HCR 20-6 (LC 3758) 3/26/19 (DJ/ps)

At the request of the JOINT COMMITTEE ON CAPITOL CULTURE

PROPOSED AMENDMENTS TO HOUSE CONCURRENT RESOLUTION 20

1 On <u>page 1</u> of the printed concurrent resolution, delete lines 3 through 6 2 and insert:

"That Legislative Branch Personnel Rule 27, as amended and in effect for the Eightieth Legislative Assembly, is repealed and the following Legislative Branch Personnel Rule 27 is adopted in lieu thereof as a rule of proceeding of the Senate and the House of Representatives and a joint rule of proceeding applicable to the Legislative Branch; and be it

8 "Further resolved that Legislative Branch Personnel Rules 12 and 32, as 9 amended and in effect for the Eightieth Legislative Assembly be further 10 amended as follows; and be it

"Further resolved that a new Legislative Branch Personnel Rule 33 be adopted as a rule of proceeding of the Senate and the House of Representatives and a joint rule of proceeding applicable to the Legislative Branch, as follows:".

15 Delete lines 8 through 28 and delete pages 2 through 13 and insert:

¹⁶ "Legislative Branch Personnel Rule 27: Safe, Respectful and Inclu ¹⁷ sive Workplace.

18 "(1) <u>Policy.</u>

"(a) The Legislative Branch is committed to promoting a respectful
 and inclusive environment in the State Capitol and in any setting in
 which conduct has the ability to create a Capitol environment that is

intimidating, hostile or offensive, or may constitute conduct that
amounts to retaliation for the making of a good-faith complaint under
this rule or for participation in an investigation under this rule.

4 "(b) The Legislative Branch is committed to providing a safe and 5 respectful workplace and to taking proactive steps to improve its cul-6 ture so that behavior from any source that has a negative impact on 7 the workplace may be effectively reported and promptly addressed and 8 resolved.

"(c) The Legislative Branch is equally committed to promoting 9 freedom of speech and expression, as guaranteed to all persons 10 through the free expression protections of Article I, section 8, of the 11 Oregon Constitution, and through the First Amendment to the United 12 States Constitution, and the Legislative Branch recognizes that the 13 constitutional protections guaranteeing freedom of speech and ex-14 pression must be taken into account in determining the rights afforded 15 to individuals in the State Capitol under this rule. 16

"(d) The Legislative Branch emphasizes the importance of fostering
 an environment where all viewpoints are welcomed and respected, as
 disagreement does not equal harassment.

"(e) This rule is designed to provide options to those who are experiencing or observing harassing behavior, discriminatory behavior or other behavior prohibited by subsection (7) of this rule to seek information, report behaviors or file complaints to address and resolve concerns, while also:

"(A) Enhancing options available to victims who seek to remain
 anonymous; and

"(B) Ensuring that fundamental freedoms of speech and expression
 are protected as core values in the Legislative Branch.

29 "(f) This rule is designed to provide options to those who are expe-30 riencing or observing harassing behavior, discriminatory behavior,

retaliation or other behavior prohibited by subsection (8) of this rule
to seek information, report behaviors or file complaints to address and
resolve concerns, while also enhancing options available to victims
who seek to remain anonymous.

"(g) The Legislative Assembly intends the mandatory reporting obligations established under this rule to be a means by which the Legislative Branch will take action to address conduct prohibited by this
rule, in the absence of a specific complaint about the conduct.

9 **"(2)** <u>Application.</u>

"(a) Any person who experiences behavior prohibited by this rule
 or observes behavior inconsistent with this rule may use the reporting
 options described in subsections (10) to (12) of this rule.

"(b) An appointing authority or a nonpartisan staff supervisor, in cluding any member of the Legislative Assembly, shall report behavior
 prohibited by this rule by the means described in subsection (11) of this
 rule.

"(c) Any individual over whom the Legislative Branch may impose
a remedy is an individual subject to the requirements of this rule, including but not limited to:

20 "(A) Members of the Legislative Assembly;

21 "(B) Legislative staff, interns, externs and volunteers;

²² "(C) Lobbyists required to register under ORS 171.740;

"(D) Contractors or employees of contractors who engage in busi ness with the Legislative Branch;

"(E) Employees of the State of Oregon who are not employees of
 the Legislative Branch; and

27 "(F) Members of the public who are present in the State Capitol.

28 **"(3)** <u>Definitions.</u>

"(a) 'Agency head' means the Legislative Administrator, the Legis
 lative Counsel, the principal officers of the Legislative Equity Office,

the Legislative Fiscal Officer, the Legislative Policy and Research Di rector, the Legislative Revenue Officer and the Executive Director of
 the Commission on Indian Services.

4 "(b) 'Appointing authority' means the person who has authority in
5 the interest of the employer to hire, transfer, suspend, lay off, pro6 mote, terminate or discipline an employee.

"(c) 'Caucus leader' means the Democratic or Republican leader of
the Senate or the Democratic or Republican leader of the House of
Representatives.

"(d) 'Caucus office' means the office of the Democratic or Republi can leader of the Senate or the office of the Democratic or Republican
 leader of the House of Representatives.

13 "(e) 'Chamber' means the Senate or the House of Representatives.

"(f) 'Employee' means an employee who is performing services on
 behalf of the Legislative Branch. 'Employee' includes any intern, ex tern or volunteer who is affiliated with a Legislative Branch office.

"(g) 'Employee Services' means the division of Legislative Admin istration charged with employment and human resources adminis tration for the Legislative Branch.

"(h) 'Human Resources Director' means the manager of Employee
 Services.

"(i) 'Leadership chief of staff' means the Chief of Staff of the Office
of the Senate President and the Chief of Staff of the Office of the
Speaker of the House of Representatives.

"(j) 'Legislative Branch' means members and employees of the Legislative Assembly, the parliamentary offices, Legislative Administration, the Legislative Counsel Office, the Legislative Equity Office, the Legislative Fiscal Office, the Legislative Policy and Research Office, the Legislative Revenue Office and the Commission on the Indian Services. "(k) 'Legislative Equity Office' means the Legislative Equity Office
established under section 1, chapter _____, Oregon Laws 2019 (Enrolled
Senate Bill 744).

4 "(L) 'Member of the Legislative Assembly' or 'member' means a
5 Senator or a Representative.

6 "(m) 'Nonpartisan staff' means an employee of the parliamentary 7 offices, Legislative Administration, the Legislative Counsel Office, the 8 Legislative Equity Office, the Legislative Fiscal Office, the Legislative 9 Policy and Research Office, the Legislative Revenue Office or the 10 Commission on Indian Services.

"(n) 'Offsite process counselor' means a person unaffiliated with the Legislative Branch who has entered into a contract with the Legislative Equity Office under section 14, chapter _____, Oregon Laws 2019 (Enrolled Senate Bill 744), to provide services described in subsection (10) of this rule.

"(o) 'Parliamentarian' means the Secretary of the Senate or the
 Chief Clerk of the House of Representatives.

"(p) 'Parliamentary office' means the Office of the Secretary of the
 Senate or the Office of the Chief Clerk of the House of Represen tatives.

"(q) 'Partisan staff' means an employee working directly for a
member of the Legislative Assembly, an employee of a caucus office
or an employee of the office of the Senate President or the office of
the Speaker of the House of Representatives.

"(r) 'Principal investigator' means the principal investigator of the
Legislative Equity Office who is appointed under section 1, chapter
Oregon Laws 2019 (Enrolled Senate Bill 744).

"(s) 'Principal outreach officer' means the principal outreach offi cer of the Legislative Equity Office who is appointed under section 1,
 chapter _____, Oregon Laws 2019 (Enrolled Senate Bill 744).

1 "(t) 'Protected class' means a classification established by law that 2 offers protections to members of the classification, including but not 3 limited to:

4 "(A) Sex;

- 5 **"(B) Race;**
- 6 "(C) Ethnicity;
- 7 **"(D) National origin;**
- 8 **"(E) Age;**
- 9 "(F) Religion;
- 10 "(G) Marital status;

11 "(H) Sexual orientation;

12 "(I) Gender identity or expression;

13 "(J) Engaging in whistleblowing activity;

"(K) Opposing an employer's actions when the employee reasonably
 believes the actions to be unlawful;

"(L) Taking leave from work for purposes protected by law, includ ing but not limited to leave under the Oregon Family Leave Act, the
 federal Family and Medical Leave Act or disability-related leave;

19 "(M) Injured worker status; or

20 "(N) Any other classification established by a law that offers pro-21 tections to members of the classification.

"(u) 'Respondent' means a person named in a formal complaint made under subsection (12) of this rule as engaging in behavior that is prohibited by this rule or a person who is the subject of an investigation under subsection (14) of this rule to determine whether the person engaged in behavior that is prohibited by this rule.

"(v) 'Supervisor' means an employee of the Legislative Branch who
manages or directs the work of another employee of the Legislative
Branch.

30 "(4) <u>Harassment and hostile work environment.</u>

"(a) An individual engages in harassment by engaging in verbal or physical conduct, including making a visual display or causing a visual display to be shown, that denigrates or shows hostility toward a protected class or toward an individual because of the individual's status as a member of a protected class. Examples of harassment may include, but are not limited to:

7 "(A) Name-calling, slurs or stereotyping;

8 "(B) Threatening, intimidating or hostile acts that relate to a pro9 tected class;

"(C) Belittling, demeaning or humiliating a person or group of per sons because of a protected class; or

"(D) Displaying written or graphic material that is described in
 subparagraphs (A) to (C) of this paragraph.

"(b) An individual creates a hostile work environment by engaging
 in behavior that is unwelcome and is so severe or pervasive that it
 either affects a person's ability to function in the workplace or denies
 a person the benefits of the workplace.

18 "(5) <u>Sexual harassment.</u>

"(a) An individual engages in sexual harassment when the individ-19 ual engages in unwelcome conduct of a sexual nature, including but 20not limited to sexual advances, requests for sexual favors, sexual 21comment, unwanted or offensive touching or physical contact, un-22wanted closeness, impeding or blocking movement, sexual gesture, 23sexual innuendo, sexual joke, sexually charged language, intimate in-24quiry, persistent unwanted courting, sexist insult, gender stereotype, 25or other verbal or physical conduct of a sexual nature, if: 26

"(A) Submission to the conduct is made either explicitly or implicitly a term or condition of a person's employment;

"(B) A person expressly or by implication conveys that declining to
 submit to the conduct will affect an individual's job, leave request,

benefits, business before the Legislative Assembly, influence or opportunity of the individual to engage professionally with the Legislative Assembly, its members or staff; or

"(C) The unwelcome conduct has the purpose or effect of unrea-4 sonably interfering with a person's job performance, or creates a work $\mathbf{5}$ environment that a reasonable person would find intimidating, hostile 6 or offensive. For purposes of this rule, 'unwelcome conduct' means 7 conduct that an individual does not incite or solicit and that the in-8 dividual regards as undesirable or offensive. An individual may with-9 draw consent to conduct that was previously welcomed, though a 10 withdrawal of consent must be communicated to the person for whom 11 consent is being withdrawn. 12

13 "(b) Sexual harassment includes but is not limited to:

14 "(A) Unwanted sexual advances, flirtations or propositions.

"(B) Demands for sexual favors in exchange for favorable treatment
 or continued employment.

17 "(C) Sexual jokes.

18 "(D) Verbal abuse of a sexual nature.

"(E) Verbal commentary about the body, sexual prowess or sexual
 deficiency of an individual.

²¹ "(F) Leering, whistling, touching or physical assault.

"(G) Using sexually suggestive, insulting or obscene comments or
 gestures.

²⁴ "(H) Displaying sexually suggestive objects or pictures.

"(I) Sending or forwarding electronic mail or other communications
 of an offensive or graphic sexual nature.

27 "(J) Discriminatory treatment based on sex.

"(c) Sexual harassment includes any conduct described in sub section (4) of this rule that is based on sex.

30 "(6) <u>Retaliation.</u>

HCR 20-6 3/26/19 Proposed Amendments to HCR 20 "(a) A person engages in retaliation if the person treats another
individual less favorably because the individual made a good-faith
complaint about conduct prohibited by this rule or participated in an
investigation about conduct that is prohibited by this rule.

5 "(b) A person engages in retaliation if the person treats another 6 individual less favorably because that individual engaged in a process 7 described in this rule or implemented one or more provisions of this 8 rule.

9 "(c) A person engages in retaliation if the person treats another 10 individual less favorably because the individual made a good-faith 11 complaint or took other action to address conduct prohibited in any 12 respectful workplace policy adopted by the Joint Committee on Con-13 duct under section 1, chapter _____, Oregon Laws 2019 (Enrolled House 14 Bill 3377), or this rule.

"(7) The Legislative Equity Office shall develop, maintain and pub lish examples of what constitutes harassment, hostile work environ ment, sexual harassment and retaliation under this rule.

18 "(8) Prohibitions.

19 **"The Legislative Branch prohibits conduct that:**

20 "(a) Constitutes harassment and creates a hostile work environ-21 ment;

"(b) Constitutes sexual harassment and creates a hostile work en vironment;

"(c) Constitutes an unlawful practice that aids or abets discrimi nation in a place of public accommodation under the laws of the state;
 or

27 **"(d) Is retaliation.**

"(9) <u>Reporting options.</u> In order to encourage participation and ef fectiveness, this rule establishes three options for reporting behavior
 prohibited by this rule:

"(a) A confidential disclosure process described in subsection (10)
of this rule;

"(b) A nonconfidential reporting process described in subsection (11)
of this rule; and

5 "(c) A formal complaint process described in subsection (12) of this
6 rule.

7

"(10) Confidential disclosure process.

"(a) Any individual who experiences behavior prohibited by this rule
or observes behavior that is inconsistent with this rule may make a
confidential disclosure reporting the behavior to the principal outreach
officer or an offsite process counselor.

12 "(b) Information reported to the principal outreach officer or offsite 13 process counselor, records created by the officer or counselor and the 14 identity of the person making a disclosure under this subsection are 15 confidential and may not be disclosed by the officer or counselor, ex-16 cept that the officer or counselor:

"(A) May disclose information if the officer or counselor reasonably
 concludes that a threat of immediate physical harm or other harm
 described in ORS 40.252 would exist if the disclosure were not made;

20 "(B) Shall disclose information if required by law;

"(C) May disclose nonpersonally identifiable data to facilitate the Legislative Branch's identification of training and coaching needs; and "(D) May disclose nonpersonally identifiable information to an individual who has made a confidential disclosure under this subsection for the purpose of encouraging the individual to make a nonconfidential report under subsection (11) of this rule or a formal complaint under subsection (12) of this rule.

"(c) Notwithstanding paragraph (b) of this subsection, the principal
 outreach officer may disclose nonpersonally identifiable information
 in the course of performing corrective coaching for an individual sub-

ject to the requirements of this rule or to facilitate the taking of any
 action that is consistent with this rule and with the principles of the
 Due Process Clause of the United States Constitution.

"(d) Except as provided in paragraph (b)(C) of this subsection, the principal outreach officer or offsite process counselor may not disclose information or records to the Legislative Equity Office principal investigator, except that nonpersonally identifiable information may be disclosed to facilitate the taking of any action that is consistent with this rule.

"(e) As an initial matter when a person seeks to make a confiden tial disclosure under this subsection, the principal outreach officer or
 offsite process counselor shall:

"(A) Explain the availability or lack of availability of any privilege
 that would permit the individual seeking to make a confidential dis closure under this subsection to refuse to disclose, and to prevent any
 other person from disclosing, confidential communications and re cords; and

"(B) Ask whether the individual making a confidential disclosure
 under this subsection needs one or more safety measures described in
 subsection (13) of this rule put in place.

(f) When an individual makes a confidential disclosure under this 21subsection, the principal outreach officer or offsite process counselor: 22"(A) Shall advise the person making the disclosure of other options 23that are available to address the conduct, including nonconfidential 24reports under subsection (11) of this rule, formal complaints under 25subsection (12) of this rule, interim safety measures under subsection 26(13) of this rule, state and federal administrative options with the 27Bureau of Labor and Industries and the Equal Employment Opportu-28nity Commission of the United States, law enforcement or the civil 29 judicial process; 30

HCR 20-6 3/26/19 Proposed Amendments to HCR 20 "(B) In the case of a person making the disclosure being affiliated with an institution that is subject to Title IX of the Education Amendments Act of 1972, 20 U.S.C. 1681 to 1688, as amended, shall advise the person of the Title IX reporting process and provide applicable institution contact information and information on the resources available at the institution;

"(C) Shall explain the availability of employee assistance program
counselors and other available service providers and may refer the
individual making a disclosure under this subsection to a counselor
or other provider, as appropriate; and

11 "(D) Shall explain the actions that the officer or counselor may 12 take following a disclosure made under this subsection and due process 13 and other rights that limit the scope of actions that may be taken 14 following a disclosure under this subsection, including possible limi-15 tations on the availability of safety measures.

"(g) If requested by a person making a disclosure under this subsection, the principal outreach officer or offsite process counselor shall refrain from making a confidential record of the identity of the person making the disclosure. The officer or counselor shall explain the availability of this option to any person making a disclosure under this subsection.

"(h) The Legislative Equity Office, on or before January 1, 2020, shall establish a means for persons to make disclosures under this subsection that are entirely anonymous, so that the principal outreach officer or offsite process counselor cannot determine the identity of the person making a disclosure using means described in this paragraph.

28 "(11) <u>Nonconfidential reports.</u>

"(a) Any individual who experiences behavior prohibited by this rule
 or observes behavior that is inconsistent with this rule may make a

nonconfidential report of the behavior under this subsection within
five years of the date the behavior occurred.

"(b) An appointing authority, including any member of the Legislative Assembly, shall promptly make a report under this subsection if they have received information that they reasonably believe describes behavior that may be prohibited by this rule, have observed behavior that they reasonably believe may be prohibited by this rule or in any way have knowledge of behavior that they reasonably believe may be prohibited by this rule.

"(c) A nonpartisan staff supervisor shall promptly make a report under this subsection if they have received information that they reasonably believe describes behavior that may be prohibited by this rule, have observed behavior that they reasonably believe may be prohibited by this rule or in any way have knowledge of behavior that they reasonably believe may be prohibited by this rule.

"(d) A Legislative Branch contractor, or an employee of a contractor, that is contractually obligated to do so, shall promptly make a report under this subsection if they have information that they received a report of conduct prohibited by this rule, have observed behavior prohibited by this rule or in any way have knowledge of behavior prohibited by this rule.

"(e) Notwithstanding paragraphs (a) to (d) of this subsection, if a reporter is required to make a report under this subsection but is also the person experiencing behavior prohibited by this rule, the person may make a confidential disclosure under subsection (10) of this rule that satisfies the requirements of reporting under this subsection.

27 "(f) A report made under this subsection shall be made to:

28 "(A) The Legislative Equity Office principal investigator;

29 "(B) The Human Resources Director; or

30 "(C) Staff of Employee Services who have been designated by the

HCR 20-6 3/26/19 Proposed Amendments to HCR 20 1 Human Resources Director to receive reports made under this sub-2 section.

"(g) A reporter may make a report in any form and using any means. However, the Joint Committee on Conduct established under section 1, chapter _____, Oregon Laws 2019 (Enrolled Senate Bill 744), shall establish uniform recordkeeping processes applicable to the Legislative Equity Office and Employee Services to ensure that reports made under this subsection are adequately documented.

9 "(h) A report made under this subsection that is received by Em10 ployee Services or the Human Resources Director shall be forwarded
11 to the principal investigator.

"(i) The principal investigator shall review all reports that the in-12vestigator receives under this subsection to determine whether the 13 reported conduct, when taken on its face, could be prohibited by this 14 rule. If the investigator determines that an investigation is warranted, 15an investigation as described in subsection (14) of this rule shall be 16 undertaken and the investigator or principal outreach officer shall 17 provide the person who is reported to be experiencing the conduct with 18 information on available resources, including resources described in 19 subsection (10)(f)(B) and (C) of this rule. If the investigator determines 20that the reported conduct, on its face, is not conduct prohibited by this 21rule, the investigator may: 22

"(A) Engage in specific coaching of individuals to eliminate any
 uncertainty over appropriate workplace behavior;

25 "(B) Confer with and recommend that the principal outreach officer
 26 provide additional training to address reported circumstances;

"(C) Confer with and make recommendations to the appropriate
 appointing authority or legislative leader to facilitate training or
 guidance being given to address reported circumstances; or

30 "(D) Take any other action that is warranted to achieve the policies

1 established under these rules.

2 "(12) Formal complaints.

"(a) Any person who experiences behavior prohibited by this rule
or observes behavior that is inconsistent with this rule may make a
formal complaint under this subsection within five years after the date
the behavior occurred.

7

"(b) A formal complaint must:

8 **"(A) Be in writing;**

9 "(B) Identify the complainant and the person being accused of en 10 gaging in conduct prohibited by this rule;

"(C) Set forth the facts and circumstances that the complainant
 believes describe conduct that is prohibited by this rule; and

(D) Be made in a declaration under penalty of perjury that is satisfied when the declarant signs the complaint immediately under a sentence that states, 'I hereby declare that the above statement is true to the best of my knowledge and belief, and that I understand it is made for use as evidence in proceedings under Legislative Branch Personnel Rule 27 and is subject to penalty for perjury.'

"(c) A formal complaint shall be delivered to the Legislative Equity Office principal investigator unless the complaint is about the principal investigator, in which case the complaint shall be delivered to the Legislative Equity Office principal outreach officer who shall serve as the principal investigator until the matter described in the complaint is resolved.

²⁵ "(d) The principal investigator shall promptly examine the com-²⁶ plaint and determine if the complaint meets the requirements of par-²⁷ agraph (b) of this subsection. If the complaint does not meet the ²⁸ requirements of paragraph (b) of this subsection, the investigator shall ²⁹ request the complainant to supplement the complaint. A complaint ³⁰ that does not meet the requirements of paragraph (b) of this subsection may not be the subject of an investigation under subsection
 (14) of this rule.

3 "(e) The principal investigator shall promptly:

"(A) Deliver a copy of the complaint to the person accused of engaging in behavior prohibited by this rule, who shall thereafter be the
respondent; and

7 **"(B) If the respondent:**

"(i) Is a member of the Legislative Assembly, deliver a copy of the
complaint to the caucus leader of the caucus in which the member
serves;

"(ii) Is a caucus leader, deliver a copy of the complaint to the pre siding officer of the chamber in which the caucus leader serves;

"(iii) Is a Legislative Branch employee in either a partisan or non partisan staff position, to the appointing authority for the respondent;
 "(iv) Is an agency head, to the presiding officers;

"(v) Is a parliamentarian, to the presiding officer of the chamber
 in which the parliamentarian serves; and

"(vi) Is a registered lobbyist, executive or judicial branch employee,
 employee of a contractor or a member of the public, to the Legislative
 Administrator.

"(f) The principal investigator shall promptly provide, or shall ensure that the principal outreach officer provides, the complainant with information on available resources, including resources described in subsection (10)(f)(B) and (C) of this rule.

"(g) Upon delivery of the complaint, the principal investigator shall
promptly begin the investigation described in subsection (14) of this
rule and recommend any necessary interim safety measures as described in subsection (13) of this rule.

29 "(13) <u>Interim safety measures.</u>

30 "(a) Upon receipt of a nonconfidential report made under subsection

(11) of this rule or a formal complaint made under subsection (12) of 1 this rule, or at any time during the course of an investigation, the $\mathbf{2}$ Legislative Equity Office principal investigator or other person who is 3 conducting the investigation may determine that an interim safety 4 measure needs to be implemented to ensure the safety of the $\mathbf{5}$ complainant or any other individual who has experienced behavior 6 that is prohibited by this rule or who may reasonably be foreseen as 7 at risk of being subjected to behavior that is prohibited by this rule. 8 The principal outreach officer or an offsite process counselor may also 9 recommend an interim safety measure if interim safety measures are 10 sought by an individual making a confidential disclosure under sub-11 section (10) of this rule. The investigator, outreach officer or counselor 12may recommend any interim safety measure that they determine is 13 appropriate to the situation, including but not limited to: 14

15 "(A) Temporary reassignment of the respondent;

"(B) Alternative work location for the respondent, including being
 duty-stationed at home;

18 "(C) Establishing a no contact order;

"(D) Placing the respondent on paid or unpaid leave and prohibiting
 the respondent from being present in the workplace or the State Cap itol;

"(E) Directing the respondent to be absent from the State Capitol
 until the investigation is complete; or

24 "(F) In severe situations, involving law enforcement.

"(b) Any interim safety measure that is recommended or that is
implemented may not prejudice a complainant or put a complainant
in a worse position than the complainant was in before the complaint
was made.

"(c)(A) Any interim safety measure that is imposed may not un lawfully impair any lawful rights an accused person may exercise.

1 "(B) Any interim safety measure that is imposed on a member of 2 the Legislative Assembly must be narrowly tailored to minimize limi-3 tations on the member's ability to perform core legislative functions 4 and to address immediate safety concerns, and an interim safety 5 measure may not be imposed until after the member is given notice 6 of the proposed interim safety measure and an opportunity to be heard 7 by the applicable chamber committee on conduct.

8 "(d) If the respondent is a member of the Legislative Assembly:

9 "(A) The committee on conduct of the chamber in which the re-10 spondent serves is authorized to impose an interim safety measure on 11 the respondent that lasts no longer than until the complaint is re-12 solved;

"(B) The investigator shall report the investigator's interim safety
 recommendation and the reasons for the recommendation to the re spondent, to the committee and to the presiding officer of the cham ber; and

"(C) The committee shall promptly deliberate on the recommendation and shall adopt such interim safety measures that the committee determines are appropriate. For purposes of conducting a hearing to deliberate on interim safety measures under this paragraph, the committee hearing need only comply with one-hour notice requirements.

"(e) If the respondent is not a member of the Legislative Assembly,
 the investigator shall make the investigator's interim safety recom mendation:

"(A) In the case of a respondent who is a Legislative Branch em ployee in either a partisan or nonpartisan staff position, to the
 employee's appointing authority.

"(B) In the case of a respondent who is a State of Oregon employee
 but not a Legislative Branch employee, to the employee's agency di-

1 rector and the Legislative Administrator.

"(C) In the case of a respondent who is a lobbyist, employee of a
contractor or member of the public, to the Legislative Administrator.
"(f) The person who receives the investigator's interim safety recommendation made under paragraph (e) of this subsection shall act
promptly on the recommendation.

"(g) The principal outreach officer or an offsite process counselor that has received a confidential disclosure under subsection (10) of this rule may recommend interim safety measures under this subsection if requested by the individual making a disclosure under subsection (10) of this rule, except that the interim safety measure may not:

"(A) Identify the individual making the confidential disclosure
 without the consent of the individual; or

"(B) Penalize or place the person who is the subject of the disclo sure in a worse position than before the disclosure was made.

16 "(14) <u>Investigations.</u>

"(a)(A) In all instances in which a formal complaint has been made under subsection (12) of this rule against a member of the Legislative Assembly, a leadership chief of staff, a caucus office chief of staff, a parliamentarian, an agency head or the Human Resources Director, the Legislative Equity Office principal investigator shall promptly appoint an outside investigator from among investigators on a list maintained under subparagraph (C) of this paragraph.

"(B) If, in any instance other than those described in subparagraph
(A) of this paragraph, the principal investigator determines that facts
and circumstances warrant an outside investigator conducting the investigation, the principal investigator shall select an investigator from
the list maintained under subparagraph (C) of this paragraph.

"(C) The Joint Committee on Conduct, on or before January 1, 2020,
 shall adopt standards and criteria for the selection of an outside in-

vestigator and the Legislative Equity Office shall maintain a list of
potential outside investigators who meet the standards and criteria
established by the committee.

"(b) An investigation that is to be conducted under this subsection 4 shall be conducted promptly and shall be completed as soon as is $\mathbf{5}$ practicable. The investigation must be completed within 84 days from 6 the date the complaint is made, except that the Legislative Equity 7 Office may extend the time by which the investigation must be com-8 pleted if the investigator provides advance notice to the complainant 9 and the respondent of the extension and an explanation justifying the 10 extension. 11

"(c) The investigator shall keep the complainant and the respondent apprised of the investigation timeline and the status of the investigation at the outset of an investigation, on a regular basis thereafter and upon request of the complainant or respondent.

"(d)(A) The investigator shall use best practices in conducting the investigation and shall make findings of fact relevant to the allegations. The investigator shall prepare draft written findings of fact at least eight days before the investigation must be concluded under paragraph (b) of this subsection and shall provide the draft written findings to the complainant and the respondent.

"(B) If the respondent is someone other than a member of the Legislative Assembly, the draft written findings shall also contain a proposed finding of whether one or more violations of this rule occurred.

"(C) The complainant and the respondent may give responses to the
 draft written findings to the investigator within seven days of receiv ing the draft.

"(D) The investigator shall consider responses supplied under sub paragraph (C) of this paragraph and shall prepare a final report that

sets forth the investigator's findings of fact. If the respondent is someone other than a member of the Legislative Assembly, the final report should also include a determination by the investigator of whether the facts constitute a violation of this rule.

5 "(e)(A) If a member of the Legislative Assembly is the respondent, 6 the investigator shall deliver the final report to the complainant, the 7 respondent and the committee on conduct for the chamber in which 8 the respondent serves on or before the date established under para-9 graph (b) of this subsection for the completion of the investigation.

"(B) The complainant and the respondent may each submit to the appropriate committee on conduct a written challenge to the factual findings set forth in the final report within seven days of receipt of the report. A challenge must identify the factual findings that are the subject of the challenge and articulate the reason those findings are in error.

"(C) The committee on conduct shall conduct a hearing on the allegations made in the complaint and the investigator's final report within 14 days of receiving the report from the investigator. The committee shall permit the complainant and the respondent to appear, present documents and physical evidence and suggest witnesses. The committee may determine to hear witnesses, but only committee members may question witnesses.

"(D) At the hearing or a subsequent hearing, the committee on
 conduct shall deliberate and:

25 "(i) Make a final determination of facts;

"(ii) Make a final determination of whether the facts constitute a
 violation of this rule; and

"(iii) If the determination is that a violation of this rule occurred,
 prescribe or recommend remedies as described in subsection (15) of
 this rule.

"(f) If a member of the Legislative Assembly is the respondent and irrevocably resigns the member's office at any time after the formal complaint is made, the investigation described in this subsection and the committee on conduct hearing and final committee determinations described in paragraph (e) of this subsection shall nevertheless take place.

"(g)(A) If someone other than a member of the Legislative Assembly is the respondent, the investigator shall deliver the final report,
including proposed findings of violations, to the complainant, the respondent and:

"(i) In the case of a respondent who is a Legislative Branch em ployee in a nonpartisan staff position, to the respondent's appointing
 authority.

"(ii) In the case of a respondent who is a Legislative Branch employee in a partisan staff position, to the respondent's appointing authority and to the committee on conduct of the chamber with which the employee is affiliated.

"(iii) In the case of a respondent who is a State of Oregon employee
 but not a Legislative Branch employee, to the Legislative Adminis trator and the respondent's agency director.

"(iv) In the case of a respondent who is a lobbyist, employee of a 21contractor or member of the public, to the Legislative Administrator. 22"(B) A nonpartisan staff appointing authority who receives an 23investigator's final report under subparagraph (A)(i) of this paragraph, 24or the Legislative Administrator upon receiving an investigator's final 25report under subparagraph (A)(iii) or (iv) of this paragraph, shall de-26termine remedial measures described in subsection (15) of this rule 27within 14 days of receiving the investigator's final report. 28

"(C) The appropriate committee on conduct that receives an
 investigator's final report under subparagraph (A)(ii) of this paragraph

shall make a recommendation on remedial measures described in subsection (15) of this rule to the supervising member of the Legislative Assembly within seven days of receiving the investigator's final report. The supervising member of the Legislative Assembly shall consider the recommendations and make a final determination on the remedial measures within 14 days of receiving the investigator's final report.

8 "(15) Remedial measures.

"(a) In a case where the respondent is a member of the Legislative 9 Assembly and the appropriate committee on conduct has made a de-10 termination under subsection (14)(e) of this rule that a violation of 11 this rule has occurred, the committee shall impose any remedy that 12is sufficient to reprimand the member and deter future conduct that 13 violates the rule, including but not limited to a reprimand, monetary 14 fine or other remedy that the committee determines is appropriate 15under the circumstances, except that: 16

"(A) If the committee recommendation is to expel the member, the
 committee shall report that recommendation to the full chamber,
 which shall act on that recommendation at its earliest opportunity;
 and

"(B) If the committee recommendation is to remove the member from one or more committees to which the member is assigned, the committee shall report that recommendation to the presiding officer of that chamber.

²⁵ "(b)(A) In a case where the respondent is a Legislative Branch em-²⁶ ployee in a nonpartisan staff position, the appointing authority, in ²⁷ consultation with the Human Resources Director, shall determine an ²⁸ appropriate remedy that is consistent with the investigator's determi-²⁹ nation that the respondent violated the requirements of this rule.

30 "(B) The respondent may appeal the investigator's final report or

any remedial measure imposed under this paragraph after the report
has been delivered to the appointing authority but no later than seven
days after the imposition of remedial measures under this subsection,
except that any appeal must be based only on:

5 "(i) Newly discovered evidence that was not taken into account by
6 the investigator;

7 "(ii) A claim of process error that is being asserted by the appellant;
8 or

9 "(iii) A claim that the investigator or the person or committee that
10 imposed a remedy acted with bias.

"(C) The appeal may be made to the Joint Committee on Conduct. 11 "(c)(A) In a case where the respondent is a Legislative Branch em-12ployee in a partisan staff position, the committee on conduct of the 13 chamber with which the employee is affiliated shall make a recom-14 mendation on an appropriate remedy consistent with the investigator's 15determination that the respondent violated the requirements of this 16 rule. The committee's recommendation shall be made to the member 17 of the Legislative Assembly for whom the respondent works. 18

"(B) The member shall determine the appropriate remedy within
 the time prescribed in subsection (14)(g)(C) of this rule and shall notify
 the Legislative Equity Office upon making the determination.

"(C) If the Legislative Equity Office determines that no remedial measures were imposed under subparagraph (B) of this paragraph or that the remedial measures imposed were substantially different from the remedial measures recommended by the committee, the office shall notify the committee of the disparity. The committee may hold a hearing and may impose a remedy.

"(D) The respondent may appeal the investigator's final report or
 the remedial measure imposed under this paragraph to the committee
 on conduct with which the respondent is associated within seven days

after the remedial measure is imposed, except that any appeal must be based only on a claim described in paragraph (b)(B) of this subsection.

"(d)(A) In a case where the respondent is a lobbyist, employee of a contractor, other person who is present in the State Capitol for professional or work reasons, or is a member of the public, and the investigator's final report determines that a violation of this rule has occurred, the Legislative Administrator shall determine an appropriate remedy that is consistent with the investigator's determination, including but not limited to:

11 "(i) A monetary fine; or

12 "(ii) Limiting access to the State Capitol.

"(B) If the respondent is a lobbyist, employee of a contractor or 13 other person who is present in the State Capitol for professional or 14 work reasons, the Legislative Administrator shall provide notice of the 15 proposed remedy under this paragraph to the respondent and the 16 respondent's employer within 14 days of receiving the final report from 17 the investigator. If the respondent is a lobbyist who is a member of 18 an association of professional lobbyists, the Legislative Administrator 19 shall also provide notice of the proposed remedy to the association. 20

"(C) The Legislative Administrator may modify the proposed remedy at any time until 28 days after receipt of the investigator's final
report, but thereafter the proposed remedy is final.

²⁴ "(16) Confidentiality and transparency.

"(a) The investigator undertaking an investigation under subsection
(14) of this rule and the Legislative Equity Office shall provide as
much privacy as possible during the course of an investigation.

"(b) The investigator and the Legislative Equity Office shall main tain all records and information about an investigation confidentially,
 except that:

"(A) The investigator may disclose the fact of the investigation and any relevant details of the investigation to the appointing authority of the complainant and the respondent and the Joint Committee on Conduct, if the investigator determines there is a legitimate need to disclose the information; and

6 "(B) In the case of a respondent who is a member of the Legislative 7 Assembly, the investigator may disclose the fact of the investigation 8 and any relevant details of the investigation to the person to whom 9 the formal complaint was delivered under subsection (12)(e)(B) of this 10 rule.

"(c) A formal complaint made under subsection (12) of this rule is disclosable upon being made under subsection (12) of this rule, but all records relating to an ongoing investigation under subsection (14) of this rule shall be maintained in confidence.

"(d) Records and information of the investigator and the Legislative
 Equity Office shall be exempt from disclosure as prescribed under applicable law, except that, also as prescribed under applicable law:

"(A) A formal complaint made under subsection (12) of this rule is
 disclosable when requested;

"(B) Records relating to a member of the Legislative Assembly following a formal complaint being made concerning the member or employee are subject to disclosure after the fact-finding investigation has concluded, even if a legislative committee has not yet met or deliberated on the investigation's findings; and

"(C) Records relating to an investigation of allegations of conduct prohibited by legislative branch personnel rules and not described in subparagraph (A) or (B) of this paragraph are subject to disclosure upon a determination being made that the person who was the subject of the investigation is subject to remedial measures or discipline.

30 "(17) Establishment of committees on conduct.

"(a)(A) The Senate Committee on Conduct is established, consisting of four Senators and two alternates. Two Senators and one alternate must be from the majority party and two Senators and one alternate must be from the minority party. Each Senator must be approved by majority vote of the Senate to serve on the committee or to serve as an alternate.

"(B) The Senate Committee on Conduct shall perform those functions assigned by this rule to carry out the purposes of Article IV,
section 15, of the Oregon Constitution, for the Senate.

10 "(C) The Senate shall appoint members of the Senate Committee 11 on Conduct within 15 days after the date of the convening of an or-12 ganizational session of the odd-numbered year regular session of the 13 Legislative Assembly, as soon as practicable after a vacancy occurs 14 or as soon as practicable after this rule takes effect.

"(b)(A) The House Committee on Conduct is established, consisting 15 of four Representatives and two alternates. Two Representatives and 16 one alternate must be from the majority party and two Represen-17 tatives and one alternate must be from the minority party. Each 18 Representative must be appointed by majority vote of the House of 19 Representatives to serve on the committee or to serve as an alternate. 20"(B) The House Committee on Conduct shall perform those func-21tions assigned by this rule to carry out the purposes of Article IV, 22section 15, of the Oregon Constitution, for the House of Represen-23tatives. 24

"(C) The House of Representatives shall appoint members of the House Committee on Conduct within 15 days after the date of the convening of an organizational session of the odd-numbered year regular session of the Legislative Assembly, as soon as practicable after a vacancy occurs or as soon as practicable after this rule takes effect. "(c) The members of the Senate Committee on Conduct and the members of the House Committee on Conduct shall together comprise
the Joint Committee on Conduct. The Joint Committee on Conduct
shall perform the duties assigned to the joint committee under chapter
_____, Oregon Laws 2019 (Enrolled Senate Bill 744), or this rule.

"(d) When a member of a committee on conduct is named as a respondent under this rule, the member may not serve as a member of the committee or as a member of the joint committee until the matter is resolved.

9 "(18) <u>Respectful workplace policies.</u>

"(a) The Joint Committee on Conduct shall develop and maintain a respectful workplace policy to address conduct that is inconsistent with the policy direction established for the Legislative Branch as set forth in subsection (1) of this rule but that does not rise to the level of creating a hostile work environment or violating public accommodation law.

"(b) In addition to establishing standards of conduct and giving
 examples of conduct that violates those standards, the policy shall
 establish procedures for determining and imposing remedial measures,
 including but not limited to training, coaching and counselling.

"(c) For Legislative Branch employees, the policy shall also estab lish procedures for determining and imposing proportionate discipline
 when appropriate.

"(d) For members of the Legislative Assembly, the policy shall also
 establish procedures for making recommendations to the appropriate
 committee on conduct established in subsection (17) of this rule for
 proportionate discipline when appropriate.".

27

²⁸ "Legislative Branch Personnel Rule 12: Resignation, Retirement or
 ²⁹ Separation from Service.

30

"APPLICABILITY: This rule applies to all employees of the Legislative

HCR 20-6 3/26/19 Proposed Amendments to HCR 20 Branch and all interns, externs and volunteers performing service in
 the Legislative Branch. This rule does not apply to members of the Legis lative Assembly.

"(1) <u>Notice of resignation or retirement.</u> An employee who is resigning
or retiring shall file written notice with the employee's appointing authority
stating the effective date and time of the resignation or retirement.

7 "(2) Notification to Employee Services and Legislative Equity Office.

"(a) Upon notification from an employee of a pending resignation or retirement, the employee's appointing authority shall notify Employee Services
before the effective date of the resignation or retirement.

"(b) The supervisor or appointing authority of each intern, extern
or volunteer shall notify the principal outreach officer of the Legislative Equity Office appointed under section 1, chapter_____, Oregon
Laws 2019 (Enrolled Senate Bill 744), or the principal outreach officer's
designee, when an intern, extern or volunteer plans to separate from
service in the Legislative Branch.

"(c) The principal outreach officer, or the principal outreach officer's designee, shall proactively attempt to conduct an exit interview with each employee, intern, extern or volunteer who is resigning, retiring or otherwise separating from service. If limited by resources, the Legislative Equity Office shall prioritize conducting exit interviews with interns, externs and volunteers.

23 "(3) Job abandonment.

"(a) An employee who fails to report to work for five or more consecutive work days and fails to contact the employee's appointing authority, immediate supervisor or a staff member of Employee Services may, at the discretion of the appointing authority, be deemed to have abandoned the employee's job and will be treated as having voluntarily resigned.

29 "(b) If the appointing authority deems that the employee has abandoned 30 the employee's job, the appointing authority shall notify the employee in writing by mailing notice to the employee's address on record with Employee
Services, and give the employee the opportunity to present extenuating circumstances for not reporting for work or contacting the appointing authority.

5 "(c) If the appointing authority determines that sufficient extenuating 6 circumstances exist to excuse the employee's absence, the absence may be 7 covered by a subsequent grant of accrued leave or leave without pay.

8

9 "Rule 32: Employees of Members, Leadership, Caucuses and Non 10 partisan Offices.

"APPLICABILITY: This rule applies to [personal staff of members of the
 Legislative Assembly and to caucus office and leadership office staff] all em-

13 ployees, interns, externs and volunteers of the Legislative Branch.

14 "(1) Personal staff of members of the Legislative Assembly.

"(a) Employees, interns, externs and volunteers appointed as personal
 staff serving a member of the Legislative Assembly directly serve at the
 pleasure of the member.

"(b) Applicants for personal staff positions shall apply for employment in the manner prescribed by the member of the Legislative Assembly. The application must include, at a minimum, a summary of the applicant's prior relevant education and experience and a signed legislative application form as required of all applicants for other positions.

"(c) Notwithstanding paragraph (b) of this subsection, a copy of each application received under this subsection for which the appointing authority determines to appoint the applicant shall be delivered to Employee Services prior to the date of appointment. Employee Services shall maintain a database that includes personal contact information, start dates and, if applicable, end dates for the appointment.

³⁰ "(2) Leadership office and caucus office staff.

"(a) Employees, interns, externs and volunteers appointed to work for
a leadership office or a caucus office serve at the pleasure of the appointing
authority.

"(b) Applicants for employment with a leadership office or a caucus office shall apply for employment in the manner prescribed by the appointing authority. The application must include, at a minimum, a summary of the applicant's prior relevant education and experience and a signed legislative application form as required of all applicants for other positions.

9 "(c) Notwithstanding paragraph (b) of this subsection, a copy of 10 each application received under this subsection for which the ap-11 pointing authority determines to appoint the applicant shall be deliv-12 ered to Employee Services prior to the date of appointment. Employee 13 Services shall maintain a database that includes personal contact in-14 formation, start dates and, if applicable, end dates for the appoint-15 ment.

16 "(3) Nonpartisan staff.

17 "Employees, interns, externs and volunteers serve at the pleasure 18 of the appointing authority. A copy of each application received by a 19 nonpartisan office of the Legislative Assembly for which the appoint-19 ing authority determines to appoint the applicant shall be delivered to 20 Employee Services prior to the date of appointment. Employee Ser-22 vices shall maintain a database that includes personal contact infor-23 mation, start dates and, if applicable, end dates for the appointment.

24 "(4) Employee Services.

²⁵ "Following receipt of an application under this rule, Employee ²⁶ Services must notify the Legislative Equity Office of the start date of ²⁷ the employee, intern, extern or volunteer. The office shall ensure that ²⁸ each employee, intern, extern and volunteer is provided with the ²⁹ training described in section 7 (1), chapter _____, Oregon Laws 2019 ³⁰ (Enrolled Senate Bill 744), as soon as practicable after the start date. "Legislative Branch Personnel Rule 33: Operative date and transi tion.

"(1) Subsections (1) to (16) of Legislative Branch Personnel Rule 27, 3 as set forth in this concurrent resolution, become operative on the 4 date that the Joint Committee on Conduct, as established in section $\mathbf{5}$ 1, chapter _____, Oregon Laws 2019 (Enrolled Senate Bill 744), notifies 6 the presiding officers that the principal outreach officer and the prin-7 cipal investigator of the Legislative Equity Office, as established in 8 section 1, chapter _____, Oregon Laws 2019 (Enrolled Senate Bill 744), 9 have been appointed or, pursuant to section 4, chapter _____, Oregon 10 Laws 2019 (Enrolled Senate Bill 744), an acting principal outreach of-11 ficer and an acting principal investigator have been appointed. 12

"(2) For periods after the adoption of this concurrent resolution and
before notice is given under subsection (1) of this section, the Legislative Administrator and the Human Resources Director may impose
interim safety measures as described in Legislative Branch Personnel
Rule 27 (13), to protect any person present in the State Capitol from
harassment, sexual harassment or retaliation.".

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