher of the final regular rate received by the employee, or the average regular rate received by the employee during the last three years of employment. For any exempt employee designated as overtime eligible, payment for comp time not used shall be paid at the rate of pay which was effective for the employee at the time the comp time was earned.

**SECURING OVERTIME**

**Voluntary Overtime**

If it is determined that, in order to meet operational needs, more than 10 hours of overtime is required to be performed during a work week among employees constituting a Work Group, the designated supervisor will take the following steps to secure the overtime:

1. As long as the need continues to have overtime performed, canvass on a quarterly basis the employees in the Work Group who normally perform the work to determine who is interested in working overtime. If an employee responds yes to the canvass, the employee’s name will be placed on the Overtime Tracking Roster that will be maintained in the Human Resources Office. Also, canvass on a quarterly basis any other employees who do not normally perform the work, but who can complete the work, and determine if they are interested in working overtime. These employees will be placed in Group B on the Overtime Tracking Roster.

2. On a weekly basis, determine the total number of hours of overtime that is required to be performed during the work week. The number of hours of available overtime will be divided equally among the employees in the Work Group listed on the Overtime Tracking Roster who said they are willing to work overtime during the quarter. Each employee desiring to work overtime will be called and offered the same amount of hours of overtime. An employee in the Work Group may choose to work all, any portion of, or none of the hours offered. If an employee, when called, chooses not to work a portion of or any of the overtime hours offered during the week, the employee will be credited with the hours refused. If the overtime need is not filled on the first call, volunteers from Group B will be offered overtime, based on seniority, and may choose to work any portion of the remaining hours offered to employees in the Work Group, but not exceeding the number of hours offered on the first call to an employee in the Work Group.

3. If the required number of hours of overtime is not filled on the first call by the Work Group or Group B employees, any remaining hours will be divided equally among those employees in the Work Group and offered, first, to those in the Work Group and, secondly, to Group B. When an employee in the Work Group or Group B is called, that employee may choose to work all, any portion of, or none of the remaining hours offered. Employees in the Work Group may also volunteer to work any portion of the remaining hours and hours will be offered on the basis of seniority. (For example, if 12 hours remain after the first call and there are 6 employees in the Work Group, each will be offered 2 hours overtime. An employee may accept all or any portion of the 2 hours offered, but will be credited with any portion refused. An employee may also volunteer to work any portion of the 12 remaining hours; and, if any of those offered the additional hours do not accept, remaining overtime hours requested will be awarded to employees based on seniority if more hours are requested than available.) All overtime hours worked or credited, if refused, will be documented on the Overtime Tracking Roster. Once an employee is awarded and has accepted an overtime opportunity, failure to perform the hours agreed to on the first and second calls within the work week, may subject the employee to disciplinary action, unless extenuating circumstances arose and an alternative arrangement was approved by the supervisor. With the prior approval of the supervisor, an employee may also work more hours of overtime than are offered once all hours of overtime required to be performed have been distributed.
Mandatory Overtime

If the overtime need is not filled with Voluntary Overtime, the Supervisor may utilize Mandatory Overtime by mandating the individual whose name is up next on the Overtime Tracking Roster to work the overtime. Mandatory overtime will be assigned by starting with the least senior employee first, and working up the seniority roster. Such mandatory overtime shall be rotated among those employees in the Work Group who are listed on the seniority roster. Any of the employees in the Work Group, Group B or a manager may volunteer to perform all or any portion of the mandatory hours during the work week for the employee mandated to perform them. This will be documented as Voluntary Overtime on the Overtime Tracking Roster.

However, no employee will be required to work more than a total of 16 hours of Mandatory Overtime during the work week, and, if necessary, Mandatory Overtime will be distributed among those in the lower one-half of the seniority roster during a work week to reach the total number of hours needed. The failure of an employee to perform any mandated overtime hours that are not redistributed to coworkers as shown on the Overtime Tracking Roster will subject the employee to disciplinary action.

OVERTIME EXEMPT EMPLOYEES

Overtime exempt employees are not eligible to receive overtime pay, as determined by the FLSA, for hours worked in excess of 40 hours during any calendar week. For each employee who is designated as overtime exempt in accordance with the FLSA will be notified in writing of that designation.

Employees who are overtime exempt and also exempt from collective bargaining are eligible to accrue compensatory time subject to the additional limitations listed below:

- Comp time is expected to be earned on a project-specific basis and not accrued for the performance of routine duties of an employee’s position. Accrual and use of comp time should be approved in advance and requested using the agency’s automated time keeping system.

- Overtime exempt employees may earn comp time on an hour for hour basis after 80 hours in an active pay status in the same pay period. Comp time may be earned in one-tenth of one hour increments for hours worked.

- All staff are strongly encouraged to take at least a 30-minute lunch break. Comp time may not be accrued in lieu of taking a lunch break unless the employee is specifically asked to work during his or her lunch break.

- All overtime exempt employees may hold a maximum of 240 hours of comp time; comp time earned beyond 240 hours will not accrue and will be forfeited.

- Comp time is not available for use until it appears in OAKS.

Overtime-exempt employees must use comp time within 365 days of the date earned, and only at a time mutually convenient to the employee and supervisor. Comp time not used within this time frame shall be forfeited.

The transfer of comp time from one agency to another is not permitted, so any comp time an employee earned at his/her former agency of employment will be eliminated from his/her balance upon transferring.

Cash payment for comp time balances is not allowable under any circumstances, with the exception of when an employee’s status is changed from overtime eligible to overtime exempt. Any existing comp time balance earned while overtime eligible will automatically be paid to the employee at the time of the status change.

Upon separation, all comp time balances will be forfeited. Comp time may not be used to extend the date of separation.

ENFORCEMENT

Each Director is responsible for ensuring that all aspects of this policy are enforced within his/her respective office.
PURPOSE
The purpose of this policy is to provide an opportunity for employees to take leave to provide parental care, bonding, and/or acclimation immediately following the birth or adoption of a minor child.

CROSS REFERENCE
- Ohio Revised Code (ORC) § 124.136
- Ohio Revised Code (ORC) § 124.137
- Department of Administrative Services (DAS) Adoption / Childbirth Leave Policy
- OCSEA Collective Bargaining Agreement; Article 30.08

REVISION DATE
This policy was last revised on September 1, 2007.

ELIGIBILITY
To qualify for Adoption/Childbirth leave an employee must be a permanent Ohio Housing Finance Agency (OHFA) employee who works an average of thirty (30) or more hours per week, be the biological parent of the child, or in the case of adoption, the employee must be the legal guardian of and reside in the same household with the newly adopted child.

The average regular hours worked (including holidays and use of paid leave) over the preceding three (3) month period shall be used to determine eligibility and benefits under this section for part-time employees, provided that such benefits shall not exceed forty (40) hours per week. If the employee has not worked for a three (3) month period, the average number of hours for which the employee has been scheduled per week will be used to determine eligibility and benefits.

TRIGGERING EVENT
Leave begins on the date of the birth of an employee’s child or the placement of an adopted child into the employee’s legal custody. Employees who desire to use Adoption/Childbirth leave are encouraged to apply in writing within two (2) days following the birth or adoption of a child. Such application shall be made using the agency’s automated timekeeping system. If completion of the request is impractical, the employee shall contact his/her immediate supervisor or the agency’s Payroll and Benefits Coordinator to facilitate the process.

LEAVE AND BENEFIT AMOUNT
To qualify for Adoption/Childbirth leave benefits an employee must complete a fourteen (14) day waiting period, which commences on the date eligibility is established. An employee may work at the discretion of his/her immediate supervisor, with approval of the Office Director, and/or may take unpaid leave, or may use any form of accrued paid leave or compensatory time for which he/she is qualified, or any combination thereof, during the fourteen (14) day waiting period. The fourteen (14) day waiting period under this section shall satisfy the waiting period for disability leave benefits for employees who qualify for additional leave due to disability, provided the employee does not work during the two (2) week waiting period. The remaining four (4) weeks of Adoption/Childbirth leave benefits shall be paid at 70% of the employee’s regular rate of pay.

For the duration of Adoption/Childbirth leave, employees are eligible to receive all applicable employer-paid benefits and accrue all forms of leave as if they were in active pay status.

The average regular hours worked (including holidays and use of paid leave) over the preceding three (3) month period shall be used to determine eligibility and benefits under this section for part-time employees, provided that such benefits shall not exceed forty (40) hours per week. If the employee has not worked a three (3) month period, the average number of hours for which the employee has been scheduled per week during his/her period of employment shall be used to determine eligibility and benefits.

Eligible employees may elect to take two-thousand dollars ($2000.00) for adoption expenses in lieu of taking time off for Adoption/Childbirth leave. Payment may be requested upon placement of the child in the home. In the event the child is already residing in the home, payment may be requested at the time the adoption is approved. Requests must be made in writing.

HOLIDAYS
Employees shall not be eligible to receive holiday pay while on Adoption/Childbirth leave. Holidays shall be counted as one (1) day of leave and be paid as Adoption/Childbirth leave. The exception being, that during the waiting period, if any employee works the day before a holiday the employee will be eligible to receive holiday pay as normal. Employees who work during a holiday shall be entitled to compensation as provided pursuant to the appropriate law or administrative rule.
USE OF OTHER LEAVE

Employees may utilize sick leave, vacation leave, personal leave and/or compensatory time to receive pay during the fourteen (14) day waiting period for parental leave benefits and to supplement the 70% wages for the remaining four (4) weeks or any portion thereof. Employees must record this leave usage on the automated timekeeping system. Employees may supplement their wages up to a combined total of 100% of their regular bi-weekly rate of pay. Employees using Adoption/Childbirth leave who meet the eligibility requirements of the Family and Medical Leave Act (FMLA) (i.e., must have worked for the State of Ohio for twelve (12) months of state service and worked a minimum of 1,250 hours during that time) shall have the entire non-working period of Adoption/Childbirth leave counted toward the employee’s twelve (12) week FMLA entitlement.

WORKING DURING ADOPTION/CHILDBIRTH LEAVE PERIOD

Employees may choose to work during the two (2) week waiting period for Adoption/Childbirth leave benefits. The employee’s immediate supervisor, with approval of the Office Director, may allow employees to work a reduced schedule during the last four (4) weeks of the Adoption/Childbirth leave period, subject to the needs of the agency. Employees permitted to work a reduced schedule during such period shall establish a schedule that is acceptable to the immediate supervisor. Only the time spent in non-work status during the period of Adoption/Childbirth leave may be applied as FMLA leave.

CREDIT FOR HOURS WORKED OR SUPPLEMENTED

Employees who work or supplement their pay during the latter four (4) weeks of leave, as described above, shall have their pay for hours worked or supplemented so calculated that employees who work more than thirty (30) percent of their regularly scheduled hours during the pay period shall result in a biweekly pay amount equal to his/her regular biweekly pay. Supplemented hours worked shall be scheduled in advance. Employees who work more than thirty (30) percent of his/her regularly scheduled hours shall forfeit paid Adoption/Childbirth leave benefits on an hour for hour basis for all excess hours.

DURATION

Adoption/Childbirth leave may not be taken beyond six (6) weeks from the date of birth or placement of a child for adoption. Adoption/Childbirth leave shall not be used to extend the layoff date of employees or to extend a period of employment.

PAYMENT

Employees on Adoption/Childbirth leave shall receive leave pay as described above over the four (4) week period through the regular payroll process until 160 hours of Adoption/Childbirth leave time, or 160 hours of Adoption/Childbirth leave combined with hours worked, has been exhausted or the appropriate prorated number of hours for part-time permanent employees has been exhausted.

OVERTIME

No portion of Adoption/Childbirth leave is to be included in calculating overtime.

COORDINATION WITH DISABILITY LEAVE

Employees who are receiving disability leave benefits prior to becoming eligible for Adoption/Childbirth leave shall continue receiving disability leave benefits for the duration of the disabling condition or as otherwise provided under the disability leave benefits program. In the event an employee is receiving disability leave benefits for a pregnancy and such benefits terminate prior to the expiration of any benefits the employee would have been entitled to under Adoption/Childbirth leave, the employee will receive Adoption/Childbirth leave for such additional time without being required to serve an additional waiting period.
BEREAVEMENT (A5)

PURPOSE
The intent of this policy is to provide paid leave for permanent employees in order to attend to personal matters following the death of certain family members.

CROSS REFERENCE
- Ohio Revised Code §124.387
- Ohio Administrative Code §123:1-34-09
- OCSEA Collective Bargaining Agreement; Article 30.03

REVISION DATE
This policy was last revised on February 21, 2012.

GENERAL INFORMATION
All employees are granted three (3) consecutive days of bereavement leave upon the death of a member of the employee’s immediate family. The employer may grant vacation, personal leave, sick leave or compensatory time to extend the bereavement leave. Upon return to work the employee must record the absence on the automated payroll system indicating the name and relationship of the deceased.

Immediate Family to Include:
Spouse or significant other who resides with the employee in place of the spouse, child, stepchild, grandchild, parent, step-parent, grandparent, great-grandparent, sibling, step-sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, great grandparent (OCSEA only), or legal guardian or other person who stands in place of a parent.

PART-TIME EMPLOYEES
Part-time and established term permanent employees shall receive bereavement leave with pay for the hours that they are normally scheduled to work for the three (3) consecutive days upon the death of a family member.
**PURPOSE**

The purpose of this procedure is to establish guidelines for employees to make application for the blood donation leave program.

**ELIGIBILITY**

To be eligible for the blood donation leave program, employees must be employed by OHFA and must complete the blood donation process.

If an employee is deferred prior to, or during blood donation, they will be ineligible to use this program. Those successfully completing the donation process will be required to have a Red Cross attendant sign the "Blood Donation Verification Form."

Employees may donate blood during OHFA sponsored drives or they may opt to donate at the Red Cross or at another sponsoring site. If an employee chooses to donate at a non-OHFA site, the "Blood Donation Verification Form" is still required before leave is allocated.

**LEAVE USE**

Employees meeting the eligibility for this program will receive four (4) hours of consecutive leave. Employees will not have the option to allocate portions of the approved leave to different times or days.

The leave must be used within three (3) months of accrual and before another request for blood donation leave is made. If the leave is not used, it will be irrevocably lost. Employees are eligible to earn blood donation leave up to a maximum of four (4) times per calendar year. Blood donation leave is not subject to donation, cash out, or end-of-the-year conversion.

**TIME ACCOUNTABILITY**

Supervisors will be responsible for accurate time accountability of all employees utilizing the blood donation leave program. Leave requests for the use of blood donation leave will be made on OHFA’s electronic payroll system. The verification form must be presented at the time of the leave request.

Eligible employees will not be permitted to receive overtime or compensatory time unless such time is in excess of blood donation leave. This should be determined by the supervisor on a case-by-case basis.
PURPOSE

The intent of this policy is to inform employees about the Ohio employee disability leave program.

CROSS REFERENCE

- Ohio Administrative Code (OAC) 123:1-33
- DAS Benefits Administration Services
- OCSEA Collective Bargaining Agreement

REVISION DATE

This policy was last revised on April 28, 2009.

GENERAL INFORMATION

Disability benefits provide medical benefits and income for you if you suffer a non work-related injury or illness. The benefits provide a portion of your base rate of pay if you are disabled and unable to work for more than 14 days.

After one (1) year of continuous state service, full-time employees may be eligible to receive disability benefits for illnesses, pregnancy and injuries that occur away from work. Part-time or established term regular employees who have worked 1,500 hours or more within the twelve (12) calendar months preceding disability may be entitled to disability benefits based upon the average weekly earnings for weeks worked over that twelve (12) month period. These benefits provide a portion of your base rate of pay if you are disabled and unable to work for more than 14 days.

ELIGIBILITY

Any full time permanent employee who becomes physically or mentally incapable of performing the duties of his/her position due to illness or injury that will last more than fourteen (14) consecutive days and who has completed one year of continuous service immediately prior to the date of the disability, may be eligible for disability leave benefits.

PROCEDURE

Request for disability leave benefit claim forms (ADM 4310) are available in the Human Resources Office and initial claims must be submitted no later than 20 calendar days following the employee’s last day worked. All sections of the application should be completed and typed or printed legibly.

The employee shall be responsible for, and shall complete, the “Employee Statement” on the disability benefits application. The employee shall be responsible for having the attending physician complete the “Attending Physician Statement.” The physician’s statement must indicate the nature and reason for the disability. The employee shall be responsible for any fee that is charged by the attending physician for completing the “Attending Physician Statement.”

The employee shall notify the immediate supervisor of the absence and expected return to work date, and of all work projects that were being undertaken prior to going on disability leave.

An employee who submits an application for disability leave after either (1) the employee has received notice that he/she is under investigation for possible disciplinary action, or (2) where an investigation regarding the employee is actively underway, disability payments may be held in abeyance.

PAYMENT OF DISABILITY LEAVE BENEFITS

There is no cost to you. Each state agency pays a percentage of its payroll into a fund which covers disability leave payments to state employees.

Effective for all new claims filed on or after July 1, 2009, disability benefits will be paid at sixty-seven percent (67%) of the employee’s base rate of pay up to a lifetime maximum of twelve (12) months. The lifetime maximum of twelve (12) months began with any new claim filed on or after March 1, 2006. Any claims received prior to July 1, 2009 will be payable at seventy percent (70%) of the employee’s total rate of pay for the first three (3) months and 50% for the remaining nine (9) months. Employees serving in a temporary work level (TWL) immediately prior to the disabling condition, shall be paid at their regular rate of pay; not the TWL rate. Benefits commence after a fourteen (14) day waiting period. Disability leave benefits will remain in effect until the employee is no longer disabled or a maximum of one (1) year or until the employee is otherwise disqualified.

Effective March 1, 2006, employees will be entitled to receive benefits up to a lifetime maximum of one (1) year. Hours of paid disability leave benefits prior to March 1, 2006 shall not be counted toward the lifetime maximum limitation.

Disability leave benefits are payable on a bi-weekly basis and will be made only for the period of time through the pay period currently being processed. Human Resources may approve
initial disability claims. The Department of Administrative Services (DAS) will review all requests for disability extensions and those claims where the illness/injury is not clear to the agency’s benefits coordinator. In order for disability leave benefits to be posted to the payroll journal, the claim must be approved no later than 10:00 a.m. on non-payday Thursday (Wednesday if there is a holiday). Claims approved after that day will be processed for the following pay period. If the employee is experiencing financial difficulties, a manual check may be issued for no more than 80 hours of disability leave benefits. The employee must furnish proof of financial hardship to the Human Resources Office. (Such information will be confidentially maintained to the extent permitted under Ohio law). Examples of hardship may include, but are not limited to, eviction or utility shut-off notices.

**DISABILITY SUPPLEMENTATION**

Employees may supplement their disability leave benefits to 100% of their rate of pay by using available sick leave, personal leave, vacation leave, and comp time balances. The employee must indicate his/her choice on the initial request form (ADM 4310). While waiting for the disability claim to be approved the employee may elect to use available sick leave, personal leave, vacation leave and comp time balances. Once disability leave benefits are approved the leave balances will be reinstated. Leave used during the waiting period will not be reinstated. If the employee does not have sufficient leave time to cover the two week waiting period, leave without pay may be utilized or donated leave may be utilized, but donated leave may not be used to supplement disability leave payments (see Donated Leave Policy for clarification).

**HEALTH INSURANCE PREMIUMS**

The state will pay your health insurance while you are on disability leave. Although it will still appear as a deduction on your pay stubs, the state is paying your health insurance premium for you. The state will continue to pay your insurance premiums while you are on disability leave or waiting for disability leave approval. If your claim is denied, you will be required to pay back all of the insurance premiums the state paid while you were waiting for a decision on your claim.

**PROBATIONARY PERIODS AND SERVICE CREDIT**

The periods of time during which an employee is receiving disability leave benefits do not count towards the completion of a probationary period.

Employees receiving disability leave benefits will continue to accrue service credit for the purposes of vacation accrual and longevity. The employee will not receive vacation and personal leave accruals for the period of time he/she is receiving disability leave benefits. Bargaining unit employees will receive sick leave accruals for the period of time they are receiving disability leave benefits once they return to work.

**EXTENSION AND REINSTATEMENT OF DISABILITY LEAVE BENEFITS**

In cases where an employee is going to remain off work for a period of time, which exceeds the physician’s estimated return-to-work date, the employee must submit a supplemental report (ADM 4311) within twenty (20) days of being issued an approval/disapproval notice indicating when the employee may return to work and why the disability is longer than initially expected.

Following the payment of disability leave benefits to an employee, successive periods of disability leave benefits separated by less than six (6) months of full-time work will be considered one (1) disability claim as long as the disabling condition is related to the previous disability claim. The employee must serve a new waiting period on subsequent disability leave claims that are unrelated to the cause or causes of previous disability claims and are separated by at least one (1) day of work.

**RETURN TO WORK/PART-TIME BENEFITS**

Prior to returning to work, the employee shall provide Human Resources with a physician’s statement indicating that the employee is able to return to work. It is the responsibility of the employee to provide this notice to HR.

After three (3) months of receiving disability leave benefits, the employee’s claim will be reviewed to determine if the employee is capable of performing light physical work or non-stressful activities. The appointing authority may provide such work for the employee at which time the disability benefits will cease. If such work is unavailable, then the employee will continue to receive disability leave benefits until he/she can assume the duties of the position held prior to the disabling condition. Upon approval of the Director of Administrative Services and the Appointing Authority, the employee may participate in a rehabilitation work training program or be reinstated on a part-time basis to the position held prior to the disability. Part-time benefits are available only when the employee is returning to work immediately following an approved disability leave period for up to 90 days. This may be extended if the employee is
undergoing a rehabilitation treatment plan prescribed by the employee’s attending physician.

The employee may provide a physician’s statement indicating the number of hours he/she can work and any restrictions placed on his/her activities.

The employee will continue to receive disability leave benefits for the hours he/she is unable to work. After the Director of Administrative Services and the employee’s physician determine that the employee is no longer disabled, the appointing authority will reinstate the employee to a full-time basis.

An employee who holds a classified position who has been separated from service without delinquency or misconduct due to an injury of physical disability is entitled to be reinstated in the same or similar office or position in the same department within thirty (30) days after that person files a written application for reinstatement. The following conditions shall apply:

• The employee shall pass a physical examination demonstrating that the employee has recovered from their disability.
• The employee shall apply for reinstatement within three (3) years of the date of separation

This policy also applies to those employees seeking reinstatement for psychiatric disabilities. In the case, the following procedure will apply:

• The employee shall pass a psychiatric examination
• The employee shall apply for reinstatement within two (2) years of the date of separation.

**DISQUALIFICATION FROM RECEIPT OF DISABILITY LEAVE BENEFITS**

An employee receiving disability leave benefits will be subject to disqualification from receiving such benefits if the employee:

• Is removed from state service or if another employee certified against the employee except as provided under rules 123:1-33-09 and 1231:41-21 of the Administrative Code;
• Engages in any occupation for wage or profit except as provided under paragraph (D) of rule 123:1-33-12 of the Administrative Code;
• Engages in any act of fraud or misrepresentation involving his disability claim;
• Does not consult a state licensed practitioner for necessary medical care pursuant to paragraph (E) of rule 123:1-33-13 of the Administrative Code; or
• Does not notify his Appointing Authority of a change of address pursuant to paragraph (F) of rule 123:1-33-13 of the Administrative Code.
• Is convicted of the commission of a felony.

If the employee engages in any of the above acts, the Director of Administrative Services will notify the employee of the intention to disqualify the employee from receiving disability leave benefits as of the date the employee first engaged in any of the prohibited acts. Such notice will contain the reason for the proposed termination of benefits. If the employee disagrees with the proposed termination, the employee may file an appeal within 20 days of notification.

**INELIGIBILITY OF DISABILITY LEAVE BENEFITS**

Disability leave benefits are not payable for any disability caused by or resulting from:

• Attempted suicide or self-inflicted injury;
• Any act of war, declared or undeclared, whether or not the employee is in the armed services;
• Riding or driving in any race or speed contest, or testing any vehicle used in a race or speed contest or participating in any way in the sport of parachute jumping;
• Participating in a riot or insurrection;
• Drug addiction or alcoholism, however, alcohol or other drug addiction diagnosis may only be covered if the employee is receiving ongoing treatment from the State’s mental health/alcohol and other drug addiction program, is referred by the State of Ohio Employee Assistance Program to a licensed mental health provider or certified alcohol and other drug addiction treatment professional or receives treatment from a licensed mental health professional or credentialed alcohol and other drug addiction treatment professional, and it is determined by the provider that such condition prevents the employee from performing the duties of the employee’s position, a similar position or other duties within a transitional work program.
• Any injury incurred in the act of committing a felony.
DISABILITY LEAVE BENEFITS FOR WORK-RELATED INJURY OR ILLNESS

Employees who become disabled due to an injury or illness while performing the duties of their jobs are covered by Ohio's Workers Compensation Plan. If the initial claim is denied by the Bureau of Workers Compensation (BWC), the employee can apply for disability leave benefits. A copy of the denial order must be filed with the application within 20 days of BWC notification.

If the employee appeals the BWC denial, he/she may apply for disability benefits for a maximum of 12 weeks. This is considered an advance. The employee must repay the Disability Leave Fund if Workers Compensation benefits are approved or there is a court settlement.

APPEAL OF A DENIAL FOR DISABILITY LEAVE BENEFITS

If a request for disability leave benefits is denied, the employee shall be informed of the denial of the claim by the Director of Administrative Services. The employee may then submit additional information concerning his/her claim or appeal the denial of the claim to the Director of Administrative Services within 20 days of the denial. The appeal shall be in writing to the Director of Administrative Services or his/her designee.

COORDINATION OF DISABILITY LEAVE BENEFITS WITH THE STATE DISABILITY RETIREMENT PROGRAMS

An employee may be required to file for disability retirement benefits from a state retirement system in order to continue to receive disability leave benefits after the first six (6) months or if the employee's physician indicates that the employee's condition is permanent. The employee will be eligible to continue disability leave benefits to offset the disability retirement benefits up to a maximum of an aggregate income of not greater than 50% of the employee's base rate of pay at the time the employee became disabled. (I.e.: If the retirement system's benefit is at a 45% level, then the state shall offset the retirement system's benefits by 5% to the employee's total rate of pay up to 50%.) Employees are entitled to receive this offset for the remainder of the six (6) months of eligibility under the disability leave program.

In order to be eligible for disability retirement benefits, an employee must meet the following criteria:

1. **Permanency**: An employee must be certified by the attending physician as being permanently disabled, or for some retirement systems, expected to be disabled for a period greater than 12 months in the future, and

2. **Service Requirement**: An employee must meet the service requirement of the specified retirement system.

The Department of Administrative Services will advise employees whose condition may be permanent or last longer than 12 months of the requirement to file for disability retirement. If a physician has indicated the length of disability to be undetermined, the employee will not be notified of the possible requirement to file for disability retirement benefits in the initial decision letter. However, if the length of disability still remains undetermined at three (3) months, the Department of Administrative Services will notify the employee of this requirement.

The Department of Administrative Services will include a waiver/release form with the notification. The employee is required to include this waiver/release with his/her extension paperwork. Disability leave benefits will not be approved beyond six (6) months until the waiver/release is submitted. If the employee has less than 60 months of state service, the Department of Administrative Services will verify with the retirement system if the employee meets the retirement system's disability requirements.

**NOTIFICATION BY THE RETIREMENT SYSTEM**

Denial: If the employee receives a denial from the retirement system, a reinstatement of disability leave benefits will only be considered if the employee submits a disability leave benefits supplemental form within 20 days of the denial. A copy of the denial and a copy of the medical examination performed by the retirement system's physician should also be included. The retirement system does not send a copy of the examination to the employee, but to the employee's attending physician or attorney.

Approval/Supplementation: When disability retirement approval is received, the employee is responsible for submitting the copy to the Human Resources Office, if he/she chooses the disability retirement benefit offset. The offset will remain in effect for the remainder of the eligible disability leave benefits as long as the employee continues to receive disability retirement. Once disability retirement approval is received, it is no longer necessary to send paperwork to the disability unit.
DONATED LEAVE (A8)

PURPOSE
The purpose of this policy is to outline how OHFA employees may voluntarily provide assistance to coworkers in critical need of donated leave.

CROSS REFERENCE
• Ohio Revised Code (ORC) §124.391
• Ohio Administrative Code (OAC) §123:1-46-05
• The State of Ohio Leave Donation Program

REVISION DATE
This policy was last revised on January 11, 2011.

GENERAL INFORMATION
Employees paid by the Office of Budget and Management (OBM) may donate leave to a fellow employee within the Ohio Housing Finance Agency. The receiving employee must be in critical need of leave due to an unforeseen and critical illness or injury (defined as a medical condition that is likely to require prolonged absence from duty) of the employee or member of the employee’s immediate family. Immediate family is defined as the same as that for bereavement leave and as defined by the OAC §123:1-47-01(42).

ELIGIBILITY TO RECEIVE DONATED LEAVE
An OHFA employee may receive donated leave, up to the number of hours the employee is scheduled to work each pay period, if the employee who is to receive donated leave:
• Or a member of the employee's immediate family has a critical illness or injury;
• Has submitted verification of the critical illness or injury to the Human Resources office;
• Is eligible to accrue and use sick leave;
• Has no accrued leave or has not been approved to receive other state-paid benefits;
• Has applied for any paid leave, workers’ compensation, or benefits program (e.g. Disability Benefits) for which the employee is eligible.

PROCEDURE FOR USING DONATED LEAVE
The leave donation program shall be administered on a per-pay period basis. The employee in critical need of leave must provide Human Resources with sufficient documentation to establish that a serious medical condition exists. Leave donations will not be processed until all necessary documentation is provided.

An FMLA certification does not automatically entitle an employee to receive leave donation, and donated leave may not be used to supplement an employee’s approved state-paid benefit program (e.g. disability leave, adoption/childbirth leave, or workers’ compensation). An employee who has applied for these programs may use donated leave to satisfy the waiting period for such benefits, when applicable. After the waiting period, donated leave may be used up to an amount equal to the benefit for which the employee applied, (e.g., seventy percent (70%) for disability leave benefits) while the employee’s application is pending approval.

Employees using donated leave shall be considered in active pay status and shall accrue leave and be entitled to any benefits that they would otherwise be entitled. Leave accrued by an employee while using donated leave shall be used, if necessary, in the following pay period before additional donated leave may be received. Donated leave shall not count toward the probationary period of an employee who receives donated leave during his/her probationary period. Donated leave shall be considered sick leave, but shall never be converted into a cash benefit.

Appointing authorities shall ensure that no employees are forced to donate leave. Appointing authorities shall respect an employee’s right to privacy, however appointing authorities may, with the permission of the employee who is in need of leave or a member of the employee’s immediate family, inform employees of their co-worker’s critical need for leave. Appointing authorities shall not directly solicit leave donations from employees. The donation of leave shall occur on a strictly voluntary basis.

ELIGIBILITY TO DONATE LEAVE
An employee may donate leave if the donating employee:
• Voluntarily elects to donate leave and does so with the understanding that donated leave will not be returned,
• Donates a minimum of eight hours, and
• Retains a combined leave balance of at least 80 hours.
PROCEDURE TO DONATE LEAVE

Employees may choose to donate vacation, sick, or personal leave; however new sick leave must be exhausted before donating old sick leave.

Employees wishing to donate leave shall certify the following information:

- The name of the employee for whom the donated leave is intended,
- The type of leave and number of hours to be donated (up to the number of hours the employee is scheduled to work during the pay period),
- That the employee donating leave will have a minimum combined leave balance of at least 80 hours, and
- That the leave is donated voluntarily and the employee understands that the donated leave will not be returned.

The employee must certify the above information by completing a Leave Donation Program – Donor Application Form (ADM4257) and submitting it to Human Resources for approval and processing. Human Resources will notify all parties of the approval or disapproval of the leave donation request.
EMERGENCY SERVICE LEAVE (A9)

PURPOSE
Emergency service leave is intended to provide state employees paid leave when the employee must be absent from work in order to provide volunteer emergency service.

CROSS REFERENCE
- Ohio Revised Code (ORC) § 4113.41
- Ohio Revised Code (ORC) § 4765.01
- Ohio Revised Code (ORC) § 124.1310
- Ohio Revised Code (ORC) § 4765.30

REVISION DATE
This policy was last revised on September 1, 2007.

OVERVIEW
At the beginning of each calendar year, eligible state employees will receive forty (40) hours of paid leave for use when providing emergency medical service in accordance with the statutory duties as defined by ORC 4765.01(G). At the end of each calendar year, any unused hours will not carry forward and will not be eligible for cash conversion.

ELIGIBILITY
All full-time and part-time permanent employees paid by warrant of the Office of Budget and Management are eligible for emergency service leave if the employee has met the certification requirements for holding a position as an EMT-basic, EMT-I, first responder, paramedic, or volunteer firefighter. Employees who volunteer as an EMT-basic, EMT-I, first responder, paramedic, or volunteer firefighter must establish eligibility for emergency leave by providing their appointing authority with a valid certificate submitted in accordance with Section 4113.41(B)(1) of the Revised Code.

An employee who is a volunteer firefighter or volunteer provider of emergency medical services shall submit to his/her supervisor, not later than thirty days after receiving certification as a volunteer firefighter or a volunteer provider of emergency services, a written notification signed by the chief of the volunteer fire department with which the employee serves, or the medical director or chief administrator of the cooperating physician advisory board of the emergency medical organization with which the employee serves. A copy of this certification must be submitted to the Human Resources Manager.

LEAVE AND BENEFIT AMOUNT
An employee who is an EMT-basic, EMT-I, first responder, paramedic, or volunteer firefighter shall receive forty (40) hours of leave with pay each calendar year to use during those hours when the employee is absent from work in order to provide emergency medical service or fire-fighting service. An appointing authority shall compensate an employee who uses leave granted under this section at the employee’s regular rate of pay for those regular work hours during which the employee is absent from work. Unless otherwise specified, employees using emergency service leave remain in active pay status like any other form of paid leave and continue accruing vacation, personal, and sick time at the normal rate.

REQUEST FOR LEAVE
Employees must record absences for emergency service leave on the automated payroll system. The employee shall provide the supervisor written verification from the chief of the volunteer fire department or the medical director or chief administrator of the cooperating physician advisory board of the emergency medical service organization stating the employee responded to an emergency and indicating the dates and times of the response. A copy of this verification must be submitted to the Human Resources Manager.

Employees who previously scheduled an absence using other forms of leave shall not be permitted to substitute the planned leave for emergency service leave.

VERIFICATION DOCUMENTATION
In each instance that an employee is absent from work due to the employee providing emergency medical or firefighting service and the employee wishes to use Emergency Service leave, the absence must be verified in accordance with Section 4113.41(C) of the Revised Code.

At the employer’s request, an employee who loses time from the employee’s employment to respond to an emergency shall provide the employer with a written statement from the chief of the volunteer fire department or the medical director or chief administrator of the cooperating physician advisory board of the emergency medical service organization, as applicable, stating that the employee responded to an emergency and listing the time of that response.
INJURY OR ILLNESS DUE TO LEAVE

Employees who experience medical complications as a result of taking emergency service leave may apply for state disability leave benefits. Employees are required to meet all eligibility criteria for disability leave, including serving a fourteen-day waiting period. Employees may utilize sick, vacation, personal leaves and/or compensatory time to receive pay during the fourteen-day waiting period and to supplement the 70% wages for the remaining time of disability leave benefits or any portion thereof.

RECOVERY OF IMPROPERLY PAID BENEFITS

The Director of Administrative Services shall initiate all necessary steps to recover emergency service leave benefits paid in error or paid as a result of fraud. The Executive Director may make any needed adjustments to ensure the proper payment of benefits. An employee who knowingly engages in fraud may be subject to discipline. When necessary, the director shall request the attorney general to take appropriate action to recover improperly paid benefits.
EXCUSED ABSENCES FOR SPECIFIC CIRCUMSTANCES (A10)

PURPOSE
The purpose of this policy is to allow paid time away from work under specific circumstances.

CROSS REFERENCE
• Ohio Administrative Code (OAC) § 123:1-9-01

REVISION DATE
This policy was last revised on February 23, 2010.

GENERAL INFORMATION
An excused absence with pay is an authorized absence away from regular work that is not chargeable to other leave.

EXCUSED ABSENCE FOR OHIO CIVIL SERVICE EXAMINATION
Is subject to approval by the Office Director and will be limited to actual time necessary to take the examination, plus reasonable travel time. Section 123:1-9-01 of the OAC provides that employees shall be allowed necessary time off without loss of pay to compete in any civil service examination conducted by the Director of Administrative Services for the classification in which the employee is serving as a provisional. The appointing authority may grant time off without loss of pay for up to two (2) additional examinations during any one calendar year.

EXCUSED ABSENCE TO ATTEND STATE OF OHIO JOB INTERVIEW
Reasonable time away from the normal work hours will be permitted for the purpose of attending any State of Ohio job interview.

EXCUSED ABSENCE FOR SELECTIVE SERVICE OR ENLISTMENT PHYSICAL EXAMINATION
The Office Director will grant excused absences to an employee for the purpose of taking Selective Service pre-induction or enlistment physical examination. The notice to report for physical examination should be presented to the Office Director.

EXCUSED ABSENCE TO DONATE BLOOD
Donating blood is considered such a worthwhile civic activity that the agency has adopted a policy of granting excused absence for this purpose. The donation may be for a specified individual, the Red Cross Blood Bank, or as participation in a group plan that makes blood available as needed for the whole group. Office Directors, or their designee, may approve excused absence for the time actually required to donate blood plus a brief recuperation period and travel time, the total of which may not exceed two (2) hours, unless provided with documented extenuating circumstances.

EXCUSED ABSENCE BECAUSE OF DEPARTMENT OR STATE EMERGENCY
The Director of the Department of Public Safety is the Governor’s designee to declare a weather emergency, which affects the obligation of State employees to travel to and from work. The Executive Director, with the approval of the Governor, is authorized to approve excused absence for the time that employees cannot work due to emergency conditions affecting the operation of an office (e.g., due to flood; fire; breakdown of electrical, heating or sanitary facilities); however, the Executive Director, through the Office Directors, must be notified of the emergency as quickly as practicable. See agency policy: Weather Emergencies.

EXCUSED ABSENCE TO ATTEND OHIO PUBLIC EMPLOYEE RETIREMENT SYSTEM AND DEFERRED COMPENSATION SEMINARS
The Office Director will grant approved time away from work to attend Ohio Public Employee Retirement System (OPERS) or Deferred Compensation Seminars for any Staff that is eligible to retire within 5 years of the date of the seminar. The leave will be approved for the time of the seminar as well as travel time if applicable. Leave will not be granted for Staff to handle administrative tasks, such as filing forms associated with Deferred Compensation or OPERS, it is expected that Staff use personal leave balances in those cases.
FAMILY AND MEDICAL LEAVE (A11)

PURPOSE
The purpose of this policy is to provide information to employees about the Family and Medical Leave Act of 1993 and the requirements of using leave under the act.

CROSS REFERENCE
- Ohio Administrative Code (OAC) § 123:1-34-01
- Family and Medical Leave Act of 1993

REVISION DATE
This policy was last revised on July 22, 2011

GENERAL INFORMATION
The Family and Medical Leave Act (FMLA) of 1993 entitles eligible employees to take up to twelve (12) weeks of unpaid leave, per twelve (12) month period, for certain "qualifying events." The twelve (12) month period begins on the first date FMLA leave is taken. Full-time employees are entitled to 480 hours of FMLA leave within the twelve (12) month period. Part-time employees will be prorated based on the last year’s average workweek.

The Agency tracks FMLA entitlement on a "rolling" twelve (12) month calendar. This means that each time an employee takes FMLA leave; the remaining entitlement would be any balance of the twelve (12) weeks that was not used during the preceding twelve (12) months.

It is important to note that the employee does not need to specify that he is requesting leave under the FMLA. The employee simply must provide enough information for an employer to be made aware that the employee needs FLMA leave.

Once the employer is put on notice of the employee’s situation, it is then the employer’s duty to inquire as to the necessity and nature of the FMLA leave. Thus, while the initial inquiry must be made by the employee, the employer has an obligation to follow-up with the employee to better assess the situation.

Thus, the Management team at OHFA has a shared responsibility with Human Resources to make the employee aware of his or her rights under FMLA.

If an employee provides no notice, the employer is not required to provide FMLA leave, even if the employer is aware of the situation. If the employee fails to give the appropriate 30 days notice for foreseeable leave, the employer can delay the start of FMLA leave until at least 30 days after the date when notice was provided.

But in either case, the employer must be sure that the employee had actual notice of the FMLA notice requirements. It is the employer’s obligation, through postings and handbooks, to ensure that every employee knows about the FMLA and the notice requirements.

An employee on FMLA leave shall not hold outside employment while on FMLA leave without the prior written approval from OHFA’s Human Resources Office.

EMPLOYEE ELIGIBILITY
Employees are eligible if they meet both of the following criteria:
- They have been employed by the State for at least 12-months, and
- They have actually worked (i.e. in “active work status”) at least 1,250 hours during the past 12-months.

NOTE: Previous employment with the State in which the employee was paid via OBM warrant (State issued paycheck) shall count toward meeting the 12-month employment requirement.

OHFA will notify employees in writing of their eligibility or non-eligibility status within 5 business days after the first time an employee requests leave for a particular qualifying reason for an employee’s leave to be FMLA qualifying. This notice only indicates whether the employee is eligible for FMLA leave and is not determinative as to whether the employee’s leave qualifies for FMLA.

If an employee’s spouse is also employed by the Ohio Housing Finance Agency (OHFA), the employee and his/her spouse are each entitled to twelve (12) weeks of FMLA leave due to the serious health condition of the employee, or to care for a spouse, parent or child with a serious health condition. However, for the birth of a child, or to care for the child after birth, or for the placement of a child for adoption or foster care, or to care for the child after placement, or the care for the employee’s parent with a serious health condition, OHFA may, if operational needs of the agency dictate, require the married employees to divide their leave entitlement (twelve (12) weeks) between them.
QUALIFYING EVENTS

FMLA leave will be granted to eligible employees for the following events:

- Incapacity due to pregnancy, prenatal medical care or childbirth;
- Caring for the employee's child after birth, or placement for adoption or foster care;
- Caring for the employee's spouse, child, or parent with a serious health condition; or
- The serious health condition of the employee that makes the employee unable to perform the employee's job.

NOTE: FMLA leave taken for birth, adoption, or foster care placement of a child must be taken within twelve (12) months of the birth or placement and must be taken as a consecutive block of time.

QUALIFYING EXIGENCE LEAVE ENTITLEMENTS

Eligible employees with a spouse, child, or parent on federal active duty or call to federal active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. These qualifying exigencies include:

- Activities related to short-notice deployment;
- Attending military events;
- Arranging for alternative childcare or attending school activities;
- Addressing financial and legal arrangements;
- Attending counseling sessions;
- Attending post-deployment reintegration briefings or;
- Spending time with a covered military member who is on rest and recuperation leave.

The 26-weeks of leave is to be applied on a per-covered-service member, per-injury basis so that an employee may be entitled to take more than one 26 work weeks of leave if the leave is to care for a different covered Service member or to care for the same covered Service member with a subsequent illness or injury. However, no more than 26 workweeks may be taken within any single 12-month period.

The 12-month period that is referenced above begins on the first day the employee takes leave to care for the covered Service member and ends 12 months after that date.

If there is an employee who is entitled to take leave due to a different FMLA-qualifying reason the employee may take leave during the same 12-month period in which leave is taken to care for a covered Service member. However, the total leave taken for any purpose during the single 12-month period may not exceed 26 workweeks overall.

REQUEST FOR LEAVE

A request for FMLA leave must be submitted at least thirty (30) days prior to taking the leave, or if this is not possible, notice must be given as soon as practicable. If leave is to be taken due to a foreseeable serious health condition of the employee (e.g., tonsillectomy or physical therapy), the employee must make a reasonable effort to schedule the leave so as not to unduly disrupt the operations of the Agency. If an employee fails to provide thirty (30) days notice for foreseeable FMLA leave with no reasonable excuse for the delay, the appointing authority may deny the taking of FMLA leave until at least thirty (30) days after the date the employee provides notice to the appointing authority of the need for FMLA leave. If the leave is foreseeable, Physician or Health Care Provider Certification for The Family & Medical Leave Act (Physician Certification Form) will have to be provided to the FMLA Coordinator for final approval. The Physician Certification Form can be obtained through the Office
CERTIFICATIONS

Leave requests must also include a complete and sufficient certification on one of the following forms, depending on the nature and condition of the leave requests:

- Certification of Health Care Provider for Employee’s Serious Health Condition
- Certification of Health Care Provider for Family Member’s Serious Health Condition
- Certification of Qualifying Exigency for Military Family Leave
- Certification for Serious Injury or Illness of Covered Service member for Military Family Leave
- Equivalent documentation in the case of adoption and/or foster care.

OHFA may contact the employee’s health care provider for the purpose of clarification and authentication of the medical certification after the agency has given the employee an opportunity to cure any deficiencies.

OHFA will designate a healthcare provider, a human resources professional, a leave administrator, or a management official to contact the employee’s health care provider should it become necessary; and prior to contacting the employee’s health care provider, the employee must give consent.

Please note that the employee’s direct supervisor may not contact the health care provider.

SECOND OPINION/THIRD OPINION

For leave taken because of an employee’s own serious health condition or the serious health condition of a family member, OHFA may require a second opinion from a second health care provider designated by and paid for by OHFA. If the first and second opinions conflict, OHFA may require the employee to submit to a third examination at OHFA’s expense by a health care provider chosen jointly by the employee and OHFA. When choosing a health care provider, both the employee and OHFA must be reasonable and act in good faith. The opinion of the third health care provider is final and binding.

RECERTIFICATION

OHFA may require an employee to provide recertification of an employee or family member’s serious health condition at any time if:

- The employee requests an extension of leave;
- Circumstances described by the previous certification have changed significantly (duration of the illness, the nature of the illness, complications); or
- Leave taken by the employee is inconsistent with the circumstances described in the employee’s certification.

Absent such circumstances, if the medical certification indicates that the minimum duration of the condition is more than 30 days an agency must wait until that minimum duration expires before requesting a recertification. However, in all cases, an employer may request a recertification of a medical condition every six months in connection with an absence by the employee.

Second and third opinions are not permitted on an employer’s request for re-certifications. Second and third opinions and re-certifications are not permitted for leave taken because of a qualifying exigency or for leave taken to care for a covered Service member.

Where the employee’s need for leave due to the employee’s own serious health condition, or the serious health condition of the employee’s covered member lasts beyond a single leave year, the agency may require the employee to provide a new medical certification in each subsequent leave year. Such new medical certifications are subject to the provisions for authentication and clarification, including second and third opinions.
DESIGNATION NOTICE

Within five business days after receiving enough information to determine whether the leave is taken for a FMLA-qualifying reason (e.g., after receiving a complete and sufficient certification), OHFA must notify the employee whether the leave will be designated and counted as FMLA leave. Only one notice of designation is required for each FMLA-qualifying reason per applicable 12-month period.

If OHFA determines that the leave will not be designated as FMLA-qualifying, the agency must notify the employee of that determination.

OHFA must notify the employee of the amount of leave counted against the employee’s FMLA entitlement. If the amount of leave needed is not known, then the agency must provide notice of the amount of leave counted against the employee’s FMLA leave entitlement upon the request by the employee, but no more often than once in a 30-day period and only if leave was taken in that period.

USE OF PAID LEAVE

An employee must use all accrued sick leave before taking other forms of leave. An employee must use all accrued personal leave and vacation before taking unpaid leave under FMLA. The Agency will not allow an employee to use compensatory time during FMLA leave. Employees may exhaust all but forty (40) hours of their total balances of any combination of sick leave, personal leave, and vacation time as part of the twelve (12) weeks of leave prior to receiving unpaid leave.

FMLA AND DISABILITY LEAVE

An employee requesting disability leave benefits who is also eligible for FMLA leave shall have up to the first twelve (12) weeks of approved disability leave period, including the required waiting period, count concurrently as FMLA leave. The Agency may also grant FMLA leave to an employee while the employee’s disability leave request is being reviewed. The granting of FMLA leave shall have no bearing on the approval or disapproval of an employee’s disability leave request.

FMLA AND WORKERS’ COMPENSATION BENEFITS

An employee who submits an application for Workers’ Compensation Benefits and is eligible for FMLA leave will have any time (sick leave or other applicable leave) used as a result of the pending Workers’ Compensation claim counted concurrently as FMLA leave.

FMLA AND ADOPTION/CHILDBIRTH LEAVE

An employee requesting adoption/childbirth leave benefits who is also eligible for FMLA leave shall have all applicable adoption/childbirth leave, including the required waiting period, count concurrently as FMLA leave. The employer is not required to allow employees a reduced work schedule or intermittent leave for the birth of a child or placement of a child for adoption or foster care.

EMPLOYEE HEALTH BENEFITS

The Agency will continue to pay the employer portion of health insurance premiums during any unpaid FMLA leave. An employee taking FMLA leave, who wishes to retain group insurance coverage, must arrange to pay his or her share of the premium contributions during the period of unpaid leave. Information regarding premium payments may be obtained from the Payroll and Benefits Coordinator. If the employee fails to return to work following FMLA leave, the Agency may seek reimbursement of any health insurance premiums paid on behalf of the employee during the period of leave. If an employee chooses not to continue health care coverage during FMLA leave, the employee will be entitled to reinstatement in the benefit plan upon returning to work.

LEAVE AND SERVICE TIME ACCRUALS

An employee taking FMLA leave will retain any employment benefits, other than the leave required to be used, that the employee had earned prior to commencement of the leave. During any period of unpaid FMLA leave, the employee will not accrue personal leave, sick leave or vacation leave. Employees who return to work following FMLA leave will not lose any service or seniority credit. FMLA leave will be treated as continuous service for purposes of calculating any benefits that are based solely upon length of service.

REINSTATEMENT

An employee (with the exception of any “key” employee) taking FMLA leave is entitled to be restored to the position he or she held when the leave began, or be placed in an equivalent position with equivalent employee benefits, pay and conditions of employment. The exception would be layoff situations.

An employee who takes leave based upon his or her own serious health condition shall be required to provide certification from a health care provider that he or she is able to resume work. Such certification will indicate that the employee is fully capable of performing all of the essential functions of the job to which he
or she is assigned. If any limitation(s) are indicated, they must be thoroughly defined (e.g., what is/are the limitation(s); are the limitation(s) permanent; if not permanent, for what period are the limitation(s) imposed; is a reasonable accommodation being requested).

An acceptable “return to work” certification may be requested prior to the employee’s return. Employees are cautioned to allow ample time for this process when required. Employees will not be granted leave without pay or administrative leave to pursue the required certification.

**RECORDKEEPING**

There will be one (1) person designated as the Agency’s FMLA Coordinator. The Coordinator will be responsible for approving the request for FMLA certification and keeping the confidential information. The Coordinator will be responsible for requesting certification and designating leave as FMLA leave.

The Coordinator will maintain records of leave balances and FMLA leave usage through OAKS and/or COGNOS reporting tools. Medical records accompanying FMLA requests will be kept separate from the personnel files in a confidential manner.
HEALTH AND WELLNESS PERIOD (A12)

PURPOSE
The purpose of the Wellness Program is to promote and help facilitate healthy lifestyles, wellness and improved health and fitness for the Ohio Housing Finance Agency employees so that they can effectively and efficiently serve the needs of the citizens of the State of Ohio. Long-term benefits of a healthier workforce may include: reduced healthcare costs, reduced absenteeism, increased productivity, improved morale, heightened well-being and employee retention.

REVISION DATE
This policy was last revised on January 7, 2019.

STATEMENT OF BENEFITS
The Ohio Housing Finance Agency will allow employees the opportunity to engage in a wellness activity during work hours. The time allotted to this program shall not exceed the normal combined break periods of 30 minutes per day. This benefit shall heretofore be referred to as the Health and Wellness Period (HWP).

ELIGIBILITY
Anyone on OHFA’s payroll is eligible to request use of the Health and Wellness Period. It must be deemed operationally feasible for any employee to participate in this program. Each manager is responsible for making determinations regarding his/her individual staff and the eligibility of that staff.

LEAVE USE
Employees may use this benefit as follows:

1. Employees may combine mid-day lunchtime and break times for a total of a 60- or 90-minute period. The 60-minute period is for individuals who choose to take a 30-minute mid-day lunch break and combine it with the 30-minute HWP. The 90-minute period is for individuals who choose to take a 60-minute mid-day lunch break and combine it with the 30-minute HWP;

2. Employees may opt to use the 30-minute HWP apart from the lunch period thus delaying start time or expediting leave time by 30-minutes to engage in wellness activities (see note below);

3. Employees may choose to forego the mid-day lunch to delay start time or expedite leave time while using HWP (see note below).

NOTE: All options above require that employees have 7.5 hours of active work time accumulated to be paid for a full 8-hour day. Taking a 30-minute health and wellness period is a substitute for taking two fifteen minute breaks during the day. Employees may use the OHFA workout facility or an employee may leave the building to participate in a health and wellness activity for which leave is requested provided the employee leaves from his/her work location and returns to his/her work location.

Activities, which qualify for the use of this benefit, include but are not exclusively limited to:

- Attending a gym (please refer to leave usage options above);
- Joining a walking/running club;
- Attending a class or lunchtime seminar on diet and exercise issues;
- Attending yoga, meditation, aerobics, jazzercise, kickboxing, or other health related course;
- Attending a smoking cessation or stress management course/seminar.

It is not appropriate, under the terms of this Program, for employees to use the Health and Wellness Period for non-health related use. Examples of inappropriate use include, but are not limited to:

- Shopping;
- Running errands;
- Attending scheduled doctor’s appointments;
- Taking extended lunch periods wherein health and wellness is not the focus of the lunch.

If an employee has a question as to the appropriateness of the use of the Health and Wellness Period Program, he/she should contact the Human Resources Office for clarification.

TIME ACCOUNTABILITY
Employees may be required to show proof of attendance to a health/wellness activity when requesting the use of this Period. Employees approved for, and subsequently utilizing this program shall enter the use of HWP on the automated payroll system.
Accounting for these periods will help the Agency to track the use and success of this program.

On days when employees are not utilizing the HWP, break times shall commence as they did prior to the availability of this program.

**AGENCY LIABILITY**

Employees participating in health and wellness activities should seek the advice of a medical professional prior to engaging in such activities. The Ohio Housing Finance Agency is not liable for any injury or ill effect resulting from a health or wellness activity. Any employee participating in the Health and Wellness Leave Period Program will be required to sign a release holding the Agency harmless for any outcome that may result from participating in any activity performed while using this leave.

**MANAGEMENT RIGHTS**

As with any program offering, management has the right to make determinations as to the individual eligibility of program participants. Decisions surrounding eligibility should be made in consideration of the operational needs of any one division/office/section. Management has the right to cease or abolish this program altogether, or for individual employees, if it finds abuse of the program rules/regulations. Any employee caught fraudulently using the Health and Wellness Period Program may be disciplined.
LEAVE WITHOUT PAY (A13)

PURPOSE
The purpose of this policy is to provide a reasonable alternative for OHFA employees who have exhausted available paid leave balances, but face a critical need for time away from work (i.e., an extreme hardship would result for the employee if the leave without pay were not approved). Where conflict exists, this policy is superseded by federal law (e.g., FMLA), state law (e.g., disability leave), and any collective bargaining agreement.

REVISION DATE
This policy was last revised on May 1, 2009.

GENERAL INFORMATION
Requests for periods of leave without pay may only be approved in exceptional cases. Leave without pay (LWOP) is unpaid leave, granted on a short-term basis for unforeseen or unexpected critical personal needs. “Critical personal needs” are those needs for which an employee has no means to prepare for absence from work, and do not refer to those needs which are within the means of the average employee to address prior to the need for leave. Operational needs and service to the customer will take precedence over conflicting personal needs.

Exceptions may be made within the first twelve (12) months for a new employee that does not have access to Vacation leave for any leave scheduled prior to them accepting a position with OHFA. These exceptions must be approved by both the supervisor and the Office of Human Resources.

PROCEDURE
Requests for leave without pay must be submitted in writing by the employee to the Executive Director through the office of Human Resources. Such requests shall state the reason(s) for taking the LWOP and the dates for which such leave is being requested. The request must be made prior to any LWOP being taken, or as soon as is practical. Each case will be determined on its own merits. Except to the extent required by the Family and Medical Leave Act and in accordance with the appropriate contract, the Executive Director is not obligated to grant LWOP.

APPROVAL
For situations other than those for which sick leave is appropriate and before leave without pay is granted, an employee is required to exhaust all available leave balances other than sick leave (i.e., vacation, personal leave, and compensatory time). Where the absence is due to a situation for which sick leave is appropriate, the employee is required to exhaust all sick leave balances. Leave without pay is intended to be used for exceptional cases only, and will not be approved under normal circumstances that result in the employee becoming absent without leave (AWOL), i.e., employee gets flu and doesn’t have leave to cover absence.

If approved, the LWOP shall be recorded on the automated payroll system using current office or Division procedures for requesting leave.

DISAPPROVAL
If the LWOP request is denied, the employee is considered AWOL and may be subject to disciplinary action up to and including removal. Requests for use of leave without pay will not be approved if an employee has applicable leave hours available to cover the absence.

UNPAID LEAVE OF ABSENCE
Unpaid leaves of absence are generally guided by Ohio law or collective bargaining agreements, and are granted for long-term absences due to education or other long term personal needs; therefore, leave without pay for an entire pay period or more is considered an unpaid leave of absence and is subject to approval by the Director of the Department of Administrative Services (DAS).
MILITARY LEAVE (A14)

PURPOSE
The purpose of this policy is to provide information regarding the rights of employees who are called to duty in the military service.

CROSS REFERENCE
- Ohio Revised Code (ORC) § 5903.01
- Ohio Administrative Code (OAC) § 123:1-34-04
- Ohio Administrative Code (OAC) § 123:1-34-05
- Uniform Service Employment and Reemployment Rights Act of 1994 (USERRA)
- Department of Administrative Services (DAS) Military Leave Guidelines
- OCSEA Collective Bargaining Agreement; Article 30.02 and 31.02

REVISION DATE
This policy was last revised on September 1, 2007.

GENERAL GUIDELINES FOR MILITARY
ACTIVE DUTY (EXEMPT EMPLOYEES)

For periods of active duty 1-30 days:
- Military leave with pay (176 hours).
- Can be leave without pay not to exceed 2 full pay periods.
- Can use personal, vacation and compensatory leave.
- Or, any combination of a, b, c above.
- For voluntary or involuntary duty.

For periods of active duty 1-180 days if military leave with pay (176 hours per year) is already exhausted and vacation, personal and compensatory leave are not available or the employee does not desire to use any portion of their available leave balances:
- Military leave of absence without pay.*
- Not renewable or extendable past 180 days total.
- For voluntary or involuntary active duty.
- Personnel Action Code I01.

*Employees called to Federal Duty are eligible for the benefits provided in Amended Substitute Senate Bill 164 (Pay Differential and Health Care), while employees called to State Active Duty are not.

For periods of active duty of unknown duration that will obviously exceed 180 days with no known date of return:
- For voluntary or involuntary active duty.
- Full reinstatement rights after release from active duty IF the individual submits a written request for reinstatement within 90 days.
- Employee may retain health care insurance by paying their share of the premium. The State of Ohio will continue to pay the employer’s share.
- Personnel Action Code I01.

While on paid military leave, employees accrue all forms of leave - sick, vacation, and personal. After the 176 hours of paid military leave expires, employees do not accrue any form of leave.

PERSONAL LEAVE OF ABSENCE WITHOUT PAY FOR MILITARY DUTY (EXEMPT EMPLOYEES)

1. This type of leave should be used when:
   - The exact starting and ending dates for military duty are known.
   - When paid military leave (176 hours per year) is exhausted but the individual must continue his/her military duty past the 176 hours allowed.

2. Appropriate travel time to and from the military duty station must be included in the total leave requested (not to exceed 180 days). Example: If an employee is ordered to active military duty (or volunteers) for a period of 45 days, then his/her request for a personal leave of absence should probably be for 47 days. This would allow for one day travel to report and one day travel back to his/her home of record after release from active duty. In unusual circumstances, it may be appropriate to allow two days travel on each end because of distance. There is no standard rule for allowance of travel time. Supreme Court decisions refer to the term "allowable" or "reasonable" travel time to and from active military duty station. Certainly distances of 100 miles or less should not require additional travel days in excess of the actual military duty days.

3. In all cases, there must be military orders for either voluntary or involuntary active military duty. In most cases these orders are printed and distributed prior to the active duty date. In a few cases, the orders are not actually printed and/
or distributed until the individual has progressed 2 or 3 days into the active duty period. In either case, the employee has the responsibility to provide a copy of such orders to their human resources office. If an individual must deploy prior to orders being issued, then a letter (on military unit letterhead) signed by the military commander as a temporary document in lieu of the orders is acceptable to process the leave request. When orders are issued, a copy must immediately be forwarded to the human resources office of their agency.

4. The proper form (see Forms, HR, on OHFA's Intranet) must be used to request a personal leave of absence without pay for military reasons, for 1 through 180 days. This military duty may be voluntary or involuntary.

5. Unless the employee has requested to use his/her available leave balances after the 176 hours have been exhausted, all leave balances (vacation, personal or compensatory) will remain intact throughout this period.

6. Employees on an approved leave of absence (1-180 days) may retain their health and medical insurance plan during this period by making direct payments OR they may let their insurance lapse until their return to a pay status.

7. An employee has reinstatement rights to the same or similar position if he/she applies in writing to the appointing authority within 90 days from his/her release from active duty date.
   - Active duty service of less than 30 days, must apply for reinstatement immediately upon release from active duty.
   - Active duty service of 31-180 days, must apply for reinstatement within 14 days upon release from active duty.
   - Active duty service in excess of 181 days, must apply for reinstatement within 90 days upon release from active duty.

8. Must have an honorable discharge or released from duty in an honorable status.

9. Requests for personal leave of absence without pay for military duty require a copy of military orders.

10. Exempt employees on unpaid military leave do not accrue sick, vacation, or personal leave.

**GENERAL GUIDELINES FOR MILITARY ACTIVE DUTY (BARGAINING UNIT EMPLOYEES)**

**For periods of active duty 1-30 days:**
- Military leave with pay (176 hours per year).*
- Can be leave without pay not to exceed 2 full pay periods.
- Can use vacation, personal or compensatory leave.
- Or, any combination of a, b, c above.
- For voluntary or involuntary duty.

*Employees called to Federal Duty are eligible for the benefits provided in Amended Substitute Senate Bill 164 (Pay Differential and Health Care), while employees called to State Active Duty are not.

**For periods of active duty 1-365 days if military leave with pay (176 hours per year) is already exhausted and personal, vacation and compensatory leave balances are not available or the employee does not desire to use any portion of his/her available leave balances:**
- Personal leave of absence without pay.
- Not renewable or extendable past 365 days total.
- For voluntary or involuntary active duty.
- Personnel Action Code I01.

**For periods of active duty of unknown duration that will obviously exceed 365 days with no known date of return:**
- For voluntary or involuntary active duty.
- Full reinstatement rights after release from active duty if individual submits a written request for reinstatement within 90 days.
- Employee may retain health care insurance by paying their share of the premium. The State of Ohio will continue to pay the employer’s share.
- Personnel Action Code I01.

**All bargaining unit employees accrue all forms of leave - sick, vacation, and personal until their 176 hours of paid military leave expires.**
PERSONAL LEAVE OF ABSENCE WITHOUT PAY FOR MILITARY DUTY (BARGAINING UNIT EMPLOYEES)

1. This type of leave should be used when:
   • The exact starting and ending dates for military are known.
   • When paid military leave (176 hours per year) is exhausted but the individual must continue his/her military duty past the 176 hours allowed.

2. Appropriate travel time to and from military duty station must be included in the total leave requested (not to exceed 365 days).

Example: If an employee is ordered to active military duty (or volunteers) for a period of 45 days, then his/her request for a personal leave of absence should probably be for 47 days. This would allow for one day travel to report and one day travel back to his/her home of record after release from active duty. In unusual circumstances, it may be appropriate to allow two days travel on each end because of distance. There is no standard rule for allowance of travel time. Supreme Court decisions refer to the term “allowable” or “reasonable” travel time to and from active duty station. Certainly distances of 100 miles or less should not require additional travel days in excess of the actual military duty days.

3. In all cases, there must be military orders for either voluntary or involuntary active military duty. In most cases these orders are printed and distributed prior to the active duty date. In a few cases, the orders are not actually printed and/or distributed until the individual has progressed 2 or 3 days into the active duty period. In either case, the employee has the responsibility to provide a copy of such orders to their human resources office. If an individual must deploy prior to orders being issued, then a letter (on military unit letterhead) signed by the military commander as a temporary document in lieu of the orders is acceptable to process the leave request. When orders are issued, a copy must immediately be forwarded to the human resources office of the agency.

4. The proper form must be used to request a personal leave of absence without pay for military reasons, for 1 through 365 days. This military duty may be voluntary or involuntary.

5. Unless the employee has requested to use his/her available leave balances after the 176 hours have been exhausted, all leave balances (vacation, personal or compensatory) will remain intact throughout this period.

6. Employees on an approved leave of absence (1-365 days) may retain their health and medical insurance plan during this period by making direct payments OR they may let the insurance lapse until their return to a pay status.

7. An employee has reinstatement rights to the same or similar position if he/she applies in writing to the appointing authority within 90 days from his/her release from active duty date.
   • Active duty service less than 30 days, must apply for reinstatement immediately upon release from active duty.
   • Active duty service 31-180 days, must apply for reinstatement within 14 days upon release from active duty.
   • Active duty service in excess of 181 days, must apply for reinstatement within 90 days upon release from active duty.

8. Must have honorable discharge or released from duty in an honorable status.

9. Requests for this kind of leave require a copy of military orders.

10. MAY retain health and medical insurance plan during this period. OR they may let their insurance lapse until their return to an active pay status.

11. Employees covered under the OCSEA, OSTA, 1199, and FOP contracts only accrue sick leave while on unpaid military leave. These employees do not accrue any other forms of leave. Employees covered under the SCOPE contract do not accrue any form of leave while on unpaid military leave.

EMPLOYEE RESPONSIBILITIES

1. To provide advance notice and copies of official orders or other official documentation;

2. To submit request for leave form for military duty;

3. To request leave no longer than the maximum length of service (five years);

4. To apply for reinstatement (reemployment) in a timely manner.

Employee Check List:
☐ Notify employer and provide a copy of orders or letter (on letterhead of military unit) signed by commander.
☐ Complete request for leave form.
☐ Notify agency of continuation benefit coverage.
☐ Provide family with copies of all submitted documentation.

☐ Family members have all information provided by military unit, (e.g., name of contact person(s), telephone numbers, wills, powers of attorney, child support, income tax returns, Soldiers’ & Sailors’ Civil Relief Act of 1940 SSCRA. The SSCRA provides protection of anyone entering or called to active duty in the U.S. Armed Forces. These protections are available to members of the National Guard and Reserve when in active federal service. SSCRA covers such issues as rental agreements, security deposits, prepaid rent, eviction, installment contracts, credit card interest rates, mortgage interest rates, mortgage foreclosure, civil judicial proceedings and income tax payments).

☐ Provide family with the number to the Red Cross. The American Red Cross provides an exclusive worldwide communications and support network that serves as a lifeline between military service members and their families. The Red Cross is the connection to home in the event of a family crisis, a death in the family, a financial emergency, or a joyous birth.

☐ Make sure family members know your branch of service, rank, unit name, company name or battalion name, Social Security number and last known location.

EMPLOYER RESPONSIBILITIES

1. Agencies are responsible for submitting and/or maintaining all applicable documents related to processing military leaves of absence.

2. Agencies are required to notify each employee of the right to the continuation of benefit coverage at the time the employee is called or ordered to active duty and to notify the eligible employee of the requirements for continuation of coverage. Until further notice, employees may continue health coverage by making direct payment to the agency. Dental, Vision and life insurance coverage will be paid by the agency.

Agencies are required to notify employees the Ohio Revised Code, Section 5923.05 authorizes payment of a supplement to those employees who are called to active duty, as a result of a Presidential Executive Order or an Act of Congress, for a period in excess of thirty-one days.
PURPOSE STATEMENT
This policy is intended to provide an opportunity for State employees to receive approval for a specified amount of paid leave immediately after donating their kidney, a portion of their liver, or bone marrow in order to recuperate from the procedure.

CROSS REFERENCE
- Ohio Revised Code (ORC) § 124.139

REVISION DATE
This policy was last revised on September 1, 2007.

GENERAL INFORMATION
Full-time employees shall receive up to two hundred forty (240) hours of leave with pay during each calendar year to use during those hours when the employee is absent from work because of the employee's donation of any portion of an adult liver or because of the employee's donation of an adult kidney; and receive up to fifty-six (56) hours of leave with pay during each calendar year to use during those hours when the employee is absent from work because of the employee's donation of adult bone marrow.

The Ohio Housing Finance Agency (OHFA) shall compensate any full-time employee who uses leave granted for kidney donation or bone marrow donation at the employee's regular rate of pay for those regular work hours during which the employee is absent from work. For the duration of Donor Leave employees are eligible to receive all employer-paid benefits and accrue all forms of leave.

ELIGIBILITY
All full-time permanent employees paid by warrant of the Director of the Office of Budget and Management are eligible for Donor leave. No other appointment types are eligible for Donor leave under this policy.

EFFECTIVE DATE / TRIGGERING EVENT
Eligibility for taking Donor Leave shall begin on the date of the procedure. Employees who desire to use such leave must apply in writing ten (10) working days prior to the procedure or as soon as possible after the employee is informed of the date of the procedure. Such application shall be made using the automated timekeeping system. Employees must specifically indicate “Donor Leave” and must also specify the type of donation (kidney, liver, or marrow).

VERIFICATION OF PROCEDURE
In order to receive donor leave, the employee donating a kidney or a portion of his/her liver, the employee's family member, or designated representative must submit a Physician or Health Care Provider Certification form (ADM 4261) within ten (10) days of the procedure to the Human Resources Office.

The employee donating bone marrow, the employee's family, or designated representative must submit a Physician or Health Care Provider Certification form (ADM 4261) within three (3) days of the procedure to the Human Resources Office.

Failure to submit a Physician or Health Care Provider Certification form will result in the denial of the previously submitted employee leave request.

WORKING DURING DONOR LEAVE
Employees may be authorized by the Office of Human Resources to work a reduced schedule during any portion of the Donor leave, subject to approved medical authorization from the employee's attending physician. The physician statement must indicate the number of hours the employee could work and any restrictions placed on the employee's activities. An employee who is permitted to work a reduced schedule during such period shall establish a schedule that is acceptable to the employee's immediate supervisor.

DURATION
Under no circumstances will Donor leave be granted beyond the applicable statutory period for Donor leave. Donor leave shall not be used to extend the layoff date of employees or to extend a period of employment for established term regular or irregular employees.

PAYMENT
Employees on Donor leave will be considered to be in active pay status and receive pay as described above through the regular payroll process until the Donor leave time corresponding to the procedure has been exhausted.
DISABILITY BENEFITS

Employees who experience medical complications as a result of donating their kidney, a portion of their liver, or bone marrow that extend beyond the duration of the Donor leave, may apply for state disability leave benefits. Employees would be required to meet all eligibility criteria for disability leave, including serving a fourteen (14) day waiting period after the conclusion of Donor leave. Employees may utilize sick, vacation, personal leaves and/or compensatory time to receive pay during the fourteen (14) day waiting period and to supplement the 70% wages for the remaining time of disability leave benefits or any portion thereof.

RECOVERY OF IMPROPERLY PAID BENEFITS

The director of Administrative Services shall initiate all necessary steps to recover Donor leave benefits paid in error or paid as a result of fraud. The director may make any needed adjustments to ensure the proper payment of benefits. When necessary, the Executive Director shall request the Attorney General to take appropriate action to recover improperly paid benefits.
PERSONAL LEAVE (A16)

PURPOSE
This policy is intended to provide employees with an understanding of how personal leave accrues and should be used and the process for converting personal leave at year-end or upon separation.

CROSS REFERENCE
- Ohio Revised Code (ORC) § 124.386
- OCSEA Collective Bargaining Agreement

REVISION DATE
This policy was last revised on May 12, 2018.

ACCRUAL AND USE

Bargaining Unit Employees (Refer to current OCSEA Contract)

Full-time, permanent employees are automatically credited with eight (8) hours in each of the pay periods that include the first day of January, April, July and October for a total possible accrual of 32 hours per year. Full-time, permanent employees who are hired after the start of a calendar quarter will be credited with personal leave on a prorated basis for that quarter. Part-time employees will be credited with personal leave on a prorated basis. Prorated hours will be based upon a formula of .015 hours per hour of non-overtime work. Maximum balance of personal leave shall be forty (40) hours. Personal leave shall be granted if an employee makes the request with a forty-eight (48) hour notice. In an emergency the request shall be made as soon as possible and the supervisor will respond promptly. Leave shall not be unreasonably denied. Personal leave which is used by an employee shall be charged in minimum units of two (2) hours; personal leave used after the initial two (2) hour minimum shall be charged in units of one tenth (1/10) hour.

Exempt Employees

Full-time employees are credited with 32 hours each year in the pay period that includes December 1. Employees hired after the pay period that includes December 1 will receive his/her yearly allotment on a prorated basis. Employees not credited with his/her annual personal leave balance due to being in an inactive pay status (e.g., disability leave) during the pay period which includes December 1 shall be credited with personal leave in a prorated amount based upon his/her return to work. Maximum balance of personal leave shall be forty (40) hours. Employees may use personal leave upon giving reasonable notice to the employee's supervisor. Such requests should be in writing, unless otherwise authorized. Requests should, when possible, be made within a reasonable time in advance of the date or dates requested unless the use is for an emergency situation. Each instance of personal leave shall be charged in an initial minimum unit of two (2) hours; personal leave used after the initial two (2) hour minimum shall be charged in units of one tenth (1/10) hour. Personal leave may only be used in minimum units of less than two hours if the employee is using personal leave to supplement disability, workers' compensation or childbirth/adoption leave. Personal leave may not be used to extend an employee's date of resignation or retirement.

CHANGE IN STATUS

If an employee's status changes to other than full-time or the employee separates from service, the personal leave balance will be adjusted to reflect a reduction of 1.2 hours for each pay period remaining until the next base period. If such reduction at the time of status change results in a negative personal leave balance, such negative amount shall be deducted from any compensation that remains payable to the employee.

CONVERSION OF PERSONAL LEAVE AT YEAR-END

During the pay period, which includes December 1 of each year, employees have the following options, which they may select with regard to unused personal leave balances:

- Carry forward balance not to exceed 40 hours. Personal leave in excess of 40 hours will automatically be paid out.
- Convert personal leave to new sick leave.
- Receive a cash benefit for all or any part of the personal leave balance. The cash benefit conversion shall equal one hour at the employee's base rate of pay for every hour of unused credit that is converted, up to a maximum of 40 hours.
CONVERSION OF PERSONAL LEAVE UPON SEPARATION FROM SERVICE

Exempt Employees
An employee, upon separation from service for any reason, is entitled to a cash benefit conversion for all accumulated personal leave. The cash benefit conversion shall equal one hour at the employee's base rate of pay for every one hour of unused personal leave converted. At the time of separation from service, the personal leave balance will be adjusted to reflect a reduction of 1.2 hours for each pay period remaining until the next base period (period which includes December 1). If such reductions at the time of separation results in a negative personal leave balance, such negative amount shall be deducted from other pay due the employee.

Bargaining Unit Employees
An employee who is separated from state service shall be entitled to convert the unused earned amount of personal leave. This payoff shall be at the employee's regular rate of pay. Upon the death of a permanent employee, unused earned personal leave shall be converted to cash and credited to his/her estate.
PURPOSE

The purpose of this policy is to establish procedures in accordance with the State of Ohio Policy on Poll Worker Leave.

CROSS REFERENCE

- State of Ohio Policy on Poll Worker Leave
- Ohio Revised Code (ORC) § 3501.28

REVISION DATE

This policy was last revised on September 1, 2007.

GENERAL INFORMATION

The OHFA recognizes that there is a need for a pool of available individuals to serve as judges of elections in order for our democratic process to operate in a fair and efficient manner. Accordingly, OHFA will allow its permanent full-time and part-time employees, certified by the local board of elections, to be eligible for paid leave (poll worker leave) on Election Day to serve as judges of elections. The ability to be away from work as contemplated by this work rule is subject to the terms and conditions set forth below.

ELIGIBILITY

Poll worker leave only applies to individuals who work full-time or part-time for OHFA. Employees, who are classified as non-permanent appointment types such as seasonal, intermittent, etc., are not eligible for poll worker leave. This work rule shall be uniformly applied to all similarly situated employees. An employee who is on any type of paid or unpaid leave of absence is not eligible for Poll Worker Leave.

PROCEDURES

Employees requesting poll worker leave and supervisors who receive the requests for leave must follow the procedures established by this work rule.

1. A request for paid time off to serve as a judge of elections on Election Day shall be submitted to the employee’s immediate supervisor at least 14 calendar days prior to the date of the election or as soon as practicable. To request time off the employee must complete Request for Leave using the automated timekeeping system, and select “Poll Worker Leave” as the type of leave used.

2. Additionally, the employee must submit, to Human Resources, a copy of the employee’s certificate of appointment issued by the board of elections pursuant to RC 3501.27(A), a commitment card, or another form of confirmation from the local board of elections that the employee will be serving as a judge of elections on a particular election day. Any request for time off that is not timely or presented in the proper manner shall be denied.

3. Upon receiving a properly submitted request for leave, with the required documentation, the immediate supervisor shall note the date and time the request was received. The supervisor is responsible for notifying an employee when the request is not completed properly or when documentation is missing. The supervisor prior to approving the leave request shall give such notification.

4. Requests for poll worker leave shall be subject to the operational needs of the employee’s work unit. Requests for poll worker leave will be given the lowest priority as compared to all other types of leave requests received from employees within the work unit for the same date.

5. If the number of employees requesting poll worker leave would cause a work unit to not be able to fulfill its operational needs, then requests for poll worker leave will be granted in the order they were received. The supervisor’s date and time recorded is the sole factor in determining when a request was submitted. Incomplete requests or forms with missing documentation will not be considered submitted until the error is corrected.

6. OHFA can revoke the approval of poll worker leave if operational circumstances of the employee’s work unit so necessitate, at the discretion of the employee’s immediate supervisor. A supervisor who makes this determination shall follow the existing procedures for revoking approved leave. It is the employee’s responsibility to notify the board of elections if the employee is no longer available to serve as a judge of elections on a particular election day.

7. An employee must verify to OHFA the employee’s service as a judge of elections in each instance that the employee utilizes poll worker leave. On the workday following the election on which the employee returns to work, the employee shall deliver a properly completed and signed Poll Worker Leave Verification Form to the
employee’s immediate supervisor. Additionally, within 5 working days of receiving payment from the local board of elections, the employee shall submit proof of the payment to the employee’s immediate supervisor. The supervisor shall submit the copy of the proof of payment to Human Resources. Verification will not be considered timely if submitted more than 6 months beyond the date the employee utilized Poll Worker Leave. Failure of the employee to timely submit the required verification discussed above to the employee’s immediate supervisor will cause the employee to be considered absent without leave (AWOL) for that day and may subject the employee to discipline, up to and including removal.

Any employee who fails to follow the procedures set forth in this work rule may be subject to disciplinary action, up to and including removal. OHFA will notify the Director of Administrative Services of any circumstances where fraud is suspected so that improper payments can be recovered.
SICK LEAVE (A18)

PURPOSE
This policy is intended to provide employees with an understanding of how sick leave accrues, approval and use of sick leave, and the process for converting sick leave at year-end or upon separation.

CROSS REFERENCE
- Ohio Revised Code (ORC) § 124.38
- Ohio Administrative Code (OAC) § 123:1-32
- OCSEA Collective Bargaining Agreement; Article 29

REVISION DATE
This policy was last revised on July 15, 2011.

DEFINITIONS
For the purposes of this policy, the following definitions apply:
- **Active pay status**: means the conditions under which an employee is eligible to receive pay, and includes, but is not limited to, vacation leave, sick leave, and personal leave.
- **No pay status**: means the condition under which an employee is ineligible to receive pay and includes, but is not limited to leave without pay, leave of absence and disability leave.
- **Full-time employee**: means an employee whose regular hours of duty total eighty (80) in a pay period in a state agency, and whose appointment is not for a limited period of time.

GENERAL INFORMATION
All full-time permanent and part-time permanent employees shall be credited with sick leave of 3.1 hours for each completed 80 hours of service, excluding overtime hours. New accrual periods begin each year with the pay period that includes December 1. Less than full-time employees shall receive 3.1 hours of sick leave for each eighty (80) hours of completed service, not to exceed eighty (80) hours in one (1) year.

Sick leave is used for absence due to personal illness, pregnancy, injury, exposure to contagious disease that could be communicated to other employees, and to illness or injury in the employee’s immediate family (see below for definition). In addition, sick leave may be used for pre-arranged medical appointments.

The guidelines for sick leave usage often change with each collective bargaining agreement (CBA). Please refer to appropriate CBA for additional information.

RETURN TO WORK
Exempt employees are not credited with any sick leave upon returning to work from an approved leave of absence, workers’ compensation or disability leave. However, bargaining unit employees are credited with those sick hours, which they normally would have accrued upon an approved return to work (see provisions of the appropriate CBA).

NOTIFICATION
An employee requesting sick leave must notify his or her immediate supervisor no later than one-half (1/2) hour after the time the employee is scheduled to report for work, unless circumstances preclude this notification. No absence is considered approved until a supervisor gives at least a verbal or written approval. Each office shall also establish a list of designees for notification purposes in the instance that the immediate supervisor is not available. Neither voicemail nor e-mail is a valid form of notification, unless specifically authorized by the Office Director. If notification is not made, the absence may be charged as an unexcused absence. The employee will not be paid for the time, and discipline may follow.

If sick leave continues past the first day, the employee must notify his or her supervisor or designee every day thereafter, unless prior notification was given of the number of days off and a call-in schedule was established between the employee and the supervisor. When institutionalized, hospitalized or convalescence at home is required, the employee is responsible for notifying the supervisor at the start and end of such period.

REQUEST FOR SICK LEAVE
All requests for sick leave shall be submitted using the agency’s automated time keeping system, unless otherwise authorized. The employees shall be paid for sick leave used at his/her regular rate according to the following schedule:

<table>
<thead>
<tr>
<th>Percentage</th>
<th>Hours Used</th>
</tr>
</thead>
<tbody>
<tr>
<td>100%</td>
<td>up to 40 hours used</td>
</tr>
<tr>
<td>70%</td>
<td>hours 40.1 - 80.0 used **</td>
</tr>
<tr>
<td>100%</td>
<td>after 80 hours if using banked time</td>
</tr>
</tbody>
</table>

** Any sick leave used during the 40.1 to 80 hours will be paid at one hundred percent (100%) when the sick leave usage is for the employee, employee’s spouse or child residing with the
employee for: 1) time spent hospitalized overnight or for those hours of sick leave used before or after the hospital stay that are contiguous to the hospital stay, or 2) time spent in the outpatient surgery or for those hours of sick leave used before or after the outpatient surgery that are contiguous to outpatient surgery. Sick leave requested at least thirty (30) calendar days in advance for prescribed medical appointments for the employee, employee’s spouse or child residing with the employee may be supplemented at the employee’s request to one hundred percent (100%) of pay with available sick leave balances provided that a doctor’s statement is submitted on the first day the employee returns to work following the absence. The employee must indicate the desire to supplement sick leave balances on the leave request.

The amount of sick leave charged against an employee’s accrual shall be the amount of time used, charged in one-tenth (1/10) hour increments. An employee will be charged with sick leave only for days on which he or she otherwise would be scheduled to work. If a holiday occurs during a period of sick leave, sick leave will not be charged for the holiday.

NOTE: After employees have used all of his/her accrued sick leave, the use of vacation leave, personal leave or compensatory time in lieu of sick leave will be subject to Human Resources approval. Approval shall be granted for exceptional cases only, and will not be approved under normal circumstances for the purpose of avoiding Absent Without Leave.

DEFINITION OF IMMEDIATE FAMILY
As used in this policy, for bargaining unit employees, “immediate family” is as defined by the appropriate CBA. Bargaining unit employees should note the CBA may require that the family member reside with the employee in order to qualify as an “immediate family” member.

For exempt employees, “immediate family” is defined in Ohio Administrative Code 123-1-47 (41). (Effective December 1, 2006, that definition includes an employee’s spouse, parents, children, grandparents, siblings, grandchildren, brother- in-law, sister-in-law, daughter-in-law, son-in-law, mother-in-law, father-in-law, step-parents, step-children, step-siblings, or a legal guardian or other person who stands in the place of a parent (in loco parentis ).) There is no requirement that the immediate family member reside with the employee.

LEAVE ABUSE AND MONITORING
All supervisors are required to actively monitor the sick leave usage of his/her staff. Supervisors are charged to administer the policy and to ensure that consistent patterns of abuse are not permitted to develop. The supervisor has the responsibility to review sick leave use considered questionable. Examples of such questionable usage include, but are not limited to:
- Usage before, and/or after holidays;
- Usage before, and/or after weekends or regular days off;
- Usage after pay days;
- Consistent usage on any one specific day;
- Absence following overtime worked;
- Usage for half days;
- Continued pattern of maintaining zero or near zero leave balances;
- Excessive absenteeism.

ILLNESS, INJURY OR DEATH, ETC. DURING VACATION LEAVE
If an employee, while on vacation leave, suffers an interruption of his or her vacation for reasons associated with sick leave, he or she may request that the portion of vacation leave so affected be charged to sick leave instead of vacation leave.

PHYSICIAN’S STATEMENT
A physician’s statement is required under the following circumstances:

1. In cases of serious illness or injury, when the absence may be for an extended period (80 work hours or more), a physician’s statement shall give duration (or probable duration if definite duration cannot be determined) and nature of illness and should be submitted without undue delay. If the employee’s condition requires that the absence extend beyond the period shown on the certification, additional certification will be required. If the employee’s condition improves so that he or she is able to return to work in advance of the date originally certified by the physician, an additional certification will be required.

2. When an employee has reached a sick leave balance of fewer than 17 hours, the employee, after using sick leave and returning to work, must provide a statement, signed by a physician, or the physician’s designee, who examined the employee or the member of the employee’s
immediate family. This requirement will remain in effect until such time as the employee’s sick leave balance reaches or exceeds 17 hours. Failure to provide the statement may result in denial of the leave, which may result in disciplinary action. Nothing in this paragraph shall prohibit the Agency from requiring a physician’s statement at any other time, as permitted by the collective bargaining agreements.

3. In cases where the request for sick leave is questionable, the employer may request a statement from a physician who has examined the employee or the member of the employee’s family, which must be submitted within a reasonable period of time. Such physician’s statement must be signed by the physician and must include the date(s) the employee was under the doctor’s care and termination of such care. An example of an acceptable physician’s verification may be on a prescription pad or a return to work/school slip.

**CONVERSION OF SICK LEAVE AT YEAR-END**

At the beginning of the pay period which includes December 1 of each year, full-time permanent and part-time permanent employees who are in active pay status have the following options which they may select with regard to the unused balance of his/her new sick leave:

1. Carry forward the balance of new sick leave.
2. Receive a cash benefit for all or any part of unused new sick leave up to a maximum of 80 hours on the following schedule:

<table>
<thead>
<tr>
<th>Hours Accrued</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>47.9 hours or less</td>
<td>55%</td>
</tr>
<tr>
<td>48 to 55.9 hours</td>
<td>60%</td>
</tr>
<tr>
<td>56 to 63.9 hours</td>
<td>65%</td>
</tr>
<tr>
<td>64 to 71.9 hours</td>
<td>70%</td>
</tr>
<tr>
<td>72 to 79.9 hours</td>
<td>75%</td>
</tr>
<tr>
<td>80 hours accrued and unused</td>
<td>80%</td>
</tr>
</tbody>
</table>

Any balance which the employee did not convert shall be carried forward.

**EFFECT OF SEPARATION AND RETIREMENT ON ACCRUED SICK LEAVE**

An exempt employee, having been employed for at least one year, or a bargaining unit employee with a minimum of five years of state service, separating from state employment shall have the following options regarding his/her unused accumulated sick leave balances:

- Receive a cash benefit for all accumulated sick leave at the rate of 50% if the employee separates without retiring.
- Receive a cash benefit for all accumulated sick leave at the rate of 55% if the employee separates by retiring.
- Receive a cash benefit for a portion of the accumulated sick leave with the remainder being held for reinstatement for future public re-employment; or
- Retain all accumulated sick leave for reinstatement if re-employed within ten years or for cash conversion at any time within three years (if the cash conversion is not made within 3 years, the hours remaining on record are credited upon return to state employment within ten years from separation).

**EFFECT OF TRANSFER ON ACCRUED SICK LEAVE**

An employee who transfers from one public agency to another may be credited with the unused balance of his or her accumulated sick leave up to the maximum of the sick leave accumulation permitted in the public agency to which the employee transfers. Employees should contact Human Resources.

**PRIOR SERVICE**

OCSEA employees who wish to obtain credit for prior state service should furnish Human Resources with a letter from their previous employer indicating dates of service, amount of service credit and unused sick leave balances.

Exempt employees who have previous service with political subdivisions of the state may have any unused sick leave balance, which was accrued within the past ten (10) years transferred for use. Such sick leave shall not be converted to pay at year’s end or upon separation from state service.
PURPOSE

This policy is intended to provide employees with an understanding of how vacation leave accrues, how it should be used, and the process for converting vacation leave upon transfer or separation.

CROSS REFERENCE

• Ohio Revised Code (ORC) § 124.13 and § 124.134
• Ohio Administrative Code (OAC) § 123:1-32
• OCSEA Collective Bargaining Agreement; Article 28

REVISION DATE

This policy was last revised on May 12, 2018.

ACCRUAL

All full-time permanent employees will accrue vacation time at a designated rate, depending upon length of service. Part-time permanent employees shall earn vacation on a prorated basis. New employees begin accruing 3.1 hours for every 80 hours in active pay status. Newly accrued vacation leave is not available for use until it appears on the employee’s earnings statement and on the date the funds are made available. Vacation leave will cease to be accrued if the total amount accrued exceeds what can be earned in a three-year period. When crediting of leave is resumed, it will be for leave earned in the current pay period but not to exceed the maximum entitlement.

LENGTH OF SERVICE

The length of state service, in terms of years and days, will be shown on the employee’s earnings statement. Any questions concerning the length of service shown on the statement should be directed to Human Resources.

Each employee should be sure that Human Resources has been furnished complete and accurate information concerning prior state or other eligible public employment, including names of agencies, and starting and ending dates of employment. Human Resources will take necessary action to obtain verification of actual time in state service, and then forward the information to the Department of Administrative Services for inclusion on the employee’s earnings statement.

Exempt Employees: The following criteria apply in arriving at the length of creditable service in determining an exempt employee’s vacation entitlement. Employment with any state agency or any political subdivision of the state shall be counted, and the service need not be continuous. Part-time creditable service, and time while on authorized leave of absence without pay, is counted, but the employee must be working on a full-time basis to earn vacation credit.

Bargaining Unit Employees: Effective July 1, 2010, employees who provide valid documentation to their Agency’s Human Resources department will receive credit for prior service with the State, the National Guard, or any political subdivision of the State for purposes of computing vacation leave in accordance with ORC 9.44. The new rate will take effect starting the pay period immediately following the pay period that includes the date that the Department of Administrative Services processes and approves the request. Time spent concurrently with the Ohio National Guard and a state agency or political subdivision shall not count double. Only service with state agencies whose employees are paid by the Auditor of State will be computed for the purpose of determining the rate of accrual for new employees. For purposes of vacation accrual, service time for those employed as of that date will not be modified by the preceding sentence. An employee who has retired in accordance with the provisions of any retirement plan offered by the state and who is employed by the state or any political subdivision of the state on or after June 24, 1987, shall not have his/her prior service with the state or any political subdivision of the state counted for the purpose of computing vacation leave. The accrual rate for any employee who is currently receiving a higher rate of vacation accrual will not be retroactively adjusted.

USE

Vacation leave must be approved in advance, unless mutually agreed upon, and taken at times mutually agreed to by the supervisor and the employee. Vacation leave may be charged in one-tenth hour increments and will be paid at the regular rate of pay. The agency and/or supervisor may establish minimum staffing levels to restrict the number of concurrent vacation leave requests that may be granted. Vacation leave requests shall not be denied unless the vacation would place an undue hardship on other employees or the Agency.
VACATION LEAVE UPON TRANSFER AND SEPARATION FROM SERVICE

If an employee transfers from one state agency to another, an employee shall retain the unused accrued vacation leave. Upon termination from state service the employee, or the employee’s estate in the case of the employee’s death, will be paid for accrued vacation at the time the employee receives his/her paycheck for the final period of work. Employees separating from employment with less than twelve (12) months total service will not be paid for any accrued vacation.

ANNUAL VACATION LEAVE CONVERSION

Beginning in December 2019, an employee may convert to cash a maximum of forty (40) hours of unused accrued vacation leave. Payment will be made in the first paycheck in December of each year at a rate of one hundred percent (100%) of the employee’s regular pay; provided however, an employee is not eligible to convert unused accrued vacation leave to cash if the employee does not have at least two hundred (200) hours of vacation leave on the last day of the first pay period of November in each year the employee chooses to make such a conversion. This cash benefit is not subject to contributions to any of the retirement systems, either by the employee or the employer.
PURPOSE
The intent of this policy is to prevent discrimination against individuals with disabilities and to address requirements for accommodating the needs of individuals with disabilities.

CROSS REFERENCE
• Ohio Administrative Code (OAC) 123:1-49
• The Americans with Disabilities Act (ADA) of 1990

REVISION DATE
This policy was last revised on September 1, 2007.

DEFINITIONS
For the purposes of this policy, the following definitions apply:
• Reasonable Accommodation: A modification or adjustment to the job, the workflow or the work environment that enables a qualified individual with a disability to perform the essential functions of the job.
• Disability: A physical or mental impairment that substantially limits one (1) or more major life activities, a record of such an impairment, or being regarded as having such an impairment.
• Major life activities: Activities such as caring for oneself, performing manual tasks, walking, sitting, standing, lifting, reaching, seeing, hearing, speaking, breathing, learning and working.
• Substantially limits: An impairment that significantly restricts the duration, manner or condition under which an individual can perform a particular major life activity as compared to the ability of the average person in the general population to perform the same major life activity.
• Qualified individual with a disability: An individual with a disability who can perform the essential functions of his/her job with or without a reasonable accommodation.
• Essential job function: Those functions of the position, which are considered fundamental. To determine if a job function is essential, it is necessary to determine a variety of issues including whether the job exists to perform that function, whether removing that function would fundamentally alter the job, the amount of time spent performing that function and whether or not the function is highly specialized.
• Undue hardship: An action requiring significant difficulty or expense when considered in light of a number of factors.

GENERAL INFORMATION
It is the policy of the Ohio Housing Finance Agency (OHFA) to maintain a work environment free from any discrimination and to prohibit harassment of applicants, customers, clients, employees, temporaries, interns, contractors and consultants, including harassment adversely affecting an individual's terms and conditions of employment. Additionally, it is the policy of OHFA (See Anti-Harassment policy) to provide equal access in the employment process, programs, activities or services provided by the agency and to fully comply with the Americans with Disabilities Act of 1990.

Pursuant to the Americans with Disabilities Act, qualified individuals with a disability may request a reasonable accommodation. The Americans with Disabilities Act defines a qualified individual with a disability as an individual with an impairment that substantially limits a major life activity. The individual must be able to perform the essential functions of their position or the position for which they are applying with or without a reasonable accommodation.

A reasonable accommodation is required unless it is substantial, disruptive or unduly costly for the employer. Additionally, an accommodation is not considered "reasonable" if it would fundamentally alter the nature or operation of the agency.

PROCEDURES
Employees requesting a reasonable accommodation should initiate the process by notifying their supervisor or the Human Resources Manager. Any supervisor who receives a request for accommodation should report it to the Human Resources Manager in a timely manner. Upon receiving a request for an accommodation, the Human Resources Manager will determine if the individual is a qualified individual with a disability for purposes of the Americans with Disabilities Act. Additionally, the Human Resources Manager will determine the essential functions of the job and the scope of the employee's abilities and limitations regarding these essential functions. During this process, the Human Resources Manager will work in consultation with the employee requesting an accommodation and the employee's physician. (Medical documentation may be required in order to complete the request.)
After a determination of the individual's status under the ADA, an evaluation of the essential functions of the position and a review of the employee's abilities and limitations, the Human Resources Manager will work in conjunction with the Office Director to establish viable accommodation options for the person requesting the accommodation. OHFA is not required to make an accommodation if it would impose an “undue hardship” on the operation of the business.

If a request for reasonable accommodation is denied, the employee making the request will be informed of the denial and the specific reasons for such. An employee has the right to appeal any denial by filing a complaint with the Department of Administrative Services, Equal Employment Opportunity Division within 30 days of the notice of denial. For further information, contact:

**John Lloyd**
Director of Facilities
57 East Main Street
Columbus, OH 43215
(614) 466-4112
jlloyd@ohiohome.org

**DAS, EEOD**
4200 Surface Road
Columbus, Ohio 43228
Telephone: (614) 466-8380
Fax: (614) 728-5628

**EXCLUSIONS**
Employees with minor, non-chronic conditions of short duration, such as a sprain, infection, or broken limb, generally would not be covered. Employees who currently engage in the illegal use of drugs are specifically excluded from the definition of a “qualified individual with a disability” protected by the ADA when an action is taken on the basis of their drug use. People with AIDS/HIV are protected from discrimination under the ADA. However, the ADA recognizes the need to strike a balance between the right of a disabled person to be free from discrimination and the right of the public to be protected.
EMPLOYEE ASSISTANCE PROGRAM (A21)

PURPOSE
The purpose of this policy is to inform employees of a program for assisting employees with matters that may affect the employee’s well being.

CROSS REFERENCE
- Ohio Employee Assistance Program

REVISION DATE
This policy was last revised on September 1, 2007.

GENERAL INFORMATION
The Ohio Employee Assistance Program (EAP) is a support and referral service for state employees and their families. This program provides, on a completely confidential basis, information and assistance regarding problems that may affect an employee's well being such as: depression, stress, substance abuse, and financial or legal issues. Employees or employee family members may call to discuss problems and find appropriate assistance through the help of the EAP.

CONTACT INFORMATION
For direct assistance involving a personal, confidential problem, telephone the EAP office and ask for an EAP Intake Coordinator at 1-800-221-6327. Staff is ready to take calls during regular office hours, which are 7:45 AM to 4:30 PM, Monday through Friday. There are no EAP services available on holidays or weekends. Confidential voice mail is available other than the above time.

In an emergency, please contact your local mental health agency or United Behavioral Health (UBH) at 1-800-852-1091.

Address:
246 North High Street
P.O. Box 118
Columbus, Ohio 43216-0118
Phone:
1-800-221-6327 – Toll-Free Statewide
614-644-8545 – Franklin County

Website:
http://www.das.ohio.gov/hrd/eap/index.htm.com
PURPOSE
The purpose of this policy is to provide break time and a private designated area for nursing mothers to express breast milk as needed for one year after a child’s birth.

CROSS REFERENCE
• Fair Labor Standards Act (“FLSA”) 29 U.S.C. 207(r)(1)(A) and (B)
• Department of Administrative Services (DAS) Directive No. HR-D-16
• Ohio Revised Code 124.09

REVISION DATE
This policy was created April 9, 2013.

GENERAL INFORMATION
The FLSA requires that employers provide a “reasonable break time” for an employee to express breast milk for one year after the child’s birth, each time the employee has a need to express milk. The agency will provide a designated place for an employee that is not a bathroom, which is private and free from intrusion of coworkers and the public.

REASONABLE BREAK TIME
Although paid break times are not required by the FLSA, OHFA encourages a nursing mother to take advantage of paid break times to express breast milk. If such break times are set and a nursing mother should need a more flexible approach to scheduling to accommodate changes/needs, the following options will be considered:

• A nursing mother may coordinate a more flexible approach to scheduling break times with her immediate supervisor;
• Nursing mothers may use a flexible work schedule;
• Nursing mothers may use some form of accrued leave (i.e., vacation, personal or compensatory time) for reasonable break time; and
• If a nursing mother chooses not to flex her schedule and has no form of accrued paid leave available, then she may take unpaid leave time each time there is a need to express breast milk. However, the unpaid leave will not be counted as hours worked and may impact other employment benefits, such as retirement contributions.

DESIGNATED AREA
The following areas are designated, provided that the area has a door that is able to be securely locked from the inside:

• The nursing mother’s work area, provided the work area is shielded from view and is free from intrusion from coworkers and the public; or
• Room 501 located on the 5th floor on the west side of the building.

PROCEDURES
1. Upon returning from Adoption/Childbirth leave an employee should identify herself to her supervisor as a nursing mother who has the need to express breast milk throughout the work day.
2. The nursing mother shall provide her supervisor and the Human Resources Office with the child’s birth date, the approximate times during the workday when she anticipates needing to express breast milk, and the method by which she prefers to account for the time.
3. The nursing mother should keep the agency apprised of any needs for schedule changes for the purposes of expressing breast milk throughout the time period she remains a nursing mother.
PURPOSE
The intent of this policy is to inform employees about the Ohio Public Employees Retirement System (OPERS) and the Ohio Public Employees Deferred Compensation Program.

CROSS REFERENCE
- Ohio Revised Code §145
- Ohio Revised Code §148

REVISION DATE
This policy was last revised on August 1, 2015.

OPERS
The Ohio Public Employees Retirement System serves OHFA employees. A percentage of your gross salary is deducted from each paycheck and paid into a retirement fund, and that amount is matched or exceeded by the state's contribution. The contribution rate for state employees will be 9.50 percent of earnable salary in 2007 and 10.0 percent in 2008; the state's contribution will be 13.77 percent of earnable salary in 2007 and 14.00 percent in 2008.

More information about OPERS is available by contacting a member services representative of the Ohio PERS Member Services Center at 1-800-222-7377 Monday – Friday 7:30 am – 5:00 pm, or by visiting www.opers.org.

DEFERRED COMPENSATION
The Ohio Deferred Compensation Program is a supplemental retirement plan that offers all public employees located in the State of Ohio the opportunity to accumulate tax-deferred assets to meet their long-term financial goals and to provide a desirable lifestyle and peace of mind in retirement. The Program is unique in that it is a public, not-for profit organization created by Ohio legislation and administered by a 13 member Board of Trustees with public employees' best interests in mind. The Program provides participants with educational tools, a diverse set of investment options, flexible savings and withdrawal options, as well as portability when changing jobs within the public sector.

Under the Ohio Public Employees Deferred Compensation Program, you may save before-tax wages as a retirement investment through a payroll deduction. You pay no current federal or state income taxes on money deposited to the program, and such deposits can accumulate with current interest earnings that are also tax deferred. You may contribute 100% of your includible income up to a maximum of $18,000 for the year.

A Deferred Compensation representative is available to provide additional information and to assist with enrollment by calling 1-877-644-6457 Monday – Friday 7:30 am – 6:00 pm, or by visiting www.ohio457.org.
PURPOSE
The intent of this policy is to provide basic guidelines of the Ohio Housing Finance Agency’s Transitional Work program.

CROSS REFERENCE
- OCSEA Collective Bargaining Agreement; Article 34

REVISION DATE
This policy was last revised on September 1, 2007.

GENERAL INFORMATION
The transitional work program allows employees who suffer from a temporary work limitation due to an accident, injury or illness to return to work while completing his/her recovery. The transitional work program will assist eligible employees in returning to work as quickly as possible, thus reducing the financial burden and emotional impact on the employee and the overall costs associated with workers’ compensation and other forms of leave.

The transitional work program does not contradict the spirit or purpose of the Family Medical Leave Act (FMLA) or the Americans with Disabilities Act (ADA). It is a joint labor / management venture intended to encourage an employee's return to work and shall be reviewed on a periodic basis to evaluate the overall effectiveness of the program.

ELIGIBILITY
All employees who have a temporary period of job performance limitation not expected to exceed 90 days, will be eligible for the program provided they:

1. have an injury, illness, accident or reoccurrence of a pre-existing condition, on or after the date of the policy introduction,
2. be released for participation by their doctor, and
3. have the potential to return to their original position through recovery.

Program participation is mandatory unless his/her physician excludes the employee from participation.

PROGRAM TERMS AND CONDITIONS
If an employee is eligible to participate in a transitional work program, the employee (and their Union representative if applicable), the Agency appointee and the employee's supervisor will enter into a transitional work program agreement. The agreement will provide that the duties assigned to the employee are within that employee's physical capabilities and will assist that employee in returning to their regular job within 90 days. Transitional work assignments may be made in, or up to, 30-day increments, or as agreed upon. The duration of each transitional work program assignment is based on the medical need of the individual up to a maximum duration of 90 days. Continuation of ongoing programs will require ongoing documentation of medical necessity. All participants will have their case reviewed by the transitional work committee and/or the agency designee on a bi-weekly basis or as-needed basis.

Transitional work programs may be terminated due to a lack of medical necessity, a lack of progress or a change in the employee's medical/psychological condition. If it appears that the employee will never be able to return to their regular full time duties, the transitional work program agreement will terminate. The Agency will not protest the reinstatement of benefits for terminated programs except as provided in Article 34.05 of the OCSEA collective bargaining agreement.

Throughout the transitional work program, the employee will be expected to follow all of the Agency's policies and procedures regarding attendance and tardiness. If an employee needs to attend physical therapy or physician's appointments, the employee must attempt to schedule those appointments during non-working hours or use available leave balances. If an employee is working less than a full time schedule during the transitional work program, any non-worked hours will be counted towards the employee’s FMLA entitlement, if applicable.

HOURS OF WORK AND RATE OF PAY
During the transitional work program employees will be required to work a minimum of 20 hours a week and a minimum of 4 hours a day. The temporary work assignment will be designed to meet the operational needs of the employee's division. The employee may be assigned to their original job with modified duties or to an unrelated job, provided the duties remain within the limitations established by the physician of record and correspond with agency needs.
Employees participating in the transitional work program will be paid at their normal rate of pay and will be in active pay status. Participating employees will not be eligible to earn overtime during their participation in the program.

**TRANSITIONAL WORK PROGRAM COMMITTEE**

Transitional work programs will be implemented and reviewed by a transitional work committee. The transitional work program committee will be comprised of a representative from the employee’s union (if applicable), the agency designee and the employee’s supervisor.

The transitional work program committee will be responsible for determining suitable temporary work assignments based upon the medical information provided. The committee will only receive information pertaining to the limitations covered with the transitional work program agreement. As needed, the committee will consult with any assigned claim representative for vocational or medical expertise and/or the immediate supervisor of the employee. Other confidential medical information will not be provided to the committee. The transitional work committee will be responsible for a bi-weekly or as-needed review of all transitional work program agreements and for determining the need for continuation or termination of a program.

The agency designee will determine transitional work assignments for persons who have physical limitations anticipated to last less than 14 days.

**TRANSITIONAL WORK PROGRAM AGREEMENT**

Prior to the implementation of a transitional work program, the employee and the transitional work committee will enter into an agreement that acknowledges the work restrictions provided by the physician of record and is consistent with the operational needs of the agency. By signing the agreement all parties are stating that they will abide by the provisions set forth in the transitional work program agreement.
WORKER’S COMPENSATION (A25)

PURPOSE
The intent of this policy is to provide basic guidelines of the Ohio Workers’ Compensation program.

CROSS REFERENCE
• State of Ohio Employee Benefits Handbook, July 2006
• OCSEA Collective Bargaining Agreement; Article 34

REVISION DATE
This policy was last revised on September 1, 2007.

GENERAL INFORMATION
If you have a work related illness or injury, you may be eligible for workers’ compensation benefits. Workers’ compensation benefits provide income and medical care for you if you become injured “in the course of and arising out of” your employment. The Bureau of Workers’ Compensation (BWC) provides payment of your medical bills through a Managed Care Organization (MCO). BWC also provides payment for your lost wages if you are unable to complete your work tasks for more than seven consecutive days.

PROCEDURES
Employees who sustain work related injuries or illnesses should inform the supervisor immediately and:
• Complete an Accident or Illness Report (Form ADM 4303) and return it to Human Resources; HR can provide assistance in filing for benefits;
• Seek medical attention utilizing a provider within the OHFA’s Managed Care Organization, Comp Management Health Systems, whenever possible. You may also receive medical attention from a provider who has been certified by BWC. BWC will only pay for the first visit to any health care provider that is not certified by BWC.

OHFA HR and your attending physician will then complete the rest of the paperwork necessary to file a workers’ compensation claim. The Bureau of Workers’ Compensation will send you a letter informing you of your claim number and claim status (allowed or denied). If any party disagrees with BWC’s decision on your claim, an appeal may be filed in writing with the Industrial Commission within 14 calendar days of the receipt of the order.

No matter how minor an on-the-job injury may appear, it is important that it be reported immediately. This will enable an eligible employee to qualify for coverage as quickly as possible.

COORDINATION WITH DISABILITY BENEFITS
If you wish to file for disability benefits as an advancement of Workers’ Compensation benefits, you must simultaneously file the Workers’ Compensation Lost Time Wage Form and the Disability Benefits Form with Human Resources. Both forms must be filed to apply for disability benefits while your Workers’ Compensation claim is pending. If you are paid Workers’ Compensation and disability benefits for the same period of time, you must repay the disability fund for duplicate benefits received.
AUTOMATED PAYROLL (A26)

PURPOSE
The system automatically submits the information to the Payroll Officer assisting with payroll processing.

REVISION DATE
This procedure was last revised on January 1, 2016.

GENERAL INFORMATION
Each employee must complete their time by using the automated payroll software. The time should be completed on a daily basis. Requests for leave or overtime/comp time should be completed prior to the leave or overtime/comp time date.

PROCEDURES
At the end of each pay period, staff should make sure their time is correct, their forms are completed and the finished box is checked. This should be completed on Friday payday or first thing on the Monday following payday.

Supervisors have until Noon on the Tuesday following payday to complete their approvals.

The system automatically submits the information to the Payroll Officer for processing.

If there is a change in your position or supervisor, please notify the Human Resources Office.

Detailed instructions are in the "Ohio Housing Finance Agency Payroll Manual" distributed during employee orientation.
DIRECT DEPOSIT (A27)

PURPOSE
The purpose of this policy is to provide information on the state of Ohio’s mandatory direct deposit policy. OHFA is required to deposit all employees’ compensation directly into the employee’s checking or savings account; or to deposit funds into the employees’ “Power Pay Card.”

CROSS REFERENCE
- Ohio Revised Code § 124.151
- Ohio Administrative Code 123:1-35-05
- Department of Administrative Services Payroll Letter 826
- Department of Administrative Services Payroll Letter 828

REVISION DATE
This policy was last revised on October 23, 2009

DEFINITIONS
For the purposes of this policy, the following definitions shall apply:

Compensation: As used in this section, “compensation” includes, but is not limited to, wages and salary, travel allowances paid pursuant to section 101.27 of the Revised Code, and benefits paid pursuant to sections 124.13, 124.19, 124.381, 124.382, 124.383, 124.384, 124.385, and 124.386 of the Revised Code.

GENERAL INFORMATION
The compensation of all OHFA employees shall be directly deposited in the employee’s checking or savings account, or the employee’s “Power Pay Card.”

Each employee shall provide the Human Resources Office with a written authorization for payment by direct deposit (See Authorization for Direct Deposit Form, or Power Pay enrollment form for instructions on how to complete the form) within two weeks of hire. The authorization shall include the designation of a financial institution equipped to accept the direct deposit of compensation and the number of the account into which the deposit is to be made. This authorization shall remain in effect until withdrawn in writing by the employee or until dishonored by the financial institution. The employee shall also provide Human Resources with a voided check, or letter from the employee’s financial institution with account numbers clearly listed, for cross reference.

CHANGES TO DIRECT DEPOSIT INFORMATION
If an employee wishes to change their direct deposit information to have their compensation deposited into another financial institution, the employee must provide the Human Resources Office with their new account information prior to Human Resources suspending direct deposit activity into the employee’s existing account.
PURPOSE
The purpose of this policy is to provide employees with general information about the longevity pay benefit.

CROSS REFERENCE
- Ohio Revised Code (ORC) § 124.181
- OCSEA Collective Bargaining Agreement; Article 36.03
- OCSEA Collective Bargaining Agreement; Article 36.07

REVISION DATE
This policy was last revised on January 1, 2016.

GENERAL INFORMATION
Eligible employees do not need to apply for payment of this supplement. The payroll system will automatically make all longevity adjustments. Temporary working level (TWL) longevity continues to be calculated on the pay range for the employee's permanent classification.

ADMINISTRATIVE STAFF EMPLOYEES
All Administrative Staff employees are not eligible to receive longevity pay and step increases, as they are exempt from the classification system and paid pursuant to the agency’s internal compensation plan.

OCSEA EMPLOYEES
Beginning on the first day of the pay period within which the employee completes five (5) years of total service, each employee will receive an automatic salary adjustment equivalent to one-half (1/2) percent times the number of years of service times the first step of the pay rate of the employee's classification up to a total of twenty (20) years. This amount will be added to the step rate of pay.

Longevity adjustments are based solely on length of service and shall not be affected by promotion, demotion, or other changes in classification.

STEP INCREASES
Newly hired OCSEA employees will move to the next step in their pay range after completion of one hundred twenty (120) days for classifications in pay ranges 1 to 7 and 23 to 28; 180 days for classifications in pay ranges 8 to 12 and 29 to 36. Subsequent step movement will occur after one (1) year and successful completion of probation, provided the employee receives an overall rating of “satisfactory.”

During an authorized leave of absence, an employee shall continue to accrue service credit for purposes of determining vacation benefits, annual step increases, longevity, and retirement benefits. The period during which an employee receives disability leave benefits shall not count towards an employee’s probationary period.
PURPOSE
The purpose of this program is for employees who desire to reduce their bi-weekly schedule by taking leave without pay without reducing benefits or requiring employees to exhaust paid leave.

CROSS REFERENCE
• OCSEA Collective Bargaining Agreement; Appendix R

REVISION DATE
This policy was revised on February 25, 2010.

GENERAL INFORMATION
This program is applicable to all full-time or part-time exempt employees of OHFA that have successfully completed their initial or promotional probationary period, and to all full-time or part-time bargaining unit employees that have completed their initial probationary period.

GUIDELINES
Under this program there are two (2) options:

Option #1 allows for full-time employees to reduce their bi-weekly schedule by no less than eight (8) hours and no more than forty (40) hours. The employee's leave would be without pay and as inactive pay status. Leave accruals would be adjusted. Any employee who would participate in the program will maintain their full-time status for the purposes of health care premiums, nor would they incur a break in State service and seniority. The maximum number of hours available to be reduced by any employee is five hundred twenty (520) in a fiscal year or a total of six (6) months, whichever comes first.

Option #2 allows for employees' full-time, part-time and established term employees the opportunity to take unpaid leaves in blocks of time no less than two (2) weeks and up to a maximum of thirteen (13) weeks within a fiscal year. The same would apply to this option as in Option #1 with regard to seniority status; break in State service and health care premiums as long as the employee returns to employment on or before the indicated date.

• Participation in the program is strictly voluntary.

PROHIBITIONS
Employees participating in the program will not be eligible for unemployment benefits

PROCEDURES
• Employees must have met their initial probationary period requirement.
• Any employee desiring to participate in the program must complete and sign a Voluntary Cost Savings Agreement at least ten (10) working days prior to the commencement of the leave. (5 days advance notice required for eight (8) hour request).
• The Employer shall approve/disapprove the VCSP Agreement.
• The Employer has sole discretion to approve or deny an employee's VCSP request. A request denial is not subject to appeal or can be grieved.
• The Employer may terminate an employee's VCSP Agreement by providing ten (10) working day’s notice in writing to the employee. (Five (5) working days notice for eight (8) hour requests). Such termination shall not be subject to appeal or grievance.
• The employee may terminate his/her VCSP Agreement upon ten (10) working day’s notice, (five (5) working days notice for eight (8) hour request), in writing unless mutually agreed to otherwise.
• The Employer may discontinue this program upon providing the Union with a thirty (30) day notice.
EMPLOYEE OF THE QUARTER (A30)

PURPOSE

The Employee of the Quarter (EOQ) Program was created in order to recognize extraordinary work performance.

REVISION DATE

This policy was last revised on December 9, 2011.

NOMINATIONS

All OHFA employees may submit nominations to the committee for consideration. Nomination forms will be posted on the OHFA intranet site. This is the only form that will be accepted. Nominations must be submitted to the Human Resources Office by the first Friday of December for Winter Quarter; first Friday of March for Spring Quarter; first Friday of June for Summer Quarter, and first Friday of September for Fall Quarter. Nominations will be considered for the quarter submitted as indicated above.

NOMINATION CRITERIA

A nominee must meet the following criteria to be considered by the selection committee:

- Must be a full-time or part-time permanent employee with OHFA.
- Nominees may be any employee of the Agency with the exception of the Executive Director and directors. Managers and supervisors may be nominated.
- Nominees may not have any disciplinary documentation in their personnel file for the past year or any action pending during the nomination period.
- An employee may be recognized for specific work performance, employee motivation, attitude, innovation, creativity or other qualities which demonstrate exemplary employee performance.
- Work Performance includes, but is not limited to: thoroughness, efficiency, going beyond what is expected, taking the initiative to identify and solve problems, and working well with minimal supervision.
- Motivation and attitude includes, but is not limited to: showing enthusiasm and pride in work, being courteous and cooperative, and completing job assignments professionally and dependably.
- Recognition is limited to work-related performance.

SELECTION COMMITTEE

Each quarter, the EOQ selection committee will vote for the EOQ recipient. The ballot contains copies of the nominations submitted by OHFA employees. The selection committee is comprised of an equal distribution of union and exempt employees and may include management personnel. Committee members serve for a term of one year with committee member rotation occurring each year.

- Employees may volunteer to be on the selection committee by submitting their names to the Human Resources Manager. Volunteering will not guarantee selection for the committee.
- Employees selected for the committee must meet the same performance criteria as those designated for the nominees for the award.
- The Executive Director will cast the tiebreaker vote, if needed.
- While serving on the selection committee, members may not submit nominations for the award nor are they eligible to receive the award.

AWARDS

The recipient of the EOQ Award receives a certificate signed by the Executive Director, a plaque from the Ohio Housing Finance Agency and the following:

- 8 hours of leave

The leave must be used within six (6) months of receipt or at the Executive Director’s discretion.

EMPLOYEE OF THE YEAR

Members of the Executive Staff determine the Employee of the Year recipient from the EOQ recipients for the previous year and the recipient will be chosen each January.

The Employee of the Year recipient will receive 16 hours of leave, in addition to a photo opportunity with the Executive Director and a plaque from the Agency.

The leave must be used within six (6) months of receipt or at the executive Director’s discretion.

The Employee of the Year will be recognized at the first all Staff meeting of the New Year.
EXCEPTIONAL PERFORMANCE INCENTIVE (A31)

PURPOSE STATEMENT

The purpose of this program is based on the need for alternative, non-monetary benefit for OHFA employees, classified as administrative staff.

CROSS REFERENCE

• Ohio Revised Code (ORC) § 122.11

REVISION DATE

This policy was last revised on September 1, 2007.

GENERAL INFORMATION

Providing employees with an additional 4 consecutive hours of "Exceptional Performance Incentive" (EPI) utilizing ORC § 122.11, which states, in part, that the Executive Director of the Ohio Housing Finance Agency "may employ and fix the compensation of technical and professional personnel, who shall be in the unclassified civil service..." This EPI Program fits within the definition of "compensation".

ELIGIBILITY/Criteria

Anyone classified as "Administrative Staff" within the Ohio Housing Finance Agency is eligible to receive EPI. Each manager within the Agency will be afforded the opportunity to award EPI certificates and will have four (4) opportunities per year during which EPI may be awarded. Employees may only receive up to one (1) EPI certificate per quarter. Award periods will begin on the first day of each quarter; to include January 1st, April 1st, July 1st and October 1st of each calendar year. EPI shall be awarded to employees who have exhibited one or more of the following:

• Exemplary performance;
• A willingness to go above and beyond the call of regular duty;
• A positive and team-driven attitude;
• Support of team members and others outside his/her division/office.

AWARD PROCESS

Following eligibility criteria, managers shall notify recipients of the awarded incentive by completing the top portion of the EPI Form and delivering it to the recipient(s). Once the employee redeems the EPI, a copy of the completed EPI form shall accompany payroll records for the pay period during which the incentive is utilized. A copy of this form shall reside with Human Resources for tracking and auditing purposes.

INCENTIVE USE

Employees who are awarded EPI are required to use the 4-hours of consecutive incentive prior to the next available period during which managers may award EPI certificates. For example, if an employee receives an EPI award anytime within the first award period (January 1st through March 31st) they must utilize the award prior to April 1st of that same year. Employees shall not carry EPI forward to another award period nor shall employees accumulate EPI balances. It is recommended that awards be given within thirty (30) days of expiration so that employees receiving awards have sufficient time to utilize this benefit.

When requesting EPI, employees must submit their award certificate to their supervisor for approval. Once the supervisor signs off on the certificate, approving the incentive, the certificates will be kept with the payroll coordinator for each division/office. The coordinators will then forward a copy of the form to Human Resources.

TIME ACCOUNTABILITY

Supervisors will be responsible for accurate time accountability of all employees utilizing the EPI Policy. Posting the EPI on the automated payroll system is required on the date during which the incentive is taken. Eligible employees will not be permitted to receive compensatory time unless such time is in excess of EPI. The supervisor on a case-by-case basis should determine this.
MANAGEMENT RIGHTS

Decisions surrounding eligibility should be made in consideration of the operational needs of any one office/section. Management has the right to cease or abolish this program altogether, or for individual employees, if it finds abuse of the program rules/regulations or if it is determined that the program is no longer operationally sound. Determining operational soundness is the sole discretion of Management. Any awards made prior to cancellation of program will be honored.

NUMBER OF AVAILABLE AWARD CERTIFICATES PER YEAR

Supervisors may issue two (2) times the number of Administrative Staff direct reports EPI certificates per year. For example: If a supervisor has three (3) direct reports, he/she may issue up to six (6) EPI certificates during the calendar year; each employee may only receive up to one (1) EPI certificate per quarter.
PURPOSE

The purpose of this policy is to improve productivity, effectiveness and efficiency of government service by development and better utilization of talents, abilities and potential of employees. Additionally, it is the Agency’s intent to help an employee increase his/her current knowledge, skills and abilities so that he/she might become better qualified to perform the duties of his/her present job and advance in their career.

REVISION DATE

This policy was last revised on May 23, 2008.

DEFINITIONS

For the purposes of this policy, the following definitions apply:

- **Position-related**: program that is not required for the employee's current position. Rather they are related to the development of skills or knowledge, which may enhance an employee's ability to perform. Examples include: effective communication in the work environment or software applications that enhance the employee's ability to volunteer for projects.

- **Career-related**: program that is associated with the development skills, knowledge, and other abilities that prepare an employee for additional assignments or positions within the agency. Examples include: a workshop on teambuilding skills or a leadership course for an employee whose current position does not include supervisory responsibilities, but who is interested in applying for a supervisory position.

GENERAL INFORMATION

All full-time and part-time permanent employees are eligible to attend seminars or outside training and to have seminar or training fees paid by their office and receive release time for attendance subject to the criteria outlined below:

Employees interested in a specific seminar or training opportunity may complete a Training & Development Request and submit it to their immediate supervisor. Employees should use the form to indicate the type of training requested, the cost, the specific knowledge/skill to be learned, and how the knowledge or skill will help improve performance or enhance development. Upon receiving the training request or form, the employee's supervisor will:

Determine if the seminar or training opportunity is conducted or sponsored by an appropriately approved entity or association recognized in the field in which the employee is employed

- **AND** -

Determine if the content of the seminar or training opportunity is position-related, or increases the employee's skills and/or knowledge relating to the present job held by the employee at the time of the offering of the seminar or profession in which the employee is currently employed.

- **OR** -

Determine if the content of the seminar or training opportunity is career-related and will prepare an employee for additional assignments or positions within the agency.

Upon completion of the above prescribed review and determination, the supervisor shall recommend to the Office Director either approval or disapproval of attendance of the employee at the seminar or educational opportunity.

The Office Director will make the final determination that the seminar meets the criteria and consistent with that determination may authorize payment and release time for the employee to attend, subject to the availability of funds within the current budget.

The employee will submit documentation for any seminar fees to the proper authority in the office. Upon completion of the course &/or seminar, the employee may complete a Training & Development Commitment form and submit it to the supervisor. This form will provide the supervisor with feedback about the employee's experience and guidance on how to ensure the employee will apply the knowledge gained on the job.

The Request and Commitment forms are both optional, and each intends to make the employee's request and the supervisor's review easier. These forms will be used at the discretion of the employee's immediate supervisor and may be required for participation; neither form replaces OHFA Order Request procedures.
EDUCATIONAL RELEASE TIME

Educational release time is intended to assist the employee whose class conflicts with or is not offered outside of their normal work hours. This policy does not permit release time for study groups or outside meetings to fulfill course requirements. It is intended solely for regular class enrollment.

ELIGIBILITY

Full-time exempt and union employees are eligible to participate in the educational release time program after a minimum of six months state service prior to the date of the first class meeting. In addition, the employee must be satisfactorily performing his/her job duties, and must be in active payroll status throughout the duration of the course authorized for release time.

Release time shall not exceed (10) hours per pay period per employee. If an employee's appointment changes, release time may be terminated. Release time may be requested for courses at colleges, universities, high schools, career centers, etc. for courses related to the employee's position and career track and meet the approved criteria outlined in tuition reimbursement. The appropriateness of the course work is to be determined by each requesting party's immediate supervisor. There is no appeal process if the request is denied.

The employee shall submit their educational release time form through his/her immediate supervisor who reviews the request and recommends the approval or disapproval to the section's director.

The Office Director reviews the request with the supervisor's recommendation and approves or declines the application. Upon approval, the educational release time form is submitted to the Human Resources Office where the Executive Director's designee will approve or decline the request. Upon approval the form is filed until the class is completed and the employee submits a copy of their final grade. In cases where the duties may affect the safety or well being of the public, or the operational effectiveness of the office, every effort will be made to establish an alternative plan, which will be acceptable to all parties. However, the needs of the public and the operational effectiveness of the working unit must receive first priority.

In cases where more than one employee from a given section desires release time, but due to job requirements or hardship created on the unit or section, a situation may arise that both cannot be released simultaneously, the following priorities, in descending order, will be utilized to determine selection sequence:

- Release time application date
- OHFA seniority
- State longevity

STANDARDS AND EVALUATIONS

An evaluation of course progression and completion will be conducted in the Human Resources Office to ensure employees maintain the following eligibility standards:

- A letter grade of "C" or higher or satisfactory completion of the course if no letter grade is provided. Should the employee fail to maintain at least a "C" average, he/she may be required to show good cause why he/she should not be denied continued/future participation in the program.
- Should an employee fail to attend class as scheduled and agreed upon, he/she will be terminated from the program and disciplinary action may result in accordance with the appropriate departmental disciplinary procedure.

TIME ACCOUNTABILITY

Supervisors will be responsible for accurate time accountability of all employees enrolled in the release time program. Usage of education release time must be recorded on the automated payroll system. If an employee is absent on a day of scheduled education release time, it is mandatory the employee takes the entire eight hours or the total amount of work time they are normally scheduled to work, as compensatory time, vacation time, personal leave, or sick leave.

Employees who are receiving release time will not be permitted to receive overtime or compensatory time unless such time is in excess of release time. This should be determined by the supervisor on a pay period by pay period basis.

REIMBURSEMENT / PAYMENT GUIDELINES

The Agency will pay 100% of position-related or career-related courses taken at the request of the Agency or supervisor with required approval, and require that the employee successfully complete or pass the course. All training requests made by the employee will be paid for by the employee or with his or her state issued funds (i.e. Union Education Trust or Exempt Professional Development Program), unless the supervisor can
determine that the class or course being requested is position-related or career related and would in some way benefit the Agency or office. When possible, employees are encouraged to utilize courses and classes provided by the agency or other state resources.

Continuing education courses for the maintenance of State licenses or professional certifications, which are not a requirement for employment in the employee's current position, are not automatically considered career-related or professional development programs and do not necessarily qualify for fee reimbursement. Subsequently, examinations required to obtain or maintain these licenses or certifications do not necessarily qualify for fee reimbursement. Any continuing education or examination related to such licenses or certifications must both be position-related or career-related, and in some way benefit the Agency or office by resulting in improved knowledge, skills, or abilities that translate into improved performance for the employee.

Supervisors may not assign job-related training and require the employee to use his or her funds provided by the Union Education Trust or the Exempt Professional Development Program.
CUSTOMER SERVICE STANDARDS (A33)

CUSTOMER FOCUS
Our customers are all those who use our services and programs. We treat our co-workers as customers. We are entrusted with the opportunity to provide vital public services; we are dedicated to meeting or exceeding the expectations of those we serve.

FOCUS ON CUSTOMER ASSISTANCE
The goal of every employee is to assist our customers. We treat internal and external customers with courtesy and respect. We look for opportunities to help people and then act to follow through by providing them with any information needed to respond to their concern or request. We take the initiative to continually improve our service and operations. All customer interactions are viewed as opportunities to improve our service.

PERSONAL RESPONSIBILITY
We follow up on our commitments and take personal responsibility for our customers. We identify ourselves when responding to customers. We offer all available information in a timely manner and suggest options and alternatives whenever possible. We own problems and complaints rather than hand them off. If a referral needs to be made to address an issue, we follow through to make sure the customer gets what is needed.

WORKING AS A TEAM
We work together to serve our customers, solve problems and work out issues. We understand and value the importance of information sharing and communication. We know that being a part of the team means being respectful and helpful to all team members. We cooperate and collaborate with other governmental agencies and community organizations to provide resources to our customers.

CONSISTENCY
We believe it is important to be consistent when delivering customer service. We answer all customer contacts within one business day whenever possible. When additional time is required to respond adequately to a customer concern, we respond to advise them of a timeline for resolution. We know that providing the same quality of customer service is important every time we come in contact with any customer.

EMPLOYEE ACCOUNTABILITY
Customer service standards are incorporated in position descriptions of OHFA employees who have direct contact with the portion of the public that is receiving OHFA's services. Compliance with OHFA's customer service standards is also a dimension upon which employees are evaluated as part of an employee's annual performance review.
PURPOSE

The purpose of this policy is to standardize the procedures used to impose disciplinary actions and provide a list of violations along with the recommended level of discipline associated with each violation.

CROSS REFERENCE

- OCSEA Collective Bargaining Agreement (CBA)

REVISION DATE

This policy was last revised on July 1, 2015.

GENERAL INFORMATION

It is the policy of the Ohio Housing Finance Agency (OHFA) and the State of Ohio that all employees shall demonstrate honesty, good behavior and efficient and friendly services to our customers. Any violation of this public trust mandates a just and equitable response by management and the administration of discipline in a fair and non-discriminatory fashion.

It is also the employee’s responsibility to comply with all office rules or standards of behavior and performance promulgated by the Department of Administrative Services (DAS) and the Disciplinary Action Guidelines of OHFA.

EXEMPT UNCLASSIFIED EMPLOYEES

Exempt Unclassified employees serve at the pleasure of the Executive Director. When their behavior or performance is not acceptable, the Executive Director shall determine the appropriate disciplinary action, up to and including removal. The Executive Director reserves the right to impose any of the following forms of discipline: reprimand, fine, suspension, or removal.

BARGAINING UNIT EMPLOYEES

When just cause exists, the Executive Director may impose disciplinary action. In accordance with the OCSEA Collective Bargaining Agreement, it is OHFA’s intent to apply the principles of progressive discipline when determining the commensurate level of discipline to impose. The decision to issue a reprimand will usually be made at the Office or front-line supervisor level of the organization. However, the decision to issue a suspension, whether working or non-working and/or a disciplinary removal will be made at the Agency level by the Executive Director and his/her designee.

The Agency’s progressive discipline track is established in the following manner:

1. One or more reprimands
2. 1-day = Minor Suspension (Working or Non-working)
3. 3-days = Medium Suspension (Working or Non-working)
4. 5-days = Major Suspension (Working or Non-working)*
5. Removal

*All 5-day Suspensions will be treated as a final notification to rehabilitate. If it is determined that discipline should progress, after the issuance of a 5-day Suspension, the employee shall be removed from his/her position with OHFA.

Agency Policies A34-A and A34-B are used to provide a list of violations and the recommended discipline associated with each violation. An employee may be charged with violating a specific policy or procedure that was issued or communicated at the Agency, Office, Section or front line supervisor level. Agency Policy C-14a provides a list of violations pertaining to attendance-based misconduct and Policy C-14b provides a list of violations pertaining to performance-based misconduct.

Disciplinary actions are meant to be commensurate with the offense. The Agency reserves the right to impose a higher level of discipline than that which is outlined in the Disciplinary Action Guidelines if the offense warrants it. Likewise, the Agency reserves the right to impose less severe discipline at its discretion. Discipline does not have to be for like offenses to be progressive. It is the policy of OHFA that no employee in the bargaining unit shall be administered disciplinary action except for just cause.

When the disciplinary action to be taken involves a suspension or removal of an employee covered by a collective bargaining agreement or of a classified employee, a pre-disciplinary meeting will be held in accordance with the requirements of the relevant collective bargaining agreement and the requirements of civil service law. Articles 24 and 25 of the OCSEA agreement will afford bargaining unit employees union representation as required.

In all bargaining unit disciplinary actions, after an investigation and pre-disciplinary meeting, the Pre-Disciplinary Meeting
Officer will submit his/her findings to the Executive Director with a recommendation as to whether just cause exists to impose corrective action. The Executive Director will make the final decision as to the level of disciplinary action to be imposed. In cases where a criminal investigation may occur, the pre-disciplinary meeting may be delayed until after disposition of the criminal charge. An employee may be placed on administrative leave or reassigned while an investigation is being conducted.

**EMPLOYEE ASSISTANCE PROGRAM (EAP)**

Voluntary participation in the EAP, in a case where disciplinary action is contemplated, may be considered as a mitigating circumstance, but only if the formal EAP agreement is entered into. Upon successful completion of the EAP agreement, the agency head or designee may give consideration to modifying the contemplated disciplinary action.

**APPEALS**

Bargaining unit employees shall follow applicable OCSEA/AFSCME contract provisions. Unclassified, non-bargaining unit employees do not have the right to appeal disciplinary actions.

**RETENTION OF DISCIPLINARY RECORDS**

Bargaining unit employees should consult the contract for guidelines pertaining to the removal of any disciplinary records from the employee’s personnel file. Unclassified, non-bargaining unit employee’s discipline shall remain in the employee’s personnel file during the entire duration of employment with OHFA.
## ATTENDANCE (A34 - A)

### PURPOSE

The purpose of this policy is to standardize the level of discipline imposed on bargaining unit employees for attendance-based issues.

### GENERAL INFORMATION

These rules should be considered general guidelines when determining the commensurate level of discipline for bargaining unit employees only, and are not intended to be all-inclusive. The Agency reserves the right to impose a higher level of discipline than that which is outlined in the Disciplinary Action Guidelines if the offense warrants it. Likewise, the Agency reserves the right to impose less severe discipline at its discretion. Discipline does not have to be for like offenses to be progressive.

(The Agency reserves the right to issue either a working or non-working suspension.)

### ATTENDANCE BASED DISCIPLINARY GRID

<table>
<thead>
<tr>
<th>Violation</th>
<th>Recommended Disciplinary Action</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1st Offense</td>
</tr>
<tr>
<td>1. Leaving the work area without authorization, leaving work early or extending a paid break without authorization</td>
<td>Reprimand</td>
</tr>
<tr>
<td>2. Unexcused Tardiness (up to 30 minutes)</td>
<td>Reprimand</td>
</tr>
<tr>
<td>3. Failure to notify supervisor within one-half (1/2 hour) of start time – to include, but not limited to, the notification requirements outlined in the Agency Sick Leave policy</td>
<td>The time away from work will not be approved and the employee will be considered to be absent without leave (AWOL)</td>
</tr>
<tr>
<td>4. Failure to provide a valid physician state or medical / emergency certification when instructed to do so. To include, but not limited to, the requirements outlined in the Agency Sick Leave policy</td>
<td>The time away from work will not be approved and the employee will be considered to be absent without leave (AWOL)</td>
</tr>
<tr>
<td>5. Absence Without Leave (AWOL)</td>
<td></td>
</tr>
<tr>
<td>a. Less than one day – 31 minutes to less than the total number of hours the employee was scheduled to work. Hours must be consecutive hours absence from work without authorization</td>
<td>Reprimand</td>
</tr>
<tr>
<td>b. One day – 8 hours or the number of hours the employee was originally scheduled to work.</td>
<td>1-day Suspension</td>
</tr>
<tr>
<td>c. More than one day and up to two consecutive days – 8.1 hours to 16.0 consecutive hours without authorization</td>
<td>3-day Suspension</td>
</tr>
<tr>
<td>d. More than two days consecutive – 16.1 hours to 23.9 hours consecutive without authorization</td>
<td>5-day Suspension</td>
</tr>
<tr>
<td>e. Job Abandonment – 24.0 hours consecutive or more without authorization</td>
<td>Removal</td>
</tr>
</tbody>
</table>
## ATTENDANCE BASED DISCIPLINARY GRID

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</tr>
</thead>
<tbody>
<tr>
<td>6. Working in excess of scheduled hours without authorization from supervisor or authorized personnel; includes unauthorized overtime</td>
<td>Reprimand</td>
<td>1-day Suspension</td>
<td>3-day Suspension</td>
<td>5-day Suspension</td>
</tr>
</tbody>
</table>

7. Violation of Agency Sick Leave policy

   a. Sick leave pattern abuse to include, but not limited to: before and/or after holidays, before and/or after weekends, or regular days off, after pay days, any one specific day, absence following overtime worked, half days, continued pattern of maintaining balance at or near zero, excessive absenteeism, excessive unscheduled absences

   Reprimand 1-day Suspension 3-day Suspension 5-day Suspension

   b. Misuse or abuse of sick leave

   1-day Suspension 3-day Suspension 5-day Suspension Removal

   c. Providing fraudulent (fake) physician's statement or other medical document

   Removal
**PURPOSE**

The purpose of this policy is to standardize the level of discipline imposed on bargaining unit employees for performance-based issues.

**GENERAL INFORMATION**

These rules should be considered general guidelines when determining the commensurate level of discipline for bargaining unit employees only, and are not intended to be all-inclusive.

**PERFORMANCE BASED DISCIPLINARY GRID**

<table>
<thead>
<tr>
<th>Violation</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Neglect of Duty</strong></td>
<td></td>
</tr>
<tr>
<td>a. <strong>Major</strong>: said to endanger life, property, public safety or cause financial loss for Agency and its programs</td>
<td>5-day Suspension / Removal</td>
</tr>
<tr>
<td>b. <strong>Minor</strong>: range of misconduct to include poor/substandard work performance or failure to carry out a work assignment(s).</td>
<td>1-day Suspension 3-day Suspension 5-day Suspension Removal</td>
</tr>
<tr>
<td><strong>2. Insubordination</strong></td>
<td></td>
</tr>
<tr>
<td>a. <strong>Major</strong>: Knowingly and/or willingly failing to follow a direct order; or any open defiance of a direct order by a superior; or failure to submit to a drug test.</td>
<td>5-day Suspension / Removal</td>
</tr>
<tr>
<td>b. <strong>Minor</strong>: Failure to follow written or known directives, practices, policies or procedures.</td>
<td>Reprimand 1-day Suspension 3-day Suspension 5-day Suspension</td>
</tr>
<tr>
<td><strong>3. Insubordination Immoral, obscene or indecent conduct</strong></td>
<td>Depends on severity of the offense.</td>
</tr>
<tr>
<td><strong>4. Threat or act of physical violence or any violation of Agency Workplace Violence Prevention policy</strong></td>
<td>Range from 2-4 day Suspension to Removal 5-day Suspension / Removal</td>
</tr>
<tr>
<td><strong>5. Act of discrimination or insult on the basis of race, sex, age, veteran status, religion, national origin, sexual orientation, military status or disability and false accusations of the same</strong></td>
<td>Range from 2-4 day Suspension to Removal 5-day Suspension / Removal</td>
</tr>
<tr>
<td><strong>6. Theft of state property or property of co-workers of public visiting agency owned or leased property</strong></td>
<td>5-day Suspension / Removal</td>
</tr>
<tr>
<td><strong>7. Deliberate (on purpose) destruction or damage of state property or the property of visitors, the general public and/or any other employee.</strong></td>
<td>Range from 1-5 day Suspension to Removal Range from 1-5 day Suspension to Removal 5-day Suspension / Removal</td>
</tr>
</tbody>
</table>

The Agency reserves the right to impose a higher level of discipline than that which is outlined in the Disciplinary Action Guidelines if the offense warrants it.

Likewise, the Agency reserves the right to impose less severe discipline at its discretion. Discipline does not have to be for like offenses to be progressive.

(The Agency reserves the right to issue either a working or non-working suspension)
## PERFORMANCE BASED DISCIPLINARY GRID

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<tbody>
<tr>
<td>8. Any violation of Agency Drug-Free Workplace policy*</td>
<td>*Removal</td>
<td>Removal</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Sleeping while on duty</td>
<td>Reprimand</td>
<td>1-day Suspension</td>
<td>3-day Suspension</td>
<td>5-day Suspension</td>
</tr>
<tr>
<td>10. Unauthorized disclosure of confidential / sensitive information</td>
<td>Range from 2-5 day Suspension to Removal</td>
<td>5-day Suspension / Removal</td>
<td>Removal</td>
<td></td>
</tr>
<tr>
<td>11. Failure of good behavior - actions that could compromise or impair the ability of the employee to effectively carry out his/her duties as an employee of the Agency, or compromise the mission of the Agency</td>
<td>Reprimand</td>
<td>1-day Suspension</td>
<td>3-day Suspension</td>
<td>5-day Suspension</td>
</tr>
<tr>
<td>12. Exercising poor judgment in carrying out and/or following assignments, written policies and/or procedures and/or any work rules</td>
<td>Reprimand</td>
<td>1-day Suspension</td>
<td>3-day Suspension</td>
<td>5-day Suspension</td>
</tr>
<tr>
<td>14. Dishonesty</td>
<td>Range from 2-5 day Suspension to Removal</td>
<td>5-day Suspension / Removal</td>
<td>Removal</td>
<td></td>
</tr>
<tr>
<td>To include, but not limited to: falsifying, unauthorized altering or removing of any official document (e.g., State of Ohio Civil Service application, resume, timesheet or attendance forms, travel reimbursement or other forms in the course of daily work)</td>
<td>Range from 1-5 day Suspension to Removal</td>
<td>Range from 2-5 day Suspension to Removal</td>
<td>Removal</td>
<td></td>
</tr>
<tr>
<td>To include, but not limited to: providing false information in an investigation or filing a knowingly false complaint / accusations</td>
<td>Range from 1-5 day Suspension to Removal</td>
<td>Range from 2-5 day Suspension to Removal</td>
<td>Removal</td>
<td></td>
</tr>
<tr>
<td>15. Interfering with and/or failing to cooperate in an official investigation or inquiry</td>
<td>Range from 1-5 day Suspension to Removal</td>
<td>Range from 2-5 day Suspension to Removal</td>
<td>5-day Suspension / Removal</td>
<td>Removal</td>
</tr>
<tr>
<td>16. Engaging in outside employment without agency registration and/or approval</td>
<td>Depends on severity of the offense.</td>
<td></td>
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</tr>
<tr>
<td>17. Any violation of Agency Political Activity policy</td>
<td>Depends on severity of the offense.</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>18. Participating in an illegal work stoppage, slow-down, illegal strike or sitout</td>
<td>Range from 2-5 day Suspension to Removal</td>
<td>5-day Suspension / Removal</td>
<td>Removal</td>
<td></td>
</tr>
<tr>
<td>19. Unauthorized use or misuse of State vehicle or any other violation of the Agency’s Vehicle Use Policy</td>
<td>Depends on severity of the offense.</td>
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<td></td>
</tr>
</tbody>
</table>
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</thead>
<tbody>
<tr>
<td>20. Damage to State vehicle as a result of failure to operate vehicle in safe manner (shall include violation of any traffic law)</td>
<td>Range from Reprimand to 5 day Suspension</td>
<td>Range from 2-5 day Suspension to Removal</td>
<td>5-day Suspension / Removal</td>
<td>Removal</td>
</tr>
<tr>
<td>21. Failure to report an auto accident; or failure to report traffic violation while using a State vehicle</td>
<td>Reprimand / 1-day Suspension</td>
<td>Range from 1-4 day Suspension</td>
<td>Range from 2-5 day Suspension to Removal</td>
<td>5-day Suspension / Removal</td>
</tr>
<tr>
<td>22. Possession or use of weapon on state property or while performing official job duties to include any clubs, knives, guns of any kind, tear gas, mace, etc.</td>
<td>5-day Suspension / Removal</td>
<td>Removal</td>
<td></td>
<td></td>
</tr>
<tr>
<td>23. Sexual harassment</td>
<td>5-day Suspension / Removal</td>
<td>Removal</td>
<td></td>
<td></td>
</tr>
<tr>
<td>24. Misuse of OHFA funds</td>
<td>Range from 2-5 day Suspension to Removal</td>
<td>5-day Suspension / Removal</td>
<td>Removal</td>
<td></td>
</tr>
<tr>
<td>25. Accepting bribes in the course of carrying out assigned duties</td>
<td>Removal</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>26. Failure to report a health and safety violation or accident; failure to report unsafe working conditions or hazardous equipment</td>
<td>Reprimand / 1-day Suspension</td>
<td>Range from 1-4 day Suspension</td>
<td>Range from 2-5 day Suspension to Removal</td>
<td>5-day Suspension / Removal</td>
</tr>
</tbody>
</table>

### Self-Disclosure of Convictions

It is a reasonable expectation that employees will not only obey the letter of the law, but the spirit of the law, whether engaged in personal or official activities. In the event any employee is arrested for, charged with or convicted of any felony or misdemeanor (except for a minor misdemeanor) or is required to be a defendant in any criminal activity, that employee shall immediately notify his/her immediate supervisor.

Depends on the severity of the offense.

*Discipline may also be held in abeyance pending the successful completion of a substance abuse program certified by the Ohio Department of Alcohol and Drug Addiction Services and employee is never again found to be under the influence of, or using or abusing alcohol or other drugs while on duty.*
INVESTIGATIONS (A35)

PURPOSE
This policy sets forth the procedures for processing violations of agency policy and provides for the careful, expeditious handling of all allegations and claims made against Ohio Housing Finance Agency (OHFA) employees. In addition, the policy sets forth the procedures to be followed when illegal activity by any state employee or official is suspected or alleged.

CROSS REFERENCE
• Article 24.04, OCSEA Collective Bargaining Agreement
• Governor’s 1999 policy for responding to illegal activity within state departments and agencies

REVISION DATE
This policy was last revised on September 1, 2007.

DEFINITIONS
For the purposes of this policy, the following definitions apply:
• Investigation: A systematic and objective fact-finding process.
• Administrative Investigation: An objective investigation into alleged violations of agency, division, office or section policy and/or procedure.
• Criminal Investigation: An investigation into alleged violations of state or federal criminal statutes conducted by a designed law enforcement agency.

GENERAL INFORMATION
This policy applies to all employees, volunteers and interns of OHFA. The general investigative procedures and protocols contained herein are applicable to all investigations. They are not designed to cover every situation encountered but they are a sufficient foundation to direct and guide investigators in conducting investigations.

Each Office Director is responsible for ensuring that all incidents that occur in his/her area of responsibility that require an investigation are reported in strict accordance with this policy’s procedures and protocols and this his/her staff are fully informed and trained on these procedures and protocols and their responsibilities under them. All employees should immediately report any suspected criminal activity that they are aware of, been a victim of, or witnessed.

ADMINISTRATIVE INVESTIGATIONS
Prior to initiating any administrative investigation, all supervisors shall ensure that their Office Director and the Human Resources Manager is notified of the suspected violation(s) and all parties involved. Any misconduct that could be the source of criminal charges shall be submitted through the Office Director to the Chief Legal Counsel for analysis. Before an administrative investigation is initiated, the Office Director shall notify the Human Resources Manager, who will also assign the investigation a number.

Any employee, volunteer or intern questioned by an investigator is required to cooperate, answer all questions accurately and honestly and keep all discussions confidential. Failure to do so shall result in discipline up to and including termination.

CRIMINAL INVESTIGATIONS
When the Executive Director or Chief Legal Counsel becomes aware of suspected or alleged illegal activity occurring within the Agency, on Agency time, or occurring on property owned or leased by the State, and the activity does not require an immediate law enforcement response, he/she should notify, in writing, the Governor’s Chief Legal Counsel and the Director of the Ohio Department of Public Safety as soon as reasonably possible. The written notice shall include:
• The activity believed to be illegal;
• The period of time during which the activity is believed to have occurred; and
• The date the activity came to the attention of the Executive Director / Chief Legal Counsel.

Whenever it appears that any alleged criminal activity has occurred within the Agency, and an immediate law enforcement response is necessary, the State Highway Patrol should be the first police agency notified. In central Ohio, the State Highway Patrol should be called immediately at 614-752-0234 during normal business hours. After hours, call 614-466-2660. The Agency’s Executive Director as well as the Chief Legal Counsel shall be notified as soon as possible after contacting the Patrol. The Chief Legal Counsel shall also forward a memorandum outlining the nature of the problem, parties involved and action taken to the Governor’s Chief Legal Counsel and the Director of Public Safety.

Because a criminal investigation may be necessary, the Agency shall not conduct an administrative investigation unless, and
until, specifically directed to do so by the Governor’s Chief Legal Counsel. No known suspect in a criminal investigation should be approached, disciplined or placed on administrative leave without clearance from the State Highway Patrol and the Governor’s Chief Legal Counsel.

**INVESTIGATION CLOSURE**

Investigative Reports shall be completed for all initiated investigations regardless of the findings. When an investigation is complete and has been reviewed by the Office Director, the following shall be forwarded to the Human Resources Manager:

- Investigative Report (including all attachments);
- A recommendation for administrative action from the Office Director, when supported by investigative findings.

The Human Resources Manager will review the investigative report and recommendation to identify the specific violation that is applicable and shall then initiate appropriate administrative action or discipline.

Employees, who are the focus of an investigation that results in no administrative action or discipline, shall receive in writing, notification that the investigation has been completed and closed.
PERFORMANCE REVIEWS (A36)

PURPOSE
The purpose of this policy is to provide guidance to exempt and non-exempt employees on how statewide performance evaluations are used.

CROSS REFERENCE
- Ohio Administrative Code (OAC) §123: 1-29
- OCSEA Collective Bargaining Agreement

REVISION DATE
This policy was last revised on January 1, 2016.

GENERAL INFORMATION
Performance evaluations provide employees with an increased awareness of their work and exactly what is expected. Managers must see that each employee receives a fair and timely review of his/her job performance. A performance evaluation is utilized to:
- Work toward the attainment of the agency’s mission, goals and objectives;
- Inform the employee of his/her strengths, weaknesses and progress;
- Improve an employee’s performance and productivity;
- Strengthen work relationships and improve communication among employees;
- Help in developing employee skills; and
- Recognize accomplishments and good work.

PERFORMANCE EVALUATION CYCLE

Annual Cycle
Employee performance reviews will be conducted using the electronic Human Capital Management module ePerformance application. All employees will receive an annual review.

The annual performance evaluation cycle for Administrative Staff employees will be from July 1st through June 30th of each year. The annual performance evaluation cycle for Bargaining Unit employees will be from January 1st through December 31st of each year. This annual cycle will not change a Bargaining Unit employee’s step date. However, if a step will be denied, the employee’s review must be completed by the immediate supervisor, and approved by all required parties, at least thirty (30) days prior to the employee’s step date.

Probationary Period Reviews for Bargaining Unit Employees
All newly hired and promoted employees, and employees who are laterally transferred to a different classification shall serve a probationary period (Article 6.01 of the OCSEA Contract) and are evaluated before the completion of the probationary period. All subsequent reviews are conducted annually. For newly hired Bargaining Unit employees, a mid-term probation review will be conducted six (6) months after the hire date and a final Probationary Review will be conducted prior to the end of the 1-year probationary period. A Probationary Review will also be conducted upon a bargaining unit employee’s promotion to another bargaining unit position or upon a lateral transfer to a different classification in the bargaining unit prior to the completion of the probation period. The length of the employee’s probationary period is determined by the employee’s classification. If a final Probationary Review is conducted within five (5) months of the Annual Performance Review Cycle end date for bargaining unit employees (December 31st), an Annual Review may not be conducted.

Should the work performance of a probationary employee, serving an initial probationary period, be considered unsatisfactory, such employee may be removed prior to the completion of the probationary period. Discipline and discharge of probationary employees in bargaining unit positions shall not be appealable through the grievance or appeal procedure contained in the collective bargaining agreement.

COMPETENCIES AND GOALS
All agency employees will be rated on the statewide competency, Customer Focus, Section 2 of the Annual Review. The Customer Focus competency centers on an employee’s interaction with an internal or external customer. It must be demonstrated that an employee understands the need(s) of the customer, when to seek assistance to ensure the customer has an overall positive experience and responds to customer feedback.

Each agency employee will also be rated on three position-specific competencies, Section 4 of the Annual Review. Bargaining Unit employees will be rated on competencies that are assigned to an employee’s classification. Position-specific competencies are assigned to an Administrative Staff employee’s position based on the duties performed.
In addition to rating an employee on Customer Focus and classification competencies, a supervisor may also rate an employee on one or more of the following agency competencies (Section 3 of the Annual Review), if the competency isn’t assigned to an employee’s classification or position. These competencies are:

- Updating and Using Relevant Knowledge: Keeping up-to-date technically and applying new knowledge to the job.
- Making Decisions and Problem Solving: Analyzing information and evaluating results to choose the best solution and solve problems.
- Communicating with Supervisors, Peers and Subordinates: Providing information to supervisors, coworkers (peers), and subordinates (staff) by telephone, in written form (electronic or hard copy), or in person.

All employees will also be rated on goals aligned with the agency’s mission and strategic priorities, Section 6 of the Annual Review.

**NOMINATE PARTICIPANTS**

OHFA does not use this feature of the ePerformance system.

**SELF-EVALUATION TOOL**

If an employee chooses to complete a self-evaluation in the ePerformance system, the supervisor will consider the information provided by the employee when completing the employee’s performance evaluation and when conducting the performance review meeting with the employee.

**CAREER DEVELOPMENT PLAN**

OHFA does not use the Career Development Plan in the ePerformance system (Section 9). Instead, OHFA developed an Individual Development Plan (IDP) form that all employees are encouraged to complete. This form allows employees to evaluate their strengths and weaknesses, to identify developmental focus areas and to create an action plan consisting of resources and activities that promote this development. When completing an action plan, an employee should refer to the IDP Guide that suggests activities to engage in that are aimed at enhancing an employee’s competencies, as well as an employee’s capacity to take on broader leadership responsibilities.

**RATER INSTRUCTIONS**

- Performance evaluations must be completed within a sixty (60) day window beginning 30 days before the cycle end date and ending 30 days after the cycle end date.
- The types of materials that are acceptable for use during evaluations are:
  - Prior Evaluations
  - Position Descriptions
  - Mission/Vision of the agency
  - Individual Development Plans
  - Performance Improvement Plans (PIP)
  - Current Goals
  - Kudos or complaints
  - Milestones
  - Samples of Work
- The types of materials that are not acceptable for use during evaluations are:
  - Disability files
  - FMLA/Medical records
  - Prior discipline, if the discipline occurred outside the review cycle
- The following guidelines should be adhered to when conducting an evaluation meeting:
  - Use only objective language
  - Provide employees with goals (for the next year) and evaluate progress on current year goals
  - Bring any other documents used to support evaluation ratings to the meeting

**PERFORMANCE IMPROVEMENT PLANS AND STEP INCREASES**

An overall rating of “Does Not Meet” will constitute an unsatisfactory rating. Employees who receive an overall rating below “Meets Expectations” on any performance evaluation shall be placed on a Performance Improvement Plan (PIP). The agency shall use a PIP to correct poor performance regardless of whether the PIP coincides with an annual or ad hoc performance evaluation. A bargaining unit employee may also be denied a step increase because his/her overall rating is unsatisfactory. The procedures for denying a step increase are outlined in the applicable collective bargaining agreement.
The rights of bargaining unit employees with respect to performance reviews are recited in the collective bargaining agreement. The following requirements exist when completing reviews for bargaining unit employees:

- The comments section must adequately assess the employee's performance and list any barriers and solutions;
- A Performance Improvement Plan must be completed for employees that received an overall rating of below "Meets Expectations."

**EMPLOYEE’S ELECTRONIC SIGNATURE**

Performance evaluations will be authenticated with an electronic signature using the employee's State of Ohio User ID. The employee's signature merely indicates an acknowledgement that the employee has reviewed a copy of the completed evaluation; it does not indicate agreement with its contents. If an employee refuses to acknowledge a performance evaluation, a supervisor must document the fact that the employee was afforded an opportunity to review the performance evaluation, but refused to acknowledge it, and acknowledge the evaluation for the employee. A refusal to acknowledge the performance evaluation results in a waiver of the employee's right to appeal the performance evaluation rating.

**APPEALS**

An employee may appeal his/her performance evaluation by submitting a "Performance Evaluation Review Request" to the employee's office director within seven (7) days after the employee received the completed evaluation for signature. Appeals may also be mutually extended within seven (7) working days. The Request shall contain a reason and/or documents to identify why the performance evaluation is not accurate. If the office director is the same person who completed the evaluation, the request should be submitted to the Director of Human Resources. Within seven (7) working days of receiving the request, the office director will schedule a conference. The office director will provide a written response to the employee within seven (7) working days after the conference.

If an employee is still not satisfied with the response, the employee may submit an appeal of his/her performance evaluation through the Office of Human Resources. However, this level of appeal is not available to any employee who has received a rating of "Meets" or "Exceeds" in all categories of the Review. The agency's designee may hold a conference or do a paper review and will issue a response within fourteen (14) days after the appeal is requested.

The appeal and grievance procedures for bargaining unit employees are outlined in Article 22.03 of the OCSEA Contract.
PROBATIONARY PERIODS (A37)

PURPOSE
This policy is intended to provide employees with an understanding of probationary periods.

CROSS REFERENCE
- Ohio Administrative Code (OAC) § 123:1-19
- OCSEA Collective Bargaining Agreement; Article 6

REVISION DATE
This policy was last revised on January 1, 2016.

EXEMPT EMPLOYEES
Unclassified non-union employees serve at the pleasure of the Agency and have no tenure rights. There is no probationary period. Continuous service or removal from service shall be at the discretion of the Agency.

OCSEA EMPLOYEES
All newly hired employees shall serve an initial probationary period of three hundred sixty-five (365) days. The probationary period for employees promoted or laterally transferred to a different classification shall be one hundred twenty (120) days for classifications paid at grades 1 to 7 and grades 23 to 28 or one hundred eighty (180) days for classifications paid at grades 8 to 12 and 29 to 36.

During a lateral transfer to a different classification or promotional probationary period, the Employer maintains the right to place the employee back in the classification that the employee held previously if the employee fails to perform the job requirements of the new position to the Employer’s satisfaction.

REMOVAL
During an initial probationary period, the Employer shall have the sole discretion to discipline or discharge probationary employee(s) and any such probationary action shall not be appealable through any grievance.

If an employee’s services are found unsatisfactory, he or she may be removed, or reduced in accordance with rule 123:1-23-12 of the Administrative Code, at any time during the probationary period.

PROBATIONARY PERIOD EXTENSIONS
A probationary period for an employee may be extended by mutual agreement between the Union and Management. However, an employee’s probationary period may be extended by a period equal to employee leaves of fourteen (14) consecutive days or longer, except for approved periods of vacation leave. For example, disability leave, adoption/childbirth, or any other leaves of fourteen (14) consecutive days or longer shall not be counted toward the employee’s initial or promotional probationary period.

RESIGNATION DURING PROBATION
Employees who leave state service before completing their initial probationary periods cannot be reinstated from separation. Such employees must be hired as a new appointment if they return to state service.
Antibullying Policy (A38)

Purpose

OHFA is committed to ensuring that all employees are treated with dignity and respect, while providing its employees a work environment that is safe, secure and free of harassment, threats, intimidation and violence. OHFA will not tolerate bullying or workplace violence and will make every reasonable effort to prevent unacceptable behavior that harms, intimidates or humiliates an employee. OHFA recognizes that bullying is a growing problem that should be addressed by all employees, and therefore adopts this zero tolerance policy for bullying. Consistent with the policy, threats or acts of physical violence, including intimidation, harassment and/or coercion which involve or affect OHFA employees and which occur at the place of work and/or in the course of employment will not be tolerated. Employees shall refer any questions regarding their rights and obligations under this policy to the OHFA Human Resources Office's Employee Relations Manager.

Cross Reference

- DAS Directive HR-D-04 Workplace Violence Prevention Policy
- DAS Directive HR-D-14 Employee Anti-Discrimination and Anti-Harassment Reporting Policy and Procedures

Revision Date

This policy was issued on December 21, 2017.

Workplace Bullying Defined

Repeated, unreasonable behavior directed toward an employee, or group of employees, that creates a risk to health and safety. It is behavior that offends, humiliates, intimidates or undermines a person. Bullying usually occurs over a period of time. It is a repeated pattern of behavior that can be made up of different types of incidents. Bullying, if severe or pervasive in nature, could constitute a legal claim of harassment in violation of an individual's civil rights.

Although there can be no exhaustive list, examples of behavior that may signify bullying or psychological harassment include, but are not limited to, insulting or derogatory remarks, gestures or actions; rude, vulgar language or gestures; malicious rumors, gossip or negative innuendo; verbal aggression and/or verbal abuse; shouting, yelling; swearing; name calling; glaring or staring; outbursts or displays of anger directed at others; targeting an individual through persistent unwarranted criticism; public ridicule; verbal, written or physical threats and intimidation; misuse of power or authority; isolation and/or exclusion from work related activities.

- Bullying and psychological harassment can take many forms and may occur when the behavior or conduct:
  - would reasonably tend to cause offense, discomfort, humiliation or embarrassment to another person or group;
  - has the purpose or effect of interfering with a person's work performance;
  - creates an intimidating, threatening, hostile or offensive work environment;
  - is deemed as severe and pervasive enough to create a hostile working environment.

Bullying does not include:

- the normal exercise of supervisory responsibilities, including performance reviews, direction, counseling and disciplinary action where necessary, provided they are conducted in a respectful, professional manner in accordance with OHFA's work rules;
- social interactions that are mutually acceptable and welcome, provided the interactions are respectful and there is no negative impact for others in the work environment;
- Disagreements, misunderstandings, miscommunication and/or conflict situations provided the behavior of the individuals involved remains professional and respectful.

Reporting Workplace Bullying

Employees may consult with the Employee Relations Manager.

The Employee Relations Manager will discuss a range of options about how the conditions may be addressed which may include:

- voluntary mediation with or without a support person;
- one on one conflict coaching;
- anti-bullying education programming.

Formal Resolution – Filing a Complaint

Formal complaints may be filed with the OHFA Office of Human Resources Employee Relations Manager.

Complaints filed with the OHFA Office of Human Resources should be within 30 days of the most recent incident.
The OHFA Office of Human Resources shall then conduct a formal investigation of the complaint.

- Within 60 days from the filing of the complaint, OHFA shall issue a recommendation which may include one or more of the following: a finding of no violation, a recommendation and plan for remediation or a recommendation for discipline of those found in violation of this policy.
- The investigation may be continued, depending on extenuating circumstances.

All aspects of prevention and problem-solving processes will be fair, timely, confidential, professional and impartial. They will also be consistently applied and will aim to preserve the dignity, self-respect and rights of all parties. Responses to inappropriate behavior will aim to correct identified behavior and to prevent further occurrences or violations of this policy.

**CONFIDENTIALITY**

In all responses to bullying, confidentiality and autonomy of the reporting employee and the victim will be respected by informing others only to the extent necessary to protect safety or comply with the law and/or applicable collective bargaining agreements. Whenever practicable, advance notice will be given to the reporting employee if others need to be informed about the situation.

**ENFORCEMENT**

Workplace bullying related behavior in the workplace is inappropriate and will not be tolerated. Misconduct will be addressed as soon as possible.

Such conduct is subject to discipline, up to and including termination.

This policy supports the objectives and practices of the state of Ohio and effective problem-solving processes to address employee concerns, whether related to individual or group behavior.

**No Contact Order** – A written order may be issued to parties involved in a dispute that restricts contact between parties involved.

This policy will be enforced in accordance with the principles of the OHFA progressive discipline policy.

**REFERRAL TO OHIO EMPLOYEE ASSISTANCE PROGRAM**

Where a supervisor suspects that an employee has work-related and/or personal problems, the supervisor should recommend that the employee contact the Ohio Employee Assistance Program (EAP) for counseling, support and/or mediation (614-644-8545 or 1-800-221-6327).
PURPOSE
The State of Ohio is a diverse, inclusive, and equal opportunity employer. The purpose of this policy is to emphasize that discrimination, harassment or retaliation will not be tolerated in the workplace and to establish procedures for Ohio Housing Finance Agency (OHFA) employees and applicants for employment to report claims of discrimination, harassment and retaliation. This policy is not intended to be a complete statement of federal or state law, or an employee’s rights regarding discrimination, harassment and retaliation.

CROSS REFERENCE
• Title VII of the Civil Rights Act of 1964 and subsequent amendments
• Americans with Disabilities Act of 1990
• Age Discrimination Act of 1975
• Age Discrimination in Employment Act
• Genetic Information Nondiscrimination Act
• Ohio Revised Code (ORC) § 4112
• Ohio Administrative Code (OAC) § 123:1-49-02
• Governor’s Executive Order 2019-05D
• State of Ohio Administrative Policy HR-14 Anti-Discrimination and Anti-Harassment
• The Ohio Constitution, Article XV, Section 10

REVISION DATE
This policy was last revised on January 13, 2020.

DEFINITIONS
For the purposes of this policy, the following definitions apply:
• Discrimination. Discrimination occurs when an adverse employment action is taken based on the employee or applicant’s status as a member of a protected class. There are two forms of discrimination:
  ◦ Disparate Treatment - Disparate treatment occurs when an employer intentionally treats an employee differently because of their protected class.
  ◦ Disparate Impact - Disparate impact occurs when an employment policy, although neutral on its face, adversely impacts persons in a protected class.
• Harassment. Unwelcome conduct based on a protected class, such as race, sex, religion, etc. Harassment becomes unlawful where: 1) enduring the offensive conduct becomes a condition of continued employment, or 2) the conduct is severe or pervasive enough to create a work environment that a reasonable person would consider intimidating, hostile, or abusive. Harassment can be verbal or physical and can include name calling, slurs, jokes, gestures, leering, stalking, grabbing or assault. This is not an exhaustive list of all harassing behaviors.
• Retaliation. The act of punishing an employee or applicant for asserting their rights under EEO laws to be free from employment discrimination, including harassment. This includes retaliation against an individual who requested an accommodation; filed, testified, or participated in a discrimination investigation, proceeding, or lawsuit; or opposed employment practices that they reasonably believed discriminate against individuals. A claim of retaliation is based on objective and non-discriminatory criteria.
• Sexual Orientation. The preferred term used when referring to an individual's physical or emotional attraction to the same or opposite gender. "Heterosexual," "bisexual," and "homosexual" are all sexual orientations. A person’s sexual orientation is distinct from a person's gender identity and expression.
• Gender Identity. The term “gender identity,” distinct from the term “sexual orientation,” refers to a person’s innate, deeply felt psychological identification as male or female, which may or may not correspond to the person's body or designated sex at birth (meaning what sex was originally listed on a person's birth certificate).
• Transgender. A broad range of people who experience or express their gender identity differently from what most people expect – either in terms of expressing a gender that does not match the sex listed on their original birth certificate (i.e. designated sex at birth), or physically changing their sex. It is an umbrella term that includes people who are transsexual, cross-dressers or otherwise gender non-conforming. Not all people who consider themselves (or who may be considered by others as) transgender will undergo a gender transition.
• **Transitioning.** Refers to the process through which a person modifies his or her physical characteristics or manner of gender expression to be consistent with his or her gender identity. Transitioning may include hormone therapy, sex-reassignment surgery or other components and is generally conducted under medical supervision based on a set of standards developed by medical professionals. The transition process typically includes a one-year “real life experience” in which the individual lives and presents consistently with their gender identity under medical supervision.

• **Transsexual.** A transsexual person has changed, or is in the process of changing, his or her physical or legal sex to conform to his or her internal sense of gender identity. The term can also be used to describe people who, without undergoing medical treatment, identify and live their lives full-time as a member of the gender opposite their birth sex. Transsexuals transitioning from male to female are often referred to as "MTFs." Similarly, female-to-male transsexuals are frequently called "FTMs."

• **Quid Pro Quo (This for That).** When employment decisions or expectations (e.g., hiring, promotions, salary increases, shift or work assignments or performance standards) are based on an employee's willingness to grant or deny sexual favors.
  - Examples of quid pro quo: demanding sexual favors for a promotion or raise; disciplining a subordinate who ends a romance; changing work standards after a subordinate refuses repeated requests for a date.

• **Hostile Work Environment.** A work environment is "hostile" where unwelcome verbal, non-verbal or physical behavior is severe and pervasive enough to interfere with the person's work performance or be intimidating or offensive to a reasonable person.
  - Examples of behaviors that can create a sexually hostile work environment: sexual jokes or insults; comments about a person's body or sex life; sexually demeaning comments, gestures, staring or leering; display of sexually suggestive or degrading materials; giving sexually suggestive gifts; touching, hugging, kissing or patting; brushing against a person’s body; blocking a person's movement.
  - Examples of behaviors that can create a hostile work environment, but are not sexual in nature: use of racially derogatory words, phrases, epithets; demonstrations of a racial or ethnic nature such as a use of gestures, pictures or drawings which would offend a particular racial or ethnic group; comments about an individual’s skin color or other racial/ethnic characteristics; making disparaging remarks about an individual’s gender that are not sexual in nature; negative comments about an employee's religious beliefs (or lack of religious beliefs); expressing negative stereotypes regarding an employee's birthplace or ancestry; negative comments regarding an employee's age when referring to employees 40 and over; derogatory or intimidating references to an employee's mental or physical impairment.
  - These lists are intended to provide examples and are not all-inclusive.

• **Genetic Information.** Information about an individual's genetic tests and the genetic tests of an individual's family members, as well as information about the manifestation of a disease or disorder in an individual's family members (i.e. family medical history). Family medical history is included in the definition of genetic information because it is often used to determine whether someone has an increased risk of getting a disease, disorder, or condition in the future. Genetic information also includes an individual's request for, or receipt of, genetic services, or the participation in clinical research that includes genetic services by the individual or a family member of the individual, and the genetic information of a fetus carried by an individual or by a pregnant woman who is a family member of the individual and the genetic information of any embryo legally held by the individual or family member using an assisted reproductive technology.

• **Sexual Harassment.** Sexual harassment depends on how the person being harassed is affected, not on the harasser’s intent. For purposes of this policy, sexual harassment may include unwelcome sexual advances, requests for sexual favors or other physical, verbal or visual conduct based upon sex when:
  a. Submission to the conduct is an explicit term or condition of employment;
  b. Submission to or rejection of the conduct is used as the basis for an employment decision;
  c. The conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive work environment.
In practical terms, there are two (2) forms of sexual harassment: quid pro quo (this for that) and hostile work environment.

- Young Child. A child who is less than 9-years old.
- Foster Parent. An individual who has been granted legal authority over a child through a court-ordered process. The person may be a “foster parent,” “kinship placement,” “legal guardian,” or “legal custodian” of a child who is 17-years old or younger.

POLICY

It is the policy of OHFA to maintain a working environment free from discrimination, harassment, and retaliation.

OHFA prohibits discrimination and harassment of applicants and employees due to race, color, religion, gender/sex, gender identity or expression, national origin (ancestry), military status, disability, age (40 years of age or older), genetic information, sexual orientation, status as a parent during pregnancy and immediately after the birth of a child, status as a parent of a young child, or status as a foster parent as those terms are defined in applicable Ohio law, federal law and any effective Executive Order, in making any employment-related decisions including, but not limited to hiring, layoff, transfer, termination, promotion, demotion, discipline, rate of compensation, eligibility for in-service training programs, or terms and conditions of employment.

Moreover, OHFA may not retaliate against anyone who exercises a protected right under equal employment opportunity (EEO) laws, including making a complaint or participating in an investigation.

Accordingly, OHFA is committed to addressing EEO concerns and continually improving its EEO program. It is the policy of OHFA to fully comply with the State of Ohio’s EEO program and any other applicable state and federal laws, rules, regulations or guidelines related to discrimination, harassment, retaliation claims, reporting and enforcement.

METHODS AND TIMELINES FOR REPORTING

An employee or applicant for employment with OHFA that believes they have experienced harassment, discrimination, or retaliation may report the incident to their manager, Human Resource Office, EEO Officer, Chief Legal Counsel or the Ohio Department of Administrative Services, Equal Opportunity Division (EOD).

Once the EEO Officer has received an allegation of a harassment or discrimination, an informal inquiry will be conducted. If the informal inquiry substantiates a possible EEO violation, the person accused of engaging in improper activity may be notified that the issue has been brought to the attention of the EEO Officer. Upon determination by the EEO Officer that a formal investigation is warranted, further interviews will be conducted with any individual who is believed to have relevant information concerning the issues involved. Written statementsdetailing the information provided will be prepared and provided to each witness for their review and signature. All employees are expected to fully comply with an EEO investigation and must provide a truthful statement upon request. Failure to do so will be considered a violation of this policy. Once the evidence has been gathered, the EEO Officer will review the findings and prepare a report of summary. If the EEO Officer determines that there has been a violation of this policy or that further administrative action is necessary, appropriate recommendations will be made to the Executive Director. The complainant, the complainant’s supervisor, and the person accused of improper conduct will be notified of the conclusion of the investigation and will have the results communicated to them.

Resolution may include informal discussions between the parties, internal investigations, possible recommendations for additional training or disciplinary action, up to and including termination. The nature of the resolution will be determined based upon the individual circumstances of the situation and the results of the internal investigation.

Additional Information

An employee or applicant for state employment may also file a complaint for discrimination, harassment or retaliation with one or all of the following:

Amy Brenner, EEO Officer, Office of Human Resources
57 East Main Street; 5th floor
Columbus, OH 43215
(614) 644-6701

Complaints regarding State of Ohio EEO policy may be filed with:

- Ohio Department of Administrative Services, Equal Opportunity Division (EOD): Filing with EOD can be done through the Agency EEO Officer or directly by calling (614) 466-8380 or visiting www.das.ohio.gov/Divisions/EqualOpportunity. This filing must occur no later than thirty (30) days from the date of the last alleged discriminatory incident.
Complaints regarding EEO law:

- Ohio Civil Rights Commission (OCRC): Filing with OCRC can be done by calling (614) 466-7742, by visiting www.crc.ohio.gov, or by mail to: 30 E. Broad Street, Fifth Floor, Columbus, Ohio 43215 or a regional office. This filing must occur no later than six (6) months from the date of the last alleged discriminatory incident.

- Federal Equal Employment Opportunity Commission (EEOC): Filing with the EEOC can be done by calling (800) 669-4000, visiting www.eeoc.gov, or by mail to: 1240 E. 9th Street, Suite 3001, Cleveland, Ohio 44199. This filing must occur no later than three hundred (300) days from the date of the last alleged discriminatory incident.

RESPONSIBILITY

Manager/Supervisor: A manager or supervisor who receives a report of discrimination, harassment, or retaliation must immediately report the complaint to OHFA’s EEO Officer. While the report cannot be kept strictly confidential, the information reported will only be communicated as necessary to investigate and take appropriate action.

Employees: Employees will assist in OHFA’s effort to achieve equal employment opportunity and to maintain a harassment and discrimination free environment. Any employee who believes that they have been subject to harassment is encouraged to inform the potential harasser that their conduct is unwelcome, directly or indirectly, as soon as practical and safe.

Agency EEO Officer: The Agency EEO Officer will conduct a prompt, thorough, and objective investigation, including interviews of witnesses and formal written reports or findings. While the information obtained cannot be kept strictly confidential, the information reported shall only be communicated as necessary to investigate and take appropriate action.

OHFA: OHFA will promote equal employment opportunity and maintain a harassment and discrimination free environment. The Agency is required to adopt an internal policy and procedures outlining a process for reporting and resolving claims of EEO violations.

ENFORCEMENT

Discrimination, harassment, and retaliation will not be tolerated. Such conduct is subject to discipline, up to and including termination.

Supervisory employees are advised that they may be subject to personal liability for acts of discrimination, harassment or retaliation and may be responsible for providing their own legal defense.

This policy will be disseminated to all employees annually and included in all new hire orientation materials and the employee handbooks.
DOMESTIC VIOLENCE (A40)

PURPOSE
The State of Ohio is committed to promoting the health and safety of its employees and to making a significant and continual difference toward ending domestic violence. The purpose of this policy is to provide guidance for management and employees to raise awareness of domestic violence and reduce its impact on the workplace. This policy is designed to maintain the confidentiality of any survivors of domestic violence to assist with eliminating violence and ensure that they do not face discrimination in employment decisions based on any assumptions or knowledge of the victim’s or survivor’s current or past domestic violence incidents. This policy, and similar Domestic Violence Policies across Ohio’s state agencies, honors the memory of Barbara Warner, an Ohio Department of Health employee who was a victim of domestic violence and ultimately murdered by her husband in 1997.

CROSS REFERENCE
- Governor’s Executive Order 2019-09D
- State of Ohio Administrative Policy HR-27 Barbara Warner Workplace Domestic Violence

REVISION DATE
This policy was last revised on January 6, 2020.

DEFINITIONS
For the purposes of this policy, the following definitions apply:
- Batterer, Perpetrator or Abuser. The individual who commits an act of domestic violence.
- Domestic Violence. A pattern of violent and coercive behaviors used by one intimate partner against another to control and maintain power over that person. Intimate partners include family or household members, romantic partners that are not legal family or household members, spouses, former spouses, persons living together as spouses, persons who have a child in common (regardless of whether they have been married or have lived together at any time), and adult persons related by blood or marriage. Domestic violence may include physical violence, sexual, emotional and psychological intimidation, verbal abuse, stalking, and economic control and may occur among people of all backgrounds in these relationships. Where reference is made to domestic violence, dating violence should be given the same consideration. Dating violence is defined as the physical, sexual, psychological, or emotional aggression within a dating relationship, including stalking. It can occur in person or electronically and might occur between a current or former dating partner.
- Ohio Employee Assistance Program. A program intended to help state employees deal with personal problems that might adversely impact their work performance, health and well-being. Employee Assistance Programs generally include assessment, short-term counseling and referral services for employees and their family members.
- Protection Order. An order issued by a court designed to protect a person from harm or harassment. In a domestic dispute, protection orders are typically issued to prevent one party from approaching another, often within a specific distance.
- Victims or survivors. Individuals who are the subject of an act of domestic violence. Those who have escaped violent relationships often are referred to as survivors rather than victims.

DOMESTIC VIOLENCE INCIDENTS
Employees in immediate danger should call 911. To the extent allowed by law, OHFA will cooperate with any law enforcement investigation regarding domestic violence involving a state employee as either a victim, survivor, or perpetrator of domestic violence. Domestic violence incidents that occur while on OHFA property, while conducting OHFA business, or during OHFA-sponsored social events will be reported as soon as safely possible to appropriate law enforcement personnel or to the Human Resources Office. If law enforcement will be notified, every effort will be made to consult with, or at least notify those that are directly impacted as victims of domestic violence before law enforcement is contacted.

CONSIDERATION OF WORKPLACE MODIFICATIONS
OHFA is committed to working with employees to prevent abuse, harassment, and discrimination that may result from domestic violence. OHFA is prohibited from discriminating against victims or survivors of domestic violence based on any assumptions or knowledge of the victim’s or survivor’s current or past domestic violence incidents.
In cases where the **batterer, perpetrator, or abuser** and the victim or survivor are employed at OHFA or can be reasonably expected to have interaction while one is conducting OHFA business, OHFA will give appropriate and reasonable consideration to a victim's or survivor's request for a modification of duties or reassignment to another position. The victim or survivor will be consulted in making decisions for modifications and reassignments and will not be penalized involuntarily by this process. Modification and reassignment decisions may impact the rights of bargaining unit members, and OHFA will refer to the applicable collective bargaining agreement and work with the Office of Collective Bargaining (OCB) or an appropriate union representative as needed in those situations.

All OHFA employees must adhere to state and OHFA time and attendance policies, but OHFA will work within those policies to provide support to victims or survivors of domestic violence. If an employee needs to be absent from work due to current or past domestic violence incidents, the employee, the Human Resources Office, and the employee's supervisor will first explore whether paid leave options can be used to accommodate the absence before considering unpaid options. Depending on the employee's circumstances, and subject to applicable collective bargaining agreements, those options may include:

- **Available Leave Balances.** Upon agency approval, OHFA employees may use sick leave, personal leave, vacation leave, or compensatory time to cover absences from work due to current or past domestic violence incidents.
- **Civic Duty Leave.** OHFA employees are entitled to paid leave when subpoenaed to appear before any court, commission, board, or other legally constituted body authorized to compel the attendance of a witness. This leave does not apply if the employee is a party to the action but would apply in criminal cases where the state is a party to the action on behalf of the victim or survivor. The alleged batterer would be considered a party to the action and would be ineligible for this leave.
- **Donated Leave.** OHFA employees are eligible to receive donated leave when the employee, or a member of the employee’s immediate family, has a serious illness or injury, and, if eligible, the employee has applied for any paid leave, Workers’ Compensation or other benefits program. Employees must contact the Human Resources Office to discuss eligibility and use of donated leave.
- **Family Medical Leave.** The Family and Medical Leave Act (FMLA) allows eligible state employees to take up to twelve work weeks of leave per 12-month period to care for themselves or for a spouse, child, or parent with a serious health condition. In accordance with the state’s FMLA policy, employees must exhaust all accrued sick, vacation, and personal leave balances, as appropriate, prior to becoming eligible for unpaid leave.
- **Flexible Work Hours.** Employees may contact the Human Resources Office to determine whether flexible work hours may be made available to them.
- **Unpaid Leave.** If no paid leave options are available, the Executive Director may grant an unpaid leave of absence to an employee for personal reasons. The use of such leave will be governed by section 123:1-34-01 of the Administrative Code and/or any applicable collective bargaining agreements.

**DOMESTIC VIOLENCE SURVIVORS AND VICTIMS**

OHFA employees **will not** be penalized or disciplined *solely* for being a victim or survivor of domestic violence, although OHFA retains the right to discipline employees for cause.

Victims or survivors of domestic violence may have performance-related issues that include chronic absenteeism, exhaustion from sleep deprivation, or an inability to concentrate as a result of the violence. Human Resources Office personnel and supervisors are mindful that the effects of domestic violence are very serious and may take extended periods of time to fully address. Where possible, OHFA will work with the victim or survivor of domestic violence to mitigate performance related issues while allowing time for the employee to achieve resolution for the domestic violence that they are experiencing before conducting a corrective counseling or imposing discipline.

If OHFA is considering a corrective counseling or discipline and the employee discloses that the performance-related issues are caused by domestic violence, OHFA will ordinarily refer the employee to the **Ohio Employee Assistance Program (Ohio EAP)** or consult additional resources within its Human Resources Office and the Barbara Warner Workplace Domestic Violence Committee.

**OHIO EAP**

Ohio EAP can refer state employees to community resources—the role of which is to support the person experiencing domestic violence in securing a resolution that works for their unique situation. Depending upon the unique circumstances of the
situation, a participation agreement may be used and would allow OHFA to hold any discipline in abeyance, while ensuring the employee is connected with the appropriate community resources.

**DISCIPLINE FOR A BATTERER, PERPETRATOR OR ABUSER**

The State of Ohio is committed to providing a workplace in which the perpetration of domestic violence is neither tolerated nor excused. Employees who are perpetrators of domestic violence are encouraged to access services through the Ohio EAP.

Both the decision to enter into an EAP Participation Agreement with the perpetrator and the decision to hold any disciplinary action in abeyance during the course of EAP services are made at the discretion of the Executive Director.

Any state employee who commits acts or threats of domestic violence while on OHFA property, while conducting OHFA business, or during OHFA sponsored social events, or uses OHFA resources (e.g., state vehicle, work time, workplace telephones, cellular telephones, facsimile machines, mail, computers, land or electronic mail, telephone answering machines, other electronic or computer technology, or other means) to commit acts or threats of domestic violence may be in violation of OHFA policies on the use of OHFA telephones, Internet, E-mail, and other IT resources and any other applicable policies.

Employees found to have violated these policies may be subject to corrective or disciplinary action, up to and including termination, as well as criminal prosecution by the appropriate law enforcement agency.

Nothing in this policy should be read to contradict or challenge a judicial court order such as a protection order or the terms of an employee’s probation. OHFA will work to accommodate such orders, including working with the Chief Legal Counsel and OHFA security on enforcement of the protection order.

Pursuant to Ohio Revised Code 2919.25, individuals who commit acts of domestic violence may be charged with a misdemeanor or a felony. A conviction of these charges may subject the individual to additional discipline or removal under relevant federal or state law, applicable agency work rules or collective bargaining agreements.

**CONFIDENTIALITY**

OHFA will take steps to respect the confidentiality and privacy of the reporting employee and the victim or survivor. OHFA will inform others only to the extent necessary to protect safety, or when otherwise required by law or applicable collective bargaining agreements. Whenever practical, advance notice will be given to the reporting employee and the victim or survivor if the agency needs to inform others about the domestic violence situation.

**TRAINING**

OHFA recognizes that it is important for all employees to receive training on this policy as well as the risk factors associated with domestic violence and the impact of domestic violence on the workplace. Two versions of a web-based training course are available through the Department of Administrative Services, one specific to managers/supervisors and one for all other state employees.

**RESOURCES FOR DOMESTIC VIOLENCE VICTIMS AND SURVIVORS**

**Human Resources Office**
Amy Brenner
57 East Main Street, 5th Floor
Columbus, OH 43215
(614) 644-6701

**Ohio Employee Assistance Program**
https://das.ohio.gov/Divisions/Human-Resources/Benefits-Administration/EAP 1-800-221-6327

**Additional Resources**

Resources are available on the Labor Relations and Human Resources Policy Section website, including information on the State’s leave donation program, the statewide FMLA policy and additional resources for survivors and perpetrators of domestic violence, including posters and brochures. http://das.ohio.gov/Divisions/HumanResources/HRD0CBPolicy.aspx

**Resource Posters**

Resource posters are displayed on bulletin boards on each floor, resource cards are located in restrooms and available resources are listed on the OHFA Intranet site at, http://intranet/ohfa/documents/DomesticViolence.pdf
PURPOSE
The purpose of this policy is to transmit procedures of the State of Ohio Drug-Free Workplace Policy and the Drug-Free Workplace Act of 1988, and to establish standard policy for the enforcement of these acts and procedures.

CROSS REFERENCE
- State of Ohio Drug-Free Workplace Policy HR-39
- Drug-Free Workplace Act of 1988
- Ohio Administrative Code § 123:1-76-01 thru 123:1-76-14
- OCSEA Collective Bargaining Agreement Appendix M

REVISION DATE
This policy was last revised on January 7, 2019.

GENERAL INFORMATION
The State of Ohio is a drug-free workplace. To provide and maintain a drug-free workplace, OHFA employees are required to follow the standards established by this policy. Additionally, the State of Ohio will not hire anyone who is known to currently abuse a restricted substance. However, this policy does not preclude the State from hiring persons who are in recovery.

REQUIREMENTS
1. **Fit-for Duty Requirement**: OHFA employees are required to be fit-for-duty at the time they report to work and any time they are in active work status or otherwise in the workplace.

   **Note on Enforcement**: An employee who is suspected of abusing a restricted substance in violation of this policy shall be subject to the testing procedures administered by the State of Ohio Drug-Free Workplace Services Program and/or discipline.

2. **Prohibitions on Unlawful Activities**: While in active work status or otherwise in the workplace, OHFA employees shall not unlawfully manufacture, distribute, dispense, possess, purchase, transfer, or use a restricted substance.

3. **Limitations on Additional Activities**: Regardless of whether the conduct is otherwise lawful, OHFA employees who are in active work status or otherwise in the workplace are also subject to the following limitations:
   a. **Alcohol**: Alcohol is a restricted substance for purposes of this policy. Accordingly, OHFA employees who are in active work status or otherwise in the workplace shall not manufacture, distribute, dispense, possess, purchase, transfer, or use alcohol.
   b. **Medical Marijuana**: Medical marijuana is a restricted substance for purposes of this policy. Accordingly, OHFA employees who are in active work status or otherwise in the workplace shall not manufacture, distribute, dispense, possess, purchase, transfer, or use medical marijuana.
   c. **Application to Employees Outside of Active Work Status and Outside of the Workplace**: This policy is not intended to prohibit medical marijuana use by OHFA employees (or applicants) who are NOT in active work status at the time of use, provided that:
      - Such use is in accordance with applicable Ohio law, this policy, and any other applicable policy, procedure, work rule, or directive (collectively "standards");
      - Such use does not occur within the workplace; and
      - When the employee returns to active work status or is otherwise in the workplace, he/she is fit-for-duty as provided above in 1 above.
   d. **Prescription Medication**: A prescription medication is a restricted substance for purposes of this policy. Accordingly, OHFA employees who are in active work status or otherwise in the workplace shall not abuse a prescription medication.

   **Note Regarding Medical Marijuana**: For purposes of this policy, Medical Marijuana is not a prescription medication. As explained above in 3.b, OHFA employees cannot possess medical marijuana while in active work status or otherwise in the workplace.
ENFORCEMENT
This policy will be enforced through management supervision and the State of Ohio Drug-Free Workplace Services Program. Where appropriate, violations of this policy should be reported to the Chief Legal Counsel or the Director of Human Resources.

STATE OF OHIO DRUG-FREE WORKPLACE SERVICES PROGRAM
The State of Ohio Drug-Free Workplace Services Program includes the following components.

Types of Tests
1. Applicant Testing: Any final applicant for a designated unclassified position will undergo drug testing prior to hiring. Applicants for these positions must complete and successfully pass the drug test as a condition of employment.

2. Rebuttable Presumption Testing: Pursuant to ORC § 4123.54, when an employee who suffers a work-related injury tests positive for alcohol or drugs or refuses to be tested, the positive test or refusal to test creates a rebuttable presumption that the presence of alcohol/drugs in an employee’s system is the proximate cause of a work-related injury. The burden of proof then shifts to the employee to prove that the presence of the alcohol or drug was not the proximate cause of the work-related injury. An employee who tests positive or refuses to submit to chemical testing may be disqualified for compensation and benefits under the Workers’ Compensation Act.

Note Regarding Medical Marijuana: This policy does NOT affect rebuttable presumption testing pursuant to ORC § 4123.54. Accordingly, medical marijuana use is not excused for purposes of rebuttable presumption testing.

3. Reasonable Suspicion Testing: Any employee may undergo alcohol and/or drug testing based on a for-cause determination by management. Any employee involved in a significant incident in which the health or safety of himself/herself or other individuals is involved, or in which extensive property damage has occurred, will be subject to reasonable suspicion testing in accordance with the requirements of any applicable collective bargaining agreement(s) or the Director of DAS.

4. Follow-up Testing: Any employee referred through administrative channels to a counseling or rehabilitation program as a result of that employee’s positive test may be subject to follow-up testing according to specifications and provisions of any applicable collective bargaining agreement(s), or, for employees exempt from collective bargaining, the policy of the Director of DAS.

Confidentiality of Test Results
Confidentiality of alcohol and/or other drug test results will be maintained to the extent provided by law, and employees shall have the opportunity to refute the results of any alcohol and/or other drug tests as provided below.

Opportunity to Provide Medical Documentation
Employees or applicants shall be given the opportunity as required by applicable collective bargaining agreements, or in the absence of such agreements, as stipulated by the Director of DAS, to offer an explanation or submit medical documentation of legally prescribed medication, medical marijuana recommendation, or exposure to toxic substances which may explain a positive test result. Such information shall be reviewed only by the medical review officer (MRO) in his/her determination of the validity of a positive test and shall be released to the employer only to explain a test result.

• Employee Responsibility: The employee is solely responsible for providing medical documentation as instructed by the MRO. This responsibility includes, but may not be limited to, coordinating any necessary records exchange between the employee’s physician and the MRO and ensuring that the MRO receives the requested documentation within the timeframe provided by the MRO.

Refusal to Test
An employee’s test will be treated as a positive test, subject to discipline as provided below, if the employee refuses to submit to a properly-ordered test or if the employee otherwise fails to cooperate with the testing process. An applicant will not be hired if the applicant refuses to submit to an applicant test or if the applicant fails to cooperate with the testing process.

Examples: The types of actions listed below will be considered a refusal to test. This list is not intended to be all inclusive.

• Refusal to sign test forms;
• Refusal to provide a specimen to be tested or an adequate amount of the specimen;
• Alteration or substitution of the test specimen;
DISCIPLINARY ACTION

An employee who violates any of the standards contained in this policy will be subject to disciplinary action pursuant to disciplinary provisions of any applicable state collective bargaining agreement and/or OHFA policies/procedures. In particular, sale or improper possession of a restricted substance, will result in the strongest form of discipline possible, up to and including termination.

Blood Alcohol Level at or Above .02% and Below .04%

An employee whose blood alcohol level tests at or above .02% and below .04% shall be immediately removed from duty until the start of the employee's next scheduled shift or for twenty-four (24) hours, whichever is greater.

- Employees removed from duty may use any accrued leave or compensatory time at the employee's option, or be placed in a leave without pay status if accrued leave or compensatory time is not available.
- The employee may be subject to discipline.

Rehabilitation Program

Employees who have a confirmed positive alcohol or other drug test may be required to enroll in and successfully complete a substance abuse rehabilitation program certified by the Ohio Department of Mental Health and Addiction Services.

- If an employee has a confirmed positive test while enrolled in, or subsequent to completion of, the rehabilitation program, the employee will be subject to discipline, up to and including termination.
- This provision in no way limits the employer's ability to also discipline for workplace or job-related incidents that may be directly or indirectly associated with the test results.

Voluntary Employee Assistance Program Participation

The Ohio Employee Assistance Program (or "EAP") refers employees or their families to appropriate substance abuse rehabilitation programs. These programs are often covered by the employee's health insurance plan. Employees with substance abuse problems are encouraged to voluntarily contact the EAP and enroll in a rehabilitation program certified by the Ohio Department of Mental Health and Addiction Services. Voluntary contact of the EAP or enrollment in a substance abuse program will not adversely affect employment. However, unacceptable job performance, attendance, and/or behavioral problems may result in disciplinary action, up to and including termination.

REASONABLE ACCOMMODATIONS

The State recognizes that some prescription medications and medical marijuana may affect judgment, coordination, and physical ability. Employees who need an accommodation should submit a request to the Human Resources Director.

- Prescription Medication
  For accommodation requests regarding prescription medication, OHFA shall evaluate such requests in accordance with applicable law, the standards established in this policy, and any other applicable policy or directive.

- Medical Marijuana
  For accommodation requests regarding medical marijuana, OHFA may evaluate such requests in accordance with the standards established in this policy and any other applicable policy or directive.

- Testing
  For accommodation requests regarding testing, OHFA shall evaluate such requests in accordance with applicable law, the standards established in this policy, and any other applicable policy or directive.

In accordance with 28 CFR § 35.131, OHFA shall not discriminate against an applicant or employee who is not engaging in current illegal use of a restricted substance and, who:

- Successfully completed a supervised drug rehabilitation program or has otherwise been rehabilitated successfully;
- Is participating in a supervised rehabilitation program; or
- Is erroneously regarded as engaging in such use.

CRIMINAL DRUG CONVICTIONS

Each employee is required to notify the Executive Director within five (5) calendar days after he/she receives a conviction for violating any federal or state criminal drug statute where such violation occurred at the workplace or any location where official state business is conducted.

Any employee who fails to report such a conviction will be subject to immediate termination.
OHFA may have an obligation to notify any U.S. government agency with which it has a contract or grant within ten (10) days after receiving notice from the employee or otherwise actual notice of such conviction. If required, any criminal drug conviction occurring in the workplace will be reported to federal granting authorities.

Within thirty (30) days of such notification, the Executive Director will be required to take appropriate disciplinary action against such an employee, up to and including termination. The Appointing Authority may also refer the employee to the Ohio EAP for referral and treatment.

**CONTRACTORS AND VENDORS**

OHFA's contractors and vendors are required to comply with applicable state and federal laws regarding drugfree workplace. Contractors and vendors shall be required to make a good-faith effort to ensure that their employees, while working on State property, will not unlawfully manufacture, distribute, dispense, possess, purchase, transfer, or use a restricted substance.

**TRAINING**

Managers and supervisors shall receive training on the Drug-Free Workplace Policy and the drug-testing program. Training resources are available through the DAS Office of Drug-Free Workplace Programs.

All OHFA employees will be provided with periodic Drug-Free Workplace training. The training will include information regarding the:

- Dangers of alcohol and other drug abuse in the workplace;
- State of Ohio Drug-Free Workplace Policy;
- Ohio EAP and other available treatment programs; and,
- Penalties that may be imposed upon employees for alcohol and/or other drug abuse violations occurring at the workplace or any location where official business is conducted.
PURPOSE
The purpose of this policy is to provide general guidelines on appropriate workplace attire and appearance.

REVISION DATE
This policy was last revised on May 1, 2009.

GENERAL INFORMATION
The Ohio Housing Finance Agency (OHFA) has adopted a “traditional business” attire dress policy as its standard and employees are required to maintain a “professional image” in both attire and appearance at all times. Appearance and attire contribute to the morale of all employees and the business image OHFA presents to its customers and visitors. During business hours or when representing OHFA, employees are expected to present a clean, neat and professional image. Supervisors are responsible for establishing reasonable dress code and grooming standards appropriate to the job employees perform and position held. Supervisors have the authority to authorize a business casual standard for their employees depending on job functions and level of customer/public contact. For example, positions requiring physical and/or manual labor may not be required to wear traditional business clothing.

BUSINESS CASUAL ATTIRE AUTHORIZATION
Office Directors may authorize their staff to wear business casual attire to experience the comfort advantages of more casual and relaxed clothing, while maintaining a professional image. Sweat pants, lounge apparel and hats of any kind are not acceptable business casual attire. Employees who prefer to dress in traditional business attire should feel free to do so. Authorization may consider the employee’s job functions and the level of customer/public contact.

CASUAL ATTIRE (DRESS-DOWN DAYS)
The Executive Director has designated Fridays as dress-down days where additional flexibility in workplace attire will be permitted. Jeans are not considered “business casual,” but may be worn on designated dress down days, along with tee shirts, sweatshirts and athletic shoes. Sweat pants, lounge apparel and other forms of athletic pants are not acceptable casual attire. Hats are not acceptable casual attire unless specifically authorized. Employees are still expected to wear clothing that is clean, in good repair, non-offensive, and well fitting. On occasion, the Executive Director may designate additional dress-down days.

INAPPROPRIATE ATTIRE
Torn, dirty, or frayed clothing is unacceptable. Any clothing that has words, terms, or pictures that may be offensive to other employees, or OHFA customers, is unacceptable. Clothing that reveals the back, chest, feet, stomach or underwear is not appropriate for a place of business. Clothing should not be sexually provocative, create a distraction, or draw undue attention. Employees wearing inappropriate attire may be given warning; however, if the employee is wearing attire that is offensive and unprofessional, the employee will be sent home and may be subject to discipline.

REASONABLE ACCOMMODATION
Reasonable accommodations will be made for employees’ religious beliefs and disabilities whenever possible.

CONCLUSION
Employees must exert a certain amount of judgment in their choice of clothing to wear to work. If there is uncertainty about acceptable, traditional business casual attire for work, management clarification should be sought. If management feels an individual’s personal appearance is inappropriate, he/she may be asked to leave the workplace and will not be able to return until proper dress is established.

Employees should consider the following guidelines:
- If you think it’s too casual, it probably is;
- Try not to dress more casually than your supervisor;
- It’s not important what you think looks good. It is important what image you are presenting to your customer;
- Remember, the standard attire is traditional business attire.
PURPOSE
To help ensure a workplace free from hostile behavior and to provide procedures for responding to such behavior.

CROSS REFERENCE
- DAS Directive 06-26

REVISION DATE
This policy was last revised on September 8, 2016.

ZERO TOLERANCE POLICY
The Ohio Housing Finance Agency (OHFA) is committed to providing its employees a work environment that is safe, secure and free of harassment, threats, intimidation and violence. Therefore, OHFA adheres to a zero tolerance policy for workplace violence. No employee shall engage in threats or acts of violence, involving or affecting Agency employees, or which occurs on state property or Agency work sites.

THREATS AND/OR ACTS OF VIOLENCE DEFINED
“Threats or acts of violence” means conduct against persons, or one’s self, or property that is sufficiently severe, offensive, or intimidating to affect the conditions of employment, or to create a hostile, abusive, or intimidating work environment for other employees.

Prohibited workplace violence includes, but is not limited to, the following:
- All threats or acts of violence occurring on state property, regardless of the relationship between the state and the individual involved in the incident.
- All threats or acts of violence not occurring on state property, but involving someone acting as a representative of the Agency.
- All threats or acts of violence not occurring on state property, but involving an Agency employee, if the threats or acts of violence affect the legitimate interests of the state.
- Any threats or acts of violence by an employee or agent of the Agency (including an individual performing services by contract or on a temporary basis) that are illegal under any criminal law.

WORKPLACE ASSESSMENT
Symptoms of potentially violent behavior:
- Increased use of alcohol and/or illegal drugs;
- Unexplained increase in absenteeism;
- Noticeable decrease in attention to appearance and/or hygiene;
- Explosive outbursts of anger or rage without provocation;
- Depression/withdrawal;
- Suicidal comments;
- Frequent, vague complaints of physical violence;
- Noticeably unstable emotional responses;
- Paranoid behavior ("Everyone is against me");
- Talking about previous incidents of violence;
- Increased mood swings;
- Inappropriate comments to co-workers and supervisors about other employees or situations;
- Inappropriate resistance and over-reaction to changes in procedures and policies;
- Repeated violations of Agency policies;
- Increase in unsolicited comments about firearms and other dangerous weapons, violent crimes, and empathy with individual committing violence;
- Escalation of domestic problems;
- Irrational withdrawals from or closing savings accounts (e.g., credit union).

(Note: these are only indicators! Potentially violent individuals may not display any of these symptoms. Likewise, non-violent individuals may display these symptoms at various times.)

People displaying violent or potentially violent behavior may do so in a variety of ways. These include, but are not limited to:
- Actions that are inappropriate but not overtly physical or violent: Example – refusal to cooperate with supervisors, harmful rumors and gossip, consistently arguing with co-workers, belligerence toward customers/clients, constantly swearing at others or making unwanted sexual comments.
- Actions that are obviously wrong, but not always considered violent: Example – property damage, arguing increasingly with customers or management, refusing to obey Agency policies and procedures, stealing for revenge or giving sexual or violent notes to other workers.
• Actions that are clearly threatening and violent:
  ◦ Example – bringing firearms or other weapons to work, any act of violence against another person, any display of intense anger, suicide threats, destruction of property, or committing violent crimes.

REPORTING RESPONSIBILITIES
All employees are required to immediately report any form of violence, or any situation that may become potentially violent, that they have witnessed, received, or of which they are aware. In absence of an actual threat, employees should report any behavior that they regard as threatening or violent. Employees are responsible for making this report regardless of the relationship between the individual who initiated the threat and the person threatened.

Any report should include:
1. The date and time of the event
2. The location of the event
3. Names of all people involved including any witnesses, and
4. A brief description of the event

PROTECTIVE ORDERS
All employees who apply for, or obtain a protective or restraining order which lists locations as protected areas, must provide, to the HR Manager, a copy of the petition and declarations used to seek the order until such order has been issued, and a copy of any protective or restraining order that is granted. The Office of Human Resources will retain these records so that, under appropriate circumstances, persons who are in violation of the protective or restraining order may be removed from the premises.

SUPERVISORY RESPONSIBILITIES
Any supervisory employee aware of a threat of violence shall immediately contact the Human Resources Manager. The Human Resources Manager shall notify the Executive Director, and the Ohio Highway Patrol. If appropriate, the matter will be referred to the proper authorities for prosecution. The Executive Director shall initiate an administrative investigation of any report of violence.

If the situation is such that violence is occurring or is imminent, building security and the State Capital Highway Patrol Office shall be contacted immediately.

EMERGENCY RESPONSE AND THREAT EVALUATION
The Human Resources Manager and the Executive Director shall meet as often as necessary for the purpose of:
1. Assessing any threats or acts of violence
2. Coordinating Agency response to acts of violence
3. Providing emergency response and support, and
4. Assessing effectiveness of this policy

EAP REFERRAL
Where a supervisor suspects that an employee has work-related and/or personal problems, the supervisor should recommend that the employee contact the Employee Assistance Program (EAP) for counseling and support (614-644-8545 or 1-800-221-6327).

EAP should be consulted immediately in the event of a critical incident to assist in defusing the situation. EAP should also be consulted within 24 hours of the incident for purposes of conducting a critical incident stress debriefing. Examples of critical incidents include:
• Violent incidents in the workplace
• Hostage or riot situations
• Serious injury or death of a co-worker
• Incidents involving use of force
• Catastrophic accidents

FITNESS-FOR-DUTY EVALUATION
At the discretion of the HR Manager, an employee showing symptoms of potentially violent behavior may be ordered to submit to a psychological evaluation to determine the employee’s fitness-for-duty. Such an evaluation shall be conducted pursuant to the applicable sections of the Ohio Revised Code and the Ohio Administrative Code.

DISCIPLINE
The prohibition against threats and acts of violence applies to all persons involved in the Agency’s operations, including but not limited to, personnel, contract and temporary workers, and anyone else on state property. Violation of this policy by any employee may lead to disciplinary action up to and including removal. Additionally, violations of this policy by anyone may result in legal action, as appropriate.
BACKGROUND CHECKS (A44)

PURPOSE
The purpose of this Background Check Policy is to provide uniform guidelines and procedures for conducting criminal background checks on final candidates selected to fill a vacant position at the Ohio Housing Finance Agency (OHFA). The background check process is intended to help OHFA evaluate whether a candidate is suitable for a position. OHFA desires to promote fair and consistent methods to obtain, analyze, apply, and retain background check information while preventing discrimination and harassment in hiring practices.

CROSS REFERENCE
• State of Ohio Administrative Policy HR-29

REVISION DATE
This policy was enacted on June 22, 2015.

SCOPE
This policy is applicable to all current and prospective OHFA employees.

PROCEDURES
Use of Background Checks
Background checks shall be conducted upon the selection of an internal or external final candidate for the following positions prior to the candidate’s first day of employment:
• Full Time and Part Time Administrative Staff and bargaining unit; and
• Temporary and Intermittent appointments.

Internal candidates who have had a background check through OHFA within the past 12 months are not required to have a new background check. An applicant becomes a final candidate when OHFA is prepared to make a conditional offer of employment to the applicant.

Vacancy Posting
OHFA postings will contain a general statement that the final candidate selected for the position will be required to undergo a criminal background check. If there is a specific state or federal government restriction on a position that would prohibit the employee from performing the position if he or she had been convicted of a specific crime, it will be stated on the posting. A criminal conviction does not necessarily preclude an applicant from consideration for a position (unless the position specifically prohibits it), but applicants with criminal convictions will be considered on a case-by-case basis, as further set forth in this policy.

Administration of Background Checks
1. Candidate Interviews
• All candidates shall be informed of the requirement to complete a criminal background check at their initial interview and must indicate their consent to the background check at this time. Failure to provide consent will preclude a candidate from consideration.
  ◦ Internal and external applicants are required to accurately disclose all criminal convictions when they are interviewed; and
  ◦ Failure to disclose all criminal convictions or failure to provide truthful and complete information regarding criminal convictions may render the candidate ineligible for hire for the current position and may disqualify the candidate from future employment consideration. Internal candidates who fail to disclose all criminal convictions or provide truthful and complete information regarding criminal convictions may be subject to corrective action up to and including dismissal.

• Discriminatory questions are strictly prohibited during the interview process.

Examples of appropriate questions that may be asked are:
  ◦ Have you ever been convicted of a felony? If yes:
    ▪ What was the official offense you were convicted of and the nature of the offense?
  ◦ When and where were you convicted of this crime?
  ◦ Tell me about the circumstances surrounding the conviction?
  ◦ Describe how you’ve been rehabilitated since the conviction, including employment history, education or training.

• If an applicant discloses a conviction during the interview, the applicant may be informed that the conviction may disqualify the applicant but that the conviction will be analyzed and considered.
• Sealed or expunged records will not be inquired about or considered, unless otherwise required by law.

2. Conducting a Background Check

• Administrative Staff Positions
  ◦ Following the interview, the final candidate for an unclassified Administrative Staff position is required to complete the Background Information Form for Unclassified Exempt Employees and the Limited Tax Waiver form. The completed forms will be submitted to the Ohio Department of Public Safety and the Ohio Department of Taxation, respectively.

• Bargaining Unit Positions
  ◦ Following the interview, the final candidate for a position must complete a Criminal Background Check Authorization Form. The Office of Human Resources will conduct the background check through the Ohio Attorney General’s Bureau of Criminal Investigation Identification Division using the WebCheck® system. The candidate’s fingerprints will be scanned by an electronic fingerprint reader and uploaded to the WebCheck® system.

• OHFA shall pay for a candidate’s criminal background check for the purpose of employment, including promotion.

3. Assessment of Background Check Information

A criminal conviction is not necessarily a total bar to being selected for the position, but instead requires additional assessment by OHFA as provided in this section.

• Offenses/Convictions on a candidate’s criminal history record will be reviewed considering the following factors:
  ◦ Severity and nature of the offense or conviction;
  ◦ The age at which the criminal activity took place;
  ◦ The time that has passed since the conviction or since release from incarceration;
  ◦ Any mitigating factors;
  ◦ Any evidence demonstrating the applicant’s rehabilitation;
  ◦ Whether there are multiple similar convictions that could indicate an ongoing pattern of behavior;
  ◦ Employment history since conviction or other information;
  ◦ Relevance of the offense or conviction to the job held or sought;
  ◦ Relevance of the offense or conviction, e.g. of a violent nature, to the safety and welfare of individuals including employees and the general public or the safety of property;
  ◦ Whether the conviction precludes the candidate from employment based on federal or state laws, regulations or grants awarded to OHFA; and
  ◦ Any other information the agency determines would be helpful in considering whether the applicant should be disqualified from consideration for the position, including the review of county and city criminal records databases.

• Any listed offense or conviction that occurred within five years of the criminal history check shall automatically be reviewed. An arrest without a conviction in a closed case will not be considered. Sealed or expunged records will not be inquired about or considered, unless otherwise required by law. The agency may supplement the criminal background check by reaching out to local law enforcement in the cities/counties of the applicant’s prior residences.

• Open criminal cases may preclude a final candidate from eligibility for the position. OHFA will assess the circumstances surrounding the arrest, as well as the timeframe, nature, gravity and relevance of the charge to the job duties.

Determination

The Director of Human Resources, in consultation with the Chief Legal Counsel, will review and approve all decisions to disqualify or select a candidate with a criminal conviction. The Director of Human Resources is responsible for the final decision of determining whether the final candidate is eligible for the position or whether the criminal conviction disqualifies the final candidate from the position.

1. Notice of Disqualification

An applicant who has not been selected to fill a vacancy after disclosing a conviction during an interview and/or is disqualified for the position or barred from future consideration for employment as a result of the criminal background check will be notified in writing.

2. Disputed Information

An internal applicant who is disqualified from a position due to his/her criminal history record and who believes the decision was made utilizing erroneous or incomplete information, shall have the right to review the background
check report and offer an explanation within 10 business days of receiving notice from the Director of Human Resources. In addition, and at the agency’s discretion, an internal candidate may be extended additional time beyond 10 business days to obtain and provide an explanation and/or additional information to dispute the record. At the end of the additionally provided time, the Director of Human Resources will verify any disputed criminal report and conduct a new assessment based on any new and relevant information provided.

**Position Start Date**

All offers of employment are contingent upon successful completion of the background check and all written or oral offers of employment will state: “This offer is contingent upon the OHFA’s verification of credentials and other information required by law and/or OHFA policies or practices, including but not limited to a criminal background check.” No final candidate shall start a position until an analysis of the criminal background check has been conducted.

**Background Check Records**

Applicants will not receive a copy of the criminal background check results. All information received in connection with the criminal background check process will be treated with discretion and shall be disclosed only as necessary or as otherwise required by law. The information received, including any negative information, will be placed in a background check folder located in the Office of Human Resources File Room. The background check will not be filed in an employee’s personnel file.

**CONTACT**

The Human Resources Office and Chief Legal Counsel are available for consultation or questions regarding the Background Check Policy.
PURPOSE
The intent of this policy is to give direction to managers, supervisors, and interns regarding the necessary documents needed to continue their employment with OHFA.

REVISION DATE
This policy was last revised on September 1, 2007.

GENERAL INFORMATION
Interns are an integral part of OHFA's employment population. Interns assist regular full time and part time employees with work and special projects as assigned. Internships provide the intern with real world work experience to enhance skills learned by the intern in a college classroom. OHFA is proud to be able to offer a wide array of internships to Ohio collegiate students.

INTERN GUIDELINES
Interns shall be responsible for submitting verification of school registration each term; or when requested by a management member of OHFA's staff, to Human Resources. Proof of enrollment shall be submitted within five (5) business days from the time requested. Failure to submit this information may result in involuntary separation.

Internships are considered temporary work assignments. Therefore, interns are not eligible for health, dental, vision, life insurance, or tuition assistance benefits. Interns may not accrue sick, vacation, or personal leave time. However, interns are eligible to receive compensatory time or overtime pay if they are required to work more than 40 hours in a one-week pay period. Accrual is one and a half-hour earned for each hour over 40. Compensatory time expires after 180 days, and the maximum amount of compensatory time an intern can accrue is 120 hours. A supervisor must approve all overtime or compensatory time requests.

The hourly pay rate for interns shall be based upon their current year in school. Therefore, a change in status may result in a pay raise. Interns shall supply the Human Resources Office with documentation of a change in status on school letterhead. The effective date of the status change shall be the pay period following submission of the documentation.

Intern appointments shall end upon graduation. The intern shall be responsible for notifying the Human Resources Office of their graduation date.

The intern shall be responsible for supplying the Human Resources Office with a resignation letter and final paycheck instructions when voluntarily resigning from OHFA.

Interns shall contribute to the Ohio Public Employees Retirement System (OPERS) via payroll deduction. Deductions for OPERS are not subject to federal or state taxes.

Interns are eligible to receive a refund of contributions to OPERS. Refunds shall be taxable. Federal regulations require a 10% penalty be assessed on all withdrawals from retirement accounts in addition to all applicable federal and state taxes. However, both the taxes and the penalty will be waived if the funds are transferred directly into another qualified retirement account.
OUTSIDE EMPLOYMENT AND PARTICIPATION ON BOARDS AND COMMISSIONS

Outside employment or self-employment or membership on a board or commission performed at times other than Agency working hours shall not be incompatible with the official duties of an Agency employee or, in the judgment of Agency officials, not contravene the best interests of the Agency. No Agency employee shall accept employment or engage in any business that will require him/her to disclose confidential information that he/she has gained by reason of his/her official position or authority. An employee requesting to engage in employment outside the Agency or self-employment shall ensure that participation in such outside employment will not conflict with or interfere in the proper discharge of his or her duties as an employee of OHFA or the law. This includes volunteer or compensated participation on boards or commissions.

Each employee is accountable for devoting his or her entire work schedule to his/her official state duties, and shall not hold any position of trust for profit, any fiduciary position that may conflict with his/her official duties at the Agency, or engage in any occupation or business interfering with or inconsistent with his/her duties. At the discretion of the Executive Director, any interference which prevents an employee from carrying out his/her daily job duties or which may be in violation of the law may be barred.

All employees of OHFA are reminded that, prior to engaging in any outside employment, they are required to notify and gain approval of such outside employment from the Office of Human Resources in consultation with the Chief Legal Counsel. Engaging in any outside employment or business activity or participating on a board or commission (whether paid or unpaid) that is inconsistent with an employee’s time, resources and duties with OHFA, or in any degree affects or interferes with the performance of such duties, or is in violation of the law, is not permitted. Further, employees are reminded that if they do have outside employment, it is a violation of law to use any state equipment to conduct that business or to use state time to perform any functions of the business. The best guidance is to keep your position at OHFA as separate as possible from your outside employment.

SALE OF GOODS OR SERVICES

Employees wishing to sell goods or services to a state agency (including the Ohio Housing Finance Agency) should review Ohio Ethics Commission Information Sheet #3 that can be found at www.ethics.ohio.gov. The employee may also speak with the Chief Legal Counsel or with a staff attorney at the Ohio Ethics Commission to make certain the employee is following the law.
REFERENCES REQUESTS (A47)

PURPOSE
To assure fairness and consistency in the reference checking process all employment information, whether being solicited or provided, should be channeled through OHFA's Human Resources Office. This procedure applies to the providing of information on current or former employees and to the gathering of information on applicants.

REVISION DATE
This policy was last revised on September 1, 2007.

CURRENT OR FORMER EMPLOYEES
Requests for employment references on current or former employees, whether by telephone or in writing, should be forwarded to Human Resources Office or the Director of the appropriate division. When contacted for an employment reference, Human Resources typically will provide only routine information, such as job titles and dates of employment. When a supervisor is contacted for an employment reference for a current or former employee for whom he/she wishes to provide a more detailed reference, the supervisor shall provide the Human Resources Manager or his/her section Director with additional appropriate information to be conveyed to the requestor. If the potential employer seeking information specifically requests comments from the Executive Director of OHFA, Human Resources will so inform the Executive Director.

REFERENCE LETTERS
Current or former employees may, from time to time, request a reference letter. Unfortunately, it is very difficult to insure that such letters are consistent in the type of information they provide and will concur with the information documented in the individual's formal personnel file. Additionally, they are subject to broad misinterpretation and misuse. Therefore, OHFA managers may prepare reference letters only with the prior approval of the Executive Director of OHFA, the Director of the Administration Division, or the Human Resources Manager. All reference letters must be reviewed and approved by the Human Resources Manager or designee prior to release.

Reference letters from applicants should not be encouraged. A candidate may occasionally offer reference letters voluntarily; however, for the reasons noted above, the information contained in these letters should not be weighed heavily during the selection process.

APPLICANTS
Employment reference information on all final applicants for open positions within OHFA will be sought prior to any offers of employment. Reference checks will only be conducted by the Human Resources Office. Exceptions to this policy shall be made only for good cause with the prior approval of the Human Resources Manager. Because the Human Resources staff will seek only information related to an applicant's work-related qualifications, personal references (e.g., friends, neighbors) will not be solicited. This confidential information will be shared only with the manager who has an opening for which the applicant is being considered.
POLICY

The purpose of this policy is to provide the framework for the development of the Ohio Housing Finance Agency’s (Agency) annual fiscal year General Fund Budget (Budget).

By assessing current and future operational and programmatic needs, as well as analyzing historical data, the Agency will compile the upcoming fiscal year’s budget. All budget requests will need supporting documentation detailing the requests as well as the anticipated benefit to the Agency of such expenditures.

REVISION DATE

This policy was last revised on June 24, 2009.

GUIDELINES

In order to implement this policy, the following guidelines are provided:

1. The Budget preparation, coordination and approval process will be the responsibility of the Office of Finance.
2. During the initial phases of the budget process, Finance will include a revenue projection for the upcoming fiscal year.
3. Each division will independently create and submit their budget requests to Finance.
4. Each division director will have control over all items initially submitted to Finance.
5. The collective offices will be required to set aside 15% of discretionary purchases, as determined by the Agency, for MBE/EDGE vendors only. (see MBE/EDGE Policy) A list of these items will be compiled by Finance and presented with the Budget.
6. The Executive Director has final discretion over what items are presented to the OHFA Finance Committee.
7. Upon completion of the entire review process the Budget will not be considered a final document until Board approval is obtained.
8. Upon approval of the Budget, the agency is authorized to make expenditures in accordance with the line item details provided in the Budget as approved. In the event a line item does not specifically name a particular vendor to be used in the Budget line item, the expenditure will be subject to the Agency’s Competitive Selection, Request for Proposal (RFP) or Invitation to Bid (ITB) process. (see Purchasing Policy)

PROCEDURES

1. Finance will provide historical and current expenditure information to the various offices.
2. The offices will use the information provided as well as their own program and operational needs to compile their upcoming budget requests.
3. Finance will compile all office requests and submit to the Executive Director for initial review. Upon initial review, the items may be revised and a draft budget will be distributed to all Board members for review and comment, any Board members with comments are then encouraged to attend the May and June Finance Committee meetings to discuss any concerns.
4. Each Finance Committee member’s comments and questions will be reviewed, summarized and forwarded to all Finance Committee members. The draft Budget will then be presented the following month at the Finance Committee meeting. The Finance Committee will review comments and answers to questions and budget changes will be made as needed.
5. Upon approval of all changes, the final Budget will be submitted to the Finance Committee in June of the current fiscal year for a recommendation of approval to the OHFA Board.
6. At each monthly Finance Committee meeting, the Executive Director, or designee will present a financial report which will include a summary of actual expenditures versus budget. Reasons for specific line items variances will be provided to the Board.
INVESTMENT POLICY (B2)

This document will govern the investment activities of the Ohio Housing Finance Agency (OHFA). It will be reviewed periodically by the Director of Finance for compliance and to assure the flexibility necessary to effectively manage the portfolio.

REVISION DATE
This procedure was last revised on November 18, 2015.

SCOPE
This Investment Policy applies to the General Fund of the OHFA, which includes funds in the operating account. The General Fund is the resource for OHFA's working capital and cash needs. The Director of Finance is responsible for management of these funds and the administration of this Investment Policy.

GENERAL OBJECTIVES
The primary objectives, in priority order, of investment activities shall be safety, liquidity and yield:

Safety
Safety of principal is the foremost objective of the investment activity.

Liquidity
The investment portfolio shall remain sufficiently liquid to meet all operating requirements that may be reasonably anticipated.

Return
The investment portfolio shall be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, taking into account investment risk constraints and liquidity needs.

STANDARDS OF CARE

Prudence
Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived.

Ethics and Conflicts of Interest
Officers and employees involved in the investment process shall refrain from personal business activity that could conflict with the proper execution and management of the investment program, or that could impair their ability to make impartial decisions.

Delegation of Authority
The Director of Finance shall be responsible for all transactions undertaken and shall establish a system of controls to regulate the activities of subordinate officials. No person may engage in an investment transaction except as provided under the terms of this policy and the procedures established by the Director of Finance.

The Director of Finance may delegate investment transactions to a qualified investment advisor to become the OHFA's money manager provided that said advisor meets standard industry qualifications.

SUITABLE AND AUTHORIZED INVESTMENTS
The following investments will be permitted by this policy:

1. United States Treasury Bills, notes, bonds or any other obligations or securities issued by the United States Treasury or any other obligations guaranteed as to principal and interest by the United States.

2. Bonds, notes, debentures, or any other obligations or securities issued by any federal government agency or instrumentality. All federal agency securities shall be direct issuances of federal government agencies or instrumentalities.

3. Certificates of deposit in agency-approved depositories, provided those deposits are properly insured or collateralized.

4. Bonds or other obligations of this state or the political subdivisions of this state. Municipal bonds must be rated at the time of purchase in the three highest classifications by at least one (1) nationally recognized rating service and shall be limited to a maximum 20% of the overall portfolio.

5. No-load money market mutual funds consisting exclusively of obligations described in (1) or (2) and repurchase agreements secured by such obligations.

7. Bankers’ acceptances and commercial paper notes. Bankers’ acceptances and commercial paper must be rated at the time of purchase in the highest classification by at least two (2) nationally recognized rating services. Bankers’ acceptances shall not mature more than 180 days after the date of purchase. Commercial paper shall not mature more than 270 days after the date of purchase.

Bankers’ acceptances and commercial paper must be rated at the time of purchase in the highest classification by at least two (2) nationally recognized rating services. Bankers’ acceptances shall not mature more than 180 days after the date of purchase. Commercial paper shall not mature more than 270 days after the date of purchase.

8. Written repurchase agreements with eligible financial institutions and dealers not to exceed 30 days with the market value of the collateral securities exceeding the principal by 2% (subject to daily mark-to-market).

The aggregate percentage of the overall portfolio to invest in certificates of deposit, commercial paper, bankers’ acceptances, or repurchase agreements shall be limited to a maximum of 40%.

The O.H.F.A. will also minimize the risk in placing a large portion of the portfolio with a single security issuer by limiting the exposure to 5% of the total portfolio at the time of purchase. This requirement does not apply to investments issued by the U.S. government or its agencies or instrumentalities, investments in money market mutual funds, and STAR Ohio.

MAXIMUM MATURITY

Investments made by the O.H.F.A. must mature within five (5) years from the date of settlement, unless the investments are matched to a specific obligation or debt of the O.H.F.A.

SAFEKEEPING AND CUSTODY

All security transactions, including collateral for repurchase agreements and financial institution deposits, entered into by the O.H.F.A. shall be on a cash (or delivery vs. payment) basis. Securities managed by the O.H.F.A.’s selected investment advisor must be held by a separate outside independent third party custodian designated by the Director of Finance in the name of the O.H.F.A. and evidenced by supporting safekeeping records as determined by the Director of Finance.

REPORTING

The Director of Finance shall establish and maintain an inventory of all investments and produce a quarterly market price report for all securities held.

The investment portfolio will be managed in accordance with the parameters specified within this policy. A series of appropriate benchmarks shall be established against which portfolio performance shall be compared on a regular basis. The benchmarks should be reflective of the actual securities being purchased and risks undertaken and the benchmarks should have a similar duration as the portfolio.

AUTHORIZED FINANCIAL INSTITUTIONS

The O.H.F.A. shall develop criteria to designate authorized financial institutions. Such criteria and a list of authorized financial institutions shall be submitted annually to the O.H.F.A. Board.

The O.H.F.A., or the designated investment advisor, shall maintain a listing of approved broker/dealers. Qualified investment advisors assisting the O.H.F.A. in the management of its overall portfolio may purchase and sell investment securities in accordance with this policy and may utilize their own approved list of broker/dealers and security issuers; however, the list shall fully comply with the criteria maintained in this policy. The advisor’s list of approved broker/dealers must be submitted to the O.H.F.A. Board on an annual basis.

AUTHORIZED INVESTMENT ADVISORS/BROKERS

All financial institutions, broker/dealers and advisors which desire to conduct investment business with the O.H.F.A. must sign this Investment Policy, certifying they have read it, understand it and agree to abide by its contents. Should O.H.F.A. utilize an investment advisor, the advisor will be responsible for signing this certification and is accountable for compliance with the investment policy.

Signed: Ohio Housing Finance Agency Organization

__________________________ Name

Executive Director Title

November 18, 2015 Date

CERTIFICATION

I, __________________________, hereby certify that I have received, read and understand the above investment policy of the O.H.F.A. and, if initiating a trade with said entity, will abide by its contents.

__________________________ Name

__________________________ Firm

__________________________ Date
MINORITY BUSINESS ENTERPRISE (B3)

PURPOSE
The purpose of this policy is to define how OHFA will utilize Minority Business Enterprise (MBE).

CROSS REFERENCE
• Ohio Revised Code 125.081
• Minority Business Enterprise

REVISION DATE
This procedure was last revised on July 17, 2019

GUIDELINES
As goods and services are purchased by OHFA the following guidelines will be used:

General Requirements
• As OHFA compiles its General Fund Budget (Budget) each year, the Agency will set aside at least 15% of the total amount of purchases for goods and services within the Budget, net of non-discretionary expenditures, for MBE vendors only.
• Non-discretionary expenditures include, but are not limited to: Payroll, Building Lease Rent or any other good or service in contract through the current budget cycle.
• When selecting vendors that will be paid from the MBE set aside, OHFA will seek responses from MBE vendors only.
• Results on MBE expenditures shall be reported to the Finance Committee, periodically as part of the usual budget updates.
**NET ASSET RESERVE (B4)**

**PURPOSE**

The purpose of this policy is to provide adequate working capital for cash flow and contingency purposes to ensure the ongoing operation of the Ohio Housing Finance Agency (Agency).

**REVISION DATE**

This procedure was last revised on September 1, 2007.

**GENERAL INFORMATION**

The Agency shall maintain a target level of reserves equal to a minimum balance of 100% of the Agency's current annual General Fund budget (excluding pass through loans and grants). These reserves for working capital are shown in the net asset account of the Agency’s General Fund and classified as designated funds in the Agency’s Notes to the Financial Statements. Such funds may be used after all other Agency funds have been exhausted.

In order to implement this policy, the following guidelines are provided:

1. The net asset reserve amount required to meet the Agency’s minimum target level of reserves are identified and set-aside as designated funds in the Agency’s General Fund.

2. Written justifications for the draw-down of designated funds along with a plan to replenish such reserves must be presented by the Executive Director or his designee to the OHFA Finance Committee for recommendation to the OHFA Board.

**PROCEDURES**

The Director of Finance, or designee, will monitor the target level of reserves periodically during each fiscal year to ensure compliance with this policy.

The net asset reserve balance will be disclosed annually in the Agency’s Notes to the Financial Statements.
PERSONAL SERVICES CONTRACTS (B5)

Before you can begin the process to hire a contractor for work that needs to be done for OHFA, a few steps need to be taken to make certain that it is possible to hire the contractor. Usually, an Office Director will determine that a contractor needs to be hired, and will discuss the matter with his or her employees or members of senior staff. Depending on the complexity of the work and the amount that will likely be paid to the contractor, it may be necessary to discuss the hiring of this contractor with the Finance Office or Chief Legal Counsel to determine what appropriate competitive procurement process (RFP, Letterhead Bid or other method) will be needed taking into consideration the type and cost of the services to be obtained. Once the process is agreed to by the Chief Legal Counsel and the Office Director, appropriate competitive procedures will need to be undertaken to select the vendor. Once the vendor is selected, then the assigned staff member will work with Finance’s Purchasing Supervisor to complete the appropriate documentation necessary to hire the contractor.

As a result, once the contractor is selected, the following steps need to be completed prior to hiring the contractor. This process is necessary to ensure that authorized funds are available to pay the contractor, that all procedures are complied with, and that the necessary documentation has been received and is maintained by OHFA. The process is as follows:

1. Complete an OHFA Order Request Form for Personal Services (ORFPS).
2. Scan the completed ORFPS and Exhibit I, Scope of Services, and any other required documents indicated on the ORFPS and send the documents from your email address to the Purchasing Inbox and carbon copy the Purchasing Supervisor.
3. The Purchasing Supervisor will check for Current & Previous FY Contracts to ensure the proposed purchase does not exceed the Total Amount Exception of $50,000. The Purchasing Supervisor will respond to your email with an assigned contract number. The contract number is required to be included in either the Letter of Agreement (contracted services that cost less than $3,000) or the Personal Services Agreement (contracted services that cost $3,000 or more) that is signed by the contractor and OHFA's Executive Director or designee. Chief Legal Counsel is carbon copied on the email to let the Legal Office know the purchase is authorized and to proceed with the drafting of the legal agreement. It is customary that the contractor is paid after services are provided and no advances will be made unless special circumstances exist and are approved by the Finance Office or Chief Legal Counsel.
4. You will need to download the appropriate legal agreement form from the OHFA Intranet or ask Chief Legal Counsel for assistance in drafting the appropriate legal agreement.
5. In all instances, you will need the following documentation: http://intranet/ohfa/forms.html
   - A Letter of Agreement or a Personal Services Agreement (depending on the amount).
   - Exhibit I - Scope of Work (with a Letter of Agreement it can be written into the letter).
   - Exhibit II - PEDACKN Form (include only when the contractor has five or fewer employees).
   - OHFA Non-disclosure form for Vendor (Information Technology related agreements only).
   - Standard Affirmation Disclosure Form Executive Order 2011-12K
6. Once the agreement and exhibits have been reviewed and/or drafted by Chief Legal Counsel, you are approved to send to the contractor for signature.
7. Upon full execution (signed by the Contractor and the Executive Director or his designee) of the Letter of Agreement or the Personal Services Agreement, please forward a copy to Chief Legal Counsel and the Purchasing Supervisor.
PETTY CASH (B6)

PURPOSE
The purpose of this policy is to enable staff to make small incidental business-related expenditures. It is to be used only for the acquisition of unanticipated items that require immediate cash payment and should not be used to circumvent proper purchasing procedures. A Custodian, named by the Director of Finance, shall maintain the fund.

REVISION DATE
This procedure was last revised on September 1, 2007.

GENERAL INFORMATION
The Agency will maintain a petty cash fund of $300.00 and place the responsibility on the Director of Finance for the proper management of the fund. The Director of Finance must approve any increase in the petty cash fund amount of $300.00.

The custodian may deny reimbursement for non-allowable expenditures. The fund may not be used for non-business personal expenses. The custodian must approve all expenditures from the petty cash fund. The custodian shall determine if the transaction meets all requirements.

Receipts submitted must include the following:
- Date;
- Vendor Name;
- Proof of Payment;
- Description of goods purchased;
- Signature indicating receipt of goods;
- Fund custodian signature documenting approval; and
- At any time, cash on hand plus receipts must equal the authorized amount of the fund. The petty cash fund is subject to a periodic internal audit by the Agency Accounting Manager or designee.

REPLENISHMENT OF FUNDS
The fund can be replenished as needed and must be replenished at the end of the month or the fund falls below $100.00.

The custodian must submit an OHFA Order Request to replenish the account, including all receipts as documentation. Following approval, a check will be made out to Petty Cash, along with an individual’s name. All funds and receipts are to be kept in a secure locked location. Any losses must be immediately reported to the Director of Finance.

PROCEDURES
The following procedures must be followed in order to use petty cash for expenditures. The custodian must complete a Petty Cash Authorization Form authorizing the purchase (See Finance forms under the Resources tab on OHFA’s Intranet). The petty cash disbursement must be accompanied by the vendor’s itemized receipt showing:
- Vendor name;
- Vendor address;
- Receipt of payment; and
- Date
- (Repairs to a vehicle must have the license number on the receipt)

The custodian records the purchase on the Petty Cash Summary Sheet and attaches the receipt to the authorization form.

PROHIBITED EXPENDITURES
No item may be purchased through petty cash if the item could be secured timely through normal purchasing channels. Any item that would not ordinarily be purchased using standard purchasing policy is also deemed as an unacceptable purchase from petty cash.

The following will not be reimbursed from petty cash:
(Note: List is not all-inclusive)
- Any single purchase in excess of $100.00;
- Capital items of any kind;
- Payment to an individual for services rendered;
- Software;
- Sales Tax;
- Gasoline;
- Alcohol; and
- IOU’s for Personal checks.

CLOSEOUT
When the fund is no longer needed, as determined by the Executive Director and Director of Finance, certain steps must be taken. The custodian and the Purchasing Supervisor are notified and remittance vouchers for all remaining receipts are prepared. The entire amount is then deposited into the proper funding source.
REPORTING

The Auditor’s Office may audit the petty cash fund once a year and may come to OHFA unannounced.

The Custodian shall present a quarterly report to the Director of Finance detailing the usage of the funds. Reports should be submitted by the following dates:

- 1st Quarter – 10/15
- 2nd Quarter – 1/15
- 3rd Quarter – 4/15
- 4th Quarter – 7/15

For any questions regarding the petty cash procedures or allowable ability of expenditures, please contact the Custodian.
PURCHASING (B7)

PURPOSE
The purpose of this Purchasing Policy (Policy) is to set forth the policy to be followed by staff of the Ohio Housing Finance Agency (Agency) when purchasing goods or services to support the operations of the Agency charged to the General Fund. This Policy applies to all purchases of goods or services. The Purchasing Unit (Purchasing) within the Office of Finance is responsible for the preparation and administration of this Policy. A separate set of procedures will set forth the step by step instructions to make purchases of goods and services in accordance with this Policy.

REVISION DATE
This policy was last revised and approved by the OHFA Board on July 17, 2019.

PURCHASING PROCESS SUMMARY
When OHFA needs to purchase goods or services and multiple suppliers exist in the market and the need for such goods or services is not specialized or unique, it must be done so in a competitive manner. This policy and the requirements set forth are to ensure that OHFA obtains the best value and encourages competition among potential vendors to make sure OHFA funds are used appropriately.

As a result, in order to substantiate any selection made to purchase goods or services from a selected supplier or vendor, you must demonstrate the competitive manner whether by a formal “request for proposal” or other competitive process similar in nature to an RFP, but perhaps more aligned with the type of good or service desired. Regardless, the RFP or other competitive process must be objective, clearly written to describe the good or service desired, and communicated with the appropriate audience or process to ensure that adequate competition is sought for the scope of the goods or service. The entire process should be documented from start to finish. At a minimum, at least three or more written responses must be obtained. A “No response” or “No bid” is not sufficient, and further effort must be displayed to obtain at least three responses or bids.

OHFA is encouraged to award a contract for goods or services to the lowest responsive and responsible bidder. However, when OHFA determines that it is not possible or not advantageous to award to the lowest responsive and responsible bidder, OHFA may select a supplier or vendor whose proposal is determined to be the most advantageous to OHFA.

When working through this process keep in mind that the documentation shall contain the basis on which the award was made and shall consider such things as the vendor’s past experience, project description, performance, quality and pricing and all other relevant factors that may be important to the selection of that good or service. The documentation submitted must substantiate the purchase of the good or service and be defendable if the selection of the vendor or expenditure of the funds is ever challenged.

On rare occasions, when the good or service is so unique, it may be necessary to demonstrate that there is only one single entity or only one sole entity to supply a unique good or service. This is considered single-source procurement or sole-source procurement, and if you are selecting a good or service in this manner, you must demonstrate that it is a single-source or sole-source procurement.

Single-source procurement is a procurement from one selected supplier, even though there are other suppliers that may provide similar supplies or services. A single-source procurement decision must be justified and based on strategic factors, such as continuity of services, standardization, specialized capabilities, and warranty, etc., though other competitive sources may be available. The mere preference for a supplier, product or service is not a sufficient basis for a single-source procurement.

By contrast, sole-source procurement is a procurement from one selected supplier that can be substantiated because a requirement involves a supply or service provided by only one supplier or contractor having exclusive rights (e.g., rights to data, patent or copy rights, proprietary interests, intellectual property, or secret processes) to provide the supply or service. A sole-source procurement differs from a single-source procurement because the supply or service is unique.

Listed below are the various types of purchases that OHFA makes:

Purchase of Goods or Services
Total purchases of goods or general services greater than $1,000 but less than $50,000 must be done in a competitive manner that will include at a minimum three written quotes. Purchases of goods or general services greater than $50,000 must use a
Request for Proposal or other formal competitive process similar in nature to an RFP depending on the goods or services sought to be procured.

Travel Related Purchases

Office designees are authorized to reserve all logistics for travel if the trip is specifically listed in the OHFA Annual Out-of-State Travel Budget. If specifically identified travel in the OHFA Annual Out-of-State Travel Budget is substituted, written approval of the Executive Director or his designee must be obtained before the office designee is authorized to book travel logistics for trips that are different from those already approved. Travel logistics include conference registration, hotel, airfare, and ground transportation. For detailed information on travel see the Travel Reimbursement Policy.

Emergency Purchases

In case of a calamity (e.g., server failure), the prompt purchase of items is required to provide for the needs of the Agency or to preserve the property of the Agency. Purchases made in emergency situations are more costly than routine purchases; therefore, they must be kept to a minimum. Poor planning, overlooked requirements or negligence may cause the need for expedited purchases, but are not true emergencies, and purchases of that nature cannot be classified as an Emergency Purchase.

A purchase order or other formal documentation is not required for an Emergency Purchase, but written confirmation of the emergency is required by the Office Director. If the Office Director is unavailable, approval must come from the Executive Director, Chief Operating Officer or Chief Legal Counsel. Documentation must be submitted to the Finance office within 2 business days of the Emergency Purchase.

Use of MBE Vendors

For each fiscal year during the budget cycle, the Agency will identify certain discretionary purchases that will be set aside for MBE vendors in OHFA's Annual General Fund Budget approved by the OHFA Board ("Budget"). For any discretionary purchases that are set aside for MBE vendors, you may seek bids only from MBE vendors, and should contact and obtain three or more MBE vendors to submit bids. The Agency will select from one of the MBE vendors that submits a bid. (See MBE Policy)

APPROVAL LEVELS AND TYPE OF APPROVAL REQUIRED

Approval of any purchase of goods or services must be obtained in accordance with the following levels and parameters:

- For all requests totaling $1,000 or less, a designated Office Director or designee's approval is sufficient.
- All requests greater than $1,000 and less than $50,000 will require the approvals from the Purchasing Supervisor and the Executive Director or his/her Designee.
- All requests in excess of $50,000 require OHFA Board approval. For additional purchases or cost overages in excess of $50,000, please refer to the Additional Purchases or Cost Overages with Board approved Vendors section, below.

EXPERTISE TO BE SOUGHT PRIOR TO THE PURCHASING PROCESS

Prior to making any purchase for goods or services that may be related to Information Technology (IT), Communications & Marketing (C&M) or Facilities; all staff shall do as follows:

- All computer-related requests, including hardware, software, and maintenance contracts for hardware or software shall be reviewed and requested by IT.
- All marketing-related requests, including print and graphics, shall be reviewed and requested by C&M.
- All non-computer related office equipment (e.g., copiers, facsimile machines, telephones, etc.) office supplies, office furniture, filing systems and motor vehicles requests shall be reviewed and requested by Facilities.

ADDITIONAL PURCHASES OR COST OVERAGES WITH BOARD APPROVED VENDORS

On occasion, it may be necessary or desired to contract with a vendor for additional goods or services, related to the original contract for an expenditure already approved by the OHFA Board or already set forth specifically in the Budget.

If an additional purchase of goods or services is needed from a vendor that has already been approved by the OHFA Board or specifically identified in the Budget, the Executive Director or designee has the authority to approve such additional purchase or cost overages of goods or services for related work in an amount not to exceed the lesser of 10% of the total amount of the OHFA Board approved expenditure or $25,000.
PURCHASES RELATED TO AGENCY SPONSORED TRAINING

Purchases (e.g. food, room rental) for purposes of training held by the Agency and completely covered by seminar fees charged to attendees do not require competitive shopping. All Agency sponsored trainings not covered by seminar fees, are required to be purchased in a competitive manner. Please refer to Guidelines for Purchasing Food at Agency Sponsored Meetings.

Waivers of this Policy

In the event that staff has determined that a good or service is so unique in nature or that it is likely that only one vendor may provide that good or service, staff must submit a Waiver of Competitive Selection Form (See Finance forms under the Resources tab on OHFA’s Intranet) to the Executive Director to obtain approval of a waiver of this Policy’s requirement to select a vendor in a competitive manner. Such justification shall be in writing setting forth in detail the reasons for not being able to select a vendor as required in this Policy. Further, seeking this waiver only relates to the selection of a vendor and does not waive any other provision of this Policy.

The Executive Director has the authority to waive all requirements of this Policy if he/she deems it necessary to do so.

USE OF PURCHASING CREDIT CARDS

See the Purchasing Card Agreement

TAX-FREE STATUS OF PURCHASES

When purchasing goods or in-state travel, you are required to make certain that OHFA is not charged state sales tax. If you notice that sales tax has been charged, you are required to return to the business and ask for the tax to be credited back on the credit card.

A Sales and Use Tax Blanket Exemption Certificate is available from Finance if a vendor requires one.

UNAUTHORIZED PURCHASE

In the event a purchase is made which does not follow all of the Policy requirements, the Purchasing Supervisor shall inform the originator and the Office Director and seek clarification into the circumstances surrounding the purchase. If it is determined that an unauthorized purchase was made in direct disregard of the requirements of this Policy, the employee responsible for the unauthorized purchase may be disciplined and may be required to make full reimbursement to the Agency for such unauthorized purchase. All employees involved in the purchase of goods or services for the Agency shall be entrusted to understand and follow this Policy.
PURCHASE CARD AGREEMENT

The Ohio Housing Finance Agency’s (Agency) Purchase Card is designed to empower authorized/designated OHFA employees to pay for allowable purchases of goods and services. OHFA’s Purchase Card Administrator (CCA) is the Purchasing Supervisor. The CCA for the Agency is responsible for the overall management of the Agency’s credit cards. The Executive Director of the Agency determines the level of participation, spending limit and the number of cards issued. All Agency card issuances and changes must have the approval of the Executive Director either by a form completed by the CCA or via email.

The Elan Financial Services One Card (Purchase Card) represents the Agency’s trust in you. You are empowered as a responsible agent to safeguard company assets. Purchasers must sign this Purchase Card Agreement annually before the CCA will distribute their card. Your signature below is verification that you have read the Purchasing Policy and agree to comply with it as well as the following:

1. I understand the Purchase Card is for agency approved purchases only and I agree not to charge personal purchases, alcoholic beverages, entertainment, personal services or cash advances.
2. I understand I cannot benefit from any type of awards or incentives, issued by vendors or the Credit Card Company.
3. I understand the Purchase Card is not necessarily provided to all employees. Assignment is based on my assigned authority to purchase materials for the Agency which would cause an undue delay through the normal purchasing process and to book travel logistics (which include registration, airfare and lodging) for trips on the board-approved Out-of-State Travel Budget.
4. Improper use of the Purchase Card will be considered misappropriation of agency funds. This may result in disciplinary action as outlined in the Agency Team Handbook.
5. The Purchase Card is issued in my name. I will not allow any other person to use the Card. I am responsible for all charges against the Card.
6. All charges will be billed directly to and paid directly by the Agency.
7. I understand that all purchases using the Purchase Card must follow the normal Purchasing Policy process and routine purchases such as annual renewals should be paid by the Finance Office through normal payment processes.
8. I understand an issued PO is required prior to making a purchase on the Purchase Card with the exception of the Emergency Purchase, board-approved travel and purchases by Facilities under $1,000. These exceptions require an OHFA Order Request Form and that all backup be submitted within two business days of a purchase.
9. I also understand that a page showing a secure site was used to make the purchase, invoice or equivalent documentation and credit card log must be submitted by the 10th of the month to the Finance Office.
10. I understand I will receive a monthly statement which will reflect all activity during the statement period. Since I am responsible for all charges (but not for payment) on the Purchase Card, I will review all monthly activity and approve for payment prior to submitting to the Finance Office.
11. I understand that if the Finance Office does not receive my approved credit card statement and Credit Card log by the 10th of the month, the payment will not be made and my account will incur a late payment penalty fee and interest charges. It is my responsibility to obtain the Executive Director’s approval for the payment of such penalty charges prior to payment.
12. I understand the Agency does not pay state tax and if I am charged tax for a purchase, I will work with the vendor to have the tax removed and will follow up monthly on my credit card statement to make sure the credit has been received.
13. In the event an unrecognized charge is placed on my card, I will contact the Vendor to dispute the charge. If there is not a satisfactory resolution, I will notify the (CCA) of any discrepancies on the monthly statement.
14. In the event there is fraud on my Purchase Card or it is lost or stolen, I will immediately notify Elan Financial Services by telephone. I will confirm the telephone call by email to OHFA’s CCA.
   a. Credit Card Company: 1-800-344-5696
   b. CCA: jwildermuth@ohiohome.org
15. I agree that should I violate the terms of the Purchasing Policy or this Agreement or use the Purchase Card for personal use or gain, I will reimburse the Agency for all improperly incurred charges and any fees related to the collection of those charges by check and/or payroll deduction as determined by the Offices of Finance and Human Resources. I also understand that my purchase card privilege may be revoked until further notice and that my unauthorized use may result in disciplinary action as outlined in the OHFA Team Handbook.

Employee Signature     Date
Approving CCA          Date

Employee Name/Title (Print)
Approving CCA Name (Print)
POLICY

The purpose of this procedure is to document the receipt of all goods purchased by OHFA.

GENERAL GUIDELINES

When ordering goods, it is required that the purchase order has OHFA Mailroom in the primary address field and the initiating office (e.g. Finance, Administration, Executive) be included in the 2nd address field. This is to be communicated to the vendor prior to shipping.

All goods delivered to OHFA must be received by the Mailroom staff. This process includes inspecting and reconciling goods received to conform to the packing slip (description, quantity, etc.) to assure proper reconciliation of the goods received. If all items received are in conformance with the packing slip, the packing slip is to be clearly marked with a legible signature and date of receipt. The only exception to this process is for Information Technology (IT) related purchases. IT will be responsible for inspecting and reconciling computer related goods received with the packing slip. If all items received are in conformance with the purchase order, the packing slip is to be clearly marked with a legible signature, date of receipt, and the purchase order number. A copy of the signed packing slip must then be turned in to the Purchasing Supervisor in the Finance Office to initiate the process for payment and financial reconciliation.

If requested by the initiator, the Purchasing Supervisor will provide the initiator with a copy of the signed packing slip.

If there are any discrepancies (e.g., incorrect item delivered, inaccurate quantity, missing item/s), Mailroom or IT (if applicable) staff will clearly note the discrepancy on the packing slip. The Purchasing Supervisor will notify the initiating office as well as the vendor to resolve all issues.

• If space does not permit proper notation, a separate sheet of paper can be attached.

If a packing slip is not provided by the vendor, the Mailroom staff will complete a receiving report (available on the OHFA Intranet noting all of the information about the shipment (i.e., vendor, item and quantity received, and any discrepancies or actions that need to be taken). The signed receiving report will then be treated like a packing slip and turned in to the Purchasing Supervisor.

For Facility related capital assets to be inventoried (e.g. furniture, etc.) the Mailroom staff will properly label such items with a bar coded tag. IT related capital assets to be inventoried (e.g. printers, computers, etc.) the IT staff will properly label such items with a bar coded tag.
POLICY

The Ohio Housing Finance Agency ("OHFA") issues qualified mortgage bonds, a kind of tax advantaged debt (the "Bonds") that must comply with requirements of the Internal Revenue Code ("IRC") and Treasury Regulations ("TR"), including §§143 and 148 of the IRC. In order to ensure that such requirements for each issue of Bonds are satisfied, it is the policy of OHFA to enter into a Tax Regulatory and No-Arbitrage Certificate (the "Certificate") for each issue of Bonds and to comply with each representation and covenant in the Certificate. Furthermore, it is the policy of OHFA to only engage experienced counsel to draft the Certificate.

Each Certificate will, at a minimum, require OHFA to make the following representations and covenants:

1. A representation that the single family housing program (the "Program") satisfies the requirements of items (1) through (5) of the definition of "program investment" under §1.148-1(b) of the TR.
2. A representation that (a) residences for which a mortgage will be provided will satisfy certain conditions [described in §143(c) of the IRC], (b) mortgagors receiving a loan from the net proceeds of the Bonds will satisfy certain ownership conditions [described in §143(d) of the IRC] and (c) the purchase price of residences financed with the proceeds of the Bonds will not exceed a certain amount [described in §143(e) of the IRC].
3. A covenant that mortgages will only be made to mortgagors meeting certain income limits [described in §143(e) of the IRC].
4. A covenant that before any mortgage may be assumed, the representations contained in paragraph 2 will be satisfied.
5. A covenant that the reporting requirements of §143(m)(7) of the IRC will be satisfied.
6. A covenant that proceeds from certain repayments and prepayments of principal on mortgages will be used to redeem the Bonds within a certain time [described in §143(a)(2)(A) and (D)].
7. A representation that mortgages will not be sold or disposed of in any manner contrary to §§143 and 148 of the IRC and a covenant that if such mortgages are sold, the proceeds will be used in conformity with the IRC.
8. A representation that the Bonds will comply with the applicable requirements of §143 of the IRC and that every loan made from the proceeds of such bonds is intended to be investment property that carries out the governmental purpose of such bonds [described in §1.148-1(b) of the TR].
9. A representation that the proceeds of the Bonds will be spent within a certain period of time [described in §148(c) of the IRC].
10. A representation that the proceeds of the Bonds will not be used to finance expenditures paid before the issuance of such bonds.
11. A representation that the proceeds of the Bonds will not be used to finance certain assets [described in §§147(e) and 143(i)(1)].
12. A representation that (a) a certain amount of the proceeds of the Bonds will be used to finance mortgages for residences located in certain areas for a certain period of time [as described in §143(h)] and (b) no proceeds of the Bonds will be used in a manner that will cause them to satisfy the private business use test or the private security or payment test found in the IRC and the accompanying regulations.
13. A representation that the sale proceeds of the Bonds will be deposited in accordance with a trust indenture and that other moneys will be deposited into specifically identified accounts.
14. A representation concerning (a) the aggregate issue price of the Bonds with evidence to support such issue price, (b) the yield on the Bonds, and (c) whether there is a hedge with respect to the Bonds.
15. A representation (a) that the proceeds of the Bonds will be used in a way that complies with §§143(g) and 148 of the IRC, (b) concerning the interest rate of mortgages financed by other than qualified mortgage bonds, (c) that the proceeds of the Bonds will not be used to
fund a reserve or replacement fund for such bonds,
(d) concerning the funds that will be used to pay debt
service or premium of the Bonds and that will serve
collateral for repayment of such bonds.

16. A representation that (a) use of the gross proceeds of
the Bonds to purchase investment property will comply
with §148 of the IRC and the accompanying regulations
(the "Arbitrage Rules") and (b) records sufficient to show
compliance with the Arbitrage Rules will be kept.

17. A representation that (a) investment proceeds will be
spent by a certain date and (b) the gross proceeds of the
Bonds will be invested in investments selected by OHFA
to the greatest extent practicable, except as otherwise
permitted by the IRC.

18. A covenant that OHFA (a) will comply with the Arbitrage
Rules and (b) will seek to reduce the amounts owed
pursuant to the Arbitrage Rules. OHFA will retain an
arbitrage calculating agent to review its outstanding tax-
exempt debt issuances, unless, in the judgment of OHFA,
and in compliance with these policies and procedures
and the Tax Certificate entered into in connection with
a tax-exempt debt issuance, there is no reasonable
prospect of any arbitrage rebate or yield reduction
payment liability.

19. A representation that (a) a fund has been established
to hold moneys necessary to comply with the Arbitrage
Rules, (b) that such fund will be administered by a
trustee in accordance with a trust indenture, (c) a rebate
analyst will compute the amount necessary to comply
with the Arbitrage Rules and (d) moneys necessary to
comply with the Arbitrage Rules will be deposited in the
fund described in clause (a) of this paragraph and shall
be paid to the United States Government as required.

20. A representation that all TEFRA requirements relating to
the Bonds have been satisfied.

21. A representation that costs of issuance for the Bonds do
not exceed the permissible amount [described in §147(g)
of the IRC].

22. A representation that a proper amount of volume cap has
been allocated to the Bonds.

23. A representation (a) that all information reports will
be filed when required by §149(e) of the IRC and (b)
concerning the CUSIP number assigned to the last
maturity of the Qualified Mortgage Bonds and the EIN of
OHFA.

24. A covenant that (a) all records pertinent to the Bonds
and the use of their proceeds will be retained, (b)
that such records shall be kept until six years after
the complete retirement of such bonds and (c) that
records will be kept in a form that ensures complete
access thereto for the period of time described in (b)
of this paragraph, and if the records are retained in an
electronic format they will be stored in compliance with
the rules of the Internal Revenue Service. Furthermore, it
is the policy of OHFA to maintain as much of its records
electronically as is feasible.

25. A representation that all relevant facts, estimates,
circumstances and representations contained in the
Certificate are reasonable as of the date of issuance of
the Bonds and that such facts, estimates, circumstances
and representations indicate that such bonds will not be
considered Arbitrage Bonds under the Arbitrage Rules.

26. A covenant that OHFA will continue to consult with its
bond counsel regarding the federal tax rules applicable
to its outstanding tax-exempt debt and changes to the
federal tax law, and OHFA will update these policies and
procedures as needed to reflect any such changes.
TRAVEL REIMBURSEMENT (B10)

PURPOSE

The purpose of this policy is to reimburse all necessary costs directly related to anyone traveling on behalf of the Ohio Housing Finance Agency (OHFA).

- Office of Budget and Management Travel Policy (effective October 1, 2009) Revised 07/01/2014
- OCSEA Collective Bargaining Agreement (CBA); Article 32.03

REVISION DATE

This policy was last revised on December 20, 2017.

GENERAL REQUIREMENTS

- Travelers are required to follow the current Office of Budget and Management (OBM) Travel Policy, which is available on OHFA’S Intranet under Forms/Finance Office & Management Travel Rule. Refer to OBM's 126-1-02 Rate and Requirements for Reimbursement of Travel Expenses State Agents. This should be reviewed carefully.
- The Executive Director, or his or her designee, must authorize all travel.
- Travelers are required to have a purchase order before they travel out of state.
- Office designees are authorized to book all logistics for travel prior to obtaining a Purchase Order (PO) if the trip is on the board approved Out-of-State Travel Budget. With the written approval of the Office Director, the office designee is also authorized to complete travel logistics for trips that are substituting board-approved trips once the Executive Director’s approval has been obtained. Documentation must be submitted to the Finance office within 2 business days of purchase. Logistics include registration, hotel, airfare, and ground transportation.
- In order to carry out the business of the Agency, each Office Director will comply with their annual budget and the Travel Policy that has been established, to ensure proper use of Agency funds. This authority can be delegated to the Office designees that oversee travel.

PER DIEM

Designed to offset the additional cost of travel, not to entirely pay for the state agent’s meal and incidental expenses.

Rates for allowances and hotels (excluding taxes) can be found at GSA.Gov.

Meals

At the beginning of the period of travel, the traveler must decide if they want to use the agency travel card and submit documentation for the actual costs of meals or follow the per diem and use their own funds.

If a traveler uses their own funds for meals, no receipts are required to be submitted, but travelers should only request reimbursement for actual expenses.

If the Agency card is used for meals:

- Detailed receipts are required.
- Alcohol is not to be purchased on the Agency card.
- There is no individual meal limit, but the total for the day must not be greater than the Per Diem allowed for that day minus conference meals provided.
- A hotel continental breakfast is not considered a per diem meal and therefore does not need to be subtracted from the amount reimbursed for the day.

Meals are pro-rated on the first and last days of travel based on the number of hours the employee is traveling. The calculation will be based on departure time until midnight on the first day and midnight until arrival time on the last day.

- Travel time is pro-rated as follows:
  - less than 6 hours is 25%
  - 6 hours to less than 12 hours is 50%
  - 12 hours to less than 18 hours is 75%
  - 18 hours or more is 100%

If the employee is at a conference or training where breakfast, lunch, and/or dinner is provided, these meals will be deducted from the daily meal allowance before the percentage is applied.

Lodging

Lodging at the event site or lodging at a hotel identified in the event registration materials as one of the event hotels may be reimbursed at actual cost provided such cost is reasonable as determined by the head of a state agency or his/ her designee.
The traveler is responsible for any amount before taxes over the CONUS maximum rate when it’s not a conference hotel.

An overnight stay is permitted when the state agent is traveling on official state business and is either:
- At a location greater than forty-five miles from both the state agent’s residence and headquarters, or:
- At a location greater than thirty miles from both the state agency's residence and headquarters for conference purposes.

**TRANSPORTATION EXPENSES**

**Airline Related Activities**

When traveling on OHFA business, the Agency will pay for one checked bag.

Travelers are not to accept an airline’s offer to give monies or other benefits for bumping to another flight.

OHFA does not pay for early-bird check-in or any seat upgrades.

Employees are not authorized to make airfare and registration fee purchases on their personal cards and seek reimbursement from the Agency. This is to protect the employee from violating the ethics policy by earning rewards on their personal card.

**Private vehicle**

In order to travel by private automobile, you must seek approval by the Executive Director before traveling and evidence of the approved request must be submitted along with your TER.

DAS does not provide liability or any other insurance to state employees who drive their personal vehicle. Moreover, please be advised that your private auto insurance coverage may not cover work-related travel in a private vehicle. The traveler is responsible to check with their insurance agency to see if a rider needs to be added to their policy to use their vehicle for business.

A state agent shall not be reimbursed for mileage commuting from his/her residence to his/her headquarters nor from his/her headquarters to his/her residence. If a state agent is required to report to a location other than his/her headquarters, the state agent will only be reimbursed for the distance from his/her residence to the alternate location less the state agent’s normal commute. For example, if a state agent’s normal commute from his/her residence to his/her headquarters is ten miles, and a state agent’s commute from his/her residence to his/her authorized destination is thirty miles, the state agent shall only be reimbursed for twenty miles.

**Other Commercial Transportation (taxi, shuttle, etc.)**

Travel by commercial transportation is authorized at the lowest available rate.

**MISCELLANEOUS EXPENSES**

Items such as internet and travel times will be left to the discretion of the office directors.

**REIMBURSEMENT**

“Reimbursement travel expenses” means those expenses which are actually incurred as a necessary part of approved travel. In addition to lodging, meals, per diem and mileage, it includes:

- Miscellaneous transportation expenses such as parking charges, road tolls, and other reasonable incurred transportation expenses directly related to authorized travel, provided such expenses are listed separately on a state agency's travel expense reimbursement request:
  - Commercial transportation expenses paid by the state agency such as a taxi cabs, automobile rental, airfare, subways, bus, trains, and other commercial transportation.

  All expenses to be reimbursed must be submitted on the OHFA Travel Expense Report (TER) no later than 10 days after the traveler returns from their trip if the traveler used their agency travel card; if they did not use the agency travel card the traveler has 30 days.

  When submitting a Travel Expense Report (TER) Supporting documentation must be attached that validate expense claims to include: hotel receipt, any receipts for travel card purchases, copy of the conference/meeting/training agenda showing which meals, if any, were provided and per diem rates for the destination city. All receipts should be taped (not stapled) as this could cause the receipt to be damaged when it is removed) to a blank paper to ensure receipts are not lost in transit.

Management will hold Travel Reimbursement Policy trainings annually and post training materials online.

It is the traveler’s responsibility to review the travel reimbursement policy, OBM’s travel memo and the travel card agreement. Failure to comply with this policy may result in disciplinary action as outlined in the OHFA Team Handbook.
If employees that work from home are on travel status and cannot return their Travel Cards the day they return from travel, the Credit Card Administrator (CCA)/Purchasing Supervisor will need to be notified with carbon copy to their supervisor so the limits can be lowered to zero. Staff will need to notify the purchasing supervisor when they are traveling again so the limits can be increased.

**USE OF TRAVEL CARDS**

See the Travel Card Agreement

**TRAVEL OVERAGES**

For any overages that are less than the employee’s reimbursement, the agency will reduce the total reimbursement by the overage amount. If the overage is greater than the total reimbursement owed the employee, the employee is required to submit a check for the overage to the Finance Office. OHFA does not accept cash payments for any expenses the employee owes the Agency. All funds are electronically deposited; therefore, the Agency will only accept checks or money orders, made payable to OHFA, as payment.

*The Executive Director has the authority to waive the requirements of the travel policy, which must be approved via email.*
TRAVEL CARD AGREEMENT

The Ohio Housing Finance Agency’s (Agency) Travel Card is designed to empower authorized/designated OHFA employees to pay for allowable travel related expenses. OHFA’s Travel Card Administrator (CCA) is the Purchasing Supervisor. The CCA for the Agency is responsible for the overall management of the Agency’s travel cards. The Executive Director of the Agency determines the level of participation, spending limit and the number of cards issued. All Agency card issuances and changes must have the approval of the Executive Director either by a form completed by the CCA or via email.

The Elan Financial Services One Card (Travel Card) represents the Agency’s trust in you. You are empowered as a responsible agent to safeguard company assets. Travelers must sign this Travel Card Agreement annually before the CCA will distribute their card. Your signature below is verification that you have read the Travel Reimbursement Policy and agree to comply with it as well as the following:

1. I understand the Travel Card is for agency approved travel only and I agree not to charge personal purchases, alcoholic beverages, entertainment, personal services or cash advances.
2. I understand I cannot benefit from any type of awards or incentives, issued by vendors or the Credit Card Company.
3. This is not an Agency Purchase Card and therefore cannot be used to make purchases of goods or services.
4. I understand that I am required to present my Travel Card to the hotel at check-in to ensure my charges are applied to the proper card.
5. I understand the Travel Card is not necessarily provided to all employees. Assignment is based on my need to travel on the Agency’s behalf.
6. I understand my credit limit is based on traveling in- or out-of-state and is approved by the Executive Director.
7. Improper use of the Travel Card will be considered misappropriation of agency funds. This may result in disciplinary action as outlined in the Agency Team Handbook.
8. The Travel Card is issued in my name. I will not allow any other person to use the Travel Card, nor will I use it to pay for charges incurred by other travelers. I am responsible for all charges against the Travel Card.
9. All charges will be billed directly to and paid directly by the Agency.
10. I understand I am required to have itemized receipts for all Travel Card transactions.
11. I understand I am required to submit my Travel Expense Report (TER) to Finance office within 10 calendar days of returning from travel status.
12. I understand I will receive a monthly statement which will reflect all activity during the statement period. Since I am responsible for all charges (but not for payment) on the Travel Card, I will review all monthly activity and approve for payment prior to submitting to the Finance Office.
13. I understand if the Finance Office does not receive my TER and approved credit card statement by the 10th of the month, the payment will not be made and my account will incur a late payment penalty fee and interest charges. It is my responsibility to obtain the Executive Director’s approval for the payment of such penalty charges prior to payment.
14. In the event an unrecognized charge is placed on my card, I will contact the Vendor to dispute the charge. If there is not a satisfactory resolution, I will notify the (CCA) of any discrepancies on the monthly statement.
15. In the event there is fraud on my Travel Card or it is lost or stolen, I will immediately notify Elan Financial Services by telephone. I will confirm the telephone call by email to OHFA’s CCA.
   a. Credit Card Company: 1-800-344-5696
   b. CCA: jwildermuth@ohiohome.org

I agree that should I violate the terms of the Travel Policy or this Agreement or use the Travel Card for personal use or gain, I will reimburse the Agency for all improperly incurred charges and any fees related to the collection of those charges by check and/or payroll deduction as determined by the Offices of Finance and Human Resources. I also understand that my travel card privilege may be revoked until further notice and that my unauthorized use may result in disciplinary action as outlined in the OHFA Team Handbook.

Employee Signature ___________________________ Date ________________

Approving CCA ___________________________ Date ________________

Employee Name/Title (Print) ___________________________ Approving CCA Name (Print) ___________________________
To: Sean Thomas, Executive Director  
From: Don West, Chief Financial Officer  
Date: January 16, 2018  
Subject: Taxi Tipping – OHFA Policy Recommendation

During a recent agency-wide training on OHFA’s Travel Policy a question was asked regarding the rate OHFA allows when tipping a taxi driver while on out of state travel status. The answer to this question is OHFA’s Travel Policy allows travelers to seek reimbursement of an amount up to $5.00 (allotted for incidentals) for taxi tipping. Those participants in the session who travel frequently on OHFA business opined that $5.00 was an inadequate amount to cover an appropriate tip amount on a typical taxi fare. Following the training, staff researched best practices related to this topic and learned that several government entities, some within Ohio, base their allowable tip rate on a percentage of the taxi fare rather than a flat rate as with OHFA’s policy. The percentages included in the policies reviewed ranged from 10% to 20% of the actual fare. As a result, staff is recommending that under your authority as Executive Director, the language (below) be included as a supplement to the OHFA Travel Policy. This provision would stand for as long as you determine it to be appropriate. Upon receipt of your approval, we will communicate this change to agency staff.

Thank you.

Taxi Gratuity (Tipping)

A tip of up to 15% of the original cost of a taxi fare is allowable. A receipt showing the original amount of the fare along with documentation showing the total amount after tip must be provided. The total amount may be provided on the receipt, when available, or on a statement. Staff is urged to tip according to the service provided. Tips greater than 15% of the original fare will only be reimbursed to the traveler at 15% and any overages placed on an Agency credit card must be reimbursed by the traveler.
PURPOSE
This policy is intended to summarize and clarify the position of the State of Ohio and the agency regarding the use of state-owned computers, computer software, computer systems or networks, and computer facilities.

CROSS REFERENCE
• DAS Statewide Information Technology Policy

REVISION DATE
This policy was last revised on January 7, 2019.

GENERAL INFORMATION
The Office of Information Technology (IT) establishes standards and practices regarding the acquisition of all computer hardware and software, including, but not limited to, the following:
• The lease, purchase, or rental of micro and personal computer equipment;
• The manufacturer and model of all computers and peripheral equipment to be acquired including PDA’s, laptops, and tablet PC’s;
• The maintenance contracts for service of existing computer equipment software contracts, and new and existing Agency software.

The agency computer system is agency property. Any authorized agency representative may inspect any employee’s computer hardware, software, and computer files at any time. Employees should not consider any of those items to be private or personal.

DISCIPLINARY ACTION
Integrity of computer networks administered by the Agency, consistency and efficiency in purchase and use of software and hardware, and compliance with state and federal law is a high priority of the agency.

Violations of this policy may constitute criminal offenses of theft, vandalism, or unauthorized use of property and may result in criminal and/or civil penalties, as well as be considered Misuse of State/OHFA Property and/or Insubordination (pursuant to Policy C-13) resulting in discipline up to and including employee removal.

SOFTWARE
Acquisition of all software must be reviewed by IT management and approved by the Agency.

IT supports only that software which has been approved on the IT standards list. Inclusion on the list does not mean automatic approval. An informal needs assessment by IT may be conducted. Software not mentioned on the standards list may receive limited technical or maintenance support from IT. In those cases, IT will install the software and will provide limited additional support. Similarly, IT may not provide support or training for products not currently on the IT standards list (a current list is available from the IT Office). IT retains the right to recommend the refusal of the purchase of software that may be dangerous or detrimental to OHFA computer systems. The Agency retains the right to inspect or remove any unauthorized software or hardware, which IT finds on any of the Agency’s computers to be in violation of this policy.

Employees will not download or load, by any means, onto Agency computers, shareware, freeware, games, screen savers, Windows wallpaper, or other software for which OHFA owns no license. Nor will they install, update, or upgrade licensed software without expressed Agency approval. Employees will not run or execute such programs from the Internet, diskette, or CD.

SOFTWARE LICENSING
The IT Office is responsible for software licensing for all sections of OHFA. IT will retain the original media licenses for storage in a safe location and retain a copy of the purchase order and packing slip. IT will review software installed on the Agency’s PCs, and will remove any illegal software. Unless otherwise noted in the license agreement, all software shall be installed on one designated computer per license.

The IT Office has established an audit procedure in accordance with industry standards to verify that all software licenses are legal. The IT Office will immediately remove all unauthorized or illegal software. If there is a repeated abuse of this policy, the IT Office will pursue disciplinary action through the Agency.

Please refer to the Software Use Policy (C4) for information on the proper use of Agency software.
“FREEWARE”

An agreement between the State of Ohio and Software Publishers Association requires IT to retain a copy of the license agreement on freeware to validate its royalty free status. Therefore, no employee may install any freeware on their computers. The IT Office will be responsible for all software installations.

GAMES

In an effort to prevent distraction in the workplace and harm to our public image, playing computer games on Agency computers is prohibited. All computer game programs have been removed from Agency computers. If this has not been done on an employee’s computer, it is the employee’s responsibility to inform IT of the situation and to request that the situation be corrected. IT will then remove any unauthorized programs.

NETWORK SECURITY

Each computer connected to the Agency network serves as an entry point, not only for that particular user’s files, but to other areas within the network. Network degradation and security lapses may occur if established practices are not followed. Therefore, it is Agency policy that no user shall knowingly permit unauthorized network access. Employees shall not leave their passwords unattended in a manner that may allow for that password to be used, in any way, by someone other than the user to whom it is assigned. Further, no employee may share their password, nor use the network account of another. Rules regarding password usage are:

Your password must contain characters from at least 3 of the following 4 classes:

- At a minimum, your password must be at least 7 characters long. For stronger security, choose longer passwords with characters from all 4 classes.
- Your password may not contain your e-mail name or any part of your full name.
- Your password should be changed every 45 days.
- Your new passwords should never be the same as any of your last 10 passwords.
- Your password should not be a “common” word (for example, it should not be a word in the dictionary or slang in common use).
- Your password should not contain words from any language, because numerous password-cracking programs exist that can run through millions of possible word combinations in seconds.
  - A complex password that cannot be broken is useless if you cannot remember it. For security to function, you must choose a password you can remember and yet is complex. For example, Msi5!YoId (My son is 5 years old) OR Ihlof5#yN (I have lived in Ohio for 5 years now).
  - Five logon failures will result in the account being disabled until reset by a Network Administrator.

To insure network security, employees shall not use any device or software that is designed for breaking into the state’s or Agency’s computer network or individual computers. Employees shall not circumvent the normal password or login procedures. Employees shall not use any device or software that allows for remote login into the Agency’s network other than through Agency-approved connections.

PERSONAL HARDWARE AND SOFTWARE

No personal hardware or software is permitted on OHFA computers, the OHFA network, or other State of Ohio computer hardware without Agency approval. All hardware and software of any kind, including programs, shall remain the sole property of the Agency. Programs may not be copied for use on personal computers, unless authorized by the Agency. Unless otherwise noted in the license agreement, all software shall be installed on one designated computer per license.

PERSONAL USE OF DEPARTMENT COMPUTERS

Employees shall not use Agency/state computer hardware and software for any purpose other than OHFA business, except as provided in this policy. Unacceptable personal use of IT resources includes use that disrupts or interferes with Agency business, incurs an undue cost to the Agency, could potentially embarrass or harm the Agency, or has the appearance of impropriety. The Agency reserves the right to monitor all computer use including, but not limited to, file activity, e-mail, and Internet or web page activity. The Agency may do so without the employee’s knowledge or consent.

COLLECTIVE BARGAINING USE OF DEPARTMENT COMPUTERS

In addition to this policy, the collective bargaining contract provisions control the use of state-provided IT resources for contract enforcement, interpretation, and grievance processing.
FEDERAL COPYRIGHT LAW

Duplication of licensed software, except for backup purposes, is a violation of the Federal Copyright Law. Agency software may not be duplicated for use on any other personal computer. No employee shall copy Agency software for any purpose.

Shareware software programs are not royalty free, are not exempt from Federal Copyright Law, or exempt from this policy. IT will evaluate shareware software for Agency use. No employee shall use shareware software without prior Agency approval.

Should employees require the use of Agency software at home for official Agency/state business, they must have Agency approval and obtain an authorized software copy from the IT Office.

USE OF THE INTERNET AND OHFA’S NETWORK

Use of the Internet and OHFA’s Network, electronic mail, and online services has great potential to enhance the productivity of state employees in all agencies. At the same time, abuse is possible. Employees are accountable for use and misuse of government/Agency resources, including access to the Internet, electronic mail systems, and online services.

The Internet, OHFA’s Network, electronic mail, and online services are intended to be used for Agency business only. Uses that interfere with normal business activities, involve solicitation, are associated with any for-profit business activities, or could potentially embarrass the Agency are strictly forbidden.

Agency employees are advised to remove themselves from all newsgroups not dealing with work related activities.

Excessive use of Internet streaming video, newscasts, and other heavy bandwidth utilization are not prohibited but should be limited to necessary training and conduct of business. These products cause the bandwidth services to others in the Agency to be drastically reduced and should be avoided when possible.

The following restrictions apply to use of the OHFA computer network:

• No one shall use the Internet, OHFA’s Network, electronic mail, and online services for operating a business, or any other use not directly related to his/her duties as an OHFA employee.

• No one shall use the Internet, OHFA’s Network, electronic mail, and online services to disseminate offensive or harassing material or material reflecting religious or political beliefs or affiliation.

• No one shall use the Internet, OHFA’s Network, electronic mail, and online services to disseminate statements that might incite violence, or describe or promote criminal activities.

• No one shall use the Internet, OHFA’s Network, electronic mail, and online services to disseminate, solicit, or receive sexually oriented messages or images.

• No one shall use the Internet, OHFA’s Network, electronic mail, and online services to disseminate or print copyrighted materials (including articles and software) in violation of copyright laws.

• No one shall use the Internet, OHFA’s Network, electronic mail, and online services to access confidential information including, but not limited to, Social Security Numbers, credit card numbers, addresses, or other personal information on customers or employees.

• No one shall use the Internet, OHFA’s Network, electronic mail, and online services to access public information without appropriate authorization.

• Employees must obtain the approval of their supervisor before uploading data to third-party websites or installing applications on their Agency computer for the purpose of conducting Agency business.

• Everyone shall take all reasonable precautions to prevent the inadvertent dissemination of any personal information via the Internet, OHFA’s Network, electronic mail, or online services.

PHONE AND INTERNET SERVICES FOR REMOTE OFFICES

OHFA employees assigned to work remotely from their homes shall use dedicated, business-only phone and internet services, paid directly to the providers by OHFA. Employees will not be reimbursed for phone or internet services.

E-MAIL USE

As technology advances, so must the rules and regulations that define how the public resources are used. This policy has been created pursuant to, and consistent with, three important standards:

• The Agency’s desire for high standards of professionalism.

• State law concerning misuse of government resources—in
this case the computer hardware and software that allows e-mail messages to be created, received, and sent.

- Ohio's Public Records Laws, which allow people outside the Agency to review certain documents created and received by OHFA staff.

The Executive Director has the responsibility to maintain a workplace where information is secure, productivity is enhanced, and the use of technology to complete our work is encouraged. This e-mail policy aims to meet all three of these objectives.

**Definition of Email**

For the purposes of this policy, electronic mail ("e-mail") is any message created by a computer and sent over a computer network, such as a local area network (LAN) or the Internet, and which another computer receives. E-mail messages can contain information within the title of the message, within the body of the message, or in an attachment to the message.

All e-mail messages composed, sent, or received are potentially subject to the Ohio Public Records Laws, and may be subject to state and federal regulations. Backup systems in the Agency routinely save all data in the e-mail system. Even items deleted from the user's mailbox are retained for several days on the Exchange Servers to ensure that they are included in the backup process. The intent of the backup system in place is not for permanent storage but for recovery from events rendering access of current data impossible. Eventually, tapes used in the backup process are overwritten. Thus, permanent retention of all e-mail is not a practice and it is not cost effective. Therefore, it is the responsibility of the individual user to determine what e-mail constitutes a public record, to make paper copies of those e-mails, and to maintain storage files in accordance with record retention policies.

**Personal Use of E-mail**

Policy and state law prohibits employees from using state/Agency resources for personal purposes. Employees should understand that because Ohio Housing Finance Agency e-mail is created, sent, and/or received through state resources, there is no right to privacy concerning e-mail messages.

**E-mail Security**

The e-mail system within the Ohio Housing Finance Agency is provided for employee use. It should be treated like shared filing systems, with the expectation that messages sent on office business will be available for review by authorized Ohio Housing Finance Agency employees for any purpose related to state work. Because they are created on state time with state property, e-mail messages of Ohio Housing Finance Agency employees may be reviewed by supervisors or IT personnel to determine if there have been any breaches of security, violations of office policy, or misuse of state resources.

If supervisors of the Ohio Housing Finance Agency find indications of illegal activity or clear violations of the Agency's computer policy, they may refer such information for investigation to the Ohio Housing Finance Agency's legal counsel.

**Use of Internet E-mail**

The Executive Director recognizes the value of the Internet and other network computer systems to the work in the Agency. However, e-mail sent through the Internet is subject to all the same rules and restrictions outlined in this policy.

In order to increase productivity in communications with professional colleagues outside the Ohio Housing Finance Agency, employees may disclose and circulate their e-mail address. However, Agency employees should use caution when posting their state e-mail addresses on bulletin boards, newsgroups, home pages, or other Internet sites that are not directly related to the employee's state work.

**Retention of E-mail**

E-mail is a valuable and widely used form of communication within this Agency. To ensure that use of email is consistent with applicable provisions of Ohio law regarding public records, the following points are the essential requirements of Ohio law applicable to the use of e-mail. Every Agency e-mail user is expected to comply with these requirements. If you have questions about this policy, or questions regarding particular examples of e-mail messages, please contact the IT manager or Agency legal counsel.

Under Ohio Public Records Law, any document, device, or item, regardless of physical form or characteristic, created or received by or coming under the jurisdiction of the Ohio Housing Finance Agency, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the agency, is a "record" of the agency. E-mail messages that serve to document the agency's organization, functions, policies, etc., are agency records. (This is true whether an e-mail message has been printed as hard copy, or whether the e-mail message exists only in electronic form.) Therefore, email records must be maintained and disposed of only in accordance with an approved record retention schedule. Non-confidential e-mail records (generally, e-mail that is not a confidential law
enforcement investigatory record, a trial preparation record, a medical record, or a record whose release is prohibited by state or federal law) are subject to public record requests just as any other record.

E-mail ordinarily should be utilized for messages that are intended to be temporary and relatively nonsubstantive. Messages of this type would include routine daily communications such as meeting notices, announcements, reminders, and requests for information, confirming replies, and courtesy acknowledgments.

The record retention schedule most likely to apply to the e-mail described above is the agency’s transient material retention schedule. This schedule applies to “all informal and/or temporary messages and notes and all drafts used in the production of public records...” This schedule applies to such records whether they are in paper or electronic form. The retention period applicable to such records is “retain in office until no longer of administrative value.”

According to the Department of Administrative Services, records have administrative value “as long as they assist your agency in performing either current or future work. The primary administrative value of most records is exhausted when the transactions to which they relate have been concluded.”

The types of messages listed above (meeting notices, announcements, etc.) have a value that is very limited. Their usefulness expires virtually upon reading by the recipient. They may be discarded accordingly.

The agency may circulate to other agency personnel, both as e-mail and as paper documents, “draft” memos, correspondence, etc., for review and comment. Whether these items exist as e-mail or paper documents, they are “records” of the agency (and unless they are trial preparation records, or confidential law enforcement investigatory records, etc., they are public records of the agency). While these records should be considered to be temporary messages and drafts subject to the transient material retention schedule, they clearly retain value for a longer period of time than something such as a routine announcement or notice of a meeting. In general though, their value may be said to cease when they are superseded by a subsequent or final version, as long as reference to earlier versions is not necessary to understand or apply the subsequent record.

Records that have a longer useful life are records that reflect or memorialize official action taken in the course of conducting agency business, such as agency policies, position decisions permitting enforcement actions, and records that convey essential information about or explain the rationale for Agency decisions or actions. The need for or desirability of future reference to these records may be reasonably anticipated. These records will probably be subject to the general retention schedules for executive or general correspondence, unless they are subject to an approved individual retention schedule. These categories of records may not be generally appropriate for e-mail transmission; but if they happen to exist in an e-mail format, they will likely be subject to the general retention schedules for executive or general correspondence (or applicable specific retention schedules) rather than the transient material schedule and should be printed and retained as mentioned above.

The General Schedule for Executive Correspondence (GA07) applies to “correspondence of the head of an agency (director, executive director, chief, secretary, commissioner) and their deputies,” dealing with all aspects of the administration of their offices. Correspondence also includes information concerning agency policies, procedures, programs, fiscal, and personnel matters. The retention period for executive correspondence is “retain 4 years. Review by state archives for possible transfer. Destroy if of no historical value to state archives.”

The General Schedule for General Correspondence (GA08) “includes internal correspondence (letters, memos); also, correspondence from various individuals, companies, and organizations requesting information pertaining to Agency and legal interpretations and other miscellaneous inquiries. This correspondence is informative (it does not attempt to influence agency policy).” The retention period for general correspondence is “retain 2 years, or until audited by the Auditor of State and audit report is released, then destroy.”

Each Agency employee is expected to maintain records in his/her possession, including e-mail in printed form, in accordance with applicable retention schedules so that the agency can fulfill its responsibilities under Ohio’s Public Records Law. If you are uncertain as to the retention schedules that apply to your email records or any other records in your possession, contact the person(s) in your division or office responsible for the creation and maintenance of retention schedules for your division, office or Agency legal counsel.

As you may be aware, the Agency may implement a new e-mail system in the future, or changing technologies may make some old e-mail unreadable. It will advise all users of any pending changes. However, it is strongly recommended that all users who have e-mail that needs to be retained pursuant to the Ohio
Public Records Law print for retention a hard copy and send it to records retention.

If an e-mail message has been printed, the e-mail message may be deleted from your computer, as long as the hard copy is being retained in accordance with an approved record retention schedule.

**Expectations for E-mail Use**

Employees should review the following e-mail expectations and incorporate them into their e-mail usage:

- E-mail messages should not be used for sensitive information that is not suited to the creation of a public record. Information that, if disclosed, would breach confidentiality of a client or of the Ohio Housing Finance Agency may not be appropriate for e-mail use. Simply put, do not create an e-mail message, which you would not want circulated beyond the intended recipient. If you do create an email that contains information exempt from public records, employees may want to consider placing a legend at the top of the message that reads: "SENSITIVE INFORMATION: This message contains confidential information for the Ohio Housing Finance Agency. Unauthorized use or disclosure is prohibited."

- Also, our office’s e-mail system allows the use of a password. When an employee does choose to send confidential or sensitive information, they may want to make use of this password feature.

- Employees should choose recipients of e-mail very carefully. Mass distribution of sensitive information is discouraged.

- Global (i.e., “All Users” e-mail, office-wide or division-wide) e-mail messages can be very bothersome and disruptive to the work effort of all Agency employees. Additionally, these e-mail messages can affect network performance as they take up network bandwidth. When e-mail messages are made larger and/or more complex than they need to be by the inclusion of special graphics or stationary, this use is wasteful. Additionally, the inclusion of an attachment to an office-wide e-mail is not as cost effective, perhaps, as putting the attachment in a shared area and sending an e-mail to the office users informing them where to find the attachment.

- Storage of large numbers of e-mail messages is strongly discouraged. Retention of messages fills up large amounts of storage space on the computer system and can slow performance. Keep messages only as long as necessary, unless they are specifically mandated by policy for long-term storage or archive. If mandated for long-term storage, they should be moved to permanent media such as hard copy or CD for transfer out of your e-mail folder.

**CONCLUSION**

When used properly, e-mail can greatly enhance the ability of the Agency’s employees to carry out their official duties. E-mail allows staffers to quickly document information to a wide variety of people with a few keystrokes. However, the effectiveness and power of this medium parallels its danger. Poor judgment, lack of understanding of the capabilities of the software, and disregard for this policy can turn e-mail into a liability. Each employee of the Agency has a responsibility to understand this policy before using the Agency equipment, software and e-mail system. Please return to the IT Office a signed and dated copy of the Telephone and Computer Use Policy.
EMAIL ACCESS FROM HOME (C2)

PURPOSE
The Ohio Housing Finance Agency provides access to your e-mail mailbox via the Internet.

REVISION DATE
This procedure was last revised on September 1, 2007.

GENERAL INFORMATION
This capability is accomplished using your home PC, Internet Explorer, and connecting via your Internet Service Provider (e.g. AOL, MSN, Road Runner etc.). To use Outlook Web Access (OWA), you must first make a connection to your ISP. Once a connection is established and you are logged on to the ISP, you will use the browser to access the e-mail server. This access will include the ability to access folders in your mailbox, your calendar, contacts, etc.

PROCEDURES
How to Use Outlook Web Access (OWA)

Once you are logged on to your Internet Service Provider (ISP), open your browser and type in https://webmail.ohio.gov on the address line of browser and press return. This should bring up the screen you see below.

Click on the first text box and enter your 8-digit State of Ohio User ID (SOUID) followed by "@id.ohio.gov" (example: 19999999@id.ohio.gov).

Click on the second text box and type in the same password you use to sign in to myOhio.gov.

Click Sign in. This will display links to your mail, calendar, contacts, and tasks:

When you are finished using e-mail, click on the portrait icon at the upper right portion of the screen and select “Sign out.”
PURPOSE
This policy addresses the use, management and control of mobile devices and remote access to Information Technology (IT) resources owned, managed, or operated by OHFA.

REVISION DATE
This policy was last revised on January 7, 2019.

SCOPE
This policy applies to mobile devices, OHFA-owned or privately-owned, used by employees for OHFA business or used within the OHFA work environment. A mobile device as referenced in this policy refers to a variety of handheld computing devices (e.g. smartphones, tablets, mini-tablets, cell phones) used to access OHFA-IT resources via Wi-Fi and/or cellular networks.

PROCEDURES
Mobile devices are important tools that enable employees to complete their tasks with greater efficiency and empower them to achieve the agency’s business goals more effectively. All employees who are issued an OHFA-owned device must sign the Mobile Computing and Computer Policy Agreement stating that they have read this policy and agree to its terms, and must abide by the guidelines set forth below. An employee using a privately-owned device and who has been asked by his/her supervisor to access OHFA IT resources via Wi-Fi and/or cellular networks in specific situations must sign the Mobile Computing and Computer Policy Acknowledgement stating that he/she has read this policy and agrees to its terms. An employee who has not been specifically asked by his/her supervisor to access OHFA IT resources using a privately-owned device should not access such resources and is not required to sign this Acknowledgement. In the event that an employee who has not been specifically asked by his/her supervisor to access OHFA IT resources using a privately-owned device suspects of compromising the Agency’s network or data considered to be confidential.

USE OF IT RESOURCES FROM MOBILE DEVICES
Usage Guidance of OHFA-Owned Mobile Devices
• OHFA-owned mobile devices are governed by the Computer Use Policy (C1). OHFA retains ownership of any mobile device purchased using OHFA funds or otherwise acquired by OHFA. When using OHFA-IT resources, the user shall have no expectation of privacy. An employee who is assigned a mobile device is responsible for the safety, maintenance and security of the device. Employees shall not permit any other person to use their assigned mobile or cellular devices.
• An employee shall use the assigned mobile device to conduct OHFA business activity only. Occasional personal use is permitted only when it does not interfere with the employee’s normal duties. Personal use must conform to policy C1.
• IT will configure device security and other settings in accordance with industry best practices and State policy requirements. Changing these settings is prohibited. OHFA retains the right to wipe any mobile device suspected of compromising the Agency’s network or data considered to be confidential.
• The device may be encrypted to protect agency IT resources or may contain software to track and “wipe” the device if it is lost or stolen. Removal of this software is prohibited.
• The device must be password or PIN protected.
• Where possible mobile devices should be connected only to password protected Wi-Fi networks.
• Transferring agency owned confidential information through open Wi-Fi networks is strictly prohibited.
• An employee must contact IT if he/she plans to store data that could contain confidential information. IT will determine the best methods for safeguarding the data, which may include not using the device for storage.
• If the device is believed to be stolen or lost, it shall immediately be reported to the Chief Information Officer (CIO) and the employee’s supervisor. In addition,
employees shall also report instances in which they think the mobile device may have been potentially compromised. If the device is damaged or fails, it should be reported to the CIO and the employee’s supervisor immediately.

- There is no expectation that an employee will conduct business on a mobile device during nonbusiness hours unless preapproved by the employee’s supervisor. An overtime-eligible employee who is required to use a mobile device out of business necessity should account for any overtime during the pay period in which the overtime is earned in the OHFA Timekeeping system.

**Usage Guidance of Privately-Owned Mobile Devices**

- The device must be password or PIN protected.
- Where possible mobile devices should be connected only to password protected Wi-Fi networks.
- Transferring agency owned confidential information through open Wi-Fi networks is strictly prohibited.
- An employee must contact IT if he/she plans to store data that could contain confidential information. IT will determine the best methods for safeguarding the data, which may include not using the device for storage.
- If the device is believed to be stolen or lost, the employee is responsible for making all efforts to “wipe” Agency owned data from the device, and notify the CIO and the employee's supervisor. In addition, employees shall also report instances to the CIO in which they think a mobile device may have been potentially compromised.
- OHFA retains the right to “wipe” any mobile device suspected of compromising the Agency’s network or data considered to be confidential.

- There is no expectation that an employee will conduct business on a mobile device during nonbusiness hours unless preapproved by the employee’s supervisor. An overtime-eligible employee who is required to use a mobile device out of business necessity should account for any overtime during the pay period in which the overtime is earned in the OHFA Timekeeping system.

**SAFETY**

Employees are expected to follow applicable state or federal laws or regulations regarding the use of mobile devices, including privately-owned mobile devices, at all times. Employees whose job responsibilities include regular or occasional driving are expected to refrain from using their mobile devices while driving. Regardless of the circumstances, including slow or stopped traffic, employees are required to pull off to the side of the road to a permitted area and safely stop the vehicle before placing or accepting a call or texting.

Employees who are charged with traffic violations resulting from the use of their portable devices while driving will be solely responsible for all liabilities that result from such actions.

**POLICY COMPLIANCE AND MONITORING**

The agency recognizes the rapid pace at which mobile technology is changing. As such, the Agency Executive Director or his/her designee shall appoint a committee to periodically review and update this policy and audit for compliance.
SOFTWARE USE POLICY (C4)

PURPOSE
This policy addresses employee responsibilities with respect to computer software, the software asset management process and software procurement and installation procedures.

REVISION DATE
This policy was issued on January 7, 2019.

GENERAL RESPONSIBILITIES
The Policy of the Ohio Housing Finance Agency is to manage its software assets to derive maximum benefit to the Agency and its employees and, especially, to ensure that the Agency and its employees:

• Acquire and use computer software in compliance with the copyright laws of the United States and the State of Ohio; and
• Maintain only legal software on Agency computers and computer networks.

All software is protected under U.S. copyright laws from the time of its creation. The Agency has licensed copies of computer software from a variety of publishers to help fulfill its mission. Unless otherwise provided in the software license, duplication of copyrighted software, except for backup and archival purposes, is a violation of the law and this Policy.

Employees may not knowingly use software for which the Agency lacks the appropriate license. If an employee becomes aware of the use or distribution of unauthorized software in this organization, they must notify their supervisor or the Chief Information Officer (CIO).

Employees may not loan or give to anyone any software licensed to this organization.

No employee may use or distribute personally-owned software on Agency computers or networks. Such software threatens the integrity and security of the Agency’s computers and networks.

A variety of software is available on the Internet. Some of this software, called "freeware" or "shareware," is available free of charge for limited use and may be downloaded to an employee’s computer with the prior consent of the IT Office. Other software available on the Internet and from other electronic sources, however, requires the user to obtain a license for its use, sometimes for a fee. No employee shall download such software to his or her computer without following the Agency Purchasing Policy.

THE SOFTWARE ASSET MANAGEMENT PROCESS
The Ohio Housing Finance Agency is committed to managing its software assets for maximum benefit to the organization and its employees. The process consists of three areas of focus: (1) Creating an environment in which the process will succeed, (2) Reviewing the software assets residing on the Agency’s computers, and (3) Acting to correct breaches in policy and the law, keep the Policy and its procedures current, and prevent future breaches.

The Agency will strive to create an environment for success by communicating this policy; educating employees about their responsibilities; training employees in the software supported by this organization; identifying and modifying as necessary the software employees need to fulfill their job responsibilities; establishing a secure repository for original storage media, software licenses, and software documentation; and requiring that all software be procured through official and clearly defined procedures.

As part of this organization’s software management process, the CIO or designee shall conduct periodic reviews of all organization computers and networks to determine the software resident on such systems and whether the organization has the appropriate licenses for all such software. As part of the annual budget writing process, the IT and Finance Office shall conduct review meetings, in which the CIO or designee may ask employees about existing and future use and need of particular software programs.

Employees may be held responsible for the existence of any software on their computers for which the organization lacks the appropriate licenses. Such unauthorized use of software may result in disciplinary action as outlined in the Agency Team Handbook.
SOFTWARE PROCUREMENT AND INSTALLATION PROCEDURES

All requests for software and software upgrades shall be submitted to the IT Office through the IT Help Desk, where possible.

Any software and software upgrades not acquired by the IT Office shall be documented and identified to the IT Office, who will verify that the Agency has an appropriate license for the use of such software.

All acquisitions of hardware that include bundled software shall be documented and identified to the IT Office, who will verify that the Agency has an appropriate license for the use of such bundled software.

Upon receipt of all new software, the IT Office shall:

1. store in a secure, central location all original software licenses (where extant), disks, CD-ROMs, lists or spreadsheets containing a record of software licenses, and/or
2. maintain login credentials for vendor online software management systems in a password vault or encrypted spreadsheet where the license documentation is maintained, and
3. if necessary to enable it, add the software to an Agency whitelist of approved applications.

The IT Office will establish and maintain a recordkeeping system for software license documentation and original media in a secure, central location.

The IT Office shall designate those employees authorized to install software on the organization's computers.

No employee shall install or distribute software for which this organization lacks the appropriate license.

No employee shall install any software upgrade on a computer that does not already have resident on it the original version of the software.

Designated employees in the IT Office shall destroy all copies of software that is obsolete or for which the organization lacks the appropriate license. Alternatively, the IT Office may obtain the license(s) necessary to maintain unauthorized software on organization computers.

SOFTWARE USE

Employees shall use software for business purposes only and in accordance with the manufacturer's instructions.

The Computer User Policy (C1) gives more information on the proper user of Agency software systems and databases.
PURPOSE

It is the policy of the Ohio Housing Finance Agency (hereinafter “OHFA”) to carry out its mission in accordance with the strictest ethical guidelines and to ensure that OHFA board members and employees conduct themselves in a manner that fosters public confidence in the integrity of the board, its processes, and its accomplishments.

CROSS REFERENCE

• Ohio Revised Code (ORC) §102
• Ohio Revised Code (ORC) Chapter 175
• Ohio Revised Code (ORC) §2921
• Ohio Ethics Law and Related Statutes
• Governor’s Executive Order 2019-11D

REVISION DATE

This policy was last revised on and approved by the OHFA Board on October 16, 2019.

DEFINITIONS

For the purposes of this policy:

• “Anything of value” includes anything of monetary value, including, but not limited to, money, loans (not ordinary customer loans), gifts, food or beverages, social event tickets and expenses, travel expenses, golf outings, consulting fees, compensation or employment.
• “Value” means worth greater than de minimis or nominal.
• “Anyone doing business with OHFA” includes, but is not limited to, any person, corporation, or other party that is doing or seeking to do business with or has interests before OHFA.

GENERAL STANDARDS OF ETHICAL CONDUCT

OHFA board members and employees must, at all times, abide by protections to the public embodied in Ohio’s ethics laws, as found in Chapters 102 and 2921 of the Ohio Revised Code (ORC), and as interpreted by the Ohio Ethics Commission and the Ohio courts. OHFA board members and employees must conduct themselves, at all times, in a manner that avoids favoritism, bias, and the appearance of impropriety.

A general summary of the restraints upon the conduct of all members and employees includes, but is not limited to, those listed below. No member or employee shall:

• Solicit or accept anything of value from anyone doing business with OHFA;
• Solicit or accept employment from anyone doing business with OHFA, unless the OHFA board member completely withdraws from OHFA activity regarding the party offering employment, and the OHFA board approves the withdrawal, or, in the case of an OHFA employee, the employee completely withdraws from OHFA activity regarding the party offering employment, and the Executive Director of OHFA approves the withdrawal.
• Use his or her public position to obtain benefits for the official or employee, a family member, or anyone with whom the official or employee has a business or employment relationship;
• Be paid or accept any form of compensation for personal services rendered on a matter before, or sell goods or services to OHFA;
• Be paid or accept any form of compensation for personal services rendered on a matter before, or sell (except by competitive bid) goods or services to, any state agency other than OHFA, unless the member or employee first discloses the services or sales and withdraws from matters before OHFA that directly affect officials and employees of the other state agency, as directed in ORC 102.04;
• Except as permitted by law, hold or benefit from a contract with, authorized by, or approved by, OHFA (the Ethics Law does except limited stockholdings, and some contracts objectively shown as the lowest cost services, where all criteria under ORC 2921.42 are met);
• Vote, authorize, recommend, or in any other way use his or her position to secure approval of an OHFA contract (including an OHFA loan or grant) in which the official or employee, a family member, or anyone with whom the official or employee has a business or employment relationship, has an interest;
• Solicit or accept honoraria (see ORC 102.01(H) and 102.03(H));
• During public service, and for one year after leaving public service, represent any person, in any fashion, before any public agency, with respect to a matter in which the official or employee personally participated while serving with OHFA;
• Use or disclose confidential information protected by law, unless appropriately authorized; or
• Use, or authorize the use of, his or her title, the name "Ohio Housing Finance Agency" or "OHFA" in a manner that suggests impropriety, favoritism, or bias by the OHFA official or employee.

FINANCIAL DISCLOSURE
Every OHFA board member and employee required to file a financial disclosure statement in accordance with Section 102.02 of the Ohio Revised Code must file a complete and accurate statement with the Ethics Commission by May 15 of each year or other date set by the Ethics Commission. Any employee employed after February 15 and required to file a financial disclosure statement must file a statement within ninety days of employment.

ASSISTANCE
The Ethics Commission is available to provide advice and assistance regarding the application of the Ethics Laws and related statutes. The Commission can be contacted at 614-466-7090. The Commission’s website address is www.ethics.ohio.gov. OHFA counsel is available to answer questions involving this policy, and can be contacted at 614-644-9402.

PENALTIES
Failure of any OHFA official or employee to abide by the Ethics Law and related statutes will result in discipline, which may include dismissal, as well as any potential civil or criminal sanctions under the law.

CHANGES
This policy may be changed only by majority vote of the OHFA board.
EMPLOYEE WRONGDOING/SUSPECTED ILLEGAL OR IMPROPER ACTIVITY (D2)

PURPOSE
The purpose of this policy is to set forth the procedures to be followed when illegal activity and/or improper activity by any state employee or official is suspected.

CROSS REFERENCE
- Ohio Revised Code (ORC) § 124.341
- Ohio Revised Code (ORC) § 4113.52
- Ohio Revised Code (ORC) § 149.43 (A)(1)(h).
- Ohio Revised Code (ORC) § 117.103

REVISION DATE
This policy was last revised on September 11, 2019

DEFINITIONS
For the purpose of this policy, the following definitions apply:
- **Department**: shall include all agencies, offices, boards, commissions and similar entities directly responsible to the Governor, and/or whose members are appointed by the Governor.
- **Director**: shall include all directors or other heads of any department and their designees.
- **Illegal Activity**: includes fraud, theft, assault and other violations of local, state and/or federal law, including violations of state ethics laws, committed or in the process of being committed, by a state employee on any property owned or leased by the state or during the course of executing official duties.
- **Improper Activity**: includes a serious act or omission, committed by a state employee on any property owned or leased by the state or during the course of executing official duties. Improper Activity is also conduct that is not in accordance with standards of proper governmental conduct and which tends to subvert the process of government, including, but not limited to, gross violations of departmental or agency policies and procedures, executive orders, and acts of mismanagement, serious abuses of time, and other serious misconduct. For purposes of this reporting procedure, wrongdoing does not include illegal or suspected illegal activity. Likewise, wrongdoing does not include activity that is most appropriately handled through the department’s human resources personnel.
- **Chief Legal Counsel**: includes the Chief Legal Counsel at each of the departments and their designees.
- **State Highway Patrol Office of Investigative Services**: is an office within the State Highway Patrol.
- **Ohio Inspector General**: includes his/her designee.

GENERAL INFORMATION
This policy sets forth the procedures for processing such matters and provides for the careful, expeditious handling of all allegations and claims made against state employees. The procedure does not affect the rights and obligations set forth in any Collective Bargaining Agreement and/or any Statutory Notification Requirements. Any questions concerning the application of the procedures described below to a particular situation should be directed to:

Matthew Donahue Chief Legal Counsel Governor’s Office 614-644-0872 matthew.donahue@governor.ohio.gov

EMERGENCY PROCEDURE
Whenever it appears that any alleged illegal activity was committed, or is in the process of being committed, and an immediate law enforcement response is necessary to protect life, physical safety, property and/or preserve evidence, employees should first call 9-911.

If an emergency procedure is not necessary, the procedure outlined in the Non-Emergency Procedure should be used instead.

NON-EMERGENCY PROCEDURE
Any OHFA employee that becomes aware of suspected non-emergency illegal activity shall immediately notify the Executive Director or the Chief Legal Counsel. If the notification is made to an employee’s supervisor, that supervisor should then immediately report the information to the Chief Legal Counsel or the Executive Director.

Although the departments and agencies are reminded of their duty to comply with the whistleblower statutes ORC § 124.341 and ORC § 4113.52, employees who report conduct that they believe is illegal or unethical should have a reasonable factual basis for believing that improper activities have occurred, and should provide as much specific information as possible to allow for proper assessment of the nature, extent, and urgency of the incident.
When the Executive Director or Chief Legal Counsel is notified or becomes aware of suspected or alleged illegal activity by any employee, the Executive Director or the Chief Legal Counsel of OHFA shall notify the Chief Legal Counsel to the Governor, the State Highway Patrol Office of Investigative Services, the Ohio Inspector General, and the Executive Director of the Ohio Ethics Commission as soon as possible in writing. To the extent possible, said written notice shall include:

1. A description of the activity believed to be illegal or improper
2. What action/investigation, if any, has been taken by the agency
3. Where the activity occurred
4. Name of the person to be investigated and position
5. Time frame in which the activity is believed to have occurred or will occur
6. How and when the agency learned of the activity
7. Agency contact person with contact information

Upon receipt of a written notice of suspected illegal activity, the Chief Legal Counsel for the Governor, the State Highway Patrol Office of Investigative Services, the Ohio Inspector General, and Ethics or their respective designees will confer to determine how to proceed with the investigation. The State Highway Patrol Office of Investigative Services and the Chief Legal Counsel to the Governor will involve the Inspector General, the Ethics Commission, the State Auditor and/or any other law enforcement authority as deemed appropriate. Upon completion of the law enforcement investigation, the Chief Legal Counsel of the agency in question shall be notified by the appropriate investigating agency.

Because a criminal investigation may be necessary as a result of such a report, the agency should not conduct an internal investigation unless and until specifically directed to do so by the appropriate investigating agency. Administrative inquiries must give way to criminal investigations and no one suspected of illegal activity should be approached, disciplined or placed on administrative leave without such authorization.

**ADDITIONAL PROCEDURES**

Any state employee who becomes aware of, or suspects, illegal or improper activity by the Governor or any member of his immediate staff may directly contact the State Highway Patrol and the Ohio Inspector General per their contact information set below.

In such a case, the State Highway Patrol and the Inspector General shall confer without the Governor’s Chief Legal Counsel and decide whether an investigation is warranted, and if so, which agency will conduct the investigation or whether they will jointly investigate the allegation.

Employees observing or suspecting illegal or improper activity always have the option of directly reporting such activity to the Ohio Inspector General, the State Highway Patrol, the Ohio Ethics Commission, or any other pertinent law enforcement authority.

**RECORD KEEPING**

OHFA shall keep a record of the cases reported pursuant to this policy. To the extent possible, this record should include an updated status of the investigation. The investigating entity shall notify the Director of Public Safety, the Chief Legal Counsel to the Governor and the reporting department when the illegal activity investigation is completed.

All records pertaining to an active investigation are confidential law enforcement investigatory records pursuant to ORC § 149.43 (A)(1)(h).

**FRAUD REPORTING SYSTEM**

The Auditor of State has established a system for the reporting of fraud, including misuse and misappropriation of public money, by any public office or public official. The system allows for all Ohio residents and employees of any public office to make anonymous complaints through a toll-free telephone number, the auditor of state’s website, or the U. S. mail.

The auditor of state is required to keep a log of all complaints filed, which is a public record under section 149.43 of the Revised Code.

The legislation also extends the current whistle-blower protections contained in Section 124.341 of the Revised Code to employees who file a complaint with the fraud-reporting system.

**Contact Information**

Auditor of State Fraud Reporting System Phone
1-866-FRAUD OH (1-866-372-8364)
US Mail: Ohio Auditor of State’s Office Special Investigations Unit
88 East Broad Street
P.O. Box 1140 Columbus, OH 43215
Web: [www.ohioauditor.gov](http://www.ohioauditor.gov)
Designations and Contact Information

Office of Ohio Governor
Matthew Donahue, Chief Legal Counsel
(614)-644-0872
Matthew.donahue@governor.ohio.gov

Ohio Inspector General
James Manken, Chief Legal
(614) 644-9589
James.manken@oig.ohio.gov

State Highway Patrol, Office of Investigation Services
Captain Gene Jarvi
(614) 466-3375
gjarvi@dps.ohio.gov

Ohio Ethics Commission
Paul Nick, Executive Director
(614)-466-7090
Paul.nick@ethics.ohio.gov
FRAUD AND WASTE (D3)

PURPOSE
To establish and define responsibilities and procedures applicable to any instance where an Ohio Housing Finance Agency ("OHFA") employee or official is suspected of engaging acts that constitute fraud or waste.

CROSS REFERENCE
• Ohio Revised Code (ORC) § 124.341
• Ohio Revised Code (ORC) § 4113.52
• OHFA Employee Handbook: Employee Wrongdoing/ Suspected Illegal Activity (D3)

REVISION DATE
This policy was last revised on November 7, 2019.

DEFINITIONS
For the purposes of this policy, the following definitions apply:
• Director: includes all directors or senior staff and their designees.
• Fraud: a deliberate act or failure contrary to law, rule, or policy with the intent to obtain an unauthorized financial benefit for oneself, one’s family, or one’s business associate(s), including: theft or misappropriation of funds, supplies, property, or other agency resources; forgery or alteration of documents; unauthorized alteration or manipulation of computer files; falsification of reports to management or external agencies; pursuit of a benefit or advantage in violation of the agency’s conflict of interests policy; or authorization or receipt of compensation for hours not worked.
• Waste: extravagant, careless, or unnecessary utilization of state resources, including time, funds, supplies, inventory, vehicles, telephones, electronic equipment, furniture, or other assets during the course of one’s official duties.
• Chief Legal Counsel: includes OHFA's Chief Legal Counsel or their designee.

GENERAL INFORMATION
All OHFA employees and officials have a responsibility to safeguard state resources and comply with any federal or state rules, policies, or laws related to any state resources. This policy describes the internal controls and procedures that OHFA has implemented to carry out that responsibility. The goal of this policy is to promote a culture of compliance that serves as a foundation for OHFA's high ethical standards and strong moral principles. The internal controls and procedures described in this policy do not affect or alter the rights and obligations set forth in any Collective Bargaining Agreement or any Statutory Notification Requirements.

Any questions concerning the application of the procedures described below to a particular situation should be directed to the Chief Legal Counsel or Director of Internal Audit.

EMPLOYEE RESPONSIBILITIES
Every OHFA employee and official, regardless of rank or position, has a responsibility to safeguard state resources and ensure that those resources are used only for authorized purposes, in accordance with applicable rules, policies, and laws. An OHFA employee’s or official’s responsibility to safeguard state resources includes reasonable efforts to detect, mitigate, or prevent fraud or waste as well as an affirmative obligation to participate in any investigation or action related to fraud or waste. Any OHFA employee or official that has reason to believe, or has knowledge that fraud or waste has occurred, is required to report that incident and all relevant information in the manner described below.

Reports alleging fraud or waste may be made anonymously, but employees are encouraged to provide as much detail as possible to ensure a thorough, comprehensive, and full investigation into the matter being reported. OHFA will take appropriate precautions to ensure that a reporting employee's identity will remain confidential to the extent allowed by law.

Any investigation related to an allegation of fraud or waste will be conducted without regard to a particular employee’s or official’s length of service, position/title, or relationship to the agency.
PROCEDURES
When an OHFA employee or official suspects, observes, or otherwise becomes aware of an instance of fraud or waste, that employee or official must report that instance of fraud or waste to one of the following:

• Their immediate supervisor;
• Anyone in the reporting employee’s chain of command, Chief Legal Counsel, or any other Director;
• Any member of the OHFA Internal Audit Office;
• Executive Director; or
• Ohio Auditor of State Hotline for Fraud at 1-866-FRAUD-OH (1-866-372-8364) or at http://ohioauditor.gov/fraud.html.

After reporting the instance of fraud or waste, the reporting employee or official must refrain from any further involvement unless directed otherwise by the investigating authority. The reporting employee or official may not confront the individual(s) under suspicion or initiate investigations on their own, because these actions could compromise any ensuing investigation.

All OHFA employees and officials must fully cooperate with those performing a subsequent investigation.

Reports of suspected fraud or waste must be based on reasonable, factual information and not speculative information or rumor. Reporting employees or officials are encouraged to be as specific as possible in any report of fraud or waste to ensure a thorough and proper assessment of the nature, extent, and urgency of the matter being reported.

OHFA reserves the right to discipline any employee or official found to have made an intentional misleading or false allegation of suspected fraud or waste under this policy.

MANAGEMENT RESPONSIBILITIES
As described above, every OHFA employee and official, regardless of rank or position, has a responsibility to safeguard state resources and ensure that those resources are used only for authorized purposes, in accordance with applicable rules, policies, and laws. Accordingly, any manager that suspects, observes, or otherwise becomes aware of an instance of fraud or waste must report that instance of fraud or waste to one of the people described above.

Management is also responsible for establishing and implementing systems and procedures specifically designed to prevent and detect instances of fraud, waste, or other irregularities.

The basic elements of a proper control system include:

• Creating a culture of honesty and high ethics;
• Evaluating risks and implementing processes, procedures, and controls with appropriate checks and balances to prevent, deter, and detect fraud or waste; and
• Developing an appropriate oversight process.

Management must take appropriate precautions to ensure that a reporting employee’s identity will remain confidential to the extent allowed by law. Management will also refrain from taking any discriminatory or retaliatory action against any OHFA employee or official that reports what they reasonably believe is an act constituting fraud or waste.

If the investigation reveals or uncovers evidence of a potential criminal act, the Chief Legal Counsel or Director of Internal Audit will report the findings to the appropriate law enforcement agency (as required under applicable policy(s) adopted by the Governor or under relevant federal or state law) and will cooperate with that law enforcement agency during any further investigation. (See the Employee Wrongdoing/Suspected Illegal Activity Policy D3).

If an allegation of fraud or waste involving the Executive Director, Chief Legal Counsel, or any office director is received, the Director of Internal Audit will notify the Audit Committee through the committee chairman. After notifying the Audit Committee, the Director of Internal Audit will investigate or act on the allegation in a manner consistent with the Employee Wrongdoing/Suspected Illegal Activity Policy set forth in OHFA Policy D3. If an allegation of fraud or waste involving the Director of Internal Audit is received, either the Chief Legal Counsel or Executive Director will notify the Audit Committee and will investigate or act on the allegation in a manner consistent with the Employee Wrongdoing/Suspected Illegal Activity Policy set forth in OHFA Policy D3.

INVESTIGATION PROCESS
The Chief Legal Counsel and Director of Internal Audit have primary responsibility for investigating allegations of fraud or waste, including how any allegation will be investigated.

All investigations will be conducted in accordance with guidance from appropriate authorities, including the Institute of Internal Auditors, the Association of Certified Fraud Examiners, and other applicable industry standards.

The Chief Legal Counsel and Director of Internal Audit may engage experts in any field or area they feel is necessary as part of their investigation. In addition, suspected fraud or waste may
be reported to state authorities, including the Governor’s office or the State Inspector General.

Investigation results will not be disclosed or discussed with anyone other than those who have a legitimate need to know. This serves to avoid damaging the reputation of persons suspected but subsequently found innocent of wrongful conduct and to protect the agency from potential civil liability.

The Chief Legal Counsel and Executive Director will decide whether to prosecute or forward investigation results to law enforcement or regulatory agencies for outside, further, or additional investigation in a manner consistent with the Employee Wrongdoing/Suspected Illegal Activity Policy set forth in OHFA Policy D3.

If the Chief Legal Counsel, Director of Internal Audit, or Executive Director is alleged to have engaged in fraud or waste or the subject of any investigation into fraud or waste, the OHFA Chief of Staff will be assigned to serve in their place during the Investigation Process described above.

**FEDERAL FUNDS**

If any act constituting fraud or waste involves federal funds, the Executive Director or appropriate Director must immediately notify the appropriate federal authorities as required under the related federal grant.
POLITICAL ACTIVITY (D4)

PURPOSE
The purpose of this policy is to give employees guidelines for participation in political activities for the purpose of ensuring against undue political influence.

CROSS REFERENCE
- Ohio Administrative Code (OAC) § 123:1-46-02
- Ohio Revised Code (ORC) § 124.57

REVISION DATE
This policy was last revised on September 19, 2019 and is substantially based on a Governor Memo dated February 16, 2010.

GENERAL INFORMATION
The Ohio Housing Finance Agency (OHFA) adheres to the guidelines issued by the Governor’s office regarding political activities by state employees. State and Federal law also provide for fines and/or criminal penalties for unauthorized political activity.

State of Ohio employees’ permissible participation in political activity varies depending upon the classification of the employee. Generally, unclassified employees may participate in political activities unless otherwise specifically precluded by federal or state law, while classified employees have stricter limitations on participation. The following are general guidelines regarding state employee participation in political activities. These guidelines are not intended to be exhaustive in scope, but rather to provide general guidance on political participation by state employees.

Employees who wish to participate in political activities during normal business hours must utilize his/her lunch hour, vacation leave, compensatory leave or personal leave. Employees are strictly prohibited from using state time, facilities or resources for political purposes and are prohibited from soliciting other state employees for any political contributions. In addition, state employees may not engage in any election-related activities which interfere with, or pose a conflict of interest with respect to, their state duties and responsibilities.

UNCLASSIFIED EMPLOYEES
Employees in the unclassified service, who serve at the pleasure of the appointing authority, and are not subject to competitive examination, may on their own time, engage in partisan and election-related activities, unless specifically precluded by federal or state law. Unclassified employees seeking elective office must obtain prior written approval of the Appointing Authority. Unclassified employees may not solicit classified state employees for the financial benefit of a political party or a candidate for public office.

CLASSIFIED EMPLOYEES
Permissible Activities
The following are examples of permissible activities that employees in the classified service may participate in on their own time:

- Registration and voting;
- Making voluntary contributions to political candidates or organizations;
- Attending political rallies on their own time;
- Signing nominating petitions in support of individuals;
- Expression of opinions, either oral or written;
- Display of political materials in the employee’s home or on the employee’s property;
- Circulating non-partisan petitions or petitions relating to legislation on their own time;
- Wearing political badges or buttons, or the display of political stickers on private vehicles; and
- Serving as a precinct election official under section 3501.22 of the Revised Code.

Prohibited Activities
Ohio law prohibits classified employees from engaging in political activities. No person in active pay status serving in the competitive classified civil service of the state may engage in partisan activities, campaigns, and elections involving primaries, partisan ballots, or partisan candidates, even on their own time.
The following are examples of prohibited activities to employees in the classified service even on their own time:

- Candidacy for public office in a partisan election;
- Candidacy for public office in a nonpartisan general election if the nomination to candidacy was obtained in a partisan primary or through the circulation of nominating petitions identified with a political party;
- Filing of petitions meeting statutory requirements for partisan candidacy to elective office;
- Circulation of official nominating petitions for any candidate participating in a partisan election;
- Service in an elected or appointed office in any partisan political organization;
- Acceptance of a political party-sponsored appointment to any office normally filled by partisan election;
- Campaigning by writing for publications, by distributing political material, or by writing or making speeches on behalf of a candidate for partisan elective office, when such activities are directed toward party success;
- Solicitation, either directly or indirectly, of any assessment, contribution or subscription, either monetary or in-kind, for any political party or political candidate;
- Solicitation of the sale, or actual sale, of political party tickets;
- Partisan activities at the election polls, such as solicitation of votes for other than nonpartisan candidates and nonpartisan issues;
- Providing assistance to any political candidate, political party or other partisan political organization with organizational and recruitment activities, when such activities are directed toward party success;
- Service as, witness or challenger, for any party or partisan committee;
- Participation in political caucuses of a partisan nature; and
- Participation in a political action committee that supports partisan activity.

**DISCIPLINARY ACTION**

The Executive Director may initiate an investigation when there is reason to believe a classified employee engages in prohibited political activity and/or partisan activity. Such actions, if proven, may amount to a violation of Ohio law and could result in discipline of the employee up to and including removal.

**USE OF STATE PROPERTY AND EQUIPMENT**

Even when state employees may participate in political activities, they may not, in general, engage in those activities while on state time, on state property, or using state equipment. Ideally, if a state employee chooses to participate in campaign activities, those activities should be conducted on the weekends or outside normal work hours to eliminate any chance of an inadvertent violation of the law, or even the appearance of impropriety. However, a state employee may engage in political activity during normal work hours if he or she uses the lunch hour, personal leave, compensatory time, or vacation leave for that purpose.

In order to maximize compliance with limitations against using state time, property or equipment for political purposes, employees should take the following measures:

- Direct all political telephone calls or incoming election-related calls away from the state government offices;
- Accurately and carefully document the use of the lunch hour, personal leave, compensatory time, or vacation leave when used for permissible political activities. This includes ensuring that all proper approvals have been obtained;
- Completely avoid the use of state property or equipment to support political activities. For these purposes, employees should interpret the terms “property” and “equipment” broadly to include state offices, conference rooms, computers, printers, office supplies, email systems, telephones, copiers, fax machines, vehicles or any similar place or item. If an employee receives an email or phone call related to political activity, the employee has an affirmative obligation to respond that he or she should not be contacted on state time and on state equipment. If the employee wishes to receive further contact on the matter, he or she should provide a personal phone number and/or email address. State employees may not use state offices, conference rooms, computers, printers, office supplies, email systems, telephones, copiers, fax machines, vehicles, or any other state property or equipment to engage in political activities.
- Avoid even the suggestion of impropriety by considering the appearance of any conduct given the surrounding circumstances, even if that conduct is permissible under the law;
- It is best if state employees – classified or unclassified do not wear political pins, badges, clothing or other political paraphernalia to work, especially at any time.
they are interacting with members of the public or other state employees. While the display of a pin, sign or other political paraphernalia at a desk or in an office/cubicle is permissible when it is an employee’s workplace has exposure to others, and especially exposure to members of the public, the display of political paraphernalia is strongly discouraged.

- When determining the appropriateness of any display of political paraphernalia, supervisors should determine if the display has crossed, or would give others the impression of crossing, the line from personal expression to advocacy and/or could give members of the public the impression that the State of Ohio or any of its agencies are supporting a particular candidate for public office.
- When in doubt, ask the Chief Legal Counsel for guidance.

**SOLICITATION BY, OR ACCEPTANCE OF, POLITICAL CONTRIBUTIONS BY ELECTED OFFICERS**

No current state elected officer, campaign committee of such an officer, employee of the state elected officer’s office, or any other person or entity shall solicit or accept a contribution, from any of the following:

- A state employee whose appointing authority is the state elected officer;
- A state employee whose appointing authority is authorized or required by law to be appointed by the state elected officer;
- A state employee who functions in or is employed in or by the same public agency, department, division, or office as the state elected officer.

No candidate for a state elective office, campaign committee of such a candidate, employee of the candidate’s office if the candidate is a state elected officer, or any other person or entity shall solicit or accept a contribution to a candidate for a state elective office or to such a candidate’s campaign committee, from any of the following:

- A state employee at the time of the solicitation, whose appointing authority will be the candidate, if elected;
- A state employee at the time of the solicitation, whose appointing authority will be appointed by the candidate, if elected, as authorized or required by law;
- A state employee at the time of the solicitation, who will function in or be employed in or by the same public agency, department, division, or office as the candidate, if elected.

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**RUNNING FOR ELECTED OFFICE**

**Classified Employees**

Classified state employees, by law, may not be a candidate in a partisan election or a candidate in a non-partisan election if their nomination was obtained in a partisan primary or through the circulation of nominating petitions identified with a political party.

**CANDIDACY GUIDELINE**

State employees who choose to run for office and who are otherwise permitted to do so under Ohio law, must also abide by the following guidelines:

**Conflicts**

Avoiding any appearance of impropriety is a critical aspect of maintaining public confidence in public employees. Employees who run for office carry the risk that the public will confuse their state duties and responsibilities with policy positions they may take as candidates. Conflicts of interest or the appearances of conflicts of interest must be avoided in the following ways:

- No state employee may be a candidate for the General Assembly. State employees must leave state service prior to taking any official action in support of a candidacy for the General Assembly.
- Candidates for other significant elected positions (e.g. – major or council member of a major metropolitan area, an office with county-wide jurisdiction, etc.) also pose the kinds of risks noted above. To avoid such risks, state employees may be required to leave state service prior to taking any official action in support of such candidacy. State employees who are otherwise permitted to do so may run for local school boards, city councils in smaller jurisdictions, and other similar positions as long as no substantial conflict exists, as determined by the employee’s appointing authority, between the employee’s state duties and the proposed candidacy. The person at the employee’s agency, board or commission responsible for guarding against conflicts of interest should be consulted prior to any employee embarking upon any formal candidate related activity. Failure to do so could result in the employee’s removal even if the employee has already undertaken the candidate activity.
- If a state employee runs for an office with duties which conflict with the employee’s governmental duties, the employee may be informed that assuming that office, if elected, will necessitate termination of state employment. In some circumstances, activities undertaken as a
candidate may, themselves, pose a conflict with an employee's current job duties and appropriate steps should be taken to avoid such conflicts.

**Notice Requirement**

Prior to initiating any formal actions to run for an elected office, a state employee must provide notice of intent to run to the Agency’s chief legal counsel or to the person responsible for legal compliance. This notice allows Agency legal counsel to:

- Consult with the agency’s appointing authority to determine whether an apparent or potential conflict of interest exists between the employee’s job duties and the duties of the elected office;
- Ascertain whether the employee is required to leave state service prior to taking any official action in support of such a candidacy, is seeking (or should seek) a leave of absence to accommodate campaign activity and whether such a leave is operationally feasible for the agency (see discussion below); and
- Provide and discuss with the employee the attached document entitled "Political Activity Restrictions" to help assure that the employee does not violate this policy.

Instances requiring notice include:

- Classified and/or Unclassified employees running for non-partisan elected office, such as school board member, township trustee, or city council member.
- Unclassified employees running for political party leadership positions, such as local or state central committee positions.
- Unclassified employees running for full-time elected office.

**LEAVES OF ABSENCE**

Because campaigns for certain elected offices can be extremely time-consuming, some unclassified employees may wish to request an unpaid leave of absence from their state jobs when running for elected office. When such requests are made, the Chief Legal Counsel will consult with Senior Staff to determine if such a request is reasonable and if so, the period for which such a leave should be granted, considering the employee's position and how the leave of absence would impact the operations of an agency.

If it is decided that such a leave should be granted, the Chief Legal Counsel and the Executive Director may recommend a specific time period for the employee to take a leave of absence if, in their view, the particular election campaign is likely to adversely affect the employee's ability to fulfill his or her job responsibilities, but the agency can work around the employee's leave of absence.

**USE OF VACATION AND OTHER LEAVE FOR CAMPAIGN ACTIVITY**

A state employee wishing to take time off from work to assist in permissible campaign activity may do so if the employee has obtained standard permission to be absent from work. Because an employee may use vacation or other similar leave for any purpose, such an employee may engage in any permissible campaign activity while on any such leave. An employee wishing to take an extended leave to work on a campaign may request unpaid leave, up to six months. Unpaid leave may be granted by the employee's appointing authority and will be denied if such leave would pose operational problems to the agency.

**BALLOT ISSUES**

State employees may, without violating this policy, use state time and equipment to provide information relating to ballot issues that may affect the State and its departments. While state employees should, in general, avoid the use of state time, equipment, or supplies to support or oppose a ballot issue, in limited circumstances it is appropriate for state employees to publicly indicate their support for or opposition to ballot issues which directly impact their state duties or responsibilities.

Determination of when it is appropriate for a state employee to articulate an administration or agency position regarding a ballot issue resides in the discretion of the agency director.

**Other Permissible Employee Conduct**

Concerning issues relevant to state responsibilities, employees may:

- Disseminate, either verbally or in writing, objective information concerning the issue and its impact, particularly as it may relate to a specific department. The public may direct questions to affected departments and, as a result, those departments may need to prepare and disseminate objective information sheets about the issue in order to prepare their employees to answer questions, and to direct the public to the organizations supporting and opposing the issue for further information; and
- Correct or clarify factual errors or misinformation concerning an issue.
**Impermissible Employee Conduct**

State employees may not use state resources to:

- Engage in activities unrelated to their job duties or the responsibilities of state government;
- Develop, produce and/or disseminate campaign materials regarding a ballot issue.

If you have questions regarding the propriety of a particular activity, you should address them to your agency chief legal counsel or the person in your agency or board or commission responsible for legal compliance.

**Poll Worker Service**

Classified or Unclassified state employees who wish to work on Election Day as a poll worker (also known as an election judge) may use approved vacation, compensatory, or personal leave to work at the polls. For more information, please visit the DAS Human Resources Division Policy Development website at [http://das.ohio.gov/Divisions/HumanResources/HRD0CBPolicy.aspx](http://das.ohio.gov/Divisions/HumanResources/HRD0CBPolicy.aspx).

**POLITICAL ACTIVITY RESTRICTIONS SUMMARY**

The following is a short summary of the political restrictions related to running for office as a State of Ohio employee:

- Employees in the classified service may run for non-partisan offices but may not run for partisan political office. The classified service is defined as all “persons in active pay status serving in the competitive classified civil service of the state.”
- Partisan political offices are those in which candidates are selected in a partisan primary or by nominating petitions identified with a political party or in which candidates are associated on the ballot with a political party.
- Only an employee in the unclassified service may run for partisan political office.

Those running for office must abide by these restrictions:

- All state employees who intend to run for office must provide notice as provided in the Political Activity Policy so as to assure compliance with its provisions.
- State employees may not participate in political activities while on State time, property or while using State equipment.
- Unclassified employees may not solicit classified state employees for the financial benefit of a political party or a candidate for public office.
- It may be necessary to request a leave of absence to run for political office.
- State equipment and time may not be used for campaigning.
- State employees may not use state offices, conference rooms, computers, printers, office supplies, e-mail systems, telephones, copiers, fax machines, vehicles, or any other state property or equipment to engage in political activities.
- When in doubt, consult the Chief Legal Counsel.
PURPOSE
This policy is designed to establish and define responsibilities and procedures applicable to Ohio’s Public Records Act on the Ohio Housing Finance Agency’s ("OHFA") operations and recordkeeping.

CROSS REFERENCE
• Ohio Revised Code Section 149.43
• Ohio Revised Code Section 175.12(B)

REVISION DATE
This procedure was last revised on November 20, 2019.

GENERAL INFORMATION
Ohio’s Public Records Act, codified at Ohio Revised Code Section 149.43, reflects the policy that open government and access to records serves the public interest and our democratic system by allowing for a more informed citizenry. Therefore, Ohio’s Public Records Act is generally interpreted in favor of broad access to and disclosure of public records. However, there are certain exceptions to the availability of and access to records under Ohio’s Public Records Act. Some of those exceptions generally apply to all public offices and some specifically to OHFA. OHFA employees and officials must fully comply with Ohio’s Public Records Act and any applicable exceptions to it. The Chief Legal Counsel is available to assist OHFA employees and officials with any issue or situation related to or involving Ohio’s Public Records Act.

For ease, here are some generally asked questions and the responses:

What is a “public record”?
Ohio’s Public Records Act applies only to “public records.” “Public records” are records kept by a public office. “Public records” may be on any fixed medium (paper, computer, film) and are created, received, or coming under the jurisdiction of a public office which documents the organization, functions, policies, decisions, procedures, operation, or other activities of the office. Whether or not a specific document qualifies as a record will depend on whether or not it meets these definitions regardless of type or form.

Can a draft be a public record?
Superseded or prior drafts of records may constitute a public record, as defined above. As such, Ohio’s Public Records Act may require that they be provided to someone requesting them.

Are notes of any employee a public record?
Whether or not employee notes are a public record depends on their use. If the notes are of a personal nature and not shared with others, those notes very likely do not meet the definition of public records stated above.

What are OHFA’s responsibilities Under Ohio’s Public Records Act?
Ohio’s Public Records Act applies to any state agency, public institution, political subdivision, or other organized body, office, agency, institution, or entity established by state law for the exercise of any governmental function. It requires OHFA, and other entities to which it applies, to organize and maintain their public records in a manner that allows for them to be made available for inspection or copying. It also requires OHFA, and other entities to which it applies, to promptly respond to any request to inspect or to provide a copy of public records. Generally, any records requested under Ohio’s Public Records Act must exist when requested. It does not require OHFA or other entities to create new records to respond to any specific request. OHFA employees and officials that have questions about whether a particular record exists or is otherwise subject to Ohio’s Public Records Law should contact the Chief Legal Counsel.

For purposes of Ohio’s Public Records Act, a prompt response means without delay and with reasonable speed based on the circumstances or facts related to the underlying request. OHFA strongly encourages anyone that wishes to inspect public records to call and make an appointment to inspect those records so that adequate preparations may be made to accommodate them. In this context, the promptness of any individual request and its reasonableness will take the following information into account: (1) the order in which the request is received; (2) the volume of records subject to the request, including the time and resources necessary to make records responsive to that request available; (3) whether or not the records are immediately available or must be requested from an off-site storage facility; and (4) whether or not records subject to that request contain privileged or confidential information not subject to disclosure under Ohio’s Public Records Act.
Full attention of the OHFA personnel must be given to the gathering of records in response to any request. If a request is sent to you directly, please make certain that it is forwarded to the Chief Legal Counsel as soon as possible.

FILE ORGANIZATION AND FILE MAINTENANCE

In compliance with H.B. 9, effective on September 29, 2007, OHFA must organize and maintain public records in a manner in which they can be made available for public inspection. As a result, all divisions within OHFA must work in conjunction with the Chief Legal Counsel to establish a recordkeeping system that allows for timely and efficient access to all records.

PROCEDURES

Although no specific language is required to make a request, all requests must identify or describe the records requested with clarity sufficient to allow OHFA to identify, retrieve, and review those records. If a request does not sufficiently identify or describe the records being sought, OHFA may contact the requester and request that they clarify their request. OHFA may also assist the requester by telling them how it maintains its records. A requester is not required to put their request for records in writing, nor is a requester required to provide their identity or reason why they are making that request. OHFA employees and officials should generally not request this information unless that information could assist them in identifying or producing the requested records. Similarly, OHFA employees and officials may inform the requester that written requests typically allow for a more accurate and timely response, but the requester is not required to make their request in writing if they do not wish to do so.

Once the request is received, it is to be hand-delivered (or, if an oral request, conveyed) to the Chief Legal Counsel as soon as possible. The Chief Legal Counsel or assigned staff may seek clarification of requests that are unclear in nature or do not reference a specific document as further discussed below.

The Chief Legal Counsel will review the request and determine who would be helpful in responding to the request.

The Chief Legal Counsel will then send those individuals that maintain the requested records, a copy of the request with a deadline for producing a copy of the records, if the amount is minimal or the original records if voluminous. This can be decided for each case as appropriate.

Once the documents are gathered, the Chief Legal Counsel will review them and discuss with the appropriate staff what is relevant and acceptable for release. If applicable, an explanation for why certain materials were withheld or not considered public records will be provided to the requester along with any responsive records. If the requester wishes to view the documents at OHFA prior to determining what he wants copied, the office that maintains the records may be asked to provide an employee to accompany the requester during their inspection of the records to ensure that the records are not destroyed or damaged.

The Chief Legal Counsel will maintain a copy of the public records released and the original request in accordance with OHFA’s record retention schedule.

If the records’ request is of a routine matter and repetitive in nature, the Chief Legal Counsel may provide instruction to the division on how to answer any similar requests without the further involvement of the Chief Legal Counsel. However, it will be the responsibility of that particular division to forward a copy of the request and the documents that were provided to the Chief Legal Counsel for retention in accordance with OHFA’s record retention schedule.

RECORD RETENTION SCHEDULES

OHFA has primarily adopted the general schedules written by the Ohio Department of Administrative Services. The general schedules are located at http://apps.das.ohio.gov/rims/General/General.asp which is a readily available location to the public as required by O.R.C. 149.43(B)(2). Those general schedules are periodically updated and are available online.

COMMUNICATING WITH REQUESTERS

The Chief Legal Counsel only, may ask a requester to make the request in writing, to identify the requester, or to identify the requester’s intended use of the public records only after the Chief Legal Counsel discloses to the requester that: (1) the requester may decline and (2) when a written request or disclosure of the identity or intended use would benefit the requester by enhancing the ability of OHFA to identify, locate and deliver the public records sought.
REDACTING PUBLIC RECORDS
If portions of a public record contain information that is exempt from disclosure by Ohio law, the exempt portion must be redacted and the rest released. The requester must be told that the public record was redacted and make the redactions plainly visible. If there are multiple redactions, each redaction must be accompanied by a supporting explanation, including legal authority.

MEDIA REQUESTS
If the request involves the media or has come from a media source, the Chief Legal Counsel will provide a copy to the Director of Communications and Marketing (if the request has not already come through that office), and the Chief Legal Counsel and Director of Communications and Marketing will determine the appropriate persons to gather the information, and the request will be handled as outlined above.

LEGISLATIVE REQUESTS
With regard to a records request that is from a legislative member, the Director of Legislative Affairs and the Chief Legal Counsel will coordinate the production of the records, and the Chief Legal Counsel will review the records and coordinate the release of the records.

COPYING AND MAILING COSTS
Those seeking public records may be charged only the actual cost of making copies not the labor. The charge for paper copies is $0.05 per page. Any records emailed are free. Records may also be available in electronic format which can be emailed or copied on a DVD and mailed to the requestor.

A requester may be asked to pay in advance for costs involved in providing the copies. The requester may also ask to have the records supplied in any manner. If the documents are mailed, the requester may be charged the actual cost of the postage and mailing supplies.
PURPOSE
The Ohio Housing Finance Agency ("OHFA") takes the protection of sensitive or confidential information, including personally identifiable information (PII), very seriously. To that end, this Policy lays out the basic expectations and safeguards applicable to OHFA employees, contractors, officials, and other agents designed to maintain the sensitive or confidential nature of that information and prevent its inadvertent disclosure to any unofficial or unauthorized source. The sensitive or confidential information described in this policy may be contained on agency paper documents or electronic media (CDs, DVDs, Tapes and hard drives). This policy is designed to supplement State of Ohio Information Security Policies and does not limit or nullify the authority of any State of Ohio policy.

REVISION DATE
This procedure was last revised on November 14, 2019.

SCOPE
This policy applies to OHFA employees, contractors, temporary personnel, and other agents with access to OHFA facilities or databases.

GENERAL POLICY
All documents, including computer printouts, emails, forms, applications, and personnel records, are to be shredded. Security containers are located on each floor at OHFA. Those security containers are generally located near printing and copying stations and their contents will be collected and shredded at scheduled intervals. Any items that cannot be shredded, such as CDs, DVDs, or tapes, are to be securely held by the person that created them, or their department, who will then contact the OHFA Facilities Office to make arrangements for their destruction.

Trash cans may only be used for items with no security threat, such as meal wrappers, napkins, or "junk" mail.

DOCUMENT SECURITY
It is critical that documents be disposed of by means of shredding to protect any sensitive or confidential information that may be contained on those documents. Shredding also prevents or minimizes any inadvertent or malicious loss of sensitive data.

PHYSICAL SECURITY
Security containers are accessible to OHFA personal at all times, except while being emptied by the contract shredding team. These security containers will also remain locked at all times, except while being emptied by the contact shredding team.

ERROR IN PLACING ITEMS IN SHREDDING BINS
Anyone that mistakenly places materials into a security container should immediately contact the OHFA Facilities Office. It may be possible to retrieve any item mistakenly placed in a security container, but OHFA personnel should not assume that they will be able to retrieve those items. If an item may be retrieved, a representative from the OHFA Facilities Office accompanied by Legal or Human Resources staff will open the container. HR or Legal will monitor the search by the personal that mistakenly placed it in the security container.

POLICY COMPLIANCE
All OHFA employees must follow and act according to this policy to minimize the potential that confidential or sensitive information will be disclosed to any third party. Failure of any OHFA employee, contractor, temporary personnel, or other agent to follow this policy will result in discipline, up to and including termination, as well as any applicable civil or criminal liability under the law.
PROFESSIONAL SELECTION POLICY (E1)

POLICY
The Administration Committee is responsible for reviewing the proposals and making recommendations for the selection of a Financial Advisor and selection of the Investment Banking Team, which includes the single-family housing program senior, co-senior and co-managing underwriters and the selling group members. The Administration Committee also interviews and makes recommendations on the selection of the Executive Director.

REVISION DATE
This policy was enacted on June 15, 2011 and was revised on October 13, 2013 and can be revised at any time upon the OHFA board's approval.

GUIDELINES

Financial Advisor and/or Investment Banking Team
Selection of both the Financial Advisor and the Investment Banking Team is done approximately every three to four years depending on the economic considerations of the bond market as well as the performance of the current providers in place. Selection of the Financial Advisor and the Investment Banking Team is done at two different times using two separate Request for Proposals. In addition, it may be prudent to have the Financial Advisor and/or members of the Investment Banking Team agree to one year renewals if it is in the best interests of the Agency to continue either of their engagements.

Generally, OHFA publishes a notice in a nationally recognized publication to notify interested parties that it will be conducting a Request for Proposal (RFP). The notice will direct all interested parties to visit the OHFA webpage for details concerning the process and the various deadlines for responding to these RFPs. A review team will be comprised of OHFA staff members, one member of the Selection Committee and other professionals under contract with OHFA such as bond counsel or such other appropriate entity if deemed necessary and advantageous for the selection of such services.

The RFP process will allow the respondents to submit written questions that will be responded to on the webpage. Once the internal review team has reviewed all proposals interviews of the applicants may be conducted but may not always be required. The internal review team will make recommendations to the Administration Committee based upon the firm or combination of firms that gives OHFA the most effective combination of qualifications, services to be provided, understanding of the projects and needs, demonstration of ability to identify and analyze key issues, experience with similar projects and issuers, proximity of corporate offices, assurances and availability of key personnel, costs, and benefits to the State of Ohio.

The Administration Committee will review the recommendations of this internal review team and will make recommendations to the OHFA Board for final approval.

Executive Director
Upon the departure of the Executive Director of OHFA, the Administration Committee will meet to determine the most appropriate method of locating a suitable replacement for the Executive Director. The Administration Committee may request the Human Resources Office of OHFA to assist in any posting of the position in either the state system or on a national level. The Human Resources Office will assist in any way to facilitate the Administration Committee by conducting interviews of potential candidates, including copying of resumes, screening of applicants, and performing all administrative duties required to perform the search that may be required.

The Administration Committee will recommend a candidate to the OHFA Board for final approval.

In addition, the Administration Committee will conduct an annual review of the Executive Director and shall use any tools the committee feels are appropriate to review the Executive Director’s performance.
BUILDING AND EQUIPMENT MAINTENANCE (F1)

PURPOSE
This policy provides assistance on how to request service on any office equipment including computers and printers.

REVISION DATE
This procedure was last revised on January 9, 2015.

PROCEDURES
The Administration Office provides maintenance or service for all office equipment, furniture, cubicles, copiers, fax machines, calculators, lights, heat, air conditioning, restrooms, telephones, water leaks, etc. Please contact John Lloyd, Director of Facilities at 466-4112 or the Facilities Office staff for assistance.

The Facilities Office staff is responsible for adding toner, supplying copy paper for each division and making service calls for the copiers. Please use the Facilities Help Desk on the Intranet for assistance.

For computer and printer problems, contact the IT Help Desk (466-0489) for assistance.
BULLETIN BOARDS (F2)

PURPOSE
The bulletin boards are intended for informational notices that will benefit OHFA employees.

REVISION DATE
This procedure was last revised on September 1, 2007.

PROCEDURES
Bulletin boards are located in the hallways on the second through fifth floors and across the hall from the Employee Health Services on the first floor.

• Notices may be posted for a maximum of thirty days. Notices must be dated. The exception is a business card from an employee's outside business. These business cards may be posted indefinitely. (Please note that employees are prohibited from using state time or resources to operate outside businesses.)

• Notices must include the name of the employee or office posting it.

• Notices for business enterprises are acceptable. The notice must not create a conflict of interest or appear to show favoritism.

• Notices for one-time personal sales (used car, tickets, puppies, etc.) are acceptable.

• Notices for fundraisers for charitable, educational, athletic, or religious organizations are acceptable.

• Notices that advocate a particular political party or candidate are unacceptable.

• Cartoons, editorials, etc., may not be posted.

Notices that do not meet these guidelines will be removed.
CHARITABLE FUNDRAISING (F3)

PURPOSE
The policy of the State of Ohio is designed to set forth the following guidelines related to charitable solicitations, fundraisers and other charitable activities conducted by state employees during normal working hours. This policy is intended to:

1. Strictly prohibit any form of gambling;
2. Limit the number of state-sanctioned charities, which can actively raise funds on state time;
3. Provide guidance on the types of fundraising activities which are acceptable; and
4. Allow non-charitable, employee-oriented fundraising activities at the discretion of each individual director or designee.

CROSS REFERENCE
• Ohio Administrative Code (OAC) § 123:1-28-01

REVISION DATE
This policy was revised on November 7, 2019 and is based primarily on a Governor Memo dated October 12, 2007.

GENERAL INFORMATION
The Combined Charitable Campaign (“CCC”) is the primary state-sanctioned fundraising program. A department of the state should not officially support any activities sponsored by individual charities, which belong to the CCC. Charities such as the Ohio Hunger Task Force receive donations through payroll deduction and should not receive official state support for their non-CCC charitable fund-raisers, such as the Task Force Bike-a-Thon. This does not mean that individual employees are not permitted to participate or encourage fellow employees to participate as part of an individual effort by that employee.

Governor Strickland encourages State of Ohio employees to engage in charitable activities such as the ones listed above. However, the Governor firmly believes that, while on state time, Ohio’s taxpayers expect state employees to do the jobs that they are paid to perform. Therefore, this policy seeks to balance these two (2) important objectives.

CHARITABLE ACTIVITY ON STATE TIME

Limited Activity Permissible on State Time
During the “on the clock” hours, state employees should, with very limited exception, be engaging in the work for which they’ve been hired to perform. Agency directors are authorized to permit de minimis expenditures of state time in support of charitable activities.

State employees desiring to provide substantial, ongoing, regular volunteer services to charitable entities will need to do so before or after work, during lunch, or other authorized break periods, on weekends or during other non-state time. Employees may also use vacation, personal or comp time for volunteer activities during normal work hours if such leave usage does not interfere with agency operations and is approved by an employee’s immediate supervisor.

Executive Director Discretion
This policy is not intended to interfere with the discretion of each agency director to permit limited, nonrecurring, episodic expenditures of state time in support of charitable activity. For example, the Executive Director may determine that employees may be excused for 60-90 minutes to participate in agency sponsored events such as Operation Feed, Holiday Food Basket and Adopt-a-School, even though such activities are not part of the CCC campaign. Participation in Operation Feed, Holiday Food Basket and Adopt-A-School by employees is to be strictly voluntary.

In addition, this policy in no way limits the state employee activity on behalf of the combined charitable campaign which is authorized by OAC 123:1-28-01.

Employee Use of Flexible Schedule Opportunities
Employees are permitted to take advantage of flextime to accommodate their volunteer activity. However, supervisors should keep in mind when addressing these requests that the primary work of the agency should be meeting their operational needs. This policy is in no way intended to require agencies to modify policies, procedures or contractual agreements to accommodate employee volunteer activity.
FUNDRAISING ON STATE PROPERTY

Within the context of the above parameters, state employees may engage in fundraising activity on state property. This activity may include fundraising events like bake sales, jeans days, craft sales and must comport with all state law and regulations (e.g., health and safety regulations related to the serving of food). Before conducting a sale of perishable food items, the Chief Legal Counsel must be notified in order to verify whether a permit is required. Any fundraising event that is not associated with CCC and for other programs, which are not a part of CCC may be conducted with prior approval of the Executive Director. No other fundraising events may be conducted on state property during normal business hours.

Impermissible Fundraising Activity

Fundraising activities on state property may not involve:

1. The sale or service of alcoholic beverages;
2. The raising of funds through gambling activity. Gambling includes raffles, door prizes or any other method of obtaining a monetary award or prize by luck or chance for the price of a donation;
3. Any solicitation of food, cash or other items from a vendor, retail store, restaurant or other private person or entity with whom the Agency does business with or regulates.

Permissible Fundraising Activity

Fundraising activities may take place in the following circumstances:

1. Modest Non-Profit Fundraising – state employees may engage in limited fundraising activities for non-profit organizations on state property with the Chief Legal Counsel’s permission. Such activity should not be disruptive to workplace activities and should never involve a supervisor soliciting an employee who reports directly or indirectly to him or her. Accordingly, all such solicitations should either be entirely passive (e.g., a box on a desk corner noting the purpose for which contributions are being solicited) or entirely non-coercive. No employee should ever feel pressured by a coworker to make any sort of donation to a charitable organization.

Miscellaneous permissible fundraising activities include individual voluntary efforts such as the annual Girl Scout cookie sale, sales of candy bars to support a child’s school, and various walk-a-thons, swim-a-thons etc., for organized charities.

2. Fundraising for the Benefit of State Colleagues - At the Executive Director’s discretion, fundraising events may be held to raise money to benefit an individual employee. Examples include purchasing retirement gifts, funeral flowers, collecting donations to assist a fellow employee with a family or medical hardship or other family hardship. Any such solicitation should conform to the restrictions above aimed at minimizing workplace disruption.

ACCOUNTABILITY

Each Office’s leaders and volunteers should consider the following to safeguard contributions:

- Designate a Coordinator and Treasurer for the charity activity. Dual control translates into two person accountability for all funds collected, which is another important aspect of internal controls.
- Follow cautious cash and check handling procedures. Maintain a revenue log record for all receipts as soon as possible. Exchange cash for a Money Order, payable to the charity, on a weekly basis or at every $100.00 to $200.00 accumulation.
- All funds collected must be locked in a secure place or locked in the safe in the Finance Office.
- Document funds disbursed or payments made. Promptly pay all contributed funds to the respective charity at the conclusion of the designated fund raising time period. Obtain the charity’s receipt or other official acknowledgment for the total of all funds paid to the charity. Keep all financial records and payment documentation about the fund raising activity for three years after the conclusion of the activity.
- Some leaders have established a bank account for the fund raising activity. The account is entirely outside of the Agency’s responsibility and is personally administered by those leaders. If an account is established, it is important to reconcile the account each month and maintain the records documenting all business activity.
CONFERENCE ROOMS (F4)

PURPOSE
To enable staff to schedule any conference room or the training facility and to assist with operating the AV equipment in the Board Room and Conference Rooms 209, 312, 214, 320, 401 and 502.

REVISION DATE
This procedure was last revised on April 12, 2018.

PROCEDURES
Conference rooms (except the Executive Suite Conference Room on the second floor) are reserved as part of meeting scheduling in MS Outlook.

Please contact IT or Facilities if you need instruction for reserving a room.

Let the Facilities office know well in advance if you have any special needs for a meeting.

Christine Proebstl, Executive Office (387-1638) schedules the Executive Conference Room on the second floor.

No food or drinks are allowed on the podium or around the equipment in the Board Room. No food or drinks are allowed in the Training Room.

**Capacity (See Room Descriptions) At Table* Around Room**

| Training Room | 12 | N/A |
| Board Room | 20 | 66 |
| Committee Room 214 | 12 | 30 |
| Conference Room 209 | 10 | 10 |
| Conference Room 312 | 10 | 10 |
| Conference Room 320 | 8 | 12 |
| Conference Room 401 | 10 | N/A |
| Conference Room 502 | 10 | N/A |

* Normal configuration ** May require additional chairs to be moved to the room

BOARD ROOM, TRAINING ROOM AND CONFERENCE ROOM EQUIPMENT

General Information
OHFA's Board room and select conference rooms are equipped with a sophisticated audio-visual system. The system includes projection of computer or VHS/DVD tape programs and document camera images, and can play audio programs stored on CD or cassette tape. The system can provide limited sound reinforcement. The system can accept input from guest computers and video sources.

If you need IT support or guests will be bringing equipment that must interface with our systems, please notify IT in advance of the meeting.

Please make sure you schedule any set-up or clean-up time that you need, and make sure you cancel your reservation if a meeting will not be held. Special room set-ups take time and coordination, and may not be possible on short notice. Please make sure that the room is left in good condition for the next user.

Our facilities are sometimes available for use by outside groups, especially if the use furthers our mission. Contact the Facilities Office for details and information.

Special Note: Computers should generally be left "on" but with all users logged out. This allows the computers to receive daily updates and will help prevent poor performance. Wireless keyboards and mice should be switched off or returned to their charging cradles after use.

Board Room
OHFA's Board room is equipped with a sophisticated audio-visual system. The system includes projection of computer, VHS tape or DVD programs and document camera images, and can play audio programs stored on CD or cassette tape. The system
provides limited sound reinforcement. The system can accept input from guest computers and video sources.

No food or drinks are allowed on the podium or around the equipment.

The system is operated from a touch screen remote control. The control is normally kept on the equipment rack behind the podium. The remote control can be unplugged from its power supply and used anywhere in the room, or left plugged in on top of the rack.

Touch the screen to activate it. The initial screen allows two choices: "Window Shades", which allows control of the window shades without starting the other A-V equipment, or "System Start", which takes you to a "System Power Screen".

Select either Projector & Audio or Audio Only from the "System Power" screen as appropriate.

Selecting Projector & Audio will power up the equipment rack, turn on the projector, lower the projection screen and close the room blinds.

Selecting Audio Only will power up the equipment rack only. The blinds, screen and projector can also be controlled individually. Once the system has powered up, use the touchpad to select the equipment that you need to control from the bar at the top of the screen. Use the arrows at either side to bring up additional screens with other choices.

The "Speaker" icon allows for program volume control. A sub-menu allows microphone volume to be controlled.

Please note: The equipment controls on the rack itself should generally be left alone. The system is designed so that almost all functions can be performed using the remote touch screen. Please remember to plug in the touch screen's power cord when you are finished, to keep the batteries charged.

**CD Playback**

Insert a CD into the player (located on the rack). Using the touch screen, select the "CD player" icon. This sets the CD as the source, and brings up the player's controls on the screen. When finished, eject the tape by pressing the Eject button on the front of the player.

**Sound Reinforcement**

When the system is turned on, any sounds picked up by the microphones are amplified and fed to the speakers. This provides a very modest amount of sound reinforcement. Adjust microphone volume on the remote control, from a sub-menu of the volume control page.

**Conference Calling**

The Boardroom is equipped with a tabletop conference telephone with remote microphones.

**VCR Playback (VHS)**

Insert a tape into the player (located on the rack). Using the touch screen, select the "VHS cassette" icon. This sets the VCR as the source, and brings up the controls on the screen. When finished, eject the tape by pressing the Eject button on the front of the player.

**Computer**

A PC is located in the podium. The monitor in the podium may need to be switched on. A keyboard is located in a drawer in the podium and a wireless mouse is located near the PC. Return the mouse to its cradle after your meeting.

Using the touch screen, select the "Computer" icon. This brings up a screen where you choose from the Main PC, one of two "Auxiliary Laptops" or the "Video Overhead." Choose the "Main PC" to use the computer in the podium. A picture mute button is also shown on the touch screen. It can be used to temporarily turn the projected picture off.

**Guest Computer**

A guest computer can be used with our system. It should be plugged into the jacks marked "Aux Laptop" at either side of the front of the room. Using the touch screen, select the appropriate "Aux Laptop" icon.

**Guest Video**

A guest video source, such as a VCR or DVD player can be used with our system. It should be plugged into the jacks marked "Aux Video" at either side of the front of the room. Using the touch screen, select the appropriate "Aux Video" icon to select it as the source. No control of the guest device is possible.
Video Overhead

A Video Overhead unit is located in a drawer on the side of the podium. It must be manually turned on (the switch is on the front left). Using the touch screen, select the “Video Overhead” icon. You then use the controls on the video overhead. This device is capable of displaying transparencies, opaque documents, or even objects through the projector. The camera arm unlocks and pivots up, and the camera itself swivels into position. Remove the lens cap from the front of the lens. There are focus and zoom controls on the control panel. The unit has two lamps mounted on arms that pivot up into position for use with opaque documents. A lighted base is used for transparencies. Switch between lamp modes with the lamp button.

Be sure to replace the lens cap and turn off the power when you finish.

Training Room

To turn the projector on, push the power On button on the “NEC” remote control unit. Start the computer by pushing the power button on the computer. CD/DVD player is in the computer.

To play VHS video tapes, insert tape in player located in the rack, push Video on the remote. Volume adjustments are in the rack.

To turn the projector off, push Off on the remote. Hold the button for a few seconds.

Please make sure that the training room is clean and ready for the next user when you finish. Glass cleaner is provided for removing finger prints, etc., from the workstation screens.

Conference Room 209

To operate the equipment in this room locate the remote control units for the projector located in the glass fronted rack.

Lower the screen using either the plate on the wall or the screen remote.

Turn the projector on by pushing the on button on the projector remote. Next press the Input 1 button to project the computer or Input 4 to project the DVD/VCR player.

Conference Room 214 (Committee Room)

This room is equipped with a computer (with wireless Keyboard and mouse), ceiling-mounted projector, manual screen and sound system. The equipment is housed in the cabinets at the front of the room. Connections for a guest laptop are located in a floor box under the conference table (switch to the desired input with the projector remote control).

The sound system is set up to support sound reinforcement and program audio. Input from the table microphones is only delivered to the speakers in the back of the room to help prevent feedback. Audio from program sources is delivered to all speakers.

Conference Rooms 312, 320, 401 and 502

Conference Rooms 312, 320, 401 and 502 are equipped with computers (with wireless keyboards and mice) and wall-mounted monitors. Guest laptops can be supported (contact IT for instructions and support). Picture source is controlled by using the monitor’s remote control.

Executive Board Room (Second Floor) 30 x 58 ft. room

Professionally installed A/V system, including:

- Large lectern with built-in computer
- 3 surface microphones on the table
- Ceiling mounted speakers
- Ceiling mounted LCD projector
- Audio cassette recorder/playback
- DVD player
- VCR playback
- Cable TV
- Video presenter (overhead projector)
- Wall inputs for additional computer, audio, and video equipment
- Automated window shades and projection screen
- Speaker phone on table (728-5718)
- Magnetic whiteboard in cabinet w/ 2 easel pads and pull-down projection screen
- Room has windows facing North overlooking Main Street

Executive Conference Room (Second Floor) 13 x 21 ft. room

- Magnetic whiteboard in cabinet with easel pad and tackboard
- Speaker phone (728-9726)
- Two phone and data jacks in walls
- Wall mounted coat hanger
- This room has windows facing an interior hallway
Committee Room 214 (Second Floor) 18 x 44 ft. room

- Magnetic whiteboard in cabinet w/ easel pad and tack board
- Speaker phone (752-9554)
- AC, phone, data jacks (under the table)
- Three phone and data jacks in walls
- Boundary microphone on table
- Built-in cabinet with counter space
- This room has no outside windows

Conference Room 209 (Second Floor) 18 x 20 ft. room

- Magnetic whiteboard in cabinet w/ 2 easel pads and pull-down projector screen
- Speakerphone (752-9920)
- AC, phone and data jacks in floor under table
- Two phone and data jacks in walls
- This room has windows with blinds facing North overlooking Main Street
PURPOSE

The purpose of this policy is to define how OHFA will continue providing critical and non-deferrable operations in the event of a disaster.

REVISION DATE

This procedure was last revised on September 1, 2007.

GENERAL INFORMATION

The Ohio Housing Finance Agency (OHFA) offers affordable housing opportunities for Ohioans. OHFA also provides access to financial resources for the development and management of safe, sanitary and affordable housing. The Agency’s programs serve first-time homebuyers, renters, senior citizens and other populations with special needs who otherwise might not be able to afford quality housing.

A disaster is defined by this plan as any event or circumstance that prevents us from performing those tasks which are considered critical and non-deferrable; the consequences of not performing these operations or performing them incorrectly would threaten human life, cause serious economic damage to our agency, employees, or customers, or have a serious adverse impact on the operations of our customers.

The following services are considered critical and non-deferrable:

- Section 8 voucher processing and distribution
- Distribution of payroll to employees, timekeeping and benefits
- Maintenance of building utilities, safety and security
- Participation in OEMA and FEMA disaster management efforts

This plan applies to all offices of OHFA.

Triggers that could impair service:

- Closure or temporary closure of the Agency’s offices due to loss of HVAC or other building systems, utilities (gas, electricity, telephone or data lines), or weather-related emergency.
- Structural Damage caused by fire, water damage, explosion, or natural disaster.
- Release of chemical or biological agents within or in the vicinity of the facility such that evacuation is necessary.
- Other causes which have a similar effect upon the workspace.

ASSUMPTIONS OF THIS PLAN

- A sufficient staff of qualified employees will be available
- Inefficiencies are expected during the recovery period
- Adequate funding will be available to complete the plan
- Existing procedures may be streamlined during recovery
- Incoming telephone calls will be re-routed within 48 hours
- Mail and incoming packages will be rerouted beginning within 24 hours
- The computer system may be unavailable for up to 14 calendar days
- Building evacuation plans are adequate
- Health care and public safety agencies and institutions will be operational
- Individual offices will have planned for stabilization and recovery of their critical functions within the framework presented here.

PLAN SECURITY

This plan contains a significant amount of information about our agency and should be shared only with those people affected by it, and others within State Government who are involved in security and safety issues. Any requests for information originating outside of these groups should be referred to the Disaster Recovery Committee Chair.

DISTRIBUTION

This plan will be distributed to individuals and organizations listed in Appendix N.

PREPARATORY ACTIONS

Responsibilities

Executive Board

- The Executive Board sets policy for, and gives direction to the Agency, approves all contracts, certain personnel actions, and certain expenditures.
Operating/Administrative Policies

Executive Director
- Assess situation; implement response plan based on circumstances; implement recovery procedures and restore services.

Chief of Staff
- Serve as Acting Executive Director in absence of Executive Director; Assist Executive Director as directed

Offices Directors
- Assess situation; implement response plan based on circumstances; implement recovery procedures and restore services for office.

OHFA Employees
- Contact OHFA Emergency Message Line for updated information. Follow department procedures for recovery. Refer all news media to the Communications and Marketing Office.

Communications Office
- Disseminate information to the public through news media.

People
See Appendix A for a roster of employees

Employees will be issued an “Emergency Procedures Card” which will list OHFA’s emergency contact number, and will list initial steps to be taken in the event of a disaster. The emergency contact number is (614) 387-2849. This line will allow outbound greetings only (no incoming messages).

The default greeting, to be used when no emergency exists, will be “You have reached the OHFA Emergency Message Line. There is no emergency at this time. You may not leave a message on this line. Please contact OHFA at (614) 466-7970.”

The OHFA Executive Director, or his designee, is responsible for recording an appropriate message in the event of an emergency.

Documents/Data
The following documents are secured in a Disaster Recovery Kit at the Ohio Department of Development offices at 77 S. High Street, Columbus, Ohio 43215:
- Disaster Recovery Plan
- Personnel Roster including OHFA Executive Board, with emergency contact information (Appendix A)
- Equipment Inventory (Appendices B, C, D, E, and F)
- Procedures Manual (OHFA How-To Book)
- Individual Division Contact Lists, Recovery Plans and Resources (Appendices H, I, J, K, and L) (CD & Paper)
- IT Specific Plans, Contact Lists, etc. (Appendix G) (CD & Paper)

Software
See Appendix B for a listing of installed software.

Equipment and Computer Hardware
See Appendix C for a list of installed computer hardware.

Communications
See Appendix D for a list of installed telephone equipment and installed telephone lines.

Supplies
Supplies can be ordered through typical normal vendors. The following supplies are unique and will be placed in the Disaster Recovery Kit:
- Current OHFA Letterhead Paper (minimum one copy – to be used as a duplication master)

Space
The primary temporary relocation site will be to the ODOD Offices in the Riffe Building at 77 S High St, Columbus, Ohio 43215.
- Approximately 60,000 square feet will be needed for eventual complete relocation and restoration of services.

Power and Environmental Controls
The relocation site must provide sufficient electric power for normal operations. UPS units required for servers are included in Appendix C.

Vehicles
Vehicles owned by OHFA are listed in Appendix F. The vehicles are garaged at the City Center Parking Garage. The ODOD Facilities Office holds spare sets of keys for each vehicle. Replacement access cards for the parking garage can be obtained from the garage office.

If the vehicles are not available, the Facilities Office will temporarily lease any vehicles needed.
**ACTIVATION AND RECOVERY**

**Emergency Response Steps**
1. Account for all personnel if event occurs during working hours
2. Contact essential team members
3. Assess damage to facilities and equipment
4. Initiate Disaster Recovery Plan as appropriate.

**Restoration, Recovery and Resumption of Services**

**Executive Director**
1. Call an Emergency Meeting of the Executive Board, if necessary.
2. Give public notice of the Emergency Meeting by faxing a meeting notice to the Statehouse pressroom.
3. Assign someone to take minutes of the meeting.
4. Account for all personnel
5. Assess facility condition / Decide if relocation is needed.
   - If relocation is needed, assign the following tasks to recovery team as appropriate:
     - Contact ODOD Site Coordinator to prepare for transition
     - Contact landlord
     - Access Disaster Recovery Kit
     - Arrange for transportation of salvageable equipment, supplies and materials
     - Arrange for replacement equipment, supplies and materials
     - Arrange for re-routing of incoming mail and packages
     - Reroute telephone lines
     - Update OHFA Emergency Message Line
     - Assess equipment condition
     - Report status to Executive Director’s Office
     - Report status to Communications Office
     - Contact essential employees
     - Notify customers of service disruption and relocation site, if appropriate
     - Work with Division Directors to devise specific restoration plans and timetables
     - Contact insurance company representatives (Appendix)

**Expected Level of Service**
Critical functions will be restored within 2 days. Full service to the Agency’s customers will be restored within 14 days. Response time and efficiency may suffer during the recovery period.

**Customer Responsibilities During a Disaster Emergency**
Customers will be able to contact us by phone or fax during the recovery period (as soon as phone lines can be transferred). Customers who commonly send us packages via courier service will be notified of our relocation site. Email communication may not be available for 14 days.

**MAINTENANCE OF PLAN**

**Testing and mock exercises:**
- Annually the Disaster Recovery Plan will be reviewed, updated and tested. The test should insure that:
  - Employees are familiar with and able to implement the plan
  - The plan is complete, concise, and realistic
  - The actions are relevant and support the goal of disaster recovery
  - Support services and vendors were able to meet their obligations
  - Timelines and resources assigned are reasonable

Revision Dates (record of changes to this plan) -
July 1, 2005 - Initial implementation

**APPENDICES**
A. Employee Roster (CD & Paper)
B. Including home address, phone and emergency contacts
C. Software Inventory (CD & Paper)
D. Including license numbers
E. Computer Hardware Inventory (CD & Paper)
F. Telephone Equipment Inventory & Phone Lines (CD & Paper)
G. Vehicles Inventory (CD & Paper)
H. Office Furniture and Miscellaneous Equipment Inventory (CD & Paper)
I. IT Specific Plans, Contact Lists, etc. (CD & Paper)
J. Finance Specific Plans, Contact Lists, etc. (CD & Paper)

K. Administration Specific Plans, Contact Lists, etc. (CD & Paper)

L. Homeownership Specific Plans, Contact Lists, etc. (CD & Paper)

M. Program Compliance Specific Plans, Contact Lists, etc. (CD & Paper)

N. Planning, Preservation and Development Specific Plans, Contact Lists, etc. (CD & Paper)
   - Ohio Housing Finance Agency Emergency Procedures and Building Services Handbook (Paper)
   - Plan Distribution List (CD & Paper)
   - Master Copy – Stored at the Ohio Department of Development, Facilities Office
   - Executive Director
   - Assistant Executive Director
   - Director of Administration
   - Chief Information Officer
   - Facilities Manager
   - OHFA Cincinnati Office
   - OHFA Akron Office
   - OHFA Toledo Office

O. Unit Copies containing specific recovery strategies for only the named area:
   - Director of Finance
   - Director of Homeownership
   - Director of Planning, Preservation and Development
   - Director of Program Compliance
   - Director of Information Technology Office
EMPLOYEE HEALTH SERVICES (F6)

PURPOSE
To advise staff how to utilize the Nurse's Office if they should become ill while at work.

REVISION DATE
This procedure was last revised on October 27, 2009.

GENERAL INFORMATION
The Nurse's office is available for OHFA employees and located on the 1st floor in the back hallway off the main Cafeteria. A licensed, registered nurse is on duty every Tuesday and Thursday from 10:00am to 2:00pm for those who wish to seek advice and resources for minor health issues. This office also provides a quiet, confidential area for employees to rest if they should become ill.

The Nurse's Office is also available on designated days for light massage therapy offered by a licensed massage therapist.

PROCEDURES
If an employee should become ill and wishes to use the Nurse's Office, permission must be obtained from their supervisor and then go to the Security Desk. A Security Officer will complete a check-in form and admit the employee to the Nurse's Office. Security will check on the employee within a half hour after admittance to the Nurse's Office. Employees should either return to work or make other arrangements within one hour.
LUNCH ROOM AND VENDING OPERATIONS (F7)

PURPOSE
To enable staff to request a refund from vending equipment or alert staff to any problems with vending equipment or microwaves.

REVISION DATE
This procedure was last revised on September 1, 2007.

GENERAL INFORMATION
The Lunch Room is managed by John Lloyd, Director of Facilities in the Office of Operations.

PROCEDURES
Microwaves and refrigerators are supplied for staff. Users are responsible for cleaning the appliances after each use.

The vending machines are provided by the Ohio Rehabilitation Services Commission and are maintained by Jim Tablett.

There are forms on each vending machine to use to request refunds.

Any questions or concerns regarding the vending machines should be brought to John Lloyd’s attention at 466-4112.
MAILROOM PROCEDURES (F8)

CREATION DATE
This procedure was created on February 11, 2015

INCOMING MAIL/PACKAGES
Mail and packages are delivered to the mailroom throughout the day. In the mailroom, incoming mail is sorted and delivered in a reasonable time to a location determined by each office. Offices are responsible for further sorting and delivering of mail to individuals. Offices should designate one or more individuals to coordinate incoming mail for the office. Our expectations are that:

- Mail will be sorted by the office mail coordinators and delivered to the ultimate recipient daily
- Mail will be handled (or at least triaged) by all staff members on the day of delivery
- Any misdirected mail will be returned to the mailroom or re-routed to the correct office immediately

It is helpful to ask senders to include specific recipient information such as name, office, program or role (i.e. Accounts Payable) when addressing mail to OHFA.

OUTGOING MAIL/PACKAGES
Outgoing mail, both interoffice and USPS, is picked up in each office at various times throughout the day. A schedule is posted on the OHFA intranet. All mail placed in the office's outgoing box by the final cut-off will be processed and posted the same day. Mail can also be brought directly to the mailroom.

Individual USPS envelopes should be sealed by the sender. Moistener tubes are available in the supply room for this purpose.

Bulk mailings using #10 (business-size) envelopes can be sealed by our postage machine. All envelopes must contain the same materials (same weight) and have the flaps folded over individually. The batch of envelopes should be boxed or bundled. See the mailroom staff for detailed instructions.

OHFA contracts with UPS for air and ground delivery services. Packages can also be sent via FedEx, but only if the recipient provides shipping paperwork or agrees to be charged directly by FedEx. Please see the mailroom for full instructions and supplies needed for using these services.

HAND-DELIVERY
Mailroom staff can hand-deliver packages and envelopes to the Rhodes and Riffe Towers and other nearby locations, if needed. Use red interoffice envelopes to indicate that an item needs to be hand-delivered. For larger packages, work directly with mailroom staff to arrange the delivery.

MAIL PROCESSING SCHEDULE
Mail is picked up from office outgoing mail tubs throughout the day. The final pick-up will be no earlier than 3:30 PM. After that time, employees may feel free to bring outgoing mail directly to the mailroom. Any mail picked up or brought to the mailroom by 4:30 PM will be processed and posted by the end of the day. UPS picks up from OHFA in the late afternoon, typically between 4:00 and 5:00 PM. Mail or packages prepared after this time can be deposited in a street box by the sender, if desired.

PERSONAL MAIL/PACKAGES
- Stamped outgoing personal mail can be placed in the office’s outgoing mail tub or brought to the mailroom. Mailroom staff will be happy to weigh mail and offer advice on postage matters.
- Stamps are often available for purchase at face value in the mailroom. See the mailroom staff for assistance. This is not an OHFA-sponsored effort and does not use agency or state funds.
- It is acceptable for staff members to have personal deliveries routed here so long as the recipient understands that OHFA will not be responsible for the safekeeping of incoming or outgoing personal packages. When deliveries arrive, mailroom staff will contact the recipients and ask that they come to the mailroom to retrieve their packages at the earliest possible time. Packages may be left in the mailroom for pick-up by UPS or USPS. Regardless of whether the packages are being delivered or picked up at OHFA, staff uses this service at their own risk.
PURPOSE
OHFA will pay the parking or bus pass fee for all full-time and part-time permanent employees. This program is subject to change or cancellation if OHFA's parking contract is changed or cancelled for any reason.

REVISION DATE
This procedure was last revised on June 23, 2010.

GENERAL INFORMATION
There are a limited number of spaces in the East Parking Lot. Any employee who cannot be accommodated in the lot will be put on a waiting list. While on the waiting list, employees may park in the City Center Garage. Parkers may also choose the City Center Garage, so long as all of the spaces in the East Parking Lot are filled. If any spaces in the lot become available, staff may be asked to move from the garage. The East Parking Lot must be filled at all times.

PROCEDURES
Parkers must furnish the make, model and license plate number of their vehicle(s) to OHFA. If you drive a substitute car, please let the security guards know.

If you will not be using your parking space for a day, a week, or longer, please let Facilities know. They will reassign your space, as needed.

The lot owner is responsible for snow and ice removal from the lot. Accomplishing this sometimes means piling the snow into one or more parking spaces, leaving the space unusable. If you arrive at the lot and find your space filled with a pile of snow, please park in the garage. See the Facilities office for coupons to pay your parking charges for the day, and to make arrangements for subsequent days. We will try to find an alternate spot in the lot for you until the snow melts.

Participating employees agree that OHFA is not responsible for any loss or damage to employees' vehicles or property while parked in the lot.

BUS PASS
OHFA will pay the cost of a bus pass for employees using the Central Ohio Transit System (COTA) bus. Single-day parking for bus riders is available. See the Facilities office in advance to make arrangements.

There are three options for bus passes: Local, Express, or Senior*.

*Note: Before seniors can qualify for the senior monthly rate, they must be at least 65 years of age and must provide a picture identification and Social Security Card. Seniors must show proof of age and must bring proof of age to the COTA Customer Service Center, 33 N High St, first floor lobby (downtown - Monday through Friday, 8:00 a.m. - 4:00 p.m.). An ID will be issued that allows the person to ride the bus at the senior rate.

Bus passes are ordered by the 10th of each month for the next month's pass. Therefore, if you wish to join or leave the program notify us prior to the 10th of the month before the effective month.

Bus passes are picked up from COTA after the 15th of each month and distributed by the Facilities Office to the employee.

Any situations not covered here will be handled according to the direction of the Executive Director.
INTRODUCTION
In compliance with Ohio Revised Code Chapter 149, and pursuant to DAS Directive No. GS-D-04, the Ohio Housing Finance Agency (“OHFA”) has established a records management policy to ensure the proper scheduling, storage and disposal of agency records. The policy is under the jurisdiction of the Legal Office.

The Ohio Revised Code places responsibility on each individual agency in Ohio for creating and administering its own records management program, to provide for the proper retention of records, to provide for legal disposal of non-current records through proper documentation and approval, and to properly manage non-current records in a uniform and consistent manner agency wide.

OHFA is prohibited from removing, destroying, mutilating, transferring or otherwise damaging or disposing of, in whole or in part, any records except in accordance with a records retention program established by OHFA. (Ohio Revised Code 149.351)

OHFA has adopted the DAS General Schedules established by the Ohio Department of Administrative Services, whenever the schedules are applicable. An index to the schedules is attached to this Policy. In the event that OHFA maintains records or a record series that does not appropriately fit one of the general schedules, OHFA shall adopt a record retention schedule as outlined by DAS and the RIMS User Manual, a copy of which is attached to this Policy.

All OHFA employees are responsible for managing their records from creation to destruction or archiving based on the Records Management Policy. This entails labeling and filing records consistently within an established system, alerting Office Records Liaisons to any new record series that may require a new records schedule, notifying the Agency Records Management Coordinator of records to be destroyed or sent to offsite storage, and observing any applicable record schedules or litigation holds that may affect the retention of their records.

Each Office Director shall be responsible for ensuring that one person in that office is designated to be responsible for the records management and retention process in the area and act as Office Record Liaison to the Legal Office and the designated Agency Records Management Coordinator. This is normally the person who has day to day responsibility for the records in that office or area.

RECORDS MANAGEMENT (F10)

The concept of record management (includes organization, retention and destruction) should be a routine part of daily record keeping duties of all employees. Many offices should reserve time at some point during the year to review the records created over a certain period of time and determine how, where and how long they should be stored. In addition, each office should reserve time at the beginning of the calendar year to clean and organize files, and where appropriate purge files as necessary. Once files are organized, they can be appropriately stored either on site, in our off site paper records storage area or in the Docuware system maintained at OHFA, as each office determines is appropriate. However, this function should be performed when most convenient to the office or program but should be done at regular intervals in a consistent and routine manner.

Records created at OHFA will need to be reviewed to determine whether or not they are needed to be kept to meet both current and future compliance and regulatory needs. Records found to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office will need to be retained based on the terms of their record schedules. Transitory records, non-records that are not usually included within the scope of official records (e.g. convenience copies, reference material, junk mail) as defined by ORC § 149.011 (G), can be destroyed after reviewing for their administrative value.

A record series refers to a group of similar records that are arranged according to a filing system and that are related as a result of being created, received, or used in the same activity. Project files are a good example of these because several documents are created that concern one specific project but the documents may differ but still pertain to the same project. These records will be kept together in the office throughout their active status and in storage during inactivity, as the office determines appropriate for its use and its storage capabilities and how the documents are used. Each type of record series has a corresponding record retention schedule that provides instructions for the disposition of records throughout their life cycle.

A record's physical form or media type is not a factor in its capture. Physical records are collected and maintained in a defined location. Physical paper records can be scanned into Docuware and maintained there, however, care should be taken to determine whether or not Docuware is the appropriate place to maintain these records.
Every record series created at OHFA will need to be analyzed to determine its administrative, fiscal, legal, and/or historical value through completion of a Records Inventory and Analysis form. This is based on the informative and evidentiary status of the record’s content, context, and metadata. A records retention schedule is developed for the record series based on these values and operational need. An “essential records” status is determined at this time.

All records of the Ohio Housing Finance Agency are public unless they are specifically exempt from disclosure under the Ohio Revised Code, or are confidential attorney-client work product or communications. All records must be organized and maintained so that they are readily available for inspection and copying. OHFA’s Docuware system was adopted with this purpose in mind to assure access by multiple divisions in OHFA allowing staff direct access to relevant documents and is useful in meeting these requirements. However, paper files can also be readily searched to respond to any appropriate records request.

The procedure to destroy a record is completed through an authorization process where the Records Management Coordinator receives a destruction request from the offsite storage vendor, verifies the completion of the record’s retention period, consults with the specific office that is responsible for the records to get approval of the destruction, and instructs the offsite vendor to destroy the records. Electronic records can be deleted by the various employees who create them or the Office Records Liaison as appropriate. Any paper files on site, not sent to the offsite storage area, can also be destroyed if appropriate to be disposed of in accordance with an appropriate schedule. Records that have permanent or historical value are either kept on-site indefinitely or archived at the State Archives.

This Office Records Liaison will at least annually review the records retention schedules and inform the Agency Records Management Coordinator by November 30 of each year of needed updates based on changes that may have occurred within the Office.

**FUNCTIONS OF THE OFFICE RECORDS LIAISON**

- Coordinate the records retention process for that office;
- Disseminate information and updates concerning records retention with staff in that area;
- Review records on an annual basis and purge files based on the appropriate records retention schedule;
- Incorporate record retention procedures into daily records maintenance and organization;
- Obtain approval to destroy identified records by completing the certificate of records disposal and obtain all appropriate signatures PRIOR TO DESTROYING records;
- Maintain documentation of retention activities for that office/program to demonstrate compliance with the program;
- Alert the Agency Records Management Coordinator when leaving that position;
- In the case of newly formed programs, work with the Agency Records Retention Coordinator to determine if a new schedule needs to be adopted and assist in its creation.

**FUNCTIONS OF THE AGENCY RECORDS MANAGEMENT COORDINATOR**

- Implementation, coordination, and maintenance of the OHFA record management program.
- Works with office/program record liaisons to provide needed training in coordination with Legal Office on procedures, answer questions, and provide assistance, if necessary.
- Monitor record retention schedules, identify, update and approve retention schedules.
- Notification to office/programs of changes made in retention period of records.
- Approve, maintain, and monitor certificates of record disposal.
- Monitor proper destruction through documentation on certificates of records destruction. Completing “certificate of records destruction” when necessary and obtaining all appropriate approval signatures before destruction takes place.
- Makes recommendations concerning disposal of records.
FUNCTIONS OF THE LEGAL OFFICE/CHIEF LEGAL COUNSEL

- Develop, update, and maintain OHFA's records retention manual.
- Assist both the Agency Records Management Coordinator and the Office Records Liaison with implementation of the Records Management Policy.

GUIDELINES FOR EMAIL

Email itself is not considered a record series or category. It is a means of transmission only, therefore, you need to look at the content of the email to determine the retention requirements of the email. Retention and disposition of email messages must be related to the information they contain or the purpose they serve.

As with any format, an email message is considered a public record if it meets the definition of a record. These records must be maintained and made accessible to the public upon request through the appropriate retention period. The content and any attachments associated with the message are considered a record if it meets the definition of a record per the Ohio Revised Code. Backing up your email or purging all messages after a set amount of time is not appropriate for managing email.

When an employee leaves a position, computer files, including email may not be automatically deleted. Deleting in such instances must follow applicable record retention schedules. Appropriate notification to the departing employee's supervisor will alert that office of the need to have the departing employee assist in organizing the emails and other files of the departing employee for use by OHFA.

It is suggested that folders are set up to help categorize emails. They can be organized in accordance with these four categories by project, subject or other identifying way. After brief periods of time, it might also be prudent to review sent and deleted email boxes for messages that should be transferred to folders to help with categorizing for retention schedules.

An e-mail can be classified and retained electronically according to one of the four categories. Please note that these items can be transferred to other media (example, print) and stored for the proper retention period for that record.

- Non-Record Materials: These e-mail messages do not meet the definition of a record according to ORC 149.011(G). This type of record shall go into a convenience category if the employee does not wish to dispose of or delete immediately. Includes personal e-mails that do not document the organization, procedures, operations and other activities of the office. This would include unsolicited promotional materials, most listserv documents, personal correspondence, non-state publications - materials that are publicly available to anyone, files copied or downloaded from internet sites, etc. These materials may be retained at the discretion of the sender and receiver. However, it is suggested that these emails be deleted immediately or maintained in a “Non Record” folder and deleted later. Examples: Office Holiday party announcement; Invitation to lunch

- Transient Retention: These are e-mail messages that have very limited administrative value because they do not set policy, establish guidelines or procedures, certify a transaction, or become a receipt. These e-mails serve to convey information of temporary importance. Transient records can be destroyed or deleted when they are no longer of administrative value. This includes telephone messages, drafts and other limited document that serve to convey information of temporary importance in lieu of oral communication. These items would fit into the Miscellaneous - Convenience Copies series on your retention schedule. Retain these items until no longer of administrative value, then delete. Example: Meeting notices

- Intermediate Retention: This category of e-mail has more significant administrative, legal, or fiscal value, but does not contain information that influences agency policy. These types of e-mails must be retained for up to a year as e-mail, but can be stored longer, if required in alternative media. Example: General correspondence

- Permanent Retention: This type of e-mail contains messages that have significant administrative, legal and/or fiscal value. These messages may need to be retained for 1 or 2 years or longer. If the retention schedule is more than 2 years, a medium other than e-mail should be used. For example, the user should print the message or file or download the message to a disc. This change in the medium must be reflected in the Retention schedule. Examples: Legal Opinions; Claim File Information

DEFINITIONS

The following terms and their definitions will assist OHFA employees in understanding this Record Management Policy.

Active Record - A record that is regularly referenced or required for current use.
Administrative Value - A record has administrative value if it is used by the agency to carry out its duties. Administrative value is based on how often and for how long the record is used by office personnel, and whether a program would be jeopardized upon disposal of the record.

Archives - Internal departmental or OHFA archive storage where records with historical value are stored.

Confidential Record – A record where disclosure of information is limited or prohibited. Usually records that contain identifying information: e.g. names, social security numbers, account information, or medical information.

Records as listed below in the Ohio Sunshine Laws will be considered confidential. Please refer to the Ohio Sunshine Law Update. Appendix B “Statutory Provisions Excepting Records from the Ohio Public Records Act.”

Appropriate safeguards are to be taken against unauthorized or accidental disclosure of confidential records. Use of OHFA’s Fireproof Shredding Bins located throughout OHFA is the appropriate method for destruction of all confidential records. It is the office’s responsibility to ensure that their records are disposed of in this manner.

Disposition - The final action recommended for a record series on the retention schedule, (e.g., destroy, archives).

Duplicate - A facsimile or replica “produced by the same impression as the original or from the same matrix as the original by means of photography, including enlargements and miniatures, or by mechanical or electronic re-recording, chemical reproduction, or other equivalent techniques, which accurately reproduces the original.” (Uniform Rules of Evidence)

Electronic Records - Electronic records are records that contain machine readable, as opposed to human readable information. Information is electronically encoded for storage and processing by computers, video devices, audio equipment, or other machines.

The Ohio Revised Code (ORC) includes no specific definition for electronic records; however Ohio Revised Code Section 149.01J (G) provides the following definition:

“Records” includes any document, devise, or item regardless of physical form or characteristic, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.

The State of Ohio Electronic Records Committee has established guidelines for state agencies concerning electronic records. Visit the site at [www.ohiohistory.org/ohio junction/erc](http://www.ohiohistory.org/ohio junction/erc), click on Ohio Electronic Records Guidelines.

Fiscal Value - A record has fiscal value if it pertains to the receipt, transfer, payment, adjustment, or encumbrance of funds, or if it is required for an audit.

Historic Record - A record that provides evidence for a fact of history; showing the development or evolution in proper chronological order.

Historic Value - A record has historical value if it documents the agency’s organization, policies, decisions, procedures, operations, or other activities, or if it contains significant information about people, places, or events.

Inactive Record - Records still needed, but not for current operations.

Litigation - A proceeding in a court of law to enforce a right. Same as a lawsuit.

Litigation Hold - The suspension of record destruction when OHFA has knowledge of a potential claim, lawsuit, government investigation, subpoena, summons or other ongoing matter. A litigation hold is issued by the Legal Office that is responsible for notifying all personnel in that area or office who may be custodians of the records that may be related to that litigation. A litigation hold shall apply to all relevant records, regardless of the format in which they are retained (e.g., paper, electronic).

Original - The “writing or recording itself or any counterpart intended to have the same effect by a person executing or issuing it. If data are stored in a computer or similar device, any printout or other output readable by sight, shown to reflect the data accurately is an original.” (Uniform Rules of Evidence.)

Permanent - The continued preservation of information or other matter forever, without any limit in time. A term sometimes used in laws to mean durable rather than forever. The records may not be archival but still need to be maintained.

Record - A record is any document, devise, or item, regardless of physical form or characteristics, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, function, policies, decisions, procedures, operations, or other activities of the office (Ohio Revised Code 149.011 (G)
**Record Series** - A group of similar or related records used or filed as a unit.

**Records Disposal** - The process of totally obliterating information on records by any method to make the information unreadable or unusable under any circumstances.

**Records Retention Period** - The period of time during which records must be maintained by OHFA because they are needed for operational, legal, fiscal, historical or other purposes. Records should be reviewed for destruction or archive transfer after the expiration of the retention period.

**Records Retention Program** - Policies and procedures that determine the period of time for retaining records and controls the ultimate disposition of records at the appropriate time.

**Records Retention Schedule** - A document prepared as part of a records retention program that lists the period of time for retaining records.

**Subject File** - Sometimes known as the central file, general file or general correspondence file; consists of letters, memos, enclosures, reports, informational files and miscellaneous materials arranged by subject.
SAFETY AND EMERGENCY INFORMATION (F11)

ACTIVE AGGRESSOR RESPONSE (F11 - A)

PURPOSE
To provide employees with clear, concise instructions on how to respond to an active aggressor or active threat within the agency.

CROSS REFERENCE
• DAS Policy HR-42, effective February 21, 2017.

REVISION DATE
This policy is effective on June 1, 2017.

DEFINITIONS
• Active Aggressor. An individual who is actively engaged in killing or attempting to kill people in a confined or populated area or attempting to cause harm to as many people as possible. In most cases, active aggressors use firearms and there is no pattern or method to their selection of victims. The intent of most active aggressors is to kill individuals as quickly as possible.

• Active Threat. An active threat is defined as any incident, which by its deliberate nature, creates an immediate threat or presents an imminent danger to human life. Active threats can take many forms and may or may not have the intent of killing targeted people as quickly as possible. Traditional law enforcement responses to active threats will include the concept of "surround and contain" in order to minimize the number of victims. In order to save lives, the law enforcement agency having jurisdiction will initiate an immediate response.

• Threat Types. Threat types include:
  ◦ Active shooter
  ◦ Hostage/barricaded subject
  ◦ Sniper
  ◦ Suicide/homicide bomber
  ◦ Known or suspected terrorist threat (biological/chemical threat)

POLICY STATEMENT
The Ohio Housing Finance Agency recognizes that the safety of its employees, contractors, customers and other visitors in the Agency is paramount. A copy of this policy will be provided to all OHFA employees. New employees will receive a copy of this policy during new employee orientation. All OHFA employees will receive training as per State of Ohio Administrative Policy HR-42 “Response to Active Aggressor.” All staff will complete the video training in ELM and training classes will be provided to all senior staff, floor wardens and security staff, and all other staff.

Employees with questions about this policy should direct them to OHFA’s Office of Human Resources.

APPLICABILITY
This applies to all OHFA employees and contractors working in OHFA’s facility.

PROCEDURES
In the event of an active aggressor or active threat incident within OHFA, the primary mission of the agency is to take all necessary steps to immediately contain and stop any ongoing threat to human life. This mission will be accomplished through a specific response by the first law enforcement officer(s) to arrive on the scene but there are additional things that may need to occur before, during and/or after the law enforcement response.

Discovery of Active Aggressor or Threat
Upon discovery of an active aggressor or active threat situation, when safe to do so, anyone may notify law enforcement (9-1-1) and agency police or security personnel, if possible. An "Active Aggressor" broadcast will be made by members of senior staff, security staff and/or floor wardens, using OHFA’s employee announcement system immediately following the discovery of the threat, describing the threat and last known location of the aggressor. The same information will be disseminated through eNotify via calls, emails, and text messages; members Senior Leadership will administer the mass notification via eNotify. OHFA’s Floor Wardens will assist in directing employees on their floor to either evacuate or shelter-in-place. Employees
should consider finding and taking with them an object that may be used to defend themselves (i.e., an improvised weapon). Employees should ensure that any member of the public (non-employee) is permitted to accompany the employee(s) to the safe zone.

When possible and appropriate, OHFA's security officer, Director of Facilities or a Floor Warden will meet and direct responding law enforcement officers to the location of the aggressor.

When practical, occupants of surrounding buildings or facilities will also be notified as soon as possible.

During an active aggressor or active threat situation, OHFA employees must also consider the following actions.

1. **Run** - If there is an acceptable path, attempt to evacuate the premises. Personnel should be instructed to:
   - Call 9-1-1 when safe to do so.
   - Have an escape route and plan in mind that takes them as far away from the attacker(s) as possible.
   - Evacuate regardless of whether others agree to follow or remain.
   - Leave belongings behind.
   - Help others escape if possible.
   - Alert individuals who are entering an area where the active aggressor may be.
   - Keep hands visible for responding officers.
   - Follow instructions of any law enforcement officer.
   - Do not attempt to move wounded people.

If evacuation is possible, proceed immediately to a safe area away from the building, (specifically buildings including the Westin Hotel, the Crosschecks building and the Columbus Commons Parking Garage) and contact 9-1-1. Employees will meet at the Franklin County Courthouse post-evacuation. Provide the following information to the 9-1-1 operator:
   - Location and description of the offender. Provide as detailed information as possible (e.g., race, gender, hair color, build, tattoos, clothing, etc.) and the last known location of the aggressor.
   - Number of attackers and weapons (e.g., rifles, handguns, knives, explosives, etc.).
   - Location and condition of victim(s).

2. **Hide** - Remain in place until contacted by law enforcement or circumstances dictate otherwise. (ONLY If Not Possible to Evacuate)
   - If practical, allow any non-employees access to the safe zone.
   - Your hiding place should be out of the active aggressor's view. Provide protection if gun shots are fired in your direction (e.g., locating into a restroom or office and locking the door, staying as low as possible and remaining quiet and still) and not trapping or restricting yourself from movement.
   - Lock the door, if possible. The Floor Warden is designated to ensure the door is locked once everyone is in the safe zone.
   - Block the doorway with heavy furniture if available.
   - Silence your cell phone.
   - Turn off any source of noise (e.g., radio, music player, etc.).
   - Hide behind large items (e.g., cabinets, desks, doors, etc.).
   - Remain quiet.
   - Remain in place and stay hidden until you have determined that it is safe. If someone approaches the door and identifies themselves as a law enforcement officer, do not be tricked into talking back. Remain silent until you are able to confirm the authenticity of the claim.

While hiding do the following and prepare to Fight
   - Remain calm.
   - If possible, call 9-1-1 and alert law enforcement of the aggressor’s location.
   - If you are unable to speak, leave the line open and allow the dispatcher to listen.
   - Mute your phone to prevent alerting the aggressor.

3. **Fight** - Take action against the aggressor. As a last resort, and only when your life is in imminent danger, attempt to do the following:
   - Disrupt and/or incapacitate the active aggressor by acting as aggressively as possible against him/her.
   - Use improvised weapons.
   - Scream/yell.
   - Commit to your actions and follow through.
Law Enforcement Response

The goal of law enforcement is to locate, isolate and neutralize the aggressor as quickly as possible to prevent additional injuries or fatalities. In doing so, employees should anticipate that officers will arrive in force and will be armed with rifles, shotguns and handguns and could be wearing exterior body armor. Officers should be displaying some portion of the uniform or tactical gear identifying them as law enforcement officers.

Initially, the site of a violent incident will be secured as a crime scene. The first wave of officers will not stop to assist persons in need. A later group of officers and/or other emergency personnel will provide treatment and assistance.

Reaction to Law Enforcement

When law enforcement is present, it is important to:

1. Remain calm and follow instructions from officers.
2. Put down any items in your hands and raise your arms high.
3. Keep hands visible at all times and avoid sudden movements toward officers.
4. Avoid screaming, yelling or shouting.
5. If asked questions by the officer, provide the information.
6. Do not stop officers to ask questions; just follow their directions.
7. Do not leave the scene until instructed to do so except as provided in section A. above.

“All-Clear” Issued

The “all clear” announcement will be made when the situation has been contained and the scene is declared safe by law enforcement officials.

Employer Response

The health and well-being of OHFA employees, contractors and customers is the priority. As soon as possible after law enforcement has relinquished command and control of the scene, OHFA senior management, in conjunction with the Director of Facilities, the agency’s human resources office and/or the Ohio Department of Administrative Services (DAS), will develop information strategies to address questions related to the event from employees and their families.

- Effective coordination with the media and timely dissemination of information can help reduce media pressure on those who are the most vulnerable. Only those OHFA staff authorized to speak on behalf of the agency or facility shall interact with the media. OHFA’s Office of Communications will coordinate media responses.
- When an incident occurs, it will be important to bring in trained crisis response professionals to provide any necessary physical, emotional and psychological support as soon as possible. OHFA’s Office of Human Resources will coordinate the identification of and communication with Ohio Employee Assistance Program (OEAP) and other trained crisis response professionals and coordinate follow-up.
SAFETY AND EMERGENCY INFORMATION (F11 - B)

PURPOSE
To instruct staff in proper procedures in case of an emergency.

REVISION DATE
This procedure was last revised on January 7, 2019.

PROCEDURES

Fire
Upon discovery of a fire, pull one of the fire alarms and call Security at 387-1660 immediately. Security will need to direct emergency personnel to the emergency location.

Tornado Warning
In the event of a tornado warning, an announcement will be made over the public address system advising building occupants to move to the core of the building for shelter.

AED
OHFA has provided an Automatic External Defibrillator (AED) and an Oxygen/Trauma kit for the health and safety of employees and guests. These units are stored on the second floor, near the spiral staircase. A number of staff have been trained on the use of this equipment. Please see your Floor Warden for the names of trained staff, check the OHFA intranet site for a listing. The names are also noted on the floor plans.

Potentially Threatening Telephone Calls or Conduct
In the event that an employee receives a threatening telephone call or threat of harm from an external source, the employee should immediately contact his or her supervisor, the office Director, the Director of Human Resources or the Chief Legal Counsel. The need to contact the Highway Patrol will be evaluated and investigated. The Highway Patrol should be contacted in the county where the incident occurred. In Franklin County, this information is below:

Franklin County Highway Patrol
Columbus District Headquarters
2855 West Dublin-Granville Road
Columbus, OH 43235
Phone: (614) 799-9241

The link to the Highway Patrol is: http://www.statepatrol.ohio.gov/contact.aspx#
SECURITY DESK AND VISITORS (F12)

PURPOSE
To advise staff how the security guards can assist them and how to receive guests.

REVISION DATE
This procedure was last revised on January 7, 2019.

GENERAL INFORMATION
The building at 57 East Main Street is protected by an electronic lock system, security guards and a closed circuit TV system. Each staff person is also responsible for his/her own safety and the safety of their coworkers.

Staff should be aware that some individuals may blame the Agency and its employees for any negative experiences. For this reason, staff should consider security when arranging meetings. The lobby, with the presence of the guard desk, may be the proper place to meet with disgruntled individuals.

Security guards are on duty from 5:00am through 7:30pm five days per week.

The security guards will staff the reception desk from approximately 6:00 am to 5:00 pm, as well as patrol the building and immediate vicinity.

Staff may ask a security guard to escort them to their car parked in an adjacent parking lot.

PROCEDURES FOR EMPLOYEES
All OHFA permanent employees, temporary employees and contractors, working in the building on a daily basis, must wear the State of Ohio ID badge that bears the employee’s name and picture at all times when working in OHFA’s building. An employee’s key fob should not be attached to the lanyard or clip that the employee’s ID badge is carried on.

PROCEDURES FOR VISITORS
It is helpful to let the security guards know whenever you are expecting visitors.

All visitors must first report to the guards at the reception desk to sign in and obtain a visitor’s badge.

When a visitor arrives the guard will call the staff person. If the staff member is away from the desk or on the phone, the guard will leave a voicemail message regarding the guest. If the guard does not hear from the staff member shortly, he will try to reach someone in the staff person’s area for assistance.

Generally, staff should escort visitors when in the building. Permanent staff may authorize business visitors to be sent unescorted to a meeting if needed. Family members and personal visitors should always be escorted. The nature of certain meetings (Board meetings, public hearings, training sessions, etc) may make escorting each guest impractical. These meetings should be scheduled in the Training Room or a second floor meeting room and arrangements made with the guards to direct visitors to the meeting. Staff expecting a large group for a meeting should provide the guards with a list of attendees.

Guests should check out at the security desk when they leave.

Temporary staff, visitors and contractors will not be issued a key fob and should not be in the building without OHFA staff present. Exceptions to this policy may be made to meet operational need.
SMOKE-FREE WORKPLACE (F13)

PURPOSE
The purpose of this policy is to provide a work environment free from the effects of second hand smoke.

CROSS REFERENCE
• Executive Order 99-03T

REVISION DATE
This policy was last revised on September 1, 2007.

GENERAL INFORMATION
The smoking of cigarettes, pipes, cigars or the burning of any smoke-producing substance is prohibited in all enclosed structures and vehicles owned, leased or operated by the Ohio Housing Finance Agency (OHFA). This policy applies to all employees, customers, visitors and occupants of facilities owned, leased or operated by the Agency. However, smoking is permitted outdoors and in open-air structures, during appropriate breaks and mealtimes, subject to prohibitions for such safety reasons as exposure to volatile chemicals and materials.

SMOKING CESSTATION
Employees may use a reasonable amount of accrued leave (sick leave, personal leave, or vacation leave) to travel to and attend any bona fide smoking cessation programs in their geographic area. This includes programs sponsored by cancer societies, lung associations, health care providers or personal physicians. The granting of such leave is subject to reasonable verification and is subject to the operational needs of the Agency.

Employees who complete a smoking cessation program, upon presentation of a certificate of completion or other verification, shall be restored with leave used for travel to and attendance of such program. The maximum amount of leave that can be restored to an employee under this provision is eight (8) hours. Employees are eligible for this leave restoration upon completion of initial and follow-up cessation classes. Restoration of leave shall occur within thirty (30) days of presentation of a certificate of compliance or other verification.

SMOKING VIOLATIONS
Employees may be disciplined for violation of this work rule subject to the provisions of the Ohio Revised Code and applicable collective bargaining agreements. Discipline for violation of this policy shall be corrective, rather than punitive in nature. Emphasis will be placed on counseling, oral reprimands and written reprimands, but may also result in suspensions and terminations for violations of this smoke-free workplace policy. Nothing in this section shall preclude the employer from taking necessary disciplinary action for other incidents that may be related to the violation of the smoke-free workplace rule.

Completion of a bona fide smoking cessation program may be considered as a mitigating factor in the imposition of discipline for a violation of this policy. Employees having completed a bona fide smoking cessation program shall submit his/her certificate of completion to his/her immediate supervisor with a copy to Human Resources.
TELEPHONE AND FAX MACHINE USE (F14)

PURPOSE
The intent of this policy is to provide clarification of the agency’s position regarding personal use of state telephones and fax machines. These instructions will allow staff to use our telephone system features.

REVISION DATE
This policy was last revised on June 1, 2017.

GENERAL INFORMATION
Ohio Housing Finance Agency (OHFA) employees are assigned telephones to facilitate communication in the course of performing state business. Please see anyone in the Information Technology Office if you need more instructions on the use of these units.

PERSONAL CALLS
The Agency recognizes that it may be necessary to make or accept a limited number of personal phone calls while at work. However, the frequency and duration of such personal calls must be kept to a minimum. If personal calls are made, such calls should be made whenever possible, during lunch hours or authorized breaks.

Personal long distance calls should not be made from state telephones and charged to the state. You may make a personal long distance call if you charge it to a personal credit card or to a third party non-state number. In the case of an emergency, a personal long distance call may be made, but you must reimburse the cost of the call per your office procedures.

PERSONAL BUSINESS PROHIBITED
Personal business, which involves an activity undertaken for profit or gain of any kind, shall not be conducted from a state telephone or facsimile machine. Employees are prohibited from circulating their state telephone number as a telephone number at which they can be reached for personal business. Personal business cards and other personal business materials shall not have a state telephone number listed as the contact number.

PAY-PER CALLS
Pay-per call numbers (e.g., 1-900 calls) are strictly prohibited. Care should be taken in returning calls to unrecognized area codes and telephone numbers, as the number could be a pay-per call number.

TELEPHONE SYSTEM INSTRUCTIONS
OHFA subscribes to a VoIP (Voice over IP) telephone service supported by the Department of Administrative Services and the provider. To make a call, whether internal or external, simply dial "1" followed by the 3-digit area code and 7-digit phone number. To report an emergency, dial "911.”

The OHFA telephone system is maintained by the Information Technology Office. Please contact IT for any telephone changes or telephone maintenance.

PROCEDURES - VOICEMAIL
Most lines assigned to employees have voicemail capability. Manuals covering the operation of the phones are available from the IT Office. A voicemail pamphlet of instructions is provided during new employee orientation.

PROCEDURES - CONFERENCE CALLING

Larger Conferences:
OHFA has contracted with a teleconference service. This service allows conference attendees to dial in on a toll-free number and be connected to the conference. Individual users are provided with credentials and instructions to use this service. Supervisors should contact Supervisors should contact the Information Technology Office to include individuals in their areas in the program. This is a practical solution for conferences of 4 or more parties.

Smaller Conferences:
All digital phones with the “conference” feature can connect up to ten people on a conference call.

To set up a conference call, dial the first telephone number. Once you have the first party on the line, press the “conference” key. You will hear a dial tone indicating that you are ready to dial the second party. When you have the second party on the phone, press the “conference” key again to get another dial tone.
CONFERENCE ROOM DIALING

Many of our meeting rooms are equipped with Polycom conference speakerphones. These units are analog and should be used with our teleconference service if multiple outside phones need to be connected. If you wish to connect to only one remote phone, you should dial it directly.

The Polycom units have a mute feature that can allow conversations in the room to be kept private. When the phones are muted the lights on the microphones turn red. When the lights are green, your conversations are being transmitted.

Please see anyone in the Information Technology Office if you need more instructions on the use of these units.
PURPOSE

This policy is designed to ensure employees know how to schedule one of the OHFA fleet cars or vans and to provide guidelines for the use of state-owned vehicles, to maintain proper documentation, and for preventive actions.

CROSS REFERENCE

- Ohio Revised Code (ORC) §125.832

REVISION DATE

This procedure was last revised on January 1, 2016.

GENERAL INFORMATION

The Ohio Housing Finance Agency provides vehicles for use by OHFA employees for the purpose of conducting official state business. However, the OHFA fleet is a limited resource and cannot always meet the fluctuating demands of the offices competing for transportation. For this reason, any employee who meets the requirements for issuance of an OHFA vehicle is welcome to use a pool car if one is available, but must be prepared to provide his/her own transportation as an alternative. All OHFA vehicles are scheduled for travel by the Facilities Office. Eric Winston (995-3331) and Lee Walters (728-4704) are your contacts. John Lloyd, Director of Facilities (466-4112), is also available for assistance.

ELIGIBILITY TO DRIVE FOR STATE BUSINESS

The Ohio Department of Administrative Services, Office of Risk Management (ORM), is the administrator of the state’s Self-Insured Vehicle Liability Program. The driving records of all active state employee drivers are reviewed periodically in order to identify moderate to high risk drivers. The goal of the program is to provide safety and loss control services to state agencies, while ensuring the safety of state employees or passengers riding in state vehicles and protecting the motoring public.

A state employee is ineligible to drive for state business if the employee has a suspended or expired driver’s license and is ineligible for coverage under the self-insured vehicle liability program. If an OHFA employee is required to drive in the course of his/her duties and has a suspended or expired license, the employee must contact the Director of Human Resources immediately in order to establish eligibility through ORM before driving for state business. If an employee does not drive any vehicle (state-owned or personal) in the course of state business, but has a suspended or expired license and parks a personal vehicle in a place paid for by OHFA, an employee must contact the Director of Human Resources immediately in order to establish that he/she has court awarded limited driving privileges to drive to and from work or has a valid license.

How to request an OHFA vehicle:

Send an e-mail to OHFA Facilities (Offered in the drop down menu of the Global Address List). Use “Car request” for the subject line of your e-mail. In the body of your e-mail, include the following information to ensure timely processing:

1. Driver’s Name
2. Dates AND Times needed (Example: From 1/2/14 a.m. to 1/3/14 p.m.)
3. Destination
4. Any special requests or needs - such as needing a mini-van

Once the Facilities office has scheduled a vehicle you will receive a confirmation email.

Requests to use a vehicle over the weekend or to take a car home overnight must have a supervisor’s approval. Approval is required even if the car will be parked awaiting a work-week trip. Requests to take a vehicle home should only be authorized for unusual circumstances, and must be approved by a supervisor.

Picking up an OHFA vehicle:

Vehicles may be picked-up during mailroom hours (7:00 am – 5:00 pm, M-F). You must show your valid driver’s license when picking up a vehicle. Special arrangements must be made to pick-up a vehicle other than during office hours. Check the car over before you leave. Report any damage or mechanical issues immediately. Do not use the state parking card to park your personal vehicle.

Returning an OHFA vehicle:

Park the car in the Columbus Commons parking garage (basement level). Note the ending mileage and other trip information on the log form in the folder. Sign any gas receipts and note the license number on the receipt. Place keys, cards and any receipts in the folder and return all to the mailroom.
Operating/Administrative Policies

To return a vehicle after hours, please drop the book with the keys, etc., in the lock box in the restroom hallway on the first floor. Do not hold the keys because the mailroom is closed.

Please remove all trash from the vehicle when returning it to the parking garage and make sure the vehicle is in clean condition for the next user. Report any mechanical problems or concerns to Facilities.

**Buying Fuel for the vehicle:**

A Voyager Fleet card is included in the car folder. Voyager cards are accepted for fuel, oil and other fluids, car washes and maintenance services at most providers. Users should always return vehicles with at least a half-tank of fuel.

The Voyager card should work at the card readers located at most pumps. If you have any problems using the Voyager card, please refer to the pamphlet in the vehicle book for assistance. You may pay for a car wash with this card. Some gas stations will provide change to pay for coin-operated vacuums and apply those charges to the card.

**While traveling:**

If you encounter any vehicle problems while traveling, please call the Facilities staff for assistance. After-hours contact information is included in the car folders. If you have an after-hours emergency, and are unable to contact Facilities staff, you are authorized to take any reasonable steps to have the vehicle repaired or made safe for travel. Roadside assistance is provided through the Voyager card system and information on this service is provided in the car folder.

Please remember that you represent OHFA and the State of Ohio when you operate an agency car. Employees are expected to show courtesy and follow traffic laws at all times. Failure to follow traffic laws may result in disciplinary action as outlined in Policy A34. You must notify your immediate supervisor if you receive a citation for any traffic offense. Additionally, drivers are responsible for paying any fines, or parking tickets, towing charges or storage charges in a timely manner. Drivers who are involved in accidents or are cited for moving violations may also be required to take a defensive driving course.

**AUTHORIZED USE**

- Travel between the place where the OHFA vehicle is dispatched and the place where official state business is performed.
- When on official travel status, between the place of OHFA business and the place of temporary lodging.
- When on official travel status and not within reasonable walking distance, between either of the above places and places to obtain meals; places to obtain medical assistance (including drugstore); places of worship; barber shops or hair salons; cleaning establishments and similar places required to sustain the health, welfare or continued efficient performance of the driver, exclusive of places of entertainment.
- Transport of other officers, employees or guests of the agency when they are on official state business.
- Transport of consultants, contractors or commercial firm representatives when such transport is in the direct interest of the agency.
- Travel between the place of dispatch or place of performance of agency business to your personal residence only when specifically authorized by your immediate supervisor.
- Out-of-state travel when authorized by the proper authority.

**UNAUTHORIZED USE**

- Temporary staff is not authorized to drive OHFA vehicles.
- Any use for personal purpose, other than commuting as specified in Authorized Use.
- Travel or tasks which are beyond the vehicle’s rated capacity.
- Transport of family, friends, associates, or other persons who are not employees of OHFA or serving the interest of the agency.
- Transport of hitchhikers.
- Transport of cargo which has no relation to the performance of official agency business.
- Transport of acids, explosives, weapons, ammunition or highly flammable material, except by specific authorization, or in an emergency situation.
- Transport of any item or equipment projecting from the side, front or rear of the vehicle in a way which constitutes an obstruction to safe driving or a hazard to pedestrians or other vehicles.
- When on official agency business yourself, transport of other employees from headquarters to restaurants, cafes, drugstores or to other places which are not in the service of state business.
• Attending sporting events, including hunting and fishing, which are not in the service of agency business.
• Extending the length of time the vehicle is in your possession beyond that which is required to complete the official purpose of the trip.
• Operating an agency vehicle while under the influence of alcohol or drugs.

All employees are responsible for complying with agency policies. Unauthorized use of an OHFA vehicle or failure to comply with the policies and procedures associated with the use of an agency vehicle may result in appropriate disciplinary action.

Please note that smoking in agency vehicles is prohibited.

**USE OF PERSONAL VEHICLE**

If no OHFA vehicle is available it will be noted on your request and returned. You will need to request authorization from your supervisor by e-mail to use your personal vehicle. No personal mileage will be paid without this e-mail authorization. Attach this authorization with your Travel Expense Report (TER) for reimbursement.

DAS ORM does not provide liability or any other insurance to state employees who drive personal vehicles. Moreover, please be advised that your private auto insurance coverage may not cover work-related travel in a private vehicle. Please check with your insurance agent to see if a rider needs to be added to your policy to use your vehicle for business.
WEAPON USE AND POSSESSION (F16)

PURPOSE
The purpose of this policy is to ensure the safety and well being of all employees.

CROSS REFERENCE
- Ohio Revised Code (ORC) § 2923
- State of Ohio Administrative Policy, Human Resources HR-05

REVISION DATE
This policy was last revised on April 5, 2017.

DEFINITIONS
For the purposes of this policy, the following definitions apply:
- Offensive or Defensive Weapons: Including but not limited to, a firearm (including unloaded, inoperable or sawed off firearms, starter pistols, zip guns, etc.), knife, other than a small folding knife, club, brass knuckles, martial arts weapon, or stun gun. Dangerous ordnance, incendiary or explosive devices or chemicals, fireworks, or similar items are considered weapons and/or dangerous devices for purposes of this policy and are prohibited.
- State-owned or leased property: Includes but is not limited to, state-owned and/or leased vehicles, state-owned and/or controlled parking facilities or surface lots. Specifically, prohibited items shall not be stored in personal vehicles parked on state-owned and/or leased property. Additionally, weapons shall not be stored in or on state-owned and/or leased property.
- Concealed carry license: Concealed carry license, permit to carry a concealed weapon, concealed weapon permit, and concealed carry permit all have the same definition as “concealed handgun license” and “license to carry a concealed handgun” pursuant to Section 2923.11 of the Ohio Revised Code.

EXCEPTION
OHFA employees who have been issued a permit to carry a concealed weapon in the State of Ohio or who are active duty members of the military with military identification and documentation of successful completion of firearms training that meets or exceeds the requirements for a concealed weapon permit may transport and/or store their firearm and/or ammunition in their personal vehicle while on state-owned and/or leased property. The weapon and/or ammunition must remain inside the person’s privately owned motor vehicle while the person is physically present inside the motor vehicle, or the weapon and/or ammunition must be locked in the trunk, glove box, other enclosed compartment or container within or on the person’s privately owned motor vehicle while on property owned or leased by the state.

REPORTING RESPONSIBILITIES
All employees are required to immediately report any illegal possession or use of a weapon that they have witnessed, received or of which they are aware.

SUPERVISORY EMPLOYEE’S RESPONSIBILITY
Any supervisory employee aware of the illegal possession of a weapon shall, in addition to informing his/her supervisor, immediately contact the Human Resources Director. The Human Resources Director shall notify the Director of Facilities, the Chief Legal Counsel, and the Ohio Highway Patrol. The Director of Facilities shall initiate an administrative investigation of any report of the possession or use of a weapon.

DISCIPLINE
Any OHFA employee who violates this policy or threatens to use any object as a weapon against any person shall be subject to disciplinary action, up to and including removal for the first offense. Additionally, violations of this policy by anyone may result in legal action, as appropriate.

GENERAL INFORMATION
No OHFA employee while conducting state business, during working hours, on state time, or while on or in state-owned or leased property, shall possess or have under his or her control, any offensive or defensive weapons. Nothing in this policy is intended to replace or conflict with state law.
WEATHER EMERGENCY (F17)

PURPOSE

The purpose of this policy is to inform employees of the procedures to follow when a weather emergency has been declared.

CROSS REFERENCE

- Ohio Revised Code (ORC) § 124.18
- Ohio Revised Code (ORC) § 5502.21(F)
- Ohio Administrative Code (OAC) § 123:1-45-01
- Ohio Administrative Code (OAC) § 123:1-46-01
- DAS Directive Number 06-03
- OCSEA Collective Bargaining Agreement; Article 13.15

REVISION DATE

This policy was last revised on September 1, 2007.

DEFINITIONS

For the purposes of this policy, the following definitions apply:

- **Weather emergency**: a formal declaration for a specific geographical area that may limit an employee’s obligation to travel to and from work for a specific period of time.

GENERAL INFORMATION

Only the Director of the Ohio Department of Public Safety (DPS) has the authority, as the Governor’s designee, to declare a weather emergency for any part of the state for all or any portion of a given day for which Agency employees would be eligible for paid weather emergency leave. An individual agency, director, or other public official, including sheriffs, cannot declare a weather emergency. Pursuant to Chapter 5915 of the ORC, it does not include an “emergency management,” “hazard” or “disaster” declared by the Governor, a Board of County Commissioners or other chief executive.

COMMUNICATING A WEATHER EMERGENCY

Employees are responsible to keep informed of any declared weather emergency. DPS will notify designated radio and television stations of closings on a county-by-county basis. Your nearest State Highway Patrol Post can provide information regarding whether or not a county in your area has been declared under weather emergency for state employee travel. They can also answer questions regarding weather conditions.

Additionally, employees can call (614) 387-2849 to hear a recorded message announcing weather emergency declarations.

WORK OR TRAVEL IN A WEATHER EMERGENCY

A weather emergency may be declared for specific counties or the entire state. Only employees living or working in the counties declared to be weather emergency areas will be eligible for weather emergency compensation.

Where an employee lives in a county which requires travel through one (1) or more other counties in which weather emergencies have been declared, it is the employee’s responsibility to account for his or her time should he or she be prohibited from getting to work. Staff scheduled to work in a county in which a weather emergency has been declared may seek approval from his or her supervisor to alter his or her itinerary.

In the event that a local official (i.e., one not speaking on behalf of the Governor) issues a weather emergency restricting travel to emergency and public safety vehicles within any county through which a non-essential employee must travel, the employee may elect to use vacation, personal leave or compensatory time rather than reporting to work. Non-essential employees with no or inadequate accrued leave shall be granted leave without pay.
ESSENTIAL EMPLOYEES

Essential employees are defined by the Department of Administrative Services (DAS) to be "those employees whose presence at the work site is critical to maintaining operations during any weather emergency." All OHFA employees should consider themselves to be designated as non-essential for weather emergencies, unless otherwise designated by the Executive Director as essential.

COMPENSATION DURING WEATHER EMERGENCIES FOR EXEMPT NON-ESSENTIAL EMPLOYEES

Exempt non-essential employees who do not report for work or who are sent home as a result of a declared weather emergency shall be paid for their full scheduled shift(s) at their regular rate of pay. Any exempt non-essential employee that volunteers to stay during a weather emergency and work their regularly scheduled hours are not entitled to compensatory time and shall be paid at their regular rate of pay in addition to an $8.00/hr. stipend for each hour worked. Exempt non-essential employees will not normally be required to remain at work during a declared emergency, but on the rare occasion they are due to the absence of essential employees, such non-essential employees shall be also be entitled to the $8.00/hr. stipend.

COMPENSATION DURING WEATHER EMERGENCIES FOR BARGAINING UNIT NON-ESSENTIAL EMPLOYEES

Non-essential bargaining unit employees who do not report to work or who are sent home, as a result of a declared weather emergency, shall be paid their full scheduled shift(s) at their regular rate of pay. Non-essential bargaining unit employees who are required to remain at work during a declared weather emergency due to the absence of essential employees shall be paid at their regular rate of pay and shall get an additional $8.00/hr. stipend as provided under contract. Non-essential bargaining unit employees should not be permitted to volunteer to remain at work during a declared weather emergency.

COMPENSATION DURING WEATHER EMERGENCIES FOR EXEMPT ESSENTIAL EMPLOYEES

Essential employees must report to work regardless of the weather conditions. Essential employees who work during a declared weather emergency shall be given one hour of compensatory time for every hour worked during the emergency. Essential employees who are instructed not to report to work or are released from work during an emergency shall be paid at their regular rate of pay. No compensatory time will be granted to essential employees who volunteer to work after being advised to leave or not to report for work. Essential employees, who do not report for work and have not been instructed otherwise, must use accrued vacation, personal or compensatory time to cover the absence.

SCHEDULED LEAVE / DEPARTING OR REPORTING BEFORE OR AFTER A DECLARED WEATHER EMERGENCY

Any employee who is on scheduled leave during a declared weather emergency, or those leaving before the announcement of a weather emergency, shall be charged the full amount approved. An employee who departs work before the weather emergency start time, but after the announcement of a weather emergency, must utilize his/her own leave from the time of departure until the start of the weather emergency. In situations where a delayed starting time is imposed due to a weather emergency declaration, those employees reporting to work after the emergency is over (e.g., emergency ends at 10:00 a.m. and employee reports to work at 10:30 a.m.) must utilize his/her own leave time to compensate for his/her late arrival to work. Time used before or after the start of the weather emergency is declared to be over is to be reported as excused leave (weather emergency).