



ADMINISTRATIVE Policies/Procedures Manual

March 2017

CMSA ADMINISTRATIVE POLICIES/PROCEDURES

INDEX

March 2017

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POLICY/PROCEDURE #:	1
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Agency Policy/Procedure Identifier Standard
DATE:	11/05/2013

POLICY

To establish a standard methodology for assigning an identifier (number) to Agency policies and procedures.

PROCEDURE

Policies/Procedures that apply to the Agency or multiple departments will be assigned an identifier utilizing the methodology provided in the table below. The Administrative Assistant (AA) is responsible for assigning new identifiers and maintaining an index of active identifiers. Staff developing new organizational policies and procedures will obtain identifiers from the AA.

The structure of the Agency's Policy/Procedure binder is as follows:

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POLICY/PROCEDURE #:	2
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Media Information Requests
DATE:	11/05/2013

POLICY

To provide guidance to Agency staff on the proper procedures to follow upon receiving informal and formal requests for information from the media. It is the Agency's intention to promptly and transparently respond to such requests, except those that relate to legally confidential, personnel, or medical matters.

Note: Refer to Policy/Procedure #10, Public Records Act Requests, when the request is for a public record.

Media Information Requests

Information requests from the media (reporters) shall be forwarded to the General Manager (GM) or his/her designee for a formal Agency response. In general, it is in the best interest of the Agency to respond to all media inquiries. If the GM is not available at the time of the request, the guidelines below should be followed.

1. The Administrative Assistant will obtain the reporter's contact information and deadline.
2. If the GM will not be available prior to the deadline, the Administrative Assistant will forward the reporter's contact information to the appropriate Department Manager.
3. The Department Manager will contact the reporter to determine the nature of the information requested, and inform the reporter when the information will be provided. The requested information does not need to be given during the initial contact.
4. The Department Manager will contact the GM to discuss the request and an appropriate response.
5. The Department Manager will determine if the information is readily available, and evaluate if the information can be retrieved and a response formulated by the reporter's deadline.
6. Responses to media inquiries shall be limited to the information being requested.
7. After the information is provided, the Department Manager will prepare a brief Contact Memorandum accurately summarizing the discussions with the reporter and the information provided, and distribute the Contact Memorandum to the GM.

POLICY/PROCEDURE#:	4
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Electronic Data Management
DATE:	04/30/2014

PURPOSE

The purpose of this procedure is to establish guidelines for electronic data management in the areas of storage, capacity, accessibility, and archiving. PROCEDURE

I. General

- A. *Policy/Procedure #5 – Records Retention* provides further guidance for retention periods.
- B. Plant Process Data from the Process Control System (PCS) is also known as the Supervisory Control and Data Acquisition (SCADA) System.

II. Responsibilities

- A. The Information Systems Analyst (or designee) is the primary staff member responsible for developing and maintaining procedures related to electronic data management.
- B. Each department manager is responsible for requesting services for new employees of the department, such as Local Area Network access and an email address. The Manager also identifies the network access and groups that the employee will require.
- C. Requests for CMMS accounts are handled by the CMMS Administrator, designated as the Maintenance Supervisor or IS Analyst, (or designee).

III. SCADA

- A. All SCADA data is archived to a second directory on the SCADA main and backup servers daily. After ten years, as annual data is archived, older data will be deleted from the server.
- B. Upon deployment of the new SCADA system, *Ignition*, the historical database will be replicated between the primary (Control Room) and backup (Solids Building) SCADA servers. Incremental backups will be performed nightly to the Agency's storage servers.

IV. Agency Office and Laboratory Data

A. Novell Server

- 1) All employee work stations, including Administrative, Engineering, Finance, and Environmental Services departments operate on the Agency's local area network Novell server.
- 2) A complete backup of the data on the Novell server is done weekly, and incremental backups are performed nightly. These nightly backups are stored for one year, with monthly backups kept for three years.

B. Local Data—Personal Computer Hard Drives

- 1) It is the responsibility of the employee to back up data stored on an employee's computer's local drives (generally the C: drive).

C. Maintenance Data—Computer Maintenance Management System (CMMS)

- 1) The CMMS data is stored on the SQL server virtual machine.
- 2) All CMMS data is compressed and backed-up nightly to the Agency's storage servers, with the uploaded documents, images, etc. being included in the compressed archive every Sunday. These backups are retained for one year.

D. Financial Data—OSAS

- 1) The OSAS data is stored on the OSAS server virtual machine.
- 2) The OSAS data directory is compressed and backed-up nightly to the Agency's storage servers.
- 3) Backups are retained for ten years.

E. Email—Client and Web Interface

- 1) Agency email service is provided through Google, and can be access at <http://mail.google.com/>
- 2) Data protection is ensured by Google, but no historical backups to recover deleted messages are available.

F. CMSA Web Page

- 1) The CMSA web site is hosted on a virtual server at the Agency facility.
- 2) Virtual machine incremental backups are performed weekly, with the following retention schedule:

Weekly (Sunday) for 1 month

Monthly (First Sunday) for 1 year

POLICY/PROCEDURE #:	5
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Disposal of Surplus Assets
DATE:	10/08/2013 <i>(Board Approved)</i>

POLICY

CMSA will dispose of surplus assets when they have exceeded their service life, are obsolete, where the value of replacement is less than rehabilitation, or they no longer serve the Agency's mission.

PROCEDURE

1. Agency assets will be determined to be surplus by Department. Department Managers will estimate the value of the asset to be declared surplus and provide a recommendation to the General Manager on the manner to dispose of the assets, including process and method, and the advertising approach.
2. Authorization—The Board of Commissioners shall approve disposal for any item valued at \$7,500 or greater. The General Manager shall approve disposal of any item valued at less than \$7,500.
3. Advertising—The Department Manager will review options for advertising, including advertising in the Marin Independent Journal newspaper or other print media, or listing electronically on websites such as ebay or Craig's List. The most appropriate method will be determined using factors such as asset value, advertisement costs, and breadth of advertisement.
4. Disposal Methods—The disposal method may include sale to the highest bidder after sealed proposals are opened, donation to a local non-profit organization, or internal posting for employee bidding. Department managers will determine and recommend the best method for each asset.

CMSA can reserve the right to reject proposals if the bid is lower than the estimated asset value, or if additional advertising is determined appropriate.

5. All funds realized from the sale of surplus assets will be deposited in the CMSA operating fund.
6. Scrap Metal—Proceeds from the sale of scrap metal will be deposited in the CMSA operating fund.

POLICY/PROCEDURE #:	6
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Agency Tours
DATE:	06/02/2016

PURPOSE

This policy identifies the route and procedures to be used when scheduling and providing educational tours of the Agency. The identified procedures and route are designed to comply with the access requirements of the Americans with Disabilities Act (ADA). The tour route stop descriptions provide a basic framework for discussion in each area.

GENERAL PROCEDURES

- I. Persons requesting a group tour should be referred to the Administrative Assistant, who will contact the appropriate manager, who, in turn, will take the pertinent information, schedule the tour, and arrange for a tour leader.
- II. Group tours should be scheduled in advance. Individual tours may be given with little or no advance scheduling, provided the tour leader has obtained authorization from their supervisor to conduct the tour.
- III. Tours are to be conducted with utmost concern for the safety of the tour group, including strict adherence to the CMSA Injury and Illness Prevention Plan and compliance with National Fire Protection Association (NFPA) 820 requirements.
- IV. Tours shall not be conducted in the vicinity of construction work.
- V. Tour groups will have at least one parent or teacher for each 15 students for Grades 5 and above, and for younger students the ratio should be one adult to each student.
- VI. In accordance with NFPA 820 regulations, students are not allowed to take cell phones, PC tablets, and similar electronic devices on the tour, and they must be left in vehicles or in the administration building storage container. Adults may carry mobile devices, but they must be left in the storage containers in designated areas of the facility during the tour.
- VII. In the event of a facility-wide emergency, the tour leader shall immediately escort the tour group to the Assembly Area, depicted as “AA” in the attached map, and await further instructions. Tour leads should carry radios on all tours.
- VIII. After completing the tour, the tour leader will email the Environmental Services Manager or designee the pertinent information regarding the tour, including tour date and time, organization name, size of group, and group leader contact information. The ESM is responsible for retaining this information and including it in the Agency’s monthly performance metric report and annual pollution prevention report.

TOUR ROUTE

- I. The attached map depicts the facility tour route.
- II. A complete tour should take an average of approximately 1-2 hours. The time taken and the details provided at each stop will vary based on overall time constraints, interests of the tour group, the tour leader's other duties, etc.
- III. Each stop identified on the tour route map is numbered, and correspond to the heading numbers in the Tour Route and Description section, below. The description talking points are a general guideline only, and may be supplemented by the tour leader's knowledge of particular areas.
- IV. Tour Route and Descriptions
 - A. Administration Building/Entry Plaza/Board Room (depending upon conditions).
 - 1) CMSA is a Joint Powers Authority formed in 1979 by four local agencies to enable treatment of wastewater to a higher standard and more efficiently than upgrading the existing four plants.
 - 2) CMSA owns and operates a large regional wastewater treatment plant (WWTP).
 - 3) Our service area: part of San Rafael (South of Santa Venetia), Corte Madera, Larkspur, Greenbrae, Kentfield, Ross, San Anselmo, Fairfax, San Quentin, and unincorporated areas in the Ross Valley.
 - 4) CMSA's facilities began operation in 1985.
 - 5) SCADA (Supervisory Control and Data Acquisition) system monitors operating conditions at the facility and Agency-maintained assets; automates control of many different treatment processes.
 - B. Laboratory
 - 1) The lab conducts compliance testing for a number of compounds under our NPDES (National Pollutant Discharge Elimination System) permit which regulates our discharge into SF Bay. The permit protects the beneficial uses of the Bay by applying specific limits to a number of different compounds.
 - 2) Control testing is performed on treatment processes to ensure they are operating as effectively and efficiently as possible.
 - 3) If time permits, briefly describe the equipment and the test procedures used.
 - 4) If time permits, briefly describe bioassay testing and equipment.

C. Hydrogen Peroxide Station & Polymer Facility

- 1) Briefly describe use of nitrate and hydrogen peroxide in a two-phase program to control odors, and sulfide used to control corrosion in the collection system.
- 2) Briefly explain the use of polymer and ferric chloride in chemically-enhanced primary treatment.

D. Hauled Waste/Vactor Station

- 1) Two facilities at the Treatment Plant are used by motor homes, septic haulers, portable toilet haulers, and Vacuum, "Vactor," trucks that clean out sewers and storm drains.
- 2) There are still many homes in Marin County that are not connected to the sanitary sewer that have septic tanks. Septic haulers pump them out and the waste is hauled away for proper disposal at CMSA.
- 3) Portable toilets for special events, construction sites, and recreational areas in Marin County are also pumped out and the waste brought to our receiving station.
- 4) When sewers are plugged or storm drains need to be pumped out, they are vacuumed out and the waste is brought to the larger Vactor Receiving Station.

E. Headworks/Preliminary Screening/Primary Clarifiers

- 1) Screens are the first step of wastewater solids separation; they remove large, untreatable objects (plastic, wood, toys, etc.) from the wastewater for separate disposal.
- 2) Aerated Grit Tanks remove sand and grit using air flow to create a horizontal cyclone that increases settling to the bottom of each tank.
- 3) Sand and grit are pumped into grit classifiers. The sand and grit are washed and hauled away to a landfill, and the lighter-weight organic solids, that are suspended or dissolved in the wastewater, are removed in the next process downstream, Primary Sedimentation.
- 4) Primary Clarifiers: A physical process. The water is slowed down to ~2 ft./sec. to allow floating material, "scum," and non-floating materials, "sludge," to be removed.
- 5) The waste materials from the primary process (scum and sludge) are pumped to the Anaerobic Digesters to produce methane gas.

F. Blending Channel

- 1) Only used when flows (above 30 MGD) exceed the treatment capacity of the secondary system.

G. Secondary Treatment – Biotowers and Aeration Tanks

- 1) Secondary treatment is a two-step biological process that uses microorganisms to clean the water.
 - a) Biotowers: fixed-film biological treatment system. Wastewater is distributed over the top of plastic honey-comb media that supports the growth of bacteria. These organisms consume dissolved nutrients, “food,” from the water prior to flowing to the aeration process.
 - b) Aeration Tanks: Wastewater from the primary process, “primary effluent,” and biotower effluent are introduced into the aeration basins along with returned activated sludge (RAS). Air is diffused into the tanks, which provides oxygen for the “activated sludge” microorganisms. Air, along with a food source, allows these organisms to consume nutrients, grow, and thrive.

H. Secondary Clarifiers

- 1) Aeration tank effluent flows to the Secondary Clarifiers where the activated sludge settles to the bottom.
- 2) Settled sludge is gently moved to the center by the slowly rotating rake arms.
- 3) From the center of the clarifier, a majority of the sludge is sent back to the Aeration Tanks – called Return Activated Sludge (RAS). The rest of the sludge is “wasted off” from the treatment stream – called Waste Activated Sludge (WAS). This is thickened with special equipment called Rotary Drum Thickeners and pumped to the Digesters for treatment.
- 4) By balancing the amount of returned and wasted sludge, the optimum age and type of microorganisms can be selected that will both treat the wastewater properly and settle well in the Secondary Clarifiers.

I. Effluent Storage Pond

- 1) Used for temporary storage of disinfected wastewater during plant maintenance work.
- 2) Can hold up to 7 million gallons.

J. Chlorine Contact Tanks/Dechlorination

- 1) High-efficiency mixing of a chlorine solution (similar in strength to pool chlorine) is introduced to secondary-treated water as a disinfectant prior to discharge into SF Bay.
- 2) After the water is chlorinated, it travels slowly in long basins called Chlorine Contact Tanks. These tanks are very long so that the chlorine can stay in contact with the wastewater long enough to adequately remove harmful bacteria.
- 3) At the end of the chlorine contact period, residual chlorine in the water is removed utilizing a dechlorinating solution called sodium bisulfite.

K. Outfall

- 1) Once the water has been fully treated, disinfected, and dechlorinated, it is discharged into a seven-foot (7') diameter Outfall Pipeline.
- 2) The Outfall Pipeline is about 10,000 feet long (about two miles), which provides enough time for the sodium bisulfite to completely neutralize any residual chlorine.
- 3) At the end of the Outfall, the final effluent is slowly discharged into the Bay through a 1,000-foot-long diffuser section with 176 separate diffusers.

L. Chemical Storage

- 1) Hypochlorite and sodium bisulfite are stored here. CMSA has five 5,500 gallon tanks to store hypochlorite, and two 6,500 sodium bisulfite bulk storage tanks.
- 2) Chlorine is a caustic chemical that requires special tanks, pumps, transfer lines, and storage.
- 3) Sodium bisulfite, in the next storage room, is used to dechlorinate the disinfected effluent. Tanks and plumbing in this room are insulated because sodium bisulfite needs to be kept warm so that it doesn't crystallize and plug the lines.

M. Fats, Oils, and Grease (FOG)/Food Waste (FW) Receiving Station

- 1) Receives Fats, Oils, and Grease (FOG) from private haulers that collect it from restaurant grease traps.
- 2) Receives other organic liquid wastes from private haulers.
- 3) Receives Food Waste from restaurants, schools, and markets.

- 4) FOG, FW, and other liquid wastes are mixed, screened, processed, and pumped to the Digesters to produce additional biogas.
- 5) Benefits of receiving these wastes are reduced greenhouse gas emissions, decreased landfill space, and additional cogeneration system runtime for energy production.

N. Anaerobic Digesters

- 1) We have two anaerobic digesters where the sludge is pumped from the Primary and Secondary Clarifiers.
- 2) The solids decompose without oxygen present (anaerobic digestion), which produces biogas. Biogas is used in conjunction with natural gas as a fuel for our cogeneration engine (more later in the tour).
- 3) The Digesters are heated to at least 95 degrees Fahrenheit. The solids are retained for at least 15 days to break down the organic components of the solids, kill pathogenic bacteria, and reduce odors.

O. Solids Handling Building (3rd floor)

- 1) After the sludge has been digested, it is dewatered using high-speed centrifuges on the floor above. This reduces the water content from about 98% to about 75%.
- 2) To enhance dewatering, a dilute polymer solution is injected into the sludge just before it enters the centrifuges. This polymer is mixed downstairs, and then stored in two tanks before being pumped into the sludge feed line connected to the running centrifuge(s).
- 3) The resulting biosolids are stored in large hoppers, then loaded into trucks and beneficially reused as fertilizer/soil amendments for growing hay and alfalfa, or during the wet weather months, hauled to landfills for reuse as alternative daily cover.

P. Biogas Treatment and Flares

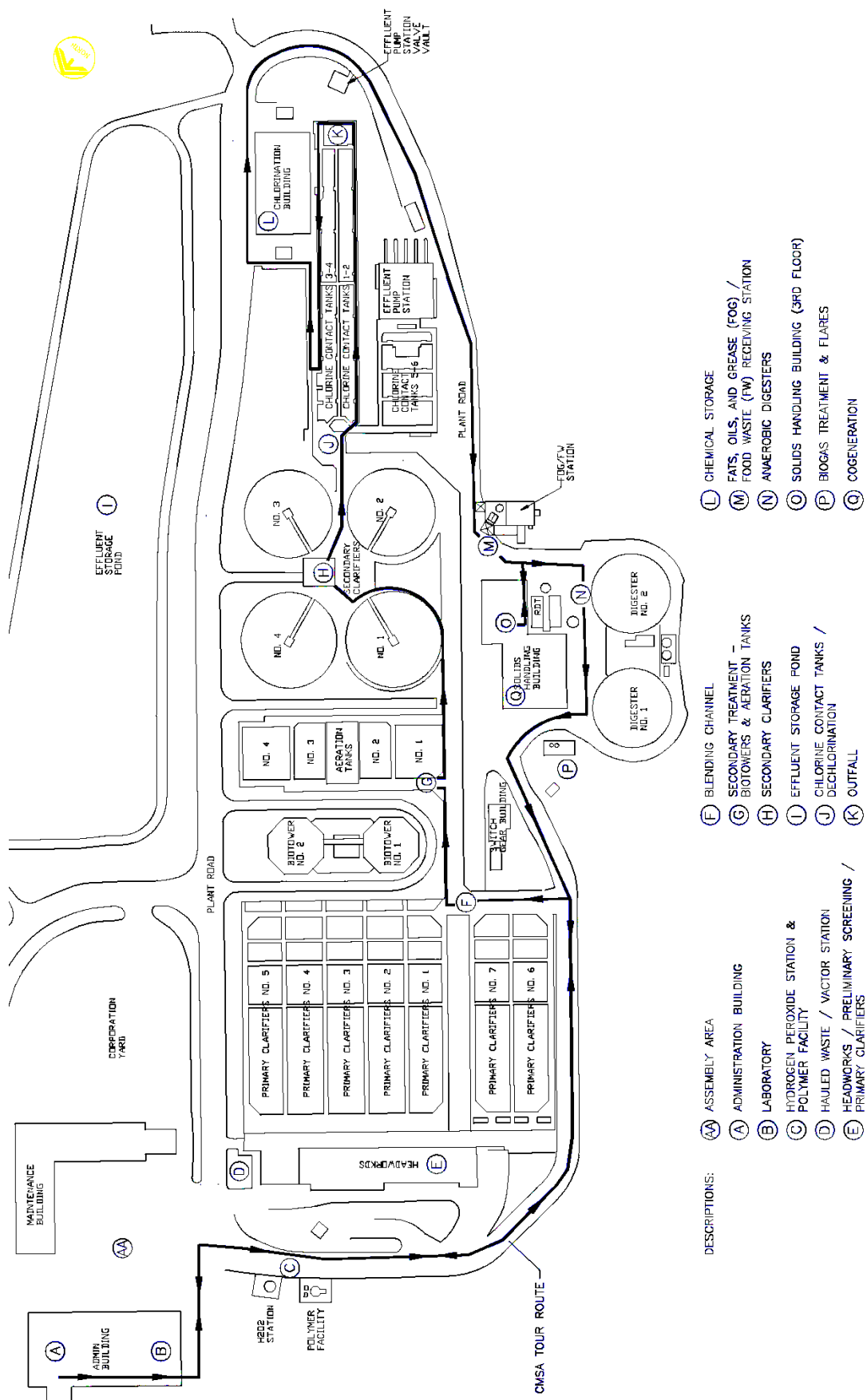
- 1) Digester gas (biogas) is about 65% methane (natural gas) and 35% carbon dioxide.
- 2) The digester gas must be purified to remove hydrogen sulfide and silica-containing compounds (siloxanes) which are used in personal-care products. The siloxanes will form glass at combustion temperatures in the cogeneration engine, and could build up on the cylinder walls of the generator, damaging the engine.

- 3) Biogas is used in our boilers to produce hot water to heat the Digesters. When the cogeneration system is down for maintenance, we continue to produce biogas in the Digesters. Occasionally it is necessary to burn off some of this gas in flares to manage the Digester's biogas volume.

Q. Cogeneration

- 1) We have a 16-cylinder, 1050 hp engine that turns a 750kW generator.
- 2) The engine runs on either biogas or natural gas—both are methane, but natural gas is about 98% methane, and biogas is about 65%.
- 3) We currently power approximately 90% of the Treatment Plant's electricity demand from the biogas produced in our Digesters.
- 4) The engine also produces heat, which is recovered and used to keep the Digesters warm, heat the administration and maintenance buildings, and heat all the water needed throughout Agency facilities.
- 5) Two dual-fuel boilers back up the cogeneration system to produce hot water if the engine is not running.
- 6) A back-up 750kW diesel-powered generator is on site in case of emergency.

Attachment: Tour Route Map



POLICY/PROCEDURE#:	7
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Hard Copy Records Management and Retention
DATE:	05/16/2014

PURPOSE

This Policy/Procedure establishes guidelines and procedures pertaining to the maintenance, management, retention and destruction of Agency records in hard copy format.

BACKGROUND

Each Agency department manager is responsible for the management of department-related files. Administration and Finance files are located in the three file cabinets in the front office. Environmental Services files are located in the file room adjacent to the lab and in the Administration Building attic. Engineering files are located in the Engineering office. Operations log books are stored in the vault. Maintenance files are located in the Maintenance Office.

The Agency's hard copy record archive is located in a secure room on the second floor of the Solids Handling Building. The Archive has metal shelving units, with clearly labeled sections for each Agency department (Finance, Administration, Environmental Services, Operations & Maintenance, and Engineering), along with an area for Clean Water Grant-related files for the original construction of the Agency facility. Records are stored in cardboard bankers' boxes, with the contents clearly labeled on the front of each box.

Active employee personnel, workers' compensation and medical records are kept in secure cabinets in the Administrative Services Manager's Office. When an employee separates from active CMSA employment his/her personnel file are maintained in a secured location until scheduled for destruction.

PROCEDURE

Each category of record has a clearly identified designated employee who is responsible for determining retention time and disposal method, as shown in the Records Retention Schedule.

I. Retention

- A. The designated employee is responsible for determining required retention times for his/her categories of records.
- B. The designee is responsible for filing records using a system that is readily understandable and searchable.

- C. The designee is responsible for moving files to the Archive when appropriate, and ensuring that the files are appropriately boxed and labeled, ensuring that sensitive records (described below) are appropriately stored, and keeping his/her area of the Archive clean and orderly.

II. Records Purge/Destruction

- A. The designee shall authorize purging of records according to the retention schedule. No records will be destroyed without the authorization of the appropriate Department Manager.
- B. The designee will determine what type of destruction method is required for each type of record in his/her department
 - 1. In-house shredding – for small quantities of paper using the Administrative shredder.
 - 2. Offsite shredding – supervised, for large quantities, at Marin Sanitary Service’s facility.
 - 3. Discarded to dumpster for recycling or trash – non-sensitive documents.
 - 4. Records that are confidential or sensitive (payroll, taxes, third party information containing “trade secrets,” etc.) are to be shredded.
- C. The designee will complete the Record Destruction Authorization form, located on the Agency shared drive (H:\Administration\ADM Records\ADM Records Retention) including a list of records destroyed, the date they were destroyed, destruction method, and who destroyed them or witnessed their destruction.
- D. The designee will route the completed form and records list to the Administrative Assistant, who will maintain a permanent Record Retention and Destruction File and Log in the Administration office.

Records Retention Schedule
(Retention Periods in Years)

Abbreviations:

AA	Administrative Assistant	ESM	Environmental Services Manager
ASM	Administrative Services Manager	SD	Safety Director
AT	Accounting Technician	TPM	Treatment Plant Manger
EM	Engineering Manager		

ADMINISTRATION

Record Category	Manager	Retention Period
Administrative Files	AA	Permanent
Agendas/Minutes	AA	Permanent
Compliant logs (includes citizen and odor complaints)	AA	5
Contract Files (includes Agency provided services to other entities)	AA	10
Job Applications	AA	2
Personnel Files	AA/AT	10
Medical: pre-employment, periodic or episodic medicals & lab tests, respirator clearance medical, audiograms (the latest test), CalOSHA medical questionnaire for respirator use, audiogram(s)	AA	30 year after separation of employment
Time Sheets	AT	8
Workers Compensation	ASM/SD	10

ENGINEERING

Record Category	Manager	Retention Period
Design documents (final technical memoranda, formal design phase submittals, internal and external meeting minutes, design correspondence)	EM	Permanent
Document drawings, conformed plans and specifications for completed projects	EM	Permanent *

Record Category	Manager	Retention Period
Final project files (correspondence, inspection records, final submittals, invoices & payment records)	EM	Permanent
Grant-related documents from original Agency facility design and construction	EM	Permanent
Interim design documents (draft technical memoranda, initial designs and estimates, other working documents)	EM	Until submittal of final records
Interim project files (estimates, preliminary submittals, other working documents)	EM	1 from filing of Notice of Completion
Studies and proposals	EM	Permanent

- Record drawings may be purged if the facility or equipment has been removed or replaced by new equipment or work.

ENVIRONMENTAL SERVICES

Record Category	Manager	Retention Period
Annual DMR	ESM	12
Annual/semi-annual pretreatment and pollution prevention reports	ESM	12
Bacteriological analysis	ESM	12
Biosolids analysis	ESM	12
Chemical analysis	ESM	12
Contract services—service activities, not actual contract (LGVSD, SRSD, SD#1, SD#2, NSD, TCD)	ESM	10
ELAP lab certification	ESM	12
Environmental compliance—monitoring, historical, permits	ESM	12
Equipment calibration & maintenance logs	ESM	12
Monitoring reports/violation records	ESM	Permanent
Monthly SMR	ESM	12
Pretreatment records	ESM	12
Public education	ESM	12
QA/QC documentation	ESM	12
Regional Board correspondence	ESM	12

FINANCE

Record Category	Manager	Retention Period
Accounts payable	ASM	10
Accounts receivable	ASM	10
Audit work papers	ASM	10
Bank reconciliations	ASM	10
Budgets	ASM	10
Budget work papers	ASM	10
CAFR	ASM	10
Cancelled checks	ASM	Permanent
Cash receipt logs	ASM	10
Certificate of Title for Agency vehicles (stored in vault)	ASM	10
Employee license certification reimbursements	ASM	3
Financial reports	ASM	10
Purchase orders (attached to accounts payable)	ASM	10
Payroll	ASM	10
Payroll Fed/State filings	ASM	10

OPERATIONS & MAINTENANCE

Record Category	Manager	Retention Period
CMMS records: includes all items related to CMMS, work orders, PMs, purchase requisitions, etc. (Note: A record for each asset exists from acquisition to disposition)	TPM	Permanent
Control room log books	TPM	Permanent
Contract Services – service activities, not actual contract (SD 2, SQSP, SQVSMD)	TPM	10
Equipment disposal records	TPM	3 after disposal
Gas tech calibration records	TPM	3
Maintenance purchase records – “quotes”	TPM	2
O&M training attendance records	TPM	6
Plant process log sheets	TPM	11

Record Category	Manager	Retention Period
Process data historian	TPM	11
Rain data	TPM	Permanent
Safety permits (including elevator, crane, compressed gas)	TPM	11
Vehicle maintenance records and licenses	TPM	Life of vehicle + 3
Weekly reports	TPM	2
Wet weather operation plant	TPM	3

SAFETY

Record Category	Manager	Retention Period
Audiometric Testing	SD	Duration of employment
Confined Space canceled permits	SD	2
Electrical safety PPE inspections	SD	3
Fall Arrest equipment inspections	SD	3
H & S Communications	SD	5 after closure
Hazardous waste management training	SD	Employment +3
Maintenance of fire alarm systems	SD	Life of system
Maintenance of fire extinguishing systems	SD	5
Noise surveys	SD	Current +2
OSHA 300, 300A, 301	SD	5
Respirator fit tests	SD	Most current
Safety Committee minutes	SD	3
Safety Data Sheets	SD	30 years after no longer in use
Safety inspections	SD	5
Safety SOPs, Programs, Policies and Procedures	SD	Most current
Safety Training records	SD	3

POLICY/PROCEDURE #:	8
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Union Access
DATE:	12/17/2013

PURPOSE

CMSA provides access to Union representatives for the purpose of meeting with the Agency's bargaining unit staff to discuss items within the scope of their representation. Our Memorandum of Understanding (MOU) with the Union contains provisions for employees to request time off for official Union business (Section 3), access to work locations (Section 4), and use Agency facilities (Section 5). The procedures below provide guidance to administrative and management staff regarding granting access to Union representatives that comply with the MOU provisions and our past practice.

PROCEDURE

- I. The Union's field representative (Agent) will contact the General Manager (GM) or designee via email or phone to request access to meet with represented staff members. The Agent should provide the date, time and estimated duration for access, and the general nature of the business.
- II. The GM will confer with the appropriate department managers to determine if the requested staff is available on the date and time of the proposed meeting. Department managers will determine if the meeting time impacts department/Agency operations or employees' job responsibilities.
- III. The GM will inform the Agent if the date and time is acceptable. If not, the GM will explain why and suggest that other date(s) and time(s) be proposed for consideration. If the date is acceptable, the GM will notify the Agent that the Board/Conference Room in the Administration Building will be reserved for the Union's use.
- IV. The GM will notify the Administrative Assistant of the approved meeting date, time, and estimated duration for inclusion on the Agency calendar.
- V. On the date of the meeting, the Agent must sign in, and then the Administrative Assistant will notify the appropriate staff to escort the Agent to the Board/Conference Room.
- VI. In the event that the Agent requests access to the Agency without prior approval, as indicated on the Agency calendar, the GM or designee reserves the right to grant access for special circumstances. The Agent will not be granted access without prior approval or authorization by the GM or designee.

POLICY/PROCEDURE #:	9
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Cost Savings Award Program
DATE:	04/30/2014

PURPOSE

To establish a cost savings award program (the Program) to encourage and support Agency employees' efforts in identifying and implementing ways to continuously improve CMSA operations and business practices. The Agency will support this creativity and innovation by sharing a portion of the proven savings with the staff member(s) who developed the cost saving proposal.

SCOPE

The costs saving categories are energy reduction, chemical cost reduction, and labor savings. Other categories may be considered on a case-by-case basis, as determined by the Program Administrator and/or department manager. Initially, proposals must have a projected savings of \$5,000 or greater to be considered for implementation. Proposals in other categories, or that do not meet the \$5,000 threshold, will be considered in the individual employee's merit evaluation.

PROCEDURES

- I. Administration
 - A. The review and implementation procedures outlined in this Policy, and the associated forms, may be revised as necessary based on the program's effectiveness.
 - B. This procedure supplements, and is to be used in conjunction with, the following forms:
 - 1) Proposal Application
 - 2) Proposal Evaluation

Forms and Instructions can be found on the Agency's shared drive:
H:\Forms\Administrative\Cost Saving Award Program
 - C. The Program Administrator (designated by the General Manager) will maintain a file of all proposals with their outcomes, prepare newsletter articles for approved proposals, coordinate evaluating committee meetings, and manage the proposal process from initiation to award distribution.

- D. The voluntary evaluating committee will evaluate and recommend, as appropriate, proposals which have been screened by the employee's departmental supervisor and manager. The committee will be composed of members representing Environmental Services, Operations & Maintenance, and Administration or Engineering.
- E. The committee will meet as determined by the Program Administrator. Each committee member will have an alternate, and department managers will serve on the committee as primary or alternate until the positions are filled, or as needed. Committee members must recuse themselves if they are on a proposal team. The initial term of committee membership is two years.
- F. Individual department managers will perform the formal screening review of proposals after the pre-screening by the proposer(s).

II. Eligibility

- A. All Agency employees except senior managers are eligible to participate in the program.

III. Proposals

- A. Individuals or teams may propose cost savings measures; teams are encouraged since the analysis, implementation, and measurement of proposals and outcomes may involve multiple departments.
- B. Proposers are responsible for performing a pre-screening of ideas, completing the application form, developing the implementation plan, and gathering data for measuring and analyzing outcomes.

IV. Evaluation Process

- A. The following are the levels of proposal review:
 - 1) Each proposing individual or group will complete the information on Section I of the Application form and submit it to the appropriate supervisor and/or department manager.
 - 2) Supervisor and/or department manager will perform the formal screening within two weeks of receiving the form.
 - 3) For proposals that pass the screening process, the proposer(s) will complete Section II and submit it to the Program Administrator, who will coordinate the Evaluating Committee's review and meeting schedule.
 - 4) The Evaluating Committee will review completed proposal application forms and recommend whether or not to proceed to implementation.

- 5) The Committee may request a presentation by the proposer(s) for complex proposals.
- 6) The Committee will communicate the results of its review within two weeks of its completion; Program Administrator will schedule appropriate meetings.
- 7) The Engineering and Finance Departments may assist with technical aspects of this review, as needed.
- 8) If a majority of the Evaluation Committee (three or more members) recommends the proposal for implementation, the Program Manager will submit a completed Evaluation Form to the General Manager for final determination.

V. Implementation Process

- A. Once a proposal has been reviewed and authorized by the General Manager, the proposer(s) will coordinate with the appropriate department manager(s) to implement the proposal on a trial basis.
- B. In general, the proposing staff member(s) will make up the implementation team; if help from additional staff members is needed, that will be coordinated by the department manager(s).
- C. Proposers will gather, or coordinate gathering of, all pertinent data to evaluate the proposal's practicability and to verify cost savings.

VI. Determination of Cost Savings

- A. Savings will be calculated according to the following steps:
 - 1) Project Manager(s) will submit a final report to the Evaluation Committee 30 days after the end of the pilot test. The Project Manager(s) may be requested to present the findings to the Evaluation Committee.
 - 2) Final Report will include what measure(s) were used to calculate baseline costs and cost savings.
 - 3) If savings will accrue over time, the appropriate time period for determining savings will be included with the proposal.
 - 4) Project Team will coordinate the data gathering to support the cost savings calculations.
 - 5) Finance Department and/or the Engineering Department will review the proposed cost savings calculations for accuracy.

- 6) Evaluation Committee will review the final report and make the following recommendations to the General Manager:
 - a. Amount of cost-savings award to Project Team
 - b. Full implementation of proposal by Agency

VII. Award Amounts

- A. Awards for successful proposals will be based on the verified cost savings calculated as described above.
- B. Award will be received as monetary award.
- C. Monetary awards will be made by the Agency as a single, one-time payment for each successful proposal.
- D. Monetary award will be ten percent (10%) of the fixed amount of savings, up to \$12,000 for individuals or \$25,000 for team efforts.
- E. For team proposals, the team will determine award allocation amongst team members as part of the original proposal.

POLICY/PROCEDURE #:	10
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Public Records Act Requests
DATE:	11/05/2013

POLICY

This policy is to provide guidance to Agency staff on the procedures to follow upon receiving informal and formal public records requests for Agency records, and for the public to access Agency records. The Public Records act requires the Agency to provide the public with available information and records, except those that are related to legally-protected confidential, personnel, or medical matters.

Notes: Also refer to Procedure #2, Media Information Requests, for guidance on media inquiries.

Not applicable to labor relations or court subpoena requests.

Legal Review:

- The General Manager, or designee (e.g., acting GM), upon review of the request, will determine whether a legal review is required before the request can be processed.
- Should a legal review be required, the General Manager will notify the Agency's General legal counsel and request a review, specifying any requested response time.
- The legal review will address any issues of confidentiality and records exemption, under the guidelines of the law. Documents that include personal information, such as employee social security numbers, may be subject to redaction or block-outs in order to protect confidentiality. Government Code §6254 sets forth 28 specific exemptions from the definition of a public record. Some of the most relevant ones are preliminary drafts, notes, or interagency or intra-agency memoranda that are not retained by the public agency in the ordinary course of business; personnel, medical or similar files; and statements of personal worth.
- Legal counsel will advise the GM of what documents should not be provided and the supporting reasons, and the GM will inform the requesting party of any limitation of the request.

PROCEDURE

I. Informal Records Requests

- A. Periodically, Agency staff receives requests from an individual or a stakeholder group for general Agency information, such as job descriptions, policies, procedures, compensation and benefits, or process data. Stakeholder groups may include JPA member agencies, industry associations, CASA members, environmental groups, or other local agencies. The Administrative Assistant will forward these Informal Records Requests to the appropriate Department Manager who will respond to the request in a timely manner.
- B. If the Department Manager believes the request may be formal in nature, due to the information requested and/or the group making the request, the Department Manager shall inform the General Manager, and the procedures for Formal Records Requests shall be followed.

II. Formal Records Requests

- A. Receipt of Formal Records Requests
 - 1) Upon receipt of correspondence that is either identified as a Public Records Act Request or a Freedom of Information Act Request, the Administrative Assistant shall date-stamp the document and enter the information in the Public Records Request Log (H:Administration\Public Records Requests). This log shall include the requestor's contact information, the date received, the response due date, the date of the Agency response, review appointment day and time (if applicable), legal review information, and the disposition of the request.
 - 2) The AA then shall make two copies of the request and distributes them to both the General Manager and the Department Manager whose department retains the records (e.g., lab reports request are given to the Environmental Services Manager).
 - 3) The GM and/or the Department Manager then determine the scope of the request and the timeframe to prepare a response.
- B. Processing of Formal Records Requests
 - 1) The Agency must respond to the request in writing within 10 days of the request with a timeframe for providing the documents.
 - 2) The GM and the appropriate Department Manager will determine whether the Agency retains the records in the form requested, either

paper hard copy or electronic.

- 3) If the Agency does retain the record in the form requested, the Department Manager shall determine the estimated number of copies or size of digital media that will be required to satisfy the scope of the request.
- 4) If the Agency retains the requested documents, but not in the form requested, the General Manager or designee will notify the requestor of the form in which the requested records are retained, provide an estimate of the duplication costs, and ask if the requester still wishes the records be provided to them.
- 5) If the Agency does not retain the records in any form, the Department Manager shall promptly inform the General Manager, and the General Manager or designee will inform the requesting Party.
- 6) The General Manager or his/her designee shall advise the requestor of the number of documents that the request requires, and the estimated duplication costs, whether by paper hard copy or electronic file (CD, DVD or flash drive).
- 7) The General Manager or his designee will gather the requested documents, collect payment, and inform the requester when the copies will be available for pick-up at the Agency office.
- 8) Requestor has the option of coming to the Agency office to collect the copies or electronic storage media, or, if the Requestor is unable to come by the office, AA will notify Requestor that the documents can be mailed and charged according to stated fees.
- 9) The requesting party may choose to refine their request for duplication, or to make an appointment to physically view documents at the Agency office. If so, the GM or designee will ask the AA to set up a time for the requestor to come to the Agency's office.
 - a. The AA shall schedule the appointment during normal business hours, and at a time that does not disrupt Agency operations.
 - b. During the requester's appointment to review the documents, he/she may flag additional documents to be duplicated.
- 10) The AA will complete the entry in the Public Records Response Log.

C. Communication with Requester:

- 1) All correspondence and communication between Agency staff and the requester shall be done in writing and filed appropriately.
- 2) If a phone call is received from the requester, the call shall be referred to the Department Manager handling the request.
- 3) If staff responds to a call from a requester, the employee shall inform the Manager handling the request, detailing the conversation and what response was given.
- 4) Upon disposition of a records request, the Department Manager or the GM will notify the AA of the disposition, and provide copies of any responses from the requesting party.

Duplication Fees and Payment

- Duplication of documents is charged at the rates shown below.
- Payment for copies and digital media is collected in advance of issuing the duplicated records.
- In the interest of conserving paper, or if the original document dictates, duplexed copies may be made.

FEE SCHEDULE

PRINT COPIES:

PAGES	ONE-SIDED	TWO-SIDED
Black and White (8-1/2 x 11)	.10c per page	.20c per page
Color (8-1/2 x 11)	.20c per page	.40c per page
Black and White (11 x 17)	.25c per page	.50c per page
Color (11 x 17)	.30c per page	.60c per page

DIGITAL MEDIA:

CD	.50c per disk
DVD	1.00 per disk
Flash drive	2-4/GB \$10 each; 8GB \$20 each

MAILING VIA USPS*:

Letter	.46c (1 oz.), .66c (2 oz.), .86 (3 oz.)
Priority Mail Flat Rate Letter Envelope	\$5.60
Priority Mail Flat Rate Legal Envelope	\$5.75
Priority Mail Flat Rate Small Box	\$5.80
Priority Mail Flat Rate Medium Box	\$12.35
Priority Mail Flat Rate Large Box	\$16.85

* 2013 USPS rates; CMSA will adjust rates in future to align with the then current USPS rates.

POLICY/PROCEDURE #:	11
SECTION:	Administrative – General
SUBJECT:	Acceptance of Hauled Wastes
DATE:	05/10/2016 <i>(Board Approved)</i>

Purpose

The purpose of this Policy is to identify the types of hauled wastes that the Agency accepts for treatment and processing, and to establish the procedures for receiving the waste materials.

General Procedures

I. Types of Wastes Accepted

Portable Toilet: Wastes from portable toilets and similar facilities that are generated and collected in Marin County are accepted at the Agency's septage receiving facility.

Septic Tank: Wastes from septic tanks and similar facilities that are generated and collected in Marin County are accepted at the Agency's septage receiving facility.

Recreational Vehicles: Waste from recreational vehicle (RV and motorhome) toilets, sinks, and showers are accepted at the Agency's septage receiving facility.

Grease Removal Device Waste: Fats, Oils, and Grease (FOG) from food service establishments that is transported through Marin County is accepted at the Agency's Food Waste/FOG receiving facility.

Food Waste: Commercial food waste collected from restaurants, schools, and other similar type businesses within Marin County, and transported to CMSA by Marin Sanitary Service are accepted at the Agency's FOG/Food Waste receiving facility.

Liquid Organic Wastes: Liquid wastes from food and beverage manufacturing and/or production facilities are accepted at the Agency's FOG/Food Waste receiving facility.

Vacuum truck (Vector) Loads: Debris and material removed from a sanitary sewer collection system by a vacuum truck or similar equipment are accepted at the Agency's vacuum truck receiving facility. See Section VIII below. The other Sections of this document do not apply to vacuum truck loads

No hauled industrial wastes are accepted at CMSA. This specifically includes, but is not limited to, wastes from auto washing or repair oil/water separators, and portable toilet loads contaminated with industrial waste. Wastes from septic tanks serving commercial or industrial facilities are accepted only with prior written approval.

II. Fees and Charges

All fees and charges, except for the food waste tipping fee, are specified in the CMSA Fee Ordinance. Specific charges are adjusted annually based on the current regional EDU service charge rate as outlined in the Ordinance.

A monitoring fee of \$15.00 is assessed for each septage waste load discharged at the wastewater treatment plant. This "per load" fee recovers the Agency's expenses for collecting and analyzing random samples and for other monitoring activities.

The food waste tipping fee is specified in the Food Waste Processing and Disposal Agreement between CMSA and Marin Sanitary Service.

III. Marin County Permit / CMSA Authorized Waste Hauler List

Any truck used to deliver and discharge portable toilet and septic tank hauled wastes at CMSA must have a current permit from Marin County Environmental Health Services.

Each hauler must be on the CMSA Authorized Waste Hauler List prior to discharge of any loads. A hauler will be placed on the list upon request, contingent on verification of Marin County permit(s). A hauler will be removed from the list for serious or repeated violations of CMSA policies, or if their Marin County permit(s) expires.

CMSA shall not receive food waste, FOG, or liquid wastes transported to the Agency in a septage or industrial waste hauling vehicle, unless it can be shown, to the Agency's satisfaction, that the vehicle's storage tank has been properly cleaned to remove all septage and/or similar materials.

IV. Receiving Facilities Hours of Operation

Hauled waste loads are accepted Monday through Friday, during regular business hours, CMSA holidays excluded. CMSA holidays are New Year's Day, Martin Luther King Day, Presidents Day, Memorial Day, Independence Day (July 4), Labor Day, Veterans Day (November 11), Thanksgiving Day and the day after Thanksgiving, and Christmas Day. Waste receiving at any other time is only by advance arrangement.

During rainy weather, haulers should contact CMSA in advance to determine if waste loads are being accepted at the septage receiving facilities. Hauled waste loads are generally not accepted at the septage receiving station during rain events that cause wastewater blending.

V. Delivery Documentation

Hauled waste vehicle drivers must complete a Trucked Waste Record form for each load delivered to CMSA, including the load volume, in gallons. Completed forms shall be left in the administration office before they are granted access to the waste receiving facilities. Each month haulers will be invoiced for disposal fees, based on the information in their completed load forms.

FOG and liquid waste delivery volumes will be verified by volumetric or flow measuring instruments at the receiving station. If there is a discrepancy between the measured volume and the volume stated on the Trucked Waste Record form, facility measurements will be used for invoicing.

VI. Discharge to Manholes Prohibited

Hauled wastes may be discharged only at the CMSA wastewater treatment plant site. Discharge to sanitary sewer manholes in the CMSA service area is prohibited without prior written approval from the specific sanitary district--Ross Valley Sanitary District, San Rafael Sanitation District, or Sanitary District #2.

VII. Discharge procedures

Haulers shall follow the procedures below for discharging each waste load.

- A. All trucks must stop at the designated location on the Agency entrance road, enter the CMSA Administration Building, and complete a Trucked Waste Record form. CMSA office staff will open the facility security gate once the form has been submitted, to allow trucks to proceed through the facility security gate, and follow the yellow road striping to the septage receiving station or the white road striping to the FOG/Food Waste receiving facility.
- B. The delivery vehicle's discharge hose must be able to connect to the 4" diameter female cam lock fitting at either receiving station. Drivers must connect their discharge hose to the fitting.
- C. The hauler shall clean up the receiving station prior to leaving CMSA. At either receiving station, a hose is provided to wash down and clean up the station. Drivers should notify CMSA Operations or Administrative staff prior to leaving the Agency if the receiving station is excessively dirty upon their arrival or if there are other problems experienced during the disposal and clean-up activities.
- D. CMSA staff will collect random samples from waste loads, or if there is an indication of possible contamination with industrial waste. Sample collection is at the sole discretion of CMSA staff. The hauler shall assist CMSA staff in obtaining a representative sample of the waste load.

VIII. Vacuum Truck Loads

CMSA shall only accept vacuum truck loads that are generated by our member agencies that own and operate the wastewater collection systems in central Marin, or by private haulers working directly for CMSA. The JPA member agencies are:

- San Rafael Sanitation District (SRSD)
- Sanitary District #2 of Marin County (SD#2)
- Ross Valley Sanitary District (RVSD)

Private contractors working on behalf of a JPA member agency will be granted access to the CMSA facilities to dispose of their loads, after CMSA has received notification from the member agency contracting for their services.

CMSA will not accept vacuum loads from outside its service area, or loads from privately owned sewer lines within the service area. This is due to the nature of the load contents, potential downstream treatment process impacts, and the labor associated with cleaning the vacuum truck receiving facility after each load.

CMSA

Policy #:	12
SECTION:	Administrative – General
SUBJECT:	Notification Requirements for CMSA Permit Exceedances & JPA Member Sanitary Sewer Overflows
DATE:	02/01/2011

Purpose

The purpose of this policy is to outline the Agency's notification and reporting requirements and procedures for NPDES permit exceedances and Sanitary Sewer Overflows (SSOs) from the treatment plant and the collection system.

Notifications

1. Staff Notification

The following CMSA staff, in order of preference, shall be notified when a potential or actual NPDES permit exceedance occurs or when an SSO from a JPA member agency's collection system is observed.

- 1) Environmental Services Manager, Robert Cole
Cellular: 707-953-5922
Home (1): 415-459-0459
Home (2): 707-894-2060
- 2) General Manager, Jason Dow
Cellular: 415-246-2268
Home: 415-897-3858
- 3) Treatment Plant Manager, Chris Finton
Cellular 707-478-6260
Home: 707-584-3412
- 4) CMSA Operator in Charge
415-459-1455, X 2

The first CMSA staff member notified will follow the notification and reporting procedures set forth below.

2. Regulatory Notification

The following is a list of regulatory agencies that may need to be contacted depending on the type of exceedance:

- 1) San Francisco Bay Regional Water Quality Control Board (RWB)
Vince Christian, Regional Engineer: 510-622-2336
Bill Johnson, Section Leader: 510-622-2354
- 2) County of Marin Environmental Health Services (EHS)
Main Office: 415-499-6907
Communications Center: 415-499-7237
- 3) California Emergency Management Agency (CalEMA)
Main Office: 800-852-7550
- 4) Coast Guard
Main Office: 415-437-3091

Procedure

A. Overflows from the Treatment Facilities

Description:

Any overflow from a treatment process, hauled waste discharger, or effluent storage pond that reaches the storm drain system or drainage canal, and cannot be contained and pumped back to the treatment plant.

Notification:

- 1) The Regional Water Board (RWB) must be notified within **2 hours** of the discovery of the spill. Document the date and time of the call, and the individual contacted.
- 2) Notify the County of Marin Environmental Health Services (EHS) immediately after calling the RWB. Document the date and time of the call, and the individual contacted.
- 3) Notify the Office of Emergency Services at the same time as the RWB and EHS. Make sure the report/case number is given and document it.
- 4) The Coast Guard must be notified if the spill potentially reached SF Bay. Document the date and time of the call, and the individual contacted.
- 5) When contacting the above agencies, provide the following message:

"This is (employee name) from the Central Marin Sanitation Agency. I am calling to report that an overflow from the (*location or treatment process*) has occurred and was discovered at (time). It has resulted in a discharge to the storm drain system. We are notifying RWB, Marin County EHS, OES, and the Coast Guard. We are performing an investigation of the incident and the findings will be included in our monthly Self Monitoring Report. If you require a Report to be submitted at an earlier date, please contact Environmental Services Manager, Robert Cole at 415-459-1455, extension 142."

Reporting:

A verbal report must be submitted within two hours of the incident. A written report of the incident will be included in the monthly SMR unless the RWB requests a report to be submitted at an earlier date.

Sampling:

During normal business hours, Environmental Services (ES) staff will collect the below water samples. After business hours, Operations will collect the samples and place them in the laboratory sample refrigerator and notify ES staff.

- 1) Collect samples for ammonia and total and fecal coliform
- 2) Samples sites are the following:
 - a. drainage canal along the 580 freeway where the CMSA storm drain discharges
 - b. 100 feet upstream of the discharge point
 - c. 100 feet downstream of the discharge point

B. Final Effluent Exceedance

Description:

Final effluent exceedances may occur if any of our instantaneous, daily, weekly, or monthly sampling or parameters exceed the limits specified in our permit. We have limits for the following compounds, listed on the next page:

Compound	Analysis	Limit
Chlorine	On-Line Meter - Instantaneous	0.0 mg/L
Total Coliform	5 Sample Median	240 MPN/100 mL
	Daily Maximum	10,000 MPN/100 mL
pH	On-Line Meter - Instantaneous	range 6.0 - 9.0
Suspended Solids	Weekly Average	45 mg/L
	Monthly Average	30 mg/L
	Monthly Removal Average	85%
CBOD	Weekly Average	40 mg/L
	Monthly Average	25 mg/L
	Monthly Removal Average	85%
Cyanide	Daily Maximum	8.3 ug/L

Compound limits, continued

Copper	Daily Maximum	22 ug/L
	Monthly Average	13 mg/L
Mercury	Monthly Average	0.066 ug/L
	Weekly Average	0.072 ug/L
	Annual Mass Average	0.18 kg/mo
Oil and Grease	Monthly Average	10 mg/L
	Daily Maximum	20 mg/L
Acute Toxicity	11 Sample Median	90% survival
	11 sample 90 th percentile	70% survival
Chronic Toxicity	3 Sample Median	10 TUc
	Single Sample Maximum	20 TUc

Notification:

The RWB must be notified within 24 hours of discovery of the exceedance by telephone. A written report may be required to be submitted within 5 days or on a case-by-case basis the information may be included in the monthly SMR. The verbal message that is to be provided to the RWB should be stated in the following way:

“This is (*employee name*) from the Central Marin Sanitation Agency. I am calling to report a potential permit exceedance for (*parameter*) that may have occurred and we are performing an investigation. The findings of the investigation will be included in the monthly Self Monitoring Report. If you require a Report to be submitted at an earlier date, please contact our Environmental Services Manager, Robert Cole at 415-459-1455, extension 142.”

Reporting:

A verbal report to the RWB is required within 24 hours of discovery of the exceedance. The verbal report must be followed up by a written report in the monthly SMR or within 5 days if requested by the RWB. The information must include the parameter exceeded, the cause of the exceedance, and remedial actions to prevent the exceedance from recurring. Additional sampling results and findings from a potential investigation may also be required.

Sampling:

Required if the exceedance is for a daily, weekly, or monthly limit. Samples must be collected on a daily basis until the analytical results of the exceeded constituent have fallen below the permit limits.

C. Sanitary Sewer Overflows from SD#2 Pump Stations

Description:

Category 1 – All discharges of sewage resulting from a failure in the sanitary sewer that:

- A. Equal or exceed 1000 gallons, or
- B. Results in a discharge to a drainage channel and/or surface water; or
- C. Discharge to a storm drainpipe that was not fully captured and returned to the sanitary sewer system.

Category 2 – All other discharges of sewage resulting from a failure in the sanitary sewer system – reporting required in the monthly report that is submitted to the online database.

Private Lateral Sewage Discharges – No reporting required.

Notification for Category 1 SSOs:

The RWB, OES, and Marin County EHS must be notified within **2 hours** of the discovery of the spill.

The CMSA staff member that observed an SSO from the SD#2 system shall immediately contact the SD#2 representative (see callout list located in the operations control room) upon discovery of the spill. If the SD#2 representative cannot be contacted within one hour of the spill, or message has been left with no response, contact the appropriate CMSA staff in the order listed in Section II and the spill will be reported by CMSA.

If CMSA staff make the initial report to the regulatory agencies on behalf of SD#2, the following statement shall be provided:

“This is (*employee name*) from the Central Marin Sanitation Agency. I am calling to report a sanitary sewer overflow from the Sanitary District #2 in Marin County. The SSO occurred at (*location*) and was discovered at (*time*). We have stabilized the situation, and are notifying RWB, Marin County EHS, and OES. SD#2 staff will perform an investigation of the incident and the findings will be included in their Online SSO Reporting. If you require further information from SD#2, please contact Sanitary Services Manager, Barry Hogue, at 415-927-5061.

Reporting

Certification that the OES and the Marin County EHS have been notified of the discharge must be provided to the RWB within 24 hours of discovery of the discharge. Write down the OES report or case number that will be provided when making the call. A report must be filed with the online SSO reporting system within 3 days and a final certified report is due within 15 days. Provide the report and/or case number to SD#2 staff who will prepare the required reports.

Sampling:

CMSA staff will perform required sampling and analyses consistent with the requirements in Section IV -A

Control the Spill:

During business hours Sanitary District No. 2 will work with CMSA to resolve the situation. If Sanitary District No. 2 staff are not available, CMSA will take all necessary actions to stabilize the situation.

Determine the source of the spill as rapidly as possible and then correct the problem and minimize the damage. Depending on the circumstances, you may need to take several of the following steps:

- a. Call the necessary CMSA staff for help.
- b. Shut off flow from upstream pump stations.
- c. Dike, berm, sandbag or otherwise contain the spill to prevent it from entering a storm drain or body of water. If the spill has entered a storm drain you may be able to stop the sewage from discharging from the other end of the storm drain.
- d. Repair the leak.
- e. Secure the contaminated area (cones, barricades, signs etc.) to prevent public contact with the sewage.
- f. Post notification signage according to Section V.
- g. *Procure additional equipment and services as needed to assist.*

D. Sanitary Sewer Overflows from Member Agency Collection Systems

Any SSOs observed within the SD#2, SRSD and RVSD collection systems shall be reported pursuant to Section II. CMSA will notify the member agency of the spill location and time it was observed. The member agency is responsible for the reporting and notification requirements in the State's General Waste Discharge Requirements for Collection Systems. CMSA staff, as requested, should assist member agency staff with notification sign placement and water sample collection and analyses (Section IV-A). Generally and at a minimum, signs should be placed at the discharge location and 100 feet upstream and downstream of the discharge. See Attachment A for estimating SSO volumes.

E. Public Notification

Signage

CMSA maintains an inventory of Raw and Partially Treated Sewage notification signs for posting at recreational areas or locations where the public may potentially contact wastewater that was spilled into the storm drain system, drainage channels, creeks, storage ponds, or lagoons downstream of the spill. Signs are kept in the environmental services outside storage area, and at the SD#2 Paradise pump station.

- a. Post signs that state "Raw Sewage Avoid Contact" if a discharge of untreated wastewater occurs.
- b. Post signs that state "Partially Treated Sewage Avoid Contact" if a discharge occurs from any treatment process after the primary clarifiers.
- c. Notification signs shall be posted as soon as practically possible after discovery of an overflow at the treatment plant or SSO from an SD#2 pump station. Photograph the

completed sign placement for the record.

- d. For overflows from the CMSA plant, post signs at the locations shown on the maps in the Emergency Response Plan document, Section 6, titled "Sanitary Sewer Overflows."
- e. For SSOs from SD#2 pump stations, coordinate with SD#2 on the appropriate locations to post the notification signs. Generally and at a minimum, signs should be placed at the discharge location and 100 feet upstream and downstream of the discharge and potential public access locations. For large spills, space signs every 100' around the affected area.
- f. Signs shall be left posted until the potentially affected area is cleared by Marin County Environmental Health Services and/or other appropriate regulatory agencies.

F. Public Reporting

When the public notifies Agency staff of a potential overflow or SSO, determine the location and if the discharge is from CMSA or a member agency. If from a member agency, notify the member pursuant to Section IV-D. If from CMSA, notify the appropriate CMSA staff member in Section II. If the public notification is on the weekend, holiday, or after normal Agency business hours, the OIC shall also send an email to the management staff in Section II that summarizes the event.

POLICY/PROCEDURE #:	13
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Phone Service Disruption Notification
DATE:	12/17/2013

POLICY

When the Agency's VOIP (Voice over Internet Protocol) telephone service is disrupted for more than one day, Agency staff shall notify key stakeholders that the phone system is offline and provide alternate contact and communication information.

PROCEDURE

The following notification activities need to be completed by the Information System Analyst, Electrical/Instrumentation Supervisor, Electrical/Instrumentation technician on duty, and Engineering Manager or OIC, after one day (24 hours) of interrupted phone service.

- I. Contact the phone service provider's Technical Support Center to initiate a work order. The following information will need to be provided:

Phone service provider – **Airespring**

Technical Support Service Center(s) – **888-288-5010 option 1, then option 1**

CMSA Account Name – **Central Marin Sanitation Agency**

CMSA Account Number – **1336538**

CMSA Point of Contact – **Tuomas Groves/Kit Groves (alternate)**

- II. Post a notification memo for Agency staff on the lunch room bulletin board explaining the phone service problem, when the service is anticipated to be restored, and the Agency's alternate phone numbers.

CMSA primary phone number – **415-459-1455 (in-bound)**

CMSA alternate phone number – **415-459-8846 (in/out-bound)**

CMSA OIC 24 hour on-site contact number – **415-720-0521 (cell)**

CMSA Fax machine number – **415-459-3871 (out-bound)**

A PDF version of the memorandum is located on the network server at:

H:\Management Shared\Phone Service Disruption

- III. Email entire Agency staff the above notification information.

- IV. Post key names and email addresses and the Agency's alternate phone numbers on the bulletin board in front of the main entrance gates.

CMSA Website – www.cmsa.us (conduit for public notifications)

CMSA General Manager – jdow@cmsa.us

CMSA Environmental Services Manager – rcole@cmsa.us

CMSA Treatment Plant Manager – cfinton@cmsa.us

CMSA Engineering Manager – bthomas@cmsa.us

CMSA Administrative Services Manager – hjen@cmsa.us

A PDF version of the posting is located on the network server at:

H:\Management Shared\Phone Service Disruption

- V. The Administrative Assistant shall email the key stakeholders below and provide them with the same phone service disruption information that has been provided to staff. The email address for each point of contact is located on the Agency's external stakeholder list found on the lunch room bulletin board and are maintained on the network at:

H:\Management Shared\External Stakeholders\External Stakeholders Lists 2013.xls

- A. JPA member agencies
1. RVSD – email John Clark jclark@rvsd.org and call office: 415-259-2949
 2. SD#2 – email Kevin Kramer kkramer@ci.corte-madera.ca.us
 3. SRSD – email Matt Smith Matt.Smith@cityofsanrafael.org and call office: 415-454-4001
 4. San Quentin Pump Station – email Andy Crump at <mailto:Andrew.Crump@cdcr.ca.gov>
 5. San Quentin Village SMD – email Larry Beaton at <mailto:lbeaton@co.marin.ca.us>
- B. Regional Water Board – email info2@waterboards.ca.gov and call office: 510-622-2300
- C. CMSA Board members: General Manager will provide notification
- D. San Rafael Police Department: website: www.srpd.org and call 415-485-3000 (information line)
- E. San Rafael Fire Department: website: www.cityofsanrafael.org/government/fire.htm and call 415-485-5070 (information line)

POLICY/PROCEDURE#:	14
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Agency Correspondence (Letters, Memo, Email)
DATE:	05/16/2014

PURPOSE

The purpose of this procedure is to provide guidelines to ensure that uniformity and best practices are applied in the production of correspondence, as well as to promote a consistent visual identity for the Agency.

PROCEDURE

I. STATIONERY TEMPLATES AND EXAMPLES

Templates and example PDFs are located on the H drive:

H:\Forms\Administrative\StationeryTemplates

Templates are also available through Microsoft Word on Windows 7 in the “CMSA Templates” file when creating a new document.

II. LETTERS

Letters are hard-copy documents using printed CMSA stationery or Word document template letterhead, for communicating outside of the Agency. Letters are formally signed and shall contain the following parts:

Date Line

Addressee/Title/Inside Address

Subject Line

Salutation

Body

Complimentary Close, with signature, name and title

When appropriate, enclosure, attachment and/or copy notes shall also be used at the end of the letter.

The preferred font is Calibri 12-point size. Smaller type may be used when necessary for printing efficiency. The body of the letter is formatted using the modified block style, left justified, except the date, which is flush right. The margins are set at one inch (1”) from top, bottom, and left and right sides.

A. Date Line

The date line shall be two inches from the top of the page (three lines below the letterhead template), flush right. Dates are written out fully, with a comma after the day, and without the use of ordinal indicators (e.g. 1st, 2nd, 4th). Example:

January 1, 2012

B. Addressee/Title; Inside Address

The inside address shall begin two lines after the date. Included in the address are the recipient's name and title, company, and mailing address. Each item of the address shall be one line below the previous.

Post-nominals (letters placed after the name of a person to indicate that the individual holds a position, educational degree, accreditation, office, etc.) are written in abbreviated form, with a comma after the name. Where there is more than one post-nominal, they are separated by a space and comma, for example:

John Citizen, PE or John Smith, Esq, CPA

C. Subject Line

The subject line shall begin two lines after the last line of the inside address. The word "Subject" and subject text is in sentence case, and shall begin two spaces after the colon in the word "Subject".

If the subject line is more than once line, the next line(s) are flush with the first word of the subject text, for example:

Subject: Correspondence Procedure for CMSA
Can Be Two Lines

D. Salutation

The salutation (i.e. "Dear") shall begin two lines below the inside address, and shall be followed by a comma, for example:

Dear Mr. Smith,

E. Body

The body of the letter shall begin two lines below the salutation. All lines shall begin at the left margin without indent, and are left justified. A single line separates text within a paragraph, with two lines between each paragraph.

F. Complimentary Close

The complimentary close signifies the end of the letter (i.e. “Sincerely,”). The complimentary close begins two lines below the last line of the body.

The author’s name shall appear four lines below the complimentary close. The author’s name and title shall appear on two lines, in alignment, flush left, for example:

John Smith
General Manager

In the event two individuals are signing the letter (such as a staff person and committee chair), they are placed side by side, on the same line, for example:

John Smith	John Doe
General Manager	Committee President

The author’s signature is placed between the complimentary close and name.

G. Enclosure Note and Attachment Note

The word “Enclosure” (or “Enclosures”) or “Attachment” (or “Attachments”), with a colon, shall appear two lines below the author’s name/title to alert the recipient that other materials are included with the correspondence.

An enclosure is a stand-alone document sent with a cover letter. An attachment is a supporting document for a letter that is (usually) incorporated into the letter by reference; for example, a budget or an explanatory figure. The attachment note would come first if there are both attachments and enclosures.

The enclosure or attachment note is listed with the document name(s). If more than one document name is listed, they are placed on separate lines and indented flush with the first word of the document name, for example:

Enclosure: Contract No. 95 Sodium Nitrate
Purchase Order #1234

H. Copy Note

To let the recipient know that a copy of the letter has been sent to others, the identifier “cc”, with a colon, shall appear two lines below the author’s name/title, or one line below Enclosure/Attachment Note, for example:

cc: John W. Smith, PE

The identifier “cc:” shall appear two lines below the enclosure reference, if there is one. If there are multiple recipients copied on a letter, each name shall be placed one line below the other, and indented. The person’s full name, post-nominal, and title, are used, for example:

Enclosure: Contract No. 95 Sodium Nitrate

cc: John W. Smith, PE

Bob White, Manager, Dept. of Public Works

I. Multiple Pages

CMSA second page stationery (either paper or Word template) is used for multiple pages. The addressee’s name, date and page number is placed in the text box in the header, 12 pt. Calibri, flush left , for example:

Mr. John W. Smith, PE

April 27, 2012

Page 2

III. **MEMORANDUM**

The electronic memorandum template is used to create memos to send on paper, or via email as PDFs, and are used for communicating:

Internal Memos – within the Agency (i.e. memos to the Board, confidential communications, departmental issues, etc.)

External Memos – outside the Agency

The printed memo does not need to be formally signed, but shall be initialed by the sender next to their name. The memo template includes the following parts:

Placed flush right:

Date

Placed flush left:

To:

From:

Approved: (included when necessary)

Subject:

As appropriate, an enclosure note and a copy note shall also be used at the end of the memo, following the same guidelines defined in Letter Procedure.

The preferred font is Calibri 12-point size. Smaller type may be used when necessary for printing efficiency. The body of the memo is formatted using the modified block style, left justified, except the date, which is flush right. The template is established with margins set at one inch (1") for top, bottom, and left and right sides.

A. Date Line

The date line shall be two inches from the top of the page (three lines below the letterhead template), flush right. Dates are written out fully, with a comma after the day, and without the use of ordinal indicators (e.g. 1st, 2nd, 4th). Example:

January 1, 2012

B. To Line

Contains the name and title of the receiver, for example:

Sam Smith, Manager of Public Works

For formal memos (including any memos to the Board), the receiver's full name, title, and a department name are used as appropriate. If the memo is being sent to multiple recipients, each name shall be placed one line below the other for example:

Mr. John W. Smith, PE

Mr. Ron A. Waters

C. From Line

Contains the name and title of the sender, for example:

Commissioner John Draper

OR

John Smith, Manager of Public Works

D. Approved Line

Use for Board of Commissioners memos and other memos when necessary.

Contains the name and title of the sender, for example:

Commissioner John Draper

OR

John Smith, Manager of Public Works

E. Subject Line

The word “Subject” and subject text is in sentence case and bold type, with a colon. If the subject is longer than one line, the next line(s) are aligned flush with the first word of subject text, for example:

**Subject: Correspondence Procedure for CMSA
Can Be Two Lines**

F. Body

The body of the letter shall begin two lines below the salutation. All lines shall begin at the left margin without indent. A single line separates text within a paragraph, with two lines between each paragraph. Text for letters shall always be left aligned.

G. Multiple Pages

For multiple pages, the footer template includes the page number centered in the footer, in 12 pt. Calibri, for example:

Page 1 of 2

III. **EMAIL CORRESPONDENCE**

A. Elements

All email shall contain the following parts:

Concise subject line

Salutation

Body and closing, including the complimentary close, e-signature, name and title

Attachments should always be double-checked for accuracy before sending, and that the response is “reply” or “reply all” as appropriate.

B. Format

The format of e-mail correspondence shall be kept uncomplicated, as recipients’ email programs differ in how messages appear. It is also important that e-mail correspondence be as consistent with printed correspondence as possible.

The preferred font is Calibri 12-point size. Smaller type may be used when

necessary for printing efficiency, but every effort shall be made to ensure readability in all materials.

Each e-mail message sent shall carry a “signature” which uses the following format, flush left, for example:

Name | Title
Central Marin Sanitation Agency
1301 Andersen Dr., San Rafael CA 94901
415-459-1455, Ext. 000 | FAX 415-000-0000
www.cmsa.us

The Information Systems Analyst can assist with incorporating an email signature if necessary.

Personal quotes or information, stationery styles, patterns, or graphics shall not be included in the email signature.

A signature may occasionally be changed to promote an event or activity of the Agency. The General Manager will initiate or approve any such changes.

POLICY/PROCEDURE #:	15
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Beneficial Use of Agency Products
DATE:	10/08/2013 <i>(Board approved)</i>

POLICY

CMSA is committed to pursuing the beneficial use of Agency products by identifying resources that generate value for the Agency and its customers, improve environmental quality, and contribute to the local economy.

PROCEDURE

1. CMSA will pursue beneficial use options for key Agency products such as reclaimed water, biosolids, and biogas.
2. The Agency recognizes that as technology advances there may be opportunities to improve the quality of existing products, and recover additional products from the wastewater treatment process for beneficial uses. CMSA will evaluate appropriate new and emerging technologies.
3. CMSA will make a concerted effort to highlight potential benefits of Agency product reuse through public education and outreach.
4. When feasible, the Agency will seek out partnerships with local governments and/or private entities on the distribution and beneficial reuse of Agency products.

POLICY #:	16
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Use of Board/Conference Room by Outside Organizations
DATE:	09/10/13 (Board approved)

PURPOSE

This procedure is to outline the criteria and process for extending the use of the CMSA Board/Conference Room during non-business hours to outside organizations who are affiliated with the water or wastewater industry.

PROCEDURE

1. Public or non-profit organizations eligible for consideration need to be associated with the water and wastewater industry. These may include organizations where the Agency is a member or a sponsor. Other governmental entities may also be eligible to use the Agency Boardroom.
2. Requests from outside organizations for use of the Board/Conference Room are referred by Staff to the Administrative Assistant. The AA then contacts the group and gathers the necessary information:
 - a. Group name
 - b. Coordinator's name and complete contact information
 - c. Description of the meeting topic, projected attendance, and any special needs or requirements
 - d. Desired date(s) and time(s)
 - e. *Insurance (to be defined)*
3. The AA enters the above information in a spreadsheet in the Management Shared file: H:\Management Shared\Board Room Outside Meetings\BROutsideMeetings.xls
4. The AA determines if the group meets the general use criteria, and if the days and times are compatible with the Agency schedule, then reviews the request with the GM.
5. If approved by the GM, the AA then:
 - a. Contacts the group coordinator to confirm the meeting details
 - b. Sends a confirmation email or letter to the group coordinator
 - c. Enters the meeting dates on the Agency google calendar
 - d. Notifies OPS of the meeting schedule, including the hours the Administrative building lights need to be kept on, and the lobby door and Andersen Drive access gate kept open.

- e. Reminds OPS the day of the meeting, at the start of the shift during which time the meeting is to be held.
- 6. If the GM determines that the group does not qualify for room use, and if granting of the approval is in question, the GM shall bring the request to the Board Chair for his/her advice.
- 7. If the group's request is denied, the AA will contact the group coordinator with an explanation of why the meeting was not determined as appropriate for CMSA Board/Conference Room use.

POLICY #:	17
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Filming and Photographing on Agency Property
DATE:	11/10/2015 <i>(Board approved)</i>

POLICY

The Agency will allow the use of Agency facilities and grounds for the filming or photographing (production) for appropriate projects, at the discretion of the General Manager or designee. The production activities must be performed in a safe manner, and not disrupt Agency work, operations, or other related activities.

The CMSA waiver and indemnification forms, along with insurance documents, must be submitted and approved prior to the production company being allowed on site. Private entities must provide an approved San Rafael Film Business License, and prepay anticipated Agency expenses associated with on-site production activities.

PROCEDURE

I. Filming and Photographing Request

- A. Requests from outside organizations for use of the Agency facility or grounds are referred by staff to the Administrative Assistant (AA). The AA then contacts the requestor and gathers the basic information below:
 1. Production company, entity, agency, or firm name
 2. Coordinator's name and complete contact information
 3. Description of the project, number of people anticipated to be on site, and any special needs or requirements
 4. Desired date(s) and time(s); and duration of the project
- B. The AA verifies the company/firm identity, then forwards the request with the above information to the General Manager or designee for consideration.
- C. If the project is not approved by the GM, the AA will contact the requestor with a brief description of the reason.

II. Prior to Production Day(s)

- A. If the project has been approved by the GM, the AA will perform the following tasks:

1. Contact the project representative to discuss, and request a written confirmation, of the production details (dates, times, number of people, contact information, etc.).
2. Notify the Executive Team of the upcoming production schedule, who will decide if staff administrative activities and/or supervision are required during the production activity. If required, the prepayment amount is determined.
3. Send a confirmation email or letter to the contact person, including an invoice if payment is required, requesting the following documents be supplied:
 - a. City of San Rafael Film Business License
 - b. Signed waiver form
 - c. Signed indemnification form
 - d. Insurance documentation (General Liability, Automobile Liability, and Worker's Compensation)
 - e. Staff supervision payment (if required)
4. Ensure that the above documents are received and approved prior to the production date.
5. Enter the production date(s) on the Agency calendar.
6. Forward the fee payment to the Finance Department, and file the submitted documents.

III. On-site Coordination and Supervision

- A. The Treatment Plant Manager or designee will perform a general safety awareness training for film/photography personnel before on-site production activities begin.
- B. A designated staff member will monitor production activities, if required.
- C. Any problems or conflicts that arise out of the production activities will be brought to the attention of the General Manager.

IV. Fee Waiver

The General Manager may waive the administrative and/or staff supervisory fees for public agencies if their production activities are for educational purposes, benefits the water/wastewater industry, or is for another worthwhile cause.

Attachments

- CMSA Waiver form
- CMSA Indemnification form



CENTRAL MARIN SANITATION AGENCY

Jason R. Dow P.E.
General Manager

1301 Andersen Drive, San Rafael, CA 94901-5339

Phone (415) 459-1455

Fax (415) 459-3971

www.cmsa.us

WAIVER OF LIABILITY

I, _____, am the authorized representative of
_____ ("Company").

On behalf of the Company I hereby agree to waive any liability to the Central Marin Sanitation Agency (CMSA), its officers, officials, employees, and volunteers for any injuries or damages to me, my employees, my invitees and guests during photography, filming, and videography at the CMSA facility and grounds including the entire CMSA treatment plant.

Dated: _____

By: (Authorized Representative)

Name and Title

Signature



INDEMNIFICATION

_____ (“Company”) shall hold harmless, defend, and indemnify Central Marin Sanitation Agency (CMSA) and its officers, officials, employees, and volunteers from and against all claims, damages, losses, and expenses including attorney fees arising out of its filming, photography, and videography at the CMSA facilities and treatment plant. Additionally, and specifically in consideration for the free use of CMSA facilities for filming, photography, videography, and any other activities associated with these activities, the Company shall hold harmless, defend and indemnify CMSA and its officers, officials, employees, and volunteers from and against all claims, damages, losses and expenses including attorney fees **for any incident that occurs on CMSA’s premises** during the Company’s use of CMSA facilities. By signing this Agreement, the Company is specifically aware that it is assuming liability for any incident involving its members or invitees that occurs at CMSA’s facilities during its use of the facilities.

Dated: _____

By: (Authorized Representative)

Name and Title

Signature

POLICY/PROCEDURE #	18
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Student Internship Program Guidelines
DATE:	03/16/2017 <i>(Board approved)</i>

PURPOSE

CMSA provides internships for students seeking careers in the water or wastewater industry. Internships are an opportunity for students to gain exposure in a public sector environment and enhance their academic training.

ELIGIBILITY

Student interns must be currently enrolled in an undergraduate or graduate degree, Career Technical Education (CTE), Regional Occupational Program (ROP), or similar program. Internship opportunities for interested students less than 18 years of age may be granted with approval from the Agency's General Manager.

EMPLOYMENT STATUS

Un-paid Internships: Student interns typically receive program credit or time-in-service credit that is applied towards licensing and/or certification. Assignments will not exceed 1,000 hours or one (1) school semester, whichever is less, for any participant. Unpaid interns are not eligible for Agency benefits. Workers' Compensation insurance must be provided by the student's educational program.

Paid Internships: For projects and assignments that provide valuable work experience for the student and useful services to the Agency may be eligible for a paid internship. Assignments will not exceed 1,000 hours or one (1) school semester, whichever is less, for any participant. Paid interns are not eligible for Agency benefits except Workers' Compensation and state disability insurance.

PROCEDURE

- I. Work Assignments
 - A. Department managers may request student interns by submitting a request (Exhibit A) to the General Manager/designee for approval. Requests must include:
 - 1) Anticipated starting and ending dates.
 - 2) Anticipated working hours.

- 3) A description, or draft learning plan, of the projects and/or tasks to be performed and how they will be integrated into other on-going Agency programs and activities.
 - 4) How the student intern will benefit from the training and experience of such work assignments.
 - 5) The academic major(s) most closely related to acceptable performance of the task or project.
 - 6) A statement specifying how this internship would benefit the Agency.
 - 7) A statement that the internship experience is solely for the benefit of the intern.
 - 8) A statement, if a paid internship is awarded, that funds are budgeted to pay the student intern.
- B. An Agency employee, currently in a lead or supervisory role, will be designated as the student intern's mentor/supervisor and is responsible for the intern's day-to-day training, supervision, and evaluation.

II. Intern Request and Selection

- A. Intern requests may include advertising of internship opportunities through junior college, college, and university placement and counseling offices, academic departments, student associations, career/job fairs, and recognized internship programs.
- B. Applicants interested in student internships with the Agency are required to meet with their academic advisor to determine internship eligibility, and provide:
- 1) A completed CMSA job application form and/or current resume.
 - 2) Proof of current enrollment in an authorized program.
 - 3) Proof of Workers' Compensation Insurance coverage (unpaid interns).
 - 4) Current references whom the Agency can contact regarding the applicant's skills, knowledge, and work abilities.
- C. The selection process shall be conducted jointly by the manager and designated staff. Selection criteria shall include but is not exclusive of, evaluation of applicable job-related experience, core academic course work and program tenure, and job application and/or personal resume.
- D. Department manager and mentor/supervisor shall meet with the student intern and their work experience counselor/student advisor in person or via phone conference to review the following:
- 1) Grade/credit expectations

- 2) Work experience desired
- 3) Potential hours and schedule

III. Introduction and Orientation

- A. During the first week of the internship, the student intern will meet with their mentor/supervisor to develop and review the internship learning plan. The learning plan will identify learning objectives and specific strategies for meeting each objective. Learning objectives must be related to the following areas:
 - 1) Academic Learning and Application – Related to the ideas, concepts, or theories of the student's major or minor field(s) of study. Work should include a variety of pre-professional tasks on a variety of projects and assignments.
 - 2) Skills Development – Skills specific to the student's academic/major or occupation, and/or general skills such as oral and written communication, critical thinking, organization, problem-solving, decision-making, interpersonal relationships, etc.
 - 3) Personal Development – Self-confidence, self-awareness, self-management, and sensitivity.
- B. Student Interns shall receive an Agency orientation during their first week of employment that will include the following:
 - 1) Organization overview – mission, culture, structure.
 - 2) Conduct expectations – work rules, communication, and harassment prevention.
 - 3) Safety training – employee safety training checklist completed by Safety Coordinator and/or Health & Safety Manager.
 - 4) Facility tour
 - 5) Work schedule
 - 6) Workers' Compensation for unpaid internships – Proof of Workers' Compensation through sponsoring institution.
 - 7) Terms of compensation for paid internships – On the first day of scheduled work, terms of compensation and payroll/time records must be completed.
- C. Guidelines for the mentor/supervisor:
 - 1) Student interns are not authorized to perform as, occupy, or cover for vacant Agency positions.
 - 2) Avoid skipping or compressing the onboarding process.
 - 3) Do not leave interns unsupervised.

- 4) Integrate socialization and networking opportunities.
- 5) Provide feedback and recognition on a regular basis.
- 6) Explain the significance or contribution made to the Agency while assigning projects.
- 7) Do not let the student's performance "slide" – remedy as appropriate.
- 8) Avoid over-accommodating student's needs, and instead give him/her opportunities to take the initiative where appropriate. Document student's activities if required as part of their educational program.

IV. Evaluation

- A. Mentors/supervisors are expected to evaluate intern progress on a continuous, on-going basis.
- B. Mentor/supervisor will seek out staff feedback on intern's work habits, and communication and language skills, personality traits, and friendliness.
- C. Mentor/supervisor must verify Monthly Time Records (Exhibit B).
- D. Extension of Ending Date
 - 1) Department managers wishing to extend a student intern's assignment beyond the original ending date must obtain approval from the sponsoring institution and the General Manager/designee.
 - 2) Paid internships – A personnel action form shall be provided to the General Manager describing the terms for this extended period.

V. Conclusion of Internship

- A. At the end of the internship, the mentor/supervisor shall conduct an oral interview with the intern to test their learning of the established objectives in their learning plan.
- B. Mentor/supervisor shall meet with the student intern and work experience counselor/student advisor at the conclusion of the internship to review and provide the following:
 - 1) Grade/credit information to intern and work experience counselor and/or college.
 - 2) If the internship is for wastewater treatment plant operator-in-training (OIT) experience, provide documents (time records, duty statement) verifying the experience to chief plant operator for signature.

Exhibits

- A - Department Internship Request Form sample
- B - Unpaid Internship Monthly Time Record sample



DEPARTMENT INTERN REQUEST FORM

DATE: _____ DEPARTMENT: _____

NAME: _____ TITLE: _____

WORKSITE LOCATION/S: _____ NO. OF INTERNS: _____

START/END DATES: _____ WORK HOURS: _____

MENTOR/SUPERVISOR: _____

INTERNS MUST BE CURRENTLY ENROLLED IN AN ACCREDITED SCHOOL, COLLEGE, OR UNIVERSITY.

GRADE LEVEL:

☐ H.S. ☐ UNDERGRAD ☐ GRAD SCHOOL ☐ CTE (Tech Ed) ☐ ROP (Regional Occupational Program)

SEMESTER: ☐ Fall ☐ Spring ☐ Summer

PROJECT NAME AND/OR ASSIGNMENT: _____

☐ UNPAID ☐ PAID IF PAID, CHECK IF FUNDS ARE BUDGETED: ☐

PROJECT/ASSIGNMENT DESCRIPTION: _____

INTERN QUALIFICATIONS-ACADEMIC MAJOR/MINOR: _____

BENEFITS TO INTERN: _____

BENEFITS TO AGENCY: _____

PLEASE RETURN COMPLETED FORM TO TREATMENT PLANT MANAGER.

Attach DRAFT LEARNING PLAN if applicable.

PDF of form is located in **Staff Forms** in shared drive **Library**.



Unpaid Internship Time Record

Two-Week Period: 01/01/17 01/14/17

Intern Name _____

[illegible]

Intern Signature

Date _____

Supervisor's Signature

Date _____

POLICY/PROCEDURE #:	31
SECTION:	ADMINISTRATIVE - FINANCIAL
SUBJECT:	Management Signature Authority
DATE:	02/01/2014

PURPOSE

To establish signature authority levels for designated Agency staff. The procedure is also intended to provide guidance and clarification to Agency staff on the appropriate level of fund disbursement authorization and payment approval for the Agency's various purchasing and expense accounts.

BACKGROUND

The General Manager's signature authority was established by the Board in Financial Policy #560 (Procurement Management--Signature Authority) for all purchasing categories. Policy #560 authorizes the General Manager to develop procedures that institute signature authority for Agency staff.

The benefit of establishing a formal procedure is to 1) facilitate efficient management of Agency funds through the delegation of responsibility to designated Agency staff, 2) designate appropriate authorization and approval of funds, and 3) ensure that proper financial management checks and balances are in place.

DEFINITIONS

I. Staff Designations

A. Individual Account Administrator (IAA)

- 1) Classifications identified in the annual adopted budget's operating accounts that are responsible for developing each individual account's budget, preparing purchase orders, monitoring the account's expenditures, and performing the reviewer role during the invoice authorization process.
- 2) The IAA does not approve invoices; that is the responsibility of a Supervisor, Project Manager, Manager, or General Manager as defined below. Any staff member may be an IAA.

B. Project Manager (PM)

- 1) Classifications identified in the Agency's 10-Year CIP or as designated by the GM.

- 2) These assignments are updated annually through the Agency's budget development process.
 - 3) The PM is responsible for developing the project budget, developing contracts, preparing purchase orders, monitoring project expenditures, and performing the reviewer role during the invoice authorization process.
 - 4) The PM may also approve expenditures as prescribed under the Fund Disbursement Approval Levels section of this document. Any staff member may be a PM.
- C. Project Coordinator (PC)
- 1) Classifications that are designated by either a Project Manager or Department Manager.
 - 2) Assignments for the PC may include oversight of specific expenditures within an operating account, a specified purchase order, contract or professional service agreement, or capital project.
 - 3) The PC's fiscal responsibility is similar to the IAA above.
 - 4) Any staff member may be a PC.
- D. Supervisor
- 1) Supervisory classifications that report directly to a Department Manager.
- E. Department Manager
- 1) Staff who report directly to the General Manager.

II. Procurement

- A. Construction Contract
- 1) A formal contract between the Agency and a general or specialty contractor to implement an Agency construction or improvement contract, or project.
 - 2) All construction contracts must be executed by the General Manager prior to disbursement of Agency funds.
- B. Professional Services Agreement
- 1) A formal contract between the Agency and service provider when hiring non-construction service-related firms such as legal, financial and human resources consultants, or individuals or firms to provide design, inspection, or similar non-construction services.
 - 2) All professional services agreements must be signed by the General Manager; no disbursements can be made without an executed agreement.

- 3) Payments are made according to the Agreement's task/fee schedule.
- C. Construction/Professional Services Purchase Order (PO)
- 1) Minor construction, equipment installation, and professional services for repairs and maintenance are authorized under a Purchase Order.
 - 2) POs over \$2,500 must be approved by the General Manager.
- D. Materials & Supplies
- 1) Budgeted materials and supplies for Agency operations.
 - 2) Procurement is through a blanket PO, executed PO, purchase card, contract, or agreement.
 - 3) Procurements that fall under this category include, but are not limited to, bulk chemical orders, uniforms, and biosolids disposal.
- E. Equipment
- 1) Equipment for the treatment plant, pump stations, and other agency needs. Procurement may be by blanket PO, executed PO, purchase card, or formal contract.

A PO or travel preauthorization approval is required before using business credit or purchase card for procurement in excess of \$500.

PROCEDURE

The authority levels set forth in the Financial Policies provide clear instruction on the appropriate position to authorize the disbursement and to approve payment of Agency funds. Authorization limits shall not exceed the amounts specified for the designated position and category. The General Manager reserves the right to change authorization limits, delegate authority to staff not listed within the procedure, or modify a provision, as needed on a case-by-case basis.

Procurement Authorization Levels

Agency staff can authorize the purchase of supplies, materials, equipment and certain types of professional services (refer to Definitions, Section II) according to the limits shown below. The purchase must be from a valid approved budget account that has enough funds to cover the purchase.

	Blanket PO	Purchase Order ^{1,6}	Purchase Card ³	Petty Cash ²
Individual Account Administrator (IAA)	\$ 500	-	-	-
Project Manager (PM)	500	\$ 2,500	Refer to Note 3	-
Project Coordinator (PC)	500	-	-	-

	Blanket PO	Purchase Order ^{1,6}	Purchase Card ³	Petty Cash ²
Supervisor	500	-	\$ 1,500 ⁴	-
Manager	500	2,500	2,500	\$ 50
General Manager	500	>2,500 ⁵	>2,500	up to 100

Notes:

1. The GM authorizes purchase orders above the limits shown for each position.
2. Petty cash disbursement up to \$100 must be approved by the GM or Administrative Services Manager.
3. Not every PM will be issued a purchase card (State of California Bankcard Program). For those PM's that have been issued a purchase card, the purchasing limits are defined by the staff classifications.
4. Applicable to supervisors and designated employees who have purchase cards.
5. Board approval required for procurements greater than the GM signature authority.
6. The IAA or designee may order bulk chemicals for the Agency under chemical procurement contracts.

Fund Disbursement Approval Levels

Supervisors and Managers can authorize payment of invoices for their department, and Project Managers can approve payment of invoices for their assigned projects pursuant to category limits shown below. Refer to the Definitions, Section II.

	Section II-A: Construction Contract ^{1,2}	Section II-B: Professional Service Agreement ^{1,2}	Section II-C: Construction/ Professional Svcs PO ^{1,2}	Section II-D: Materials and Supplies ²	Section II-E: Equipment
Supervisor	-	-	-	500	500
Project Manager (PM)	2,500/ 5,000 ³	2,500/ 5,000 ³	2,500/ 5,000 ³	2,500/ 5,000 ³	2,500/ 5,000 ³
Manager	- ⁵	5,000	5,000	5,000 ⁴	5,000
General Manager	>5,000	>5,000	>5,000	>5,000	>5,000

Notes:

1. The GM must approve all construction and professional service contracts and contract change orders.
2. Contracts/POs must be executed prior to approving invoices.
3. The higher limit is for a PM who is also a Manager.
4. The GM has delegated to the Treatment Plant Manager the authority to approve payment for chemicals purchased under chemical procurement contracts.
5. Does not apply to departmental operating budgets.

POLICY/PROCEDURE#:	32
SECTION:	ADMINISTRATIVE - FINANCIAL
SUBJECT:	Budget Tracking and Administration
DATE:	02/01/2014

PURPOSE

The purpose of this procedure is to provide an understanding of the responsibilities involved with department/account budget tracking and administration.

BACKGROUND

Between February and June of each year, Agency staff is involved in a budget planning and development process that results in the Agency's Annual Adopted Budget. During the fiscal year, July 1 through June 30, it is the responsibility of the Department Managers and other key Agency staff to track and administer spending activity for specific line-item budgets. The key Agency staff (Individual Account Administrator (IAA)) are identified in the Agency Operating and Capital Budget documents.

Administering a budget is not a science, but a dynamic process impacted by the day-to-day operating activities of the Agency. It is difficult to predict every scenario and circumstance that may arise over a fiscal year. To better track expenditures and administer a budget, the IAA must be proactive in communicating on a frequent basis to his/her Department Manager, and the Administrative Services Manager (ASM) and finance staff, if potential or existing unfavorable budget-related situations exist. By proactively communicating, the IAA, Department Manager, and ASM can decide what appropriate actions should be taken to remedy unfavorable situations.

RESPONSIBILITIES

Administrative Services Manager/Finance Analyst (FA)

Monthly. About the second week of each month, the ASM and FA shall produce revenue, department, and capital budget status reports for the prior month's budget activity. These reports, along with an analysis, shall be distributed to the General Manager, Department Managers, and IAA's. The reports shall include the following information at the account level:

- Month-to-date actual
- Year-to-date actual
- Fiscal year budget
- Budget remaining (FY budget minus YTD actual)
- Year-to-date actual spent as a percent of FY budget amount
- Budget transfers

The reports and analysis shall be reviewed by the Executive Team during the next appropriate meeting following the distribution of the reports. During the Executive Team meeting the ASM shall communicate budget related issues and/or approved budget transfers. The ASM shall also provide ad-hoc reports and consulting on an as-needed basis.

Quarterly. The ASM shall produce a quarterly Agency-wide budget status report for the revenue, operating, and capital budgets for the General Manager's review, and then to the Board for acceptance. The report shall include the following information at the budget category level and an explanation for the significant variances and salient issues:

- Quarter-to-date actual
- Year-to-date actual
- Fiscal year budget
- Budget remaining (FY budget minus YTD actual)
- Year-to-date actual spent as a percent of FY budget amount

Department Manager

Tracking and administering of a department's budget is ultimately the responsibility of the Department Manager. The Department Manager must ensure that actual departmental spending during a fiscal-year is at or below the Board adopted budget. The Department Manager shall review the monthly departmental budget reports with the IAA responsible for the accounts within their department, and other responsible department staff (if appropriate).

During Executive Team meetings, the Department Manager shall communicate budget related issues including significant budget variances (defined below).

Individual Account Administrator

The IAA is responsible to ensure that actual spending during a period and fiscal year is at or below what was budgeted for their assigned accounts. The IAA responsibilities include performing appropriate monthly account analyses to determine if a potential or existing significant budget variance exists, and recommending a solution for the variance (if applicable). Examples of a variance are as follows:

- Accumulated actual account spending through a stated period is significantly less than or greater than the budget estimate through the same stated period.
- An upcoming large expenditure will cause accumulated actual account spending for a stated period to be significantly greater than what was budgeted.
- A specific example of a variance would be a Period 6 budget report (50% of the fiscal year) displaying accounts with the year-to-date actual expense as a percent of FY budget above 70%.

If, while analyzing the monthly departmental expense report, the IAA determines that expenditures for an account have exceeded, or have the potential to exceed, the budget, the

IAA shall report to their Department Manager one of the following:

- 1) If the variance for the period is due to inconsistent spending patterns, and therefore unlikely to occur for a sustained amount of time, and occurs at the end of the fiscal year, the IAA shall provide an explanation of the variance to the Department Manager. The Department Manager shall provide this information to the ASM/FA. Examples of inconsistent spending patterns are as follows:
 - Minor non-recurring projects
 - Operations & Maintenance equipment purchases
 - Odor control management
- 2) If the variance for the period will likely result in a budget deficit at the end of the fiscal year, the IAA is responsible for researching why the variance exists, provide an explanation for the variance, and recommend a resolution. The following alternatives are available when a significant budget variance exists. Alternative #1: Budget Transfer should be evaluated prior to pursuing Alternative #2: Budget Variance Exception.

Alternative #1: Budget Transfer

Per Administrative Policy/Procedure #33, Budget Transfer Request, the IAA may initiate a request to transfer budget funds 1) between operating accounts within a department, 2) between capital project accounts, 3) from the contingency account to an operating account, and/or 4) from the contingency account to a capital account, as appropriate.

Alternative #2: Budget Variance Exception

The IAA may initiate a request to the General Manager to authorize an exception to the variance. An exception may be required if 1) no funds are available for transfer either within a department or between departments, or 2) when no contingency funds are available. Resolving the budget shortfall may require Board approval, which would be initiated by the General Manager.

If, while analyzing the monthly departmental expense report, the IAA determines that low expenditures in an account has or will have a potential for a significant budget surplus (50% or greater, i.e., actual spending is significantly below budget), and the underage is likely to occur through the end of the fiscal year, the IAA shall perform the following:

- Provide an explanation of the variance to the Department Manager. The Department Manager shall provide this information to the ASM/FA.
- During the fourth quarter of the fiscal year, the IAA/DM, in consultation with the ASM, shall determine what adjustments, if any, should be made to the following fiscal year budget.

POLICY/PROCEDURE #:	33
SECTION:	ADMINISTRATIVE - FINANCIAL
SUBJECT:	Budget Transfer Request
DATE:	02/01/2014

PURPOSE

The purpose of this procedure is to delineate the procedures for transferring funds within the Agency's Annual Expenditure Budget to meet operational and capital expenditure needs by transferring 1) between operating accounts within a department, 2) between capital project accounts, 3) from the contingency account to an operating account, and/or 4) from the contingency account to a capital account.

GUIDANCE

It is recommended that funds, if available, be transferred within a department budget or within the capital budget, prior to considering transferring of funds from the contingency fund.

BACKGROUND

As detailed in Administrative Policy/Procedure #32, Budget Tracking and Administration, it is the responsibility of the Department Managers and Individual Account Administrators (IAA) to track and administer spending for specific general ledger accounts against the line-item budgets. The IAAs are identified in the Agency Operating and Capital Budget documents.

One method for administering the budget is transferring budget funds for operational and capital expenditure needs. Budget funds can be transferred in the four ways listed in the Purpose section above. A contingency account is established in the Administration Department Budget specifically to cover budget shortages due to inaccurate budget forecasting and/or unexpected events.

PROCEDURE

The procedure for transferring budget funds within a department, from the contingency fund, and within the capital budget is similar, and is provided below in Sections I-V. Any differences are clearly outlined.

I. Initiate Request

- A. The IAA responsible for the account to receive the funds (receiving-IAA) shall be responsible for initiating the budget transfer request.
- B. Prior to initiating the transfer of funds, the receiving-IAA should review the

request with the Department Manager and the IAA responsible for the account where the funds will be disbursed (disbursing-IAA) to ensure that all parties are in agreement with the budget transfer.

- C. It should be noted that for an intra-departmental budget or capital budget transfer request, the Department Manager, receiving-IAA and disbursing-IAA, may all be the same individual.
- D. To initiate the request involving any of the three transfer methods, the receiving-IAA shall perform the following:
 - 1) Locate and open the following form:
BudgetTransferRequestForm.doc, located:
H:\Forms\-- FORMS FOR REVISION --\Finance\Budget
 - 2) Enter the fiscal year and the initiating department name, and fully complete the form including checking the appropriate box for the type of budget transfer, account numbers, name, and description, transfer to/from amounts, and the applicable explanation sections. The total amounts in the disbursing and receiving sections must be equal.
 - 3) Print, sign and date the "Requestor" section of the form.
 - 4) Submit the form to the initiating Department Manager for approval.

II. Authorization – Department Head

- A. Once the request form is received by the initiating Department Manager, the Department Manager shall either approve or deny the request.

The process for approving the request is as follows:

- 1) Sign and date the "Department Manager" section of the form.
- 2) Fill in the '(A) Approved/(D) Denied' column of the form with an "A".
- 3) Submit the form to the Administrative Services Manager (ASM).

The process for denying the request is as follows:

- 1) Sign and date the "Department Manager" section of the form.
- 2) Fill in the "(A) Approved/(D) Denied" column of the form with an "D".
- 3) Provide a reason for denying the request in the area provided on the form.
- 4) Return the form to the IAA responsible for initiating the request.

III. Authorization – Administrative Services Manager (ASM)

- A. Once the request form is received by the ASM, the ASM shall either approve or deny the request.

The process for approving the request is as follows:

- 1) Sign and date the “Administrative Services Manager” section of the form.
- 2) Fill in the “(A) Approved/(D) Denied” column of the form with an “A”.
- 3) If the request is a contingency fund transfer request or involves a capital project, the ASM shall submit the form to the General Manager (GM) for approval. If the request is for transfer of funds within a department, the ASM will continue to Step V.

The process for denying the request is as follows:

- 1) Sign and date the “Administrative Services Manager” section of the form.
- 2) Fill in the “(A) Approved/(D) Denied” column of the form with a “D”.
- 3) Provide a reason for denying the request in the area provided on the form.
- 4) Return the form to the IAA responsible for initiating the request.

IV. Authorization – General Manager

(Contingency and capital budget transfer requests only)

- A. The procedure documented in this section is required only if requesting a transfer of funds:

- 1) From the contingency fund.
- 2) Between capital budget funds .
- 3) From an operating account where the GM is also the IAA.

- B. Once the request form is received by the GM, the GM shall either approve or deny the request.

The process for approving the request is as follows:

- 1) Sign and date the ‘General Manager’ section of the form.
- 2) Fill in the “(A) Approved/(D) Denied” column of the form with an “A”.
- 3) Forward the form to the ASM for processing.

The process for denying the request is as follows:

- 1) Sign and date the “General Manager” section of the form.
- 2) Fill in the “(A) Approved/(D) Denied” column of the form with a “D”.
- 3) Provide a reason for denying the request in the area provided on the form.

- 4) Return the form to the IAA responsible for initiating the request.

Section 1.01 V. Budget Transfer Administration

Once the request is authorized and the form is provided to the ASM, the Finance Analyst shall perform the following:

- A. Update the Budget Transfer History worksheet in the CMSA budget Excel document and print a hardcopy for the budget transfer log book.
- B. Enter a sequential reference number on the form.
- C. Update the budget figures for the impacted accounts in the general ledger (OSAS) system.
- D. Place the original copy of the request in a transfer request log book, to be kept in the ASM's office.
- E. Provide an email copy of the form to the Department Manager and IAA responsible for initiating the request.

Note: The revised budget figures will appear in the next available department's monthly budget status report.

Attachment: Budget Transfer Request Form

POLICY/PROCEDURE #:	34
SECTION:	ADMINISTRATIVE – FINANCIAL
SUBJECT:	Invoice Authorization
DATE:	02/20/2014

PURPOSE

The purpose of this procedure is to provide direction to Agency staff on the proper methods to authorize invoices for payment processing.

Reference:

- Financial Policies #540-541 for guidance on Agency Expenditure Management
- Financial Policies #560-562 for guidance on Agency Procurement Management
- Administrative Policy/Procedure #31 – Management Signature Authority – for information regarding fund disbursement approval levels.

DEPENDENCIES/TIMING

Receipt of invoice(s) to be paid. An invoice is defined as an itemized bill that includes a detailed list of goods shipped or services rendered, and the costs of providing the goods or services.

PERSON(S) RESPONSIBLE

Each step in this procedure states the person(s) responsible.

PROCEDURE

I. Documentation Preparation and Distribution

- A. Each business day while processing the incoming mail, the Administrative Assistant or designate shall collect the invoice(s) to be paid and any related documentation provided with the invoice. The invoice(s) and available related documentation shall then be bundled and placed in the Accounts Payable/Accounting Technician's in-box.
- B. The Accounting Technician or designate shall sort through the Accounts Payable in-box and organize the invoices received. Each invoice will be stamped with the date and the *RECEIVED and APPROVED* stamp. The Accounting Technician will attach to the invoice any previously received or submitted supporting documents (i.e., shipping tags, packing slips, acknowledgements, receipts, POs, etc.) that are related to the invoice.

- C. The Accounting Technician will then route the invoice and supporting documents to the appropriate reviewer (Individual Account Administrator (IAA)) or Project Manager) as identified in the Operating or Capital Budget. If the Accounting Technician cannot determine the reviewer, he/she should contact the appropriate Department Manager (DM) or Administrative Services Manager (ASM) to discuss routing of the invoice.

II. Review

- A. The reviewer is responsible for validating that the figures (i.e., quantities, amounts) presented on the invoice reflect the goods delivered and/or services provided. Upon receiving an invoice and supporting documents, the reviewer shall review the materials provided. Any additional supporting documentation in the reviewer's possession (i.e., shipping tags, packing slips, acknowledgements, receipts, POs, applicable contract sections, etc.) should be attached to the invoice. The reviewer should make every effort to obtain the appropriate level of documentation to complete the review process. If the reviewer does not possess enough supporting documentation, the reviewer should provide a written explanation of the activity related to the invoice and attach the explanation to the invoice.
- B. Once the reviewer has the appropriate documentation and has validated the invoice, he/she shall initial and date in the appropriate stamped *RECEIVED* area. The reviewer shall ensure that the appropriate general ledger account number to charge the invoice is entered in the stamped *ACCOUNT NUMBER* area. The *COMMENTS* area may be used to provide instructions to Finance staff regarding how to handle payment (e.g., partial items received, partial payment, identifying specific purchase order numbers). If the reviewer cannot validate the invoice, he/she shall discuss the matter with his/her Department Manager.
- C. For chemical invoices, see Contract Administration Procedure #71 – COPRRRA Chemical Ordering/Receiving-Reconciliation/Payment Authorization for additional review, approval and payment processing procedures.
- D. If the reviewer is not the designated IAA, he/she shall route the invoice and supporting documents to the line-item's IAA for secondary review (the IAA shall also provide his/her initials in the appropriate stamped *RECEIVED* area) before forwarding the documents on to the appropriate approver; otherwise the reviewer shall route the invoice and supporting documents to the appropriate approver (Refer to Procedure #31 – Management Signature Authority).
- E. The IAA should review and forward the invoices to the approver within 10 days of receipt of the invoice.

III. Approval

- A. By approving an invoice, the approver authorizes the Finance staff to disburse funds to the vendor/supplier. Upon receiving a reviewed invoice and supporting documents, the approver shall review the material provided. Once the approver has determined that all supporting documents are valid, he/she shall initial and date in the stamped *APPROVED* area. The approver may also use the *COMMENTS* area to provide instructions to Finance staff regarding payment. Once approved, the approver shall route the invoice and its documentation to the ASM for payment processing.

IV. Payment Processing

- A. The ASM shall review the invoice and supporting documentation for completeness. If the documentation is deemed complete, the ASM will initialize the invoice in the appropriate stamped *FM* area. If the invoice is to be paid via an Agency bond project fund, the ASM will write the bond project fund from which to disburse the funds in the *COMMENTS* area. The ASM will then route the invoices and supporting documents to the Accounting Technician for payment processing.
- B. If the ASM receives an approved invoice without sufficient supporting documentation, he/she shall refer the invoice back to the approver for an explanation in writing.
- C. Upon receiving the reviewed and approved invoice(s) and supporting documentation, the Accounting Technician shall address any inquiries about an invoice with the ASM, who shall resolve them with the reviewer and/or approver as appropriate.
- D. Under no circumstance should the ASM authorize payment for any invoice in which he/she is undertaking the roles of an IAA, invoice approver, and ASM reviewer. In these instances, the GM must approve the invoice.

POLICY/PROCEDURE #:	35
SECTION:	ADMINISTRATIVE – FINANCIAL
SUBJECT:	Travel Expense Reimbursement
DATE:	04/13/04 (<i>Board approved</i>); revised 02/20/2014

PURPOSE

The purpose of this procedure is to define the process for authorization, payment and reimbursement of travel expenses incurred by Agency staff while conducting Agency business. These expenses include registration, travel, lodging, meals, and incidental expenses while attending trainings, seminars, conferences, and meetings of professional organizations. This procedure provides administrative guidance to Financial Policy #541 - Travel, Training and Other Business Expense Reimbursements.

PROCEDURE

I. Required Authorization for Travel

- A. Agency staff shall complete a “Preauthorization for Employee Travel” form and obtain supervisory and department manager approval prior to incurring any Agency expenses related to travel or other business functions.
- B. General Manager approval is required when:
 - 1) travel involves overnight lodging accommodations,
 - 2) travel is two or more consecutive days and does not require overnight accommodations,
 - 3) total travel expenses would exceed \$500, or
 - 4) the employee is requesting a per diem advance with any travel.
- C. Upon completion of travel, the employee will complete the “Travel Expense Report” and provide to his/her supervisor a complete accounting of travel expenses incurred. The employee will attach the Preauthorization form and receipts for all expenses to the Travel Expense Report.
- D. While attending approved functions, Agency staff is responsible for exercising sound judgment in spending Agency funds. When alternatives are available, the Agency will pay for the least expensive alternative.
- E. The decision of the General Manager shall be final in cases where a conflict of opinion about the appropriateness of reimbursement exists.

II. Travel and Related Expenses

Expenses associated with travel may be charged on an Agency-issued purchase card (credit card) as long as the charges are pre-approved. Purchase card charges must be made according to Financial Policy #562 - Purchasing.

- A. Transportation: The following transportation modes may be used for the purposes of traveling on Agency business:
- 1) Air: Allowance for air travel will be reimbursed only for the actual round-trip air fare to the airport nearest to the conference location. Coach or tourist class accommodations shall be utilized when traveling by commercial airline. The Agency will reimburse the employee for the cost of one personal baggage fee each way.
 - 2) Agency Vehicle: Agency staff is required to use an Agency vehicle when available while traveling on Agency business. Prior approval of the General Manager or the department manager must be obtained for use of an Agency vehicle, as vehicle availability will be based on various factors and is at the discretion of the Agency.
 - 3) Personal Vehicle: A personal vehicle may be used for travel if an Agency vehicle is unavailable. For personal vehicle use, mileage is reimbursed at the rate currently established by the Internal Revenue Service. Whenever possible, employees shall pool rides when traveling on Agency business. If the use of a personal vehicle is approved, the limit of reimbursement shall be based on the lesser of the calculated mileages (residence or CMSA) to the destination.

If the use of a personal vehicle is approved over air travel, the limit of reimbursement is based on the lesser of the calculated mileage or current air fare cost to the destination airport.
- B. Rental Car: Rental cars are not to be used without prior approval by the General Manager. Public transport and taxi services shall be used as needed at destination locations.
- C. Other Transportation Expenses: Estimates for parking, bridge tolls, and other related transportation expenses are to be included when completing the Preauthorization form. Receipts shall be attached to the Travel Expense Report in order to obtain reimbursement. No receipt is required for reimbursement of bridge tolls. Travel costs from the employee's residence to the departure airport shall be reimbursed by the mileage stated above or by local airport transportation (e.g., commercial shuttle service, taxis, buses, public transport).

D. Lodging

- 1) Expenses will be allowed for lodging at the single-room rate for preauthorized overnight travel. The approved rate will be based on the conference-sponsoring hotel single-room rate, when applicable.
- 2) Employees shall be responsible for all cost differentials for spouse/family member accompanying the employee if a double room rate exceeds the single room rate.
- 3) Meals or other charges on the hotel bill will be charged to the per diem amount stated below. All receipts must be retained for payment or reimbursement.
- 4) When a lodging bill includes meals or other charges which exceed per diem rates, the employee is liable for the amount that exceeds the lodging and per diem allowance as set forth in this procedure.

E. Meals and Incidental Expenses

- 1) Overnight Travel: The Agency will provide a per diem amount per Financial Policy #541 - Travel, Training and Other Business Expense Reimbursements, to cover meals, gratuities, and incidental expenses. Travel per diem rates shall be adjusted for each calendar year based on the specific Consumer Price Index for San Francisco-Oakland-San Jose - Food and Beverages (rounded up to the nearest \$0.50) and are noted on the Preauthorization for Employee Travel, Request for Per Diem Advance and Travel Expense Report forms. The Board shall review and approve the per diem rates when they exceed 120% of the FY 07 rates.

TRAVEL PERIOD	2007 PER DIEM	MAXIMUM PER DIEM RATE (120% of FY 07)
Overnight travel per 24-hour period	\$70.00	\$84.00
Travel between 12 and 24 hours	\$52.50 or 75% of Overnight Travel Rate	\$63.00
Daily travel less than 12 hours	Breakfast \$10.00 Lunch \$12.50 Dinner \$20.00	Breakfast \$12.00 Lunch \$15.00 Dinner \$24.00

- 2) The value of meals provided by a conference in which Agency staff participates will be subtracted from the per diem rate by the applicable meal allowance detailed in section F.1 below.
- 3) Agency staff may be advanced the per diem amount upon request. If an employee is seeking a per diem advance, she/he must complete a

Request for Per Diem Advance form and attach it to the completed Preauthorization for Employee Travel form.

F. Daily Travel

- 1) Meal allocations: Meal allocations for travel where no overnight stay is required, and the meals are not provided by the registration fee, will be based on the reimbursement limits established each calendar year.
- 2) Registration Fees: Generally, the Agency will pre-pay registration fees for approved conferences prior to the date of the event either by Agency purchase card or Agency issued check. In cases where Agency purchase card is not accepted for payment of registration fees, the employee shall complete a Purchase Order form and request a check payment for the registration fee.
- 3) Overtime: Employees who desire to attend a seminar or workshop must submit a Preauthorization for Employee Travel form, including estimated hours spent traveling and attending the meeting.
- 4) Other Expenses: Expenses not allowed above are NOT reimbursable. In no event shall expenses incurred by a non-Agency employee be reimbursed by Agency.

III. Payment/ Reimbursement of Expenses

- A. Upon return, receipts (including credit card receipts) must be attached to a completed Travel Expense Report.
 - 1) When the receipt is for an expense paid on an Agency purchase card a copy of the receipt should be attached, as the original receipt is attached to the purchase card statement.
 - 2) All expenses are to be included regardless of whether the costs have been advanced, prepaid, or are reimbursable, along with the original Preauthorization For Employee Travel form to the Expense Report.
 - 3) Any variance between the receipt and reimbursement amount must be explained in writing.
- B. The completed Expense Report shall be signed and dated by the Agency staff incurring the expense and approved by the appropriate Department Manager.
- C. The Department Manager will submit it to the Administrative Services Manager for final review of the Report and forward it to the General Manager for approval, as appropriate.

POLICY/PROCEDURE #	36
SECTION:	ADMINISTRATIVE – FINANCIAL
SUBJECT:	Petty Cash & RV Receipts Management, and Vault Security
DATE:	02/20/2014

PURPOSE

To provide guidelines for the security of the petty cash and RV receipts, and vault security.

PROCEDURE

I. Petty Cash

- A. Cash box limit is \$400.
- B. All transactions from petty cash must be documented with an approved Request for Petty Cash Advance Form or a Reimbursement Form.
- C. Disbursement shall be for \$50 or less pursuant to Financial Policy #562 - Purchasing; may disburse up to \$100 with General Manager's approval.
- D. Each petty cash disbursement shall be entered into the Petty Cash Fund Disbursements Log.
- E. Reimbursement requests shall be made through the Administrative Assistant or Administrative Services Manager.
- F. The petty cash box shall be balanced monthly by the Accounting Technician.
- G. The box shall be replenished when the balance approaches \$100 or less.

II. RV Receipts

- A. The RV box shall have a minimum of \$20.
- B. The Agency will provide every RV user with a written receipt. The Agency will maintain a copy of the receipt.
- C. The RV box shall be balanced every six months (January 2 and June 30) by the Accounting Technician.
- D. When the box is balanced, the excess of \$20 shall be deposited in the bank.

III. Vault Security

- A. Both the petty cash box and the RV receipt box will be kept in the vault at all times.

- B. No key shall be left in the vault at any time. Vault shall be closed after each use and keys shall be kept secure.
- C. The following staff will have keys: Administrative Assistant, Accounting Technician, Financial Analyst, Administrative Services Manager, and the General Manager.

POLICY/PROCEDURE#:	37
SECTION:	ADMINISTRATIVE – FINANCIAL
SUBJECT:	Asset Tracking and Disposition
DATE:	06/10/2014

PURPOSE

To establish a procedure to record the acquisition and disposition of assets and capital improvements related to facilities, major equipment, vehicles, structures and treatment systems in accordance with CMSA Financial Policies, Generally Accepted Accounting Principles, and all other applicable requirements.

For the purpose of this procedure, the capitalization threshold is greater than \$2,500 for assets and capital improvements that shall be depreciated as part of the Agency's financial statements.

PROCEDURE

I. Responsibilities

- A. The General Manager and Agency staff shall ensure that the acquisition and disposition of all capital assets are appropriately documented and accounted for by funding source and asset category, and that appropriate procedures are developed and implemented to meet the requirements of this procedure.
- B. The CIP Team Leader along with the Administrative Services Manager, shall ensure that proper budgeting, purchasing, and accounting guidelines are followed for capital assets, and that these assets are adequately controlled, properly secured, accurately accounted for, and used for appropriate Agency purposes.

II. Assets

- A. Agency staff shall account and record all assets and capital improvement transactions in the Agency's asset management system (CMMS).
 - 1. Such assets include those constructed, installed, or acquired as part of a new process, facility, or major equipment replacement (i.e., infrastructure, land, building, furniture and fixtures, machinery, or equipment), that provide an addition or improvement to an existing process or facility, or that replace or significantly prolong the useful life of an existing process or facility.

2. All costs associated with the asset's purchase, construction, installation, and acquisition shall be considered including, but not limited to: materials and supplies; studies, design engineering, and construction management; legal fees; site preparation; installation; overhead and administrative; taxes, freight and transportation; and other expenditures and charges directly attributable to asset acquisition.
 3. Capital assets donated to the Agency shall be capitalized at their estimated fair market value plus any associated costs (as described above) at the date of receipt.
- B. Agency staff time (project management, direct labor) may be included in the cost of the capital improvement. The inclusion of Agency staff time into the cost of the capital improvement project will be determined by the Administrative Services Manager and General Manager.
 - C. Generally, costs representing a routine, recurring expenditure, or an ordinary repair that maintains the existing condition of the asset or restores it to normal operating efficiency, will not be included as a Capital Improvement Project. Such costs may not be capitalized and would be expensed as repairs and maintenance in the fiscal year incurred.

III. Budgeting, Financing, and Expenditure Tracking

- A. Upon Board approval of a Capital Improvement Project through the annual budget process, the CIP Team Leader, in consultation with the Administrative Services Manager, shall create the necessary account structure within the financial system to record the financing and expenditures associated with the Project.

IV. Asset Acquisition and Disposition

- A. The initial determination of whether a purchased item is a tracked asset is the responsibility of the department manager at the time a purchase order is approved. The PO form check box is used to indicate if the procured items are to be tracked as assets.
- B. Finance and CIP team will meet three times per fiscal year (mid-year, Q3 and prior to the financial close of the fiscal year) to evaluate all transactions over \$2,500 that have been recorded in the financial (OSAS) and asset management (CMMS) systems. These reviews will entail:
 - 1) Identifying all transactions recorded in CMMS as tracked assets.

- 2) Recording all capital account financial transactions in the financial system (OSAS).
- 3) Reconciling transactions in CMMS to OSAS. (This will identify assets that were acquired but have not been recorded in CMMS.)
- 4) Determining which acquired assets to capitalize.
- 5) Determining which acquired assets have been placed in service.
- 6) Determining which acquired assets have been placed in inventory for future installation.
- 7) Determining which assets have been placed in service from inventory.
- 8) Determining which assets were removed from service and their method of disposition, i.e. disposed as scrap metal, sold, donated.
- 9) Identifying the number of years that the asset will be in service.
- 10) Reviewing planned and pending transactions.
- 11) Recording large capital projects in CMMS once the project has been accepted as complete. (Includes breaking out major capital asset component features, e.g. Digester/FOG Project tracked by major equipment, fixtures such as digester cover, pumps, mixing equipment, etc.).

V. Construction Project Completion

- A. Upon completion of the Project and acceptance by the Agency, the Project Manager has 60 days (after filing of the Notice of Completion) to finalize all expenditures associated with the project.

POLICY/PROCEDURE #	51
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	CWEA Technical Certification Program
DATE:	12/17/2013

PURPOSE

California Water Environment Association (CWEA) is a not-for-profit association of professionals in the wastewater industry committed to keeping California's water clean. They train and certify wastewater professionals, disseminate technical information, and promote sound policies to benefit society through protection and enhancement of the water environment. CMSA requires CWEA certification for employees in Maintenance, Electrical/Instrumentation, and Environmental Services departments, as stated in each job description.

CMSA requires CWEA Technical Certification Program (TCP) certificate holders to participate in at least 12 hours of Continuing Education Units (CEUs) or training every two years. Individual certificates require documentation showing 12 contact hours (CT) of training and/or education. A contact hour is 50 minutes of training or instruction or its equivalent (1.5 CEUs is equal to 12 CT hours). This policy affects all CWEA certification grade levels.

PROCEDURES

- I. The Agency pays for CWEA membership dues for all TCP certificate holders.
- II. Every employee is provided with the opportunity to receive CWEA training. Conferences and other training venues are posted in the Break/Lunch room on the Agency Training bulletin board. CMSA attempts to obtain CWEA approval for any Agency-scheduled in-house training. If an employee requests in-house training and would like credit for the contact hours, the employee must first contact CWEA staff to verify that the in-house training is approved for CT or CEU purposes.
- III. Each employee is responsible for tracking his/her own contact hours and is responsible for forwarding evidence of contact hours to CWEA. Employees are to plan ahead so certificate renewal deadlines are met.
- IV. Each department, where appropriate, maintains a training binder organized by employee name. Employees are to furnish proof of each current certification (e.g. copies of certificates and renewal information), as well as documentation of earned contact hours.
- V. Supervisors will review and discuss contact hour records with employees during the

annual evaluation period. Copies of certificates and renewal information are also to be kept in each employees' personnel file.

- VI. Training furnished by CMSA will be for earning job-related certificates. The employee's supervisor will make the final decision on whether or not the training is job-related. For employees holding more than one Agency approved certificate, training will be provided for all certifications.
- VII. A lapse in certification may negatively impact job performance and merit evaluations.

POLICY/PROCEDURE #:	52
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Agency Managed Recruitments
DATE:	04/30/2014

BACKGROUND

When a position vacancy occurs due to a separation of employment (retirement, resignation or termination), or a new position or job classification is authorized by the Board, the Department Manager, in consultation with the Administrative Services Manager, will prepare a recruitment and hiring plan to fill the position for the General Manager’s review and approval.

Should it be determined that the Agency will assume the recruitment and hiring activities without the engagement of professional recruiter, the Department Manager will use the hiring procedures below in conjunction with *Personnel Policies and Procedures #208-Recruitment and Selection*.

PROCEDURE

- I. When a vacancy occurs in a job classification in an Agency department or when a new job classification is created, the Department Manager will consult with the General Manager about filling the vacancy. The manager must receive authorization from the General Manager to fill the vacancy.
- II. The manager will review with the General Manager the recruitment and hiring procedure for filling the vacancy.
 - A. Determine if the recruitment will be promotional (internal) or open.
 - B. If appropriate, review/revise/develop the job classification description.
 - C. Determine the scope and depth of any possible background checks. (A background check may not be necessary for an Internal recruitment.)
- III. The manager will coordinate advertisement of the vacancy and the recruitment schedule with the Administrative Services Manager (ASM) and the Administrative Assistant (AA). They will determine the content of the advertisement and the length of time to advertise. The AA will manage the advertisement process, and distribution and receipt of job applications.

The advertisement should include the following language:

“All candidates must meet the job description’s or position’s minimum requirements. In addition, CMSA will consider job experience, education, and certifications to select the best candidates for further consideration.”

- IV. After the final filing date for employment applications, the manager (or designee) will review and screen the received applications to determine which applicants are qualified for interviews. The screening process will utilize specific criteria that are relevant to the position and Agency needs. General guidelines will include application completeness, readability, and clear demonstration that the applicant meets the job specific requirements (experience, education, licenses, and certifications).
- V. All candidates will be notified by letter or email after their application has been reviewed, thanking them for participating, and notifying them if they will continue in the process.
- VI. The manager will evaluate qualified applicants in a process which may include an oral board interview, composition exercise, skills assessment, and/or answering written questions. Selection criteria will be designated by the manager. The process will be recorded on the Candidate Rating Sheet.
- VII. The manager will identify the most qualified candidates from the examination process and recommend one or more candidates for reference and background checks.
- VIII. Candidate background and reference checks will be conducted by a professional employment/recruitment firm experienced in performing these tasks for governmental agencies.
- IX. Once the manager has received the results of the candidate background and reference check, he/she will recommend to the General Manager that the Agency make a conditional (contingent) offer of employment to the most qualified candidate.
- X. Below are the steps once the manager and General Manager have decided on the candidate:
 - A. The Agency's Administrative Assistant will prepare a letter of conditional offer of employment for signature by the General Manager.
 - B. The manager will discuss the terms of the conditional offer with the candidate and notify him/her that the AA will be scheduling an appointment for functional capacity evaluation and a pre-employment physical with testing for illegal substances.

If during the course of this discussion, the candidate requests accommodation for the evaluation or discloses other information pertaining to possible workplace accommodations, the manager will not proceed to the next step without guidance from the General Manager.
 - C. The AA will schedule the functional capacity evaluation and a pre-employment physical with testing for illegal substances.
 - D. The AA will contact the candidate and provide him/her with available appointment times. The AA will email the location of testing facility to candidate.

- E. The AA will schedule the appointment and email the job description to the evaluator.
 - F. Should the candidate decline the conditional offer of employment prior to the evaluation, it is preferable that he/she provide that in writing to the manager.
- XI. Below are the steps once the AA has received the results from the functional capacity evaluation and pre-employment physical with testing for illegal substances:
- A. The AA prepares a medical file for the candidate and files the evaluation results in the candidate's medical file.
 - B. The AA makes a copy of the results for the manager.
 - C. The manager then assess the evaluation results to determine if candidate has passed the illegal substance screening and can physically perform the job function.
 - D. If one or both of the following situations below arise from the evaluation results, the manager will discuss the situation with the Administrative Services Manager and General Manager. Additional guidance from the employment law attorney may be required before proceeding with the hire.
 - 1. An illegal substance is detected
 - 2. Physical conditions are found that limit or prevent performance of job function(s)
 - E. The manager shall receive approval from the General Manager before proceeding with the hire.
 - F. The manager will discuss the terms and conditions of employment with the candidate and develop an Employment Agreement for signature between the General Manager and candidate.
 - G. The AA will email the appropriate Employment Agreement template (Represented or Unrepresented employee) to the manager.
 - H. The manager will give the AA an initial copy of the Agreement signed by the General Manager. The AA will create a personnel file for the new employee. The AA will place a fully executed Agreement in the personnel file once it has been returned to the Agency.
 - I. The manager will notify all Agency employees via email on the arrival of the new employee and coordinate with the AA to prepare for the new employee's first day of work.

- XII. Templates and forms for use in conjunction with this policy are located on the Agency's shared drive:

H:\Administration\Employee (confidential)\HR EmplConf\
Recruitments\Recruitment Forms, Worksheets

- A. Candidate Rating Sheet
- B. Conditional Offer of Employment
- C. Employment Agreement (unrepresented)
- D. Employment Agreement (represented)

POLICY/PROCEDURE#:	53
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Personnel Action Form (PAF)
DATE:	04/30/2014

PURPOSE

The use of a standard form by Agency employees, supervisors and managers to request, implement, and document personnel-related changes to salary, benefits, work schedule, and other personal information.

PROCEDURE

- I. The Personnel Action Form (PAF) will be completed to transact any personnel actions listed on the form. The type of action to be performed will determine who is responsible for completing the form. Provided on the reverse side is a chart listing the personnel actions, the person responsible for completing the form, and an example of the types of actions.
- II. The levels of authorization required for a given action are documented on the PAF.
- III. Completed forms are provided to the Administrative Services Manager (ASM) for initial review. The ASM will forward the documents to the General Manager (GM) if the GM approval is required, otherwise the ASM will forward the documents for processing by the appropriate Agency staff.
- IV. The original completed form will be filed in the employee's personnel file. A copy of the approved PAF will be provided to the employee and/or department manager.
- V. The PAF can be found on the Agency shared drive at:

H:\Forms\Administrative\HR Forms, Reports

Printed forms can be found in the Administrative Office, below the staff in-boxes.

Action	Responsible	Approval	Examples	Attachments
In-Class Promotion	Department Manager	General Manager	Promotion within job class (i.e., Operator I to Operator II)	Progression Memo
Position/Job Change	Department Manager	General Manager	Employee transferring within/ between departments	Employment Agreement
Step Increase	Department Manager	General Manager	Step increase within job class	
Voluntary Separation of Employment – Retirement or Resignation	Department Manager	General Manager	Employee retirement or resignation; used to process separation pay.	Letter from Employee
Shift Change – Operations Department	Operations Supervisor	Treatment Plant Manager	Operations shift changes twice per year (July & Dec)	Operators work schedule
Change in Employee Work Schedule	Department Manager	General Manager	Change in employee work hours, days	Alternate Work Schedule Agreement
Extended Leave of Absence	Department Manager	General Manager	Leave greater than 30 days	Extended Leave Form
Merit Pay	Department Manager	General Manager	Merit Pay	Merit Calculation Form and Employee Evaluation
Leave Time Cash-out	Employee	General Manager	Leave Time Cash-out	
Change of Address, Emergency Contact	Employee	Administrative Services Manager	Change of address/contact info	
Change in Agency Benefit enrollment due to changes in employee's family status	Employee	Administrative Services Manager/ General Manager (required if resulting change has a payroll impact)	Marriage, dissolution of Marriage, birth, adoption, etc.	Marriage, birth certificate
Change in Employee 457 Plan contribution	Employee	Administrative Services Manager/ General Manager (required if employee is withdrawing from 457 Plan)	Enrolling/withdrawing deferred comp (457)	457 enrollment form for initial enrollment; 457 withdrawal form
Change in Beneficiary Designation for Life Insurance	Employee	Administrative Services Manager		Beneficiary Designation from Insurance Provider
Change in Designation for Receiving Final Paycheck	Employee	Administrative Services Manager		Final Paycheck Designation Form
Application of State Disability Insurance (SDI), Paid Family Leave (PFL) benefits	Employee	Administrative Services Manager/ General Manager	Application for SDI, PFL	Approved Leave from Department Manager and copy of application submitted to State EDD
Workers' Compensation benefits	Safety Director/ Administrative Services Manager	Administrative Services Manager/ General Manager	Application for WC	Notification from WC administrator

POLICY/PROCEDURE #:	54
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Hours of Work
DATE:	01/07/2014

PURPOSE

This procedure summarizes the existing Hours of Work provisions from the MOU with SEIU Local 1021 and the Agency's Personnel Policies, and gives guidance to supervisory staff on the appropriate methods to adjust employee daily and weekly hours of work while complying with the overtime provisions of the Fair Labor Standards Act (FLSA).

DETAILS

The following sections of the MOU and Agency Policies/Procedures define the workweek, scheduling, and overtime.

MOU:

- Section 10.1 - Regular Workweek and Regular Workday
- Section 10.2 - Schedules
- Section 11.1 - Overtime Define

Agency Personnel Policy & Procedure:

- Policy #205 - Hours of Work
- Policy #206 - Overtime/Compensatory Time

HOURS OF WORK PROVISIONS

For Agency employees working an 8-hour or 10-hour shift, the regular workweek shall begin at 00:00 hours on Sunday and conclude the following Saturday at 24:00 hours. For employees working the 9-80 shift, each employee's defined workweek will be communicated in a written agreement with the employee, and will be in compliance with FLSA requirements.

Work Schedule - All agency employees shall have an established standard workday and workweek schedule, with daily starting and ending times. Each employee is expected to observe his/her schedule, i.e. to be at work at his/her defined start time, and to stay at work until his/her defined ending time.

OVERTIME

The FLSA defines overtime as hours worked beyond 40 work hours (excluding leave time) in the established workweek. Additionally, the MOU requires overtime for hours worked in excess of the number of hours in a represented employee's established workday schedule.

Overtime is paid at 1.5x the employee's regular pay rate. Under the MOU and Agency policy, overtime can be taken as cash added to the employee's bi-weekly pay check or taken as compensatory time, which is added to their compensatory leave bank, at the employee's discretion. An employee who opts to receive compensatory time in lieu of overtime pay must have either 1) a predesignation on file, or 2) notified his/her supervisor of intent to receive compensatory time in lieu of overtime pay prior to accepting overtime work. Employees cannot accrue more than 80 hours of compensatory time. If an employee's comp time accrual reaches this limit, he/she will be paid cash for overtime worked until his/her comp time balance drops below the 80-hour cap.

WORK SCHEDULE ADJUSTMENT

Adjustments to an employee's established workday or workweek must be approved in advance by the department manager or designee, or the General Manager. Adjustments shall only be made to accommodate Agency business as determined, on a case-by-case basis, by the department manager or General Manager.

Represented Employees - An employee's established workday schedule (start/end times) can be adjusted within a given workday. Hours worked in a workday in excess of those in the employee's established workday schedule are paid as overtime hours. Hours cannot be shifted between scheduled work days (e.g. 6 hours one day and 10 another day).

Unrepresented Employees - The established workday schedule (start/end times) can be adjusted within a given workday, or work hours can be shifted between workdays within the established workweek. Any time worked beyond 40 hours (excluding leave time) in a workweek is paid as overtime hours.

Exempt Employees - Workweek and workday schedules can be adjusted by the General Manager as needed. Exempt employees are not entitled to overtime.

POLICY/PROCEDURE#	55
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Separation from Agency Employment
DATE:	05/16/2014

PURPOSE

Procedure for employee separation from CMSA.

PROCEDURE

- I. The Department Manager will begin the process one week prior to the employee's last day at work.
- II. During the employee's last week of employment, the following activities are to be completed. (Also refer to *Policy/Procedure #62 – Recognition for Employee Service* if the separation event is retirement.)
 - A. The Supervisor/Department Manager and employee will be jointly responsible for completing items on the Separation Checklist. The checklist includes receipt of CMSA property from the employee and verifying that the employee has cleaned out his/her assigned lockers and work area.
 - B. The Supervisor/Department Manager is to turn in a completed timesheet for the employee to the Finance Department three days prior to the employee's last day of employment in order to prepare the employee's final paycheck.
 - C. Prior to the employee's last day at work, the Administrative Services Manager will meet with the employee to discuss the status of the employee's pay and benefits upon separation.
 - D. On the last day of employment, the Personnel and Accounting Technician will prepare the employee's separation paycheck and give the check to the General Manager for approval and signature.
 - E. Upon completion of the above tasks, the General Manager or designee will give the separation paycheck to the employee.
 - F. *(Optional)* The Department Manager or appropriate Agency representative can inquire if the employee wishes to comment on his/her work experience to help CMSA evaluate the effectiveness of the Agency's various training and development programs, and to provide direction on ways to improve. The Exit Interview Form should be used for this purpose.

- G. The Department Manager is responsible for completing the Separation Checklist and submitting all separation documents to the Administrative Assistant for the employee's Personnel File.
- III. Forms to be used in conjunction with this policy can be found on the Agency's shared drive:
 - H:\Administration\Employee (confidential)\HR EmplConf Forms\HR Forms PP 55 Separation
 - A. Exit Interview
 - B. Separation Check List

POLICY/PROCEDURE #:	56
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Employee Computer Purchase Assistance Program
DATE:	04/30/2014

PURPOSE

To assist employees in the development of computer skills by providing an economic incentive to purchase a home computer, software, and accessories.

ELIGIBILITY

Any employee who has completed his/her initial probationary period of employment with CMSA.

There is no limit on the number of loans to which each employee can apply during his/her employment at CMSA. However, there is a waiting period of 12 months between each loan as measured from the final loan installment payment.

LOAN AMOUNT

Minimum of \$250.00, maximum of \$1,750.00 per loan.

LOAN TERMS

- Loan available for the purchase of a single computer or tablet. Also eligible for the loan are the computer software applications used to develop job specific skills.
- Scanners, digital cameras, sound systems or other equipment that is not directly associated with work activities of job task requirements are not eligible for reimbursement.
- Loan is interest-free.
- Minimum loan payment of \$25 per pay period through payroll deduction.
- Maximum loan repayment period of 52 pay periods.
- In the event employment is terminated, voluntarily or involuntarily, prior to the loan being paid in full, at or prior to the termination, CMSA will request that the employee provide written authorization for CMSA to deduct the remaining balance from his or her final payroll check.

PROCEDURE

1. The Accounting Technician will provide any employee who is interested in applying for a computer loan with a copy of this procedure, a Request for Financing form, and loan agreements.
2. If requesting a loan, the employee will submit the completed Request for Financing form, along with a copy of the receipt for the actual purchase, to the Administrative Services Manager or General Manager.
3. Once the loan application is approved, the Administrative Services Manager or General Manager will forward the application to the Accounting Technician. The Accounting Technician will prepare the loan agreement documents and loan repayment schedule for the employee to execute.
4. Accounting Technician will prepare a check for the loan amount once the employee has executed the loan agreement documents.
5. Forms used for Employee Computer Purchase Assistance Program are located on the Agency shared drive at:

H:\Forms\Administrative\HR Forms, Reports

- a) Request for Financing
- b) Computer Purchase Installment Note
- c) Computer Loan Repayment Agreement

The Board of Commissioners reserves the right to terminate the program without cause or prior notice. In the event the Board terminates the program, no new loans will be issued. Should this program be terminated, any employee with an outstanding loan will continue to make loan repayments until he/she has satisfied the terms and conditions of his/her loan agreement.

POLICY/PROCEDURE#:	57
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Commuter Check and Cash Reimbursement Program
DATE:	04/30/2014

PURPOSE

CMSA, as a participating member of the Marin County community, supports, encourages, and promotes the use of public transit when convenient and affordable for Agency employees. The CMSA Commuter Check and Cash Reimbursement Program was developed to provide this tax-benefit to those employees using public transit.

BACKGROUND

The Federal Government Qualified Transportation Fringe (QTF) Benefits is governed by 26 USC Section 132(f) and allows the establishment of a pre-tax commuter check program to provide tax-free benefits for purchasing public transit passes for employees who commute to and from work using public transport or qualified vanpools (at least six passengers, excluding driver).

Commuter checks are vouchers that are issued directly to the transportation provider and are redeemed for public transit passes, tickets, tokens, and vanpool fares. Section 1.132-9(b) Q/A-16(a) allows a bona fide cash reimbursement arrangement to the employee when a public transportation provider accepts only debit card technology to receive discounted transportation services, or when the Agency incurs significant administrative cost.

There are a variety of public transit agencies and organizations that participate in the program; examples are listed below:

AC Transit	Harbor Bay Ferry
Alameda/Oakland Ferry	LAVTA Union City Transit
Altamont Commuter Express (ACE)	Napa Valley VINE VTA
BART	SamTrans
Benicia Transit	San Francisco Muni
Blue and Gold Fleet	Santa Rosa CityBus
Caltrain	Sonoma-Marín Area Rail Transit (SMART)
Capitol Corridor (Amtrak)	Sonoma County Transit
CITYLINK	Tri Delta Transit
County Connection	Vallejo Transit (bus & ferry)
Fairfield/Suisun Transit	WestCAT
Golden Gate Transit (bus & ferry)	Participating vanpools
Greyhound Quicklink	

Any employee who commutes to and from work using public transport is also eligible to participate in the Agency's Carpool/Alternative Commute Incentive Program, outlined in *Policy/Procedure #58*.

PROCEDURE

I. Commuter Check Voucher

- A. The Agency will provide the participating employee with a check issued to the transportation provider (the commuter check voucher).
 - 1) The amount of the commuter check voucher will appear as a pre-tax payroll deduction on the employee's next payroll check, up to a monthly maximum amount as prescribed by Federal law.
 - 2) Checks may be issued monthly, bimonthly, or quarterly.
 - 3) Checks issued directly to the transportation provider will be used to purchase transportation passes.
 - 4) Checks issued directly to an employee will reimburse substantiated receipts for commute transportation previously incurred.
 - 5) Advance payment to employees for commute transportation is not allowed.
- B. Employees who qualify for the benefit will complete a Commuter Check and Cash Reimbursement Program Request form when requesting a commuter check or seeking pre-tax reimbursement for qualifying transit expenses.
 - 1) Only one form per employee per requested time period (i.e., monthly, bimonthly, or quarterly) will be processed by the Agency.
 - 2) The employee may request more than one commuter check for each specific public transit agency/organization requested per time period up to the aggregate cost prescribed by Federal law.
 - 3) Only one Agency check per public transit agency per time period shall be processed.
- C. Employee shall submit the form to the Administrative Services (ASM)/General Manager (GM) for approval and authorization signature, preferably five (5) days before the employee needs the commuter check(s) to allow time for processing.
- D. After approval, the ASM/GM will provide the authorized form to Accounting Technician to process the commuter check(s). The form will be returned to the employee if not approved.
- E. The Finance Department will issue an Agency check payable to each public transit agency/organization indicated on the form and give the check(s) directly to the employee to pay the appropriate fare for the approved transit pass, etc.
- F. If the transit agency/organization does not accept a check, the Agency will issue a check to the employee as a reimbursement, provided that he/she has attached the appropriate receipts documenting the direct purchase of transit passes.

- G. The Accountant Technician will prepare a pre-tax payroll deduction in the payroll system from the employee's next paycheck for the aggregate amount requested.
 - 1) The Accountant Technician will keep a separate file record of the commuter check transactions for audit purposes.
- H. The check(s) provided to the employee for this purpose cannot be transferred or negotiated in any other way or for any other purpose.
- I. After the check is processed by the transit agency/organization and returned from the bank, the Accountant Technician will verify that the check was endorsed properly by the appropriate transit agency/organization or its official representative.
 - 1) Endorsements found from any other party will be investigated by management. Suspicious investigation findings will be reported promptly to the GM. If fraudulent, dishonest, or misuse actions are discovered during the investigation, the employee will not be allowed to continue participation in the program, and may receive the appropriate level of disciplinary action.

II. Forms

- A. The Commuter Check and Cash Reimbursement Program Request form is located on the Agency's shared drive at:
H:\Forms\Administrative\HR Forms, Reports

POLICY/PROCEDURE #:	58
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Carpool/Alternate Commute Incentive Program
DATE:	11/13/2013 <i>(Board approved)</i>

This procedure supplements and is to be used in conjunction with:

- Personnel Policy/Procedure #403 – Driving on Agency Business;
- Administrative Policy/Procedure # 57 – Commuter Check Program;
- The attached program registration form.

PURPOSE

To provide a Carpool/Alternate Commute Incentive Program that encourages and supports Agency employees using alternatives to single-occupant vehicles for commuting to work. This program also enables CMSA to build on its commitment as a Marin County Green Business by reducing traffic, fossil fuel consumption, and greenhouse gas emissions.

SCOPE

This program is available to all Agency employees who use alternatives to single-occupant vehicles to commute to and from work. Employees may enroll in or make changes to their existing enrollment at any time. There are two broad categories: use of an Agency vehicle for qualified carpools (“Agency Vehicle Carpool”) and all other commute alternatives (“Alternate Commute Program”). Employees will have the opportunity to select the mode(s) of commute and the frequency of usage. Participating employees may select more than one mode of commute to best accommodate their needs. The Agency will strive to provide flexibility in work schedules to accommodate alternative commuting schedules. Finally, the Agency will provide an Agency vehicle for a guaranteed ride home when an unforeseen situation arises either at the Agency or with the employee which would disrupt a planned alternative commute trip.

PROGRAM ALTERNATIVES

Commute alternatives include:

- Agency Vehicle Carpool – The Agency will make available two alternative fuel vehicles for commute use for when three (3) or more employees agree to carpool;
- Alternate Commute Program – other alternatives to solo driving, including:
 - Using a private vehicle to carpool with other CMSA employees;
 - Using public mass transit (currently bus and/or ferry, rail where available);

- Bicycling or walking;
- Participating in a third-party vanpool or rideshare program.

SUPPORT AND INCENTIVES

In order to support commute alternatives, the Agency will provide the following incentives for employees who use them:

- An Agency vehicle for three (3) or more CMSA employees who participate in an approved Agency Vehicle Carpool.
- A \$4.00 per day cash stipend to each employee (except for members of Agency Vehicle Carpools) for each day that they participate in the Alternate Commute Program.
- Flexibility in employees' work shift start and stop times and Rotating Days Off (RDO), to accommodate carpooling or other commute schedules.
- An Agency vehicle for a guaranteed ride home when unforeseen Agency needs (such as overtime requests) or personal emergencies arise that would prevent the employee from completing their planned alternative commute that day.

PROCEDURES

I. Eligibility

- A. All Agency employees are eligible to participate in the program.

II. Registration

- A. Each participating employee will fill out a registration form (copy attached) before beginning participation. On the form, the employee will indicate:
 - 1) initial enrollment or changes in program participation,
 - 2) which alternative(s) they plan to use, and
 - 3) if they are requesting a change in their work schedule.
- B. Employees will submit the completed form to the Administrative Services Manager, who will serve as Program Administrator. Employees may make changes (changing to a different Agency Vehicle Carpool, or changing the mix among alternatives) by submitting a new registration form. Changes may be subject to review and approval by the General Manager or designee.

C. **Registration for use of Agency Vehicle**

- 1) At the discretion of the Program Administrator, employees currently using an Agency vehicle for carpooling may be required to submit a registration every six months, aligned with the semiannual Operations Department shift change. The purpose of this requirement is to provide all Agency employees with an opportunity to use an Agency vehicle for carpooling since the number of participants is limited by the capacity of the two vehicles. Should the requests for Agency vehicle use exceed the capacity of the vehicles, the Program Administrator will grant preference to employee(s) who are not currently using an Agency vehicle. The assignment of users to remaining carpool slots will be by lottery.

III. Schedule Flexibility

- A. The Agency will support flexibility with work hours and RDOs to accommodate commute requests, provided that all changes must be consistent with the Agency's operational needs, personnel policies and procedures, and the provisions of the Agency's Memorandum of Understanding with SEIU.
- B. Any request for work schedule change will be reviewed by the Program Administrator, and submitted to the appropriate Department Manager for consideration and General Manager for approval.

IV. Tracking and Incentives

- A. Each employee who enrolls in the program will track his/her actual participation for each pay period on his/her timesheets. Accuracy of reporting will be monitored by his/her supervisor, as well as the Department Manager and Program Administrator.
- B. Employees who commute in an organized vanpool or public transit may also combine the pretax withholding provisions of the Agency's Commuter Check Program with the \$4.00 per day stipend.

V. Private Vehicle Carpooling Requirements

- A. Two or more Agency employees may form a private carpool if they determine that carpooling is a viable alternative for them. For private carpools, details such as route, pick-up times and locations, wait time for tardy members, cost sharing, etc. will be decided among the carpool members. Employees may wish to make one or more "trial runs" to determine suitability and compatibility before formally registering their carpool. The Agency will not mediate disputes among carpool participants.
- B. Participants who use their personal vehicles for carpools will need to provide proof of automobile insurance. The Agency is neither responsible nor liable for

any bodily injury or property damage that may arise during the commute to and from work.

VI. Agency Vehicle Carpooling Requirements

- A. If three (3) or more Agency employees determine that carpooling is a viable alternative for them, they may request use of an Agency vehicle for their carpooling. The Program Administrator will review Agency vehicle carpool requests, assign vehicles, designate drivers, and impose conditions on vehicle use as needed to ensure that the vehicles are available for Agency use. The assignment of the Agency vehicle(s) will be based on the greatest number of riders in a vehicle. They will be expected to determine the details of the carpool the same as private vehicle carpooling. Use of an Agency vehicle for carpooling will be subject to all the conditions contained in Agency policies pertaining to use of Agency vehicles and driving while on Agency business, pursuant to Personnel Policy No. 403. Also, Agency vehicles used for carpooling must be signed in and back out each day. The Agency will not mediate disputes among carpool participants.
- B. Designated drivers using Agency vehicles for carpools are required to follow the same check-out procedures for the use of Agency vehicles. When a designated vehicle is unavailable for commute use, the Program Administrator will approve the use of non-designated vehicle (trucks, utility vehicle) for commute purposes.
- C. Participants using the Agency vehicle must adhere strictly to the requirement for three persons minimum in a vehicle during each trip (Refer to Taxability of Incentives, Section 132 of the Internal Revenue Code). The Agency reserves the prerogative to suspend use of an Agency vehicle for carpooling if the Program Administrator deems that the users have not met the minimum rider requirement.
- D. Agency vehicle carpools are exempt from the minimum rider requirements under the following situations:
 - 1) When a participant is scheduled for standby duty, he/she becomes the driver for the carpool (unless the standby person has received prior authorization, he/she may not take a separate Agency car and commute separately from the carpool).
 - 2) A participant has an approved absence from work, e.g. vacation and leaves covered under Personnel Policy #304, Leaves of Absences).
 - 3) A participant has an unforeseen absence from work.

VII. Emergencies and Guaranteed Ride Home

- A. Employees who do not drive to work and who are asked to stay and work overtime, or who must leave work for a personal or family emergency, or who would be stranded by their carpool driver's overtime work or emergency, will be guaranteed a ride home and, if necessary, back to work the next day. For example, if a carpool driver is required to work overtime, that employee's supervisor may coordinate with another carpool to carry the stranded riders home, and back if the driver will not be working the next day, or may authorize the stranded riders to use an Agency vehicle to drive home and return to work. Similarly, if a non-driver is asked to work overtime or has an emergency, that employee may be allowed to use an Agency vehicle to go home and return to work the next day.
- B. "Emergencies" are defined as the sudden onset of illness, illness or injury to one of the employee's immediate family members or dependents, or immediate threat of major property loss (fire, flood), or other qualifying event as determined by their supervisor. A request for emergency use of an Agency vehicle must be made to the employee's supervisor at the same time that the emergency time off is requested.

VIII. Other Programs

- A. Employees may elect to join another, non-CMSA carpool, vanpool, or ridesharing arrangement. There are a number of other alternatives listed at www.511.org, as well as various other local employers (PG&E, Golden Gate Transit, Marin Municipal Water District, others). Employees using such non-CMSA alternatives will be expected to arrange all the details of their participation themselves. They will be eligible for the \$4.00 per day cash stipend for each day they participate, will be required to track their participation on the tracking form, and may request schedule flexibility subject to operational needs and the Agency-SEIU MOU requirements.

IX. Accountability

- A. The Program Coordinator reserves the right to audit timesheets to ensure that program participants adhere to these procedures. Should the Program Administrator determine that a participant has improperly used this program, the Program Administrator can immediately suspend the employee from further participation. The employee may also be subject to other penalties or disciplinary action for falsifying employment records, timesheets or reimbursement requests.

TAXABILITY OF INCENTIVES

The \$4.00 per day stipend for employees participating in the Alternate Commute Program will be totaled for the days they participated in each pay period and added to the employee's gross pay for that pay period, and taxed accordingly.

Employees participating in an Agency Vehicle Carpool will receive non-cash, taxable benefit of \$1.50 each way per day they participated in the pay period. This is based on Section 132 of the Internal Revenue Code, under which the Agency would be able to apply the "commuting rule" to determine the commuting value of a car. Under this rule, the employer (CMSA) determines the commuting value by multiplying each one-way commute (from home to work or from work to home) by \$1.50. This rule is applicable if the vehicle is generally used each workday to carry **at least three (3)** employees to and from work in an employer-sponsored commuting pool. The Agency is obligated to adjust the value of the taxable benefit to conform to IRS pronouncements. If there are less than three employees, the cents-per-mile rule would apply, with mileage driven multiplied by the most current IRS rate.

Both the stipend and the noncash benefit will be reported on the employee's biweekly pay statements.

POLICY/PROCEDURE #:	59
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Employee Performance Evaluation Process and Merit Pay Calculation Guidelines
DATE:	02/09/2016

This procedure is to be used in conjunction with Personnel Policy #211 – *Performance Evaluation and Merit Award Programs*.

PURPOSE

These guidelines establish procedures to conduct an employee performance evaluation between the employee and supervisor. They also outline the calculation of employee merit pay.

PERFORMANCE EVALUATION PROCEDURE

These procedures are designed to maintain the integrity of forms used to complete the evaluation process. At any point in the evaluation process, the evaluation forms will remain in the possession of either the employee or the supervisor until the evaluation has been completed. It is the responsibility of both parties to ensure that each person is using the same electronic file document to complete their section of the evaluation form and work plan, and that the completed information has not been altered as the forms are exchanged back and forth between the parties.

There are three approaches for the employee and supervisor to select from to conduct the performance evaluation.

- I. For employees proficient in using Word and can access, save, and attach electronic files to email, they may exchange the performance evaluation form and work plan file with their supervisor via email. This approach is recommended for employees who have dedicated workspace and computer workstation.
- II. For employees proficient with using Word but not with accessing, saving, and attaching electronic files to email, the supervisor will provide all the files that the employee will use on a flash drive. The flash drive will be used to exchange information between the employee and supervisor. This approach is recommended for employees who do not have a dedicated workspace and computer workstation.
- III. An employee can request to complete the self-assessment by handwriting with the approval of their supervisor. The supervisor will complete the evaluation in electronic format. The employee's handwritten assessment shall be attached to the final evaluation.

Employees and supervisors shall complete the annual evaluation no later than two (2) weeks after the end of the employee's evaluation period. The work plan for the upcoming evaluation cycle should be completed no later than two (2) weeks into the new evaluation period.

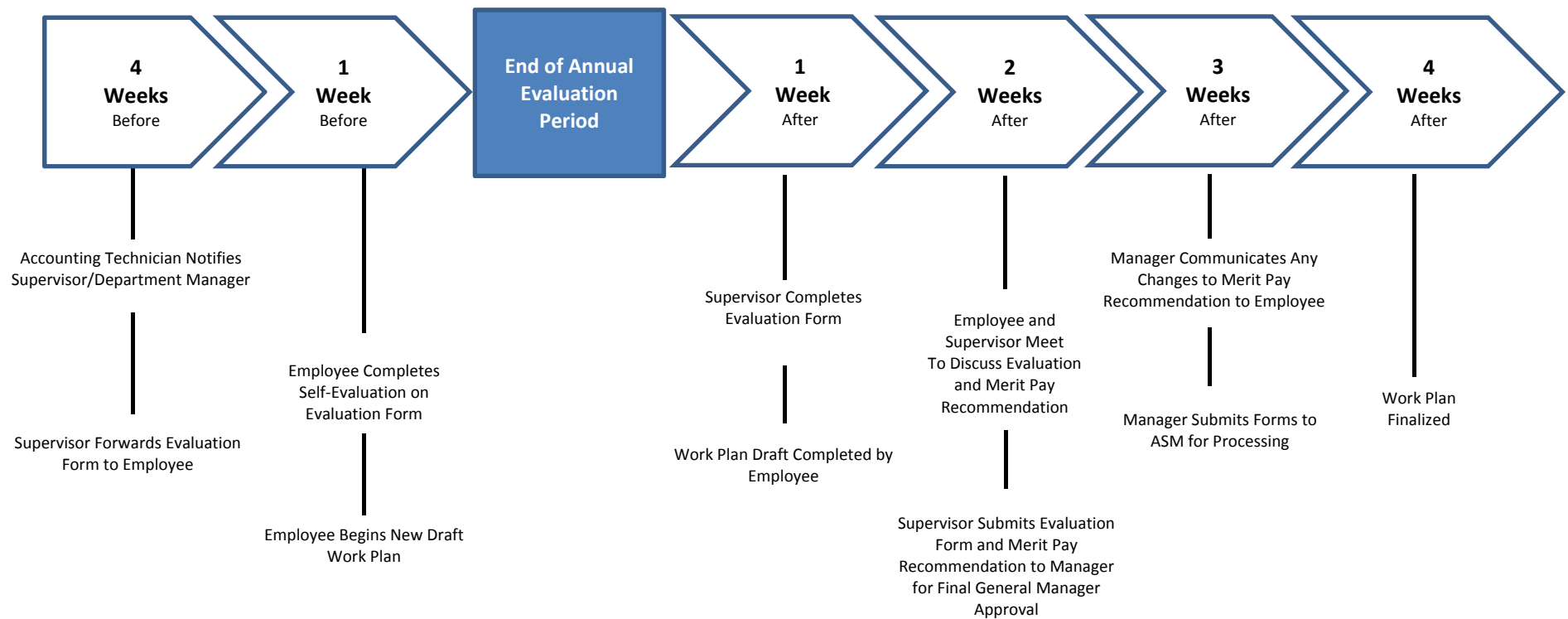
All relevant forms and guidance documents used for the employee evaluation process may be found on the CMSA network.

	Activity	Exchanging documents using Email, Employee completing self-assessment by handwriting	Exchanging documents using flash drive
1.	<p>Accounting Technician will notify supervisor/department manager of upcoming employee evaluation four weeks prior to end of annual evaluation period.</p> <p>The supervisor will initiate the evaluation process within two days of the notification from the Accounting Technician.</p>	<p>Supervisor/department manager will complete the cover page of the evaluation form, and the work plan result and achievement section, and email the document to the employee.</p>	<p>Supervisor/department manager will request a flash drive containing all the relevant files used to complete the evaluation from the Accounting Technician or Administrative Assistant.</p> <p>Supervisor/department manager will complete the cover page of the evaluation form, and the work plan result and achievement section, and provide the flash drive to the employee.</p>
2.	<p>Once the employee has received the evaluation form from the supervisor, the employee may begin to complete a self-evaluation on the evaluation form.</p> <p>Supervisor and employee to establish a deadline for the employee self-evaluation, to be no later than the week prior to the end of the evaluation period. The employee may have four (4) hours of work time to complete the self-evaluation.</p>	<p>Once the employee has completed the self-evaluation, they will print out a copy for their record and then email the evaluation form to the supervisor.</p>	<p>Once the employee has completed the self-evaluation, they will print out a copy for their record and then save the evaluation form on the flash drive. They will submit the flash drive to the supervisor.</p>

	Activity	Exchanging documents using Email, Employee completing self-assessment by handwriting	Exchanging documents using flash drive
3.	The employee shall prepare a new work plan for the coming year one week before the end of the evaluation period, to be submitted prior to evaluation meeting. Employees may have up to four (4) hours of work time to prepare a draft of a work plan prior to the evaluation meeting.	Employee completes a draft work plan and emails it to the supervisor no later than one day prior to the evaluation meeting.	Employee completes a draft work plan and saves to the flash drive for the supervisor no later than one day prior to the evaluation meeting.
4.	The supervisor should complete the draft evaluation within two (2) weeks of receipt of the self-evaluation from the employee and schedule an evaluation meeting with the employee.	Supervisor completes the evaluation and provides a printed copy to the employee. Supervisor completes the cover page for the upcoming work plan and emails it to the employee.	Supervisor completes the evaluation and provides a printed copy to the employee. Supervisor completes the cover page for the upcoming work plan and saves the document on the flash drive.
5.	Supervisor conducts evaluation meeting and discusses the draft work plan no later than two weeks after the beginning of the new evaluation period.	Supervisor will update evaluation form as necessary. The supervisor will provide the employee with a printed copy. The supervisor and employee coordinate completion of the new work plan document to be finalized no later than four weeks after the beginning of the new evaluation period.	
6.	The supervisor will review and sign evaluation form and provide a copy to the employee. The supervisor will also save a copy of the employee's new, final work plan on his/her computer. The supervisor will submit to the manager the following items no later than three weeks after the beginning of the new evaluation period: a. Signed evaluation form b. Completed Personnel Action Form with recommendations on merit pay for General Manager approval c. Flash drive (if applicable) to Accounting Technician or Administrative Assistant		

7.	<p>Once the department and general manager have completed their reviews, the department manager will inform the employee of the results of the managerial review of any changes to the merit pay determination, and provide all forms to the Administrative Services Manager (ASM) for processing.</p> <p>Only the signed paper documents will be placed in the employee's personnel file. The ASM will erase all files on the flash drive.</p>
8.	<p>No later than four weeks after the beginning of the new evaluation period, the employee submits final work plan to the supervisor, who saves a copy on their computer.</p>

Evaluation Activity Timeline



CALCULATION OF MERIT PAY

Employees may be considered for a lump sum performance-based bonus payment (merit pay) of up to five (5) percent of their base pay. The amount awarded, if any, shall be based on the employee's base earnings for the previous twelve (12) month period and their documented job performance as reflected in the performance evaluation form.

I. Work Plan and Performance Evaluation Weights

- A. Every work plan activity and core competency as detailed in each employee's work plan and performance evaluation form is weighted based on the employee's job function. The weights sum up to the total percentage allotted for each respective category (work plan category and core competencies category) as determined by the department manager.
- B. All weightings shall be limited by the following ranges for all employees:

	Minimum weighting	Maximum weighting
Work Plan Activities	Not less than 30%	Not greater than 70%
Core Competencies	Not less than 30%	Not greater than 70%

II. Performance Ratings and Award Amounts

- A. Employee performance is rated for each work plan activity and core competency using one of the following ratings and their associated point ranges:

Rating Level	Point Range
Exceptional	9-10
Effective	7-8
Meets	3-6
Generally Meets	1-2
Improvement Needed	0

- B. The merit award amount shall be calculated on the sum of the weighted average ratings earned for work plan activities and core competencies.

- C. The sum of the weighted average ratings shall earn an award amount based on the following chart:

Weighted Average Rating	Award Amount
9.50 – 10	5.0%
8.50 - 9.49	4.5%
7.50 - 8.49	4.0%
6.50 - 7.49	3.5%
5.50 - 6.49	3.0%
4.50 - 5.49	2.5%
3.50 - 4.49	2.0%
2.50 - 3.49	1.5%
1.50 - 2.49	1.0%

III. Sample Merit Award Calculation

- A. In this sample, the employee work plan listed weights of 60% for core competencies and 40% for work plan activities.

Core Competencies Category (60%)	Rating	Weighted Rating
Accountability (10%)	Meets = 6.0	10% X 6 = 0.60
Adaptability/Flexibility (5%)	Meets = 3.0	5% X 3 = 0.15
Collaboration (5%)	Effective = 8.0	5% X 8 = 0.40
Integrity (15%)	Meets = 6.0	15% X 6 = 0.90
Productivity (15%)	Effective = 8.0	15% X 8 = 1.20
Safety (10%)	Exceptional = 10.0	10% X 10 = 1
<u>Sum of Weighted Core Competencies Ratings=</u>		<u>4.25</u>

Work Plan Objectives Category (40%)	Rating	Weighted Rating
Objective #1 (10%)	Meets = 4.0	10% X 4 = 0.40
Objective #2 (5%)	Effective = 8.0	5% X 8 = 0.40
Objective #3 (15%)	Effective= 7.0	15% X 7 = 1.05
Objective #4 (10%)	Exceptional = 10.0	10% X 10 = 1.00
<u>Sum of Weighted Core Competencies Ratings=</u>		<u>2.85</u>

Weighted Ratings Grand Total:	4.25 + 2.85 = 7.10
Merit Pay:	7.10 = 3.5% Merit Pay

POLICY/PROCEDURE#:	60
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Employee Award Recognition
DATE:	10/13/2015 <i>(Board approved)</i>

POLICY

The CMSA Board intends to recognize agency employees when they receive industry-related awards for exceptional individual or organizational accomplishments. This policy sets forth Board actions and monetary award amounts for these employee accomplishments.

PROCEDURE

The Agency and its employees periodically receive recognition from national, state, and regional industry associations. The Agency has received awards for NPDES permit compliance, plant of the year, financial reporting, operational performance, engineering project achievement, facility and employee safety, public education, and risk management/loss control. Agency employees have also received individual awards in various technical areas, such as operations, maintenance, collections, environmental compliance, laboratory, and operator-in-training.

Upon notification from an industry association that the Agency and/or staff members have received an award, the General Manager (GM) will prepare an agenda item for a subsequent Board meeting informing the Board of the accomplishment and recommending a monetary award and/or other action pursuant to this policy. Current probationary and regular employees that were employed by the Agency for at least six months during the award's specified time period are eligible for the monetary award. Temporary employees may be eligible for a monetary award, at the GM's discretion, if they meet the six-month employment criteria and their work or work product contributed to the particular award. The industry association, their award categories, the Board monetary award levels, and the eligible employee classifications are detailed below.

I. NATIONAL ASSOCIATION OF CLEAN WATER AGENCIES (NACWA) - PEAK PERFORMANCE

NACWA is the national wastewater industry association that advocates for its members on regulatory, legislative, and judicial issues that could affect or impact the wastewater industry. NACWA has an award program to recognize its members' level of compliance with NPDES permit requirements. The Silver level is awarded for five or less permit exceedances in a year, while the Gold level is awarded for 100% permit compliance. If an agency meets its permit requirements for five consecutive years, they achieve the Platinum level. After five years, an agency will remain at the Platinum level if they continue to annually comply with all effluent permit requirements. The following monetary award amounts are for each Agency employee.

Silver:	\$50	Gold - Year 4:	\$400
Gold - Year 1:	\$100	Platinum - Year 5:	\$500
Gold - Year 2:	\$200	Platinum 5+:	\$500
Gold - Year 3:	\$300		

After the Platinum award level (5 years) is attained, and if the Agency continues to have full compliance with its permit requirements, the award amount will remain at the \$500 level.

II. **CALIFORNIA WATER ENVIRONMENT ASSOCIATION (CWEA) - REGIONAL AND STATE AWARDS**

CWEA is the State's water and wastewater industry association. CWEA provides training programs, conferences, publications, and certification for maintenance, collection system, electrical, laboratory, and environmental compliance staff. CMSA is a member of the Redwood Section of CWEA, which includes Marin, Sonoma, Napa, and parts of Mendocino and Solano counties.

Each CWEA section has award programs, which are standardized throughout the state, and recognize the achievements of its member agencies and their employees. Organizational and department/workgroup achievements are for plant of the year, public education program, safety program, engineering achievement, and other areas. Individual employees can receive awards for operator, electrician, collection system mechanic, and laboratory technician of the year. Award-winning employees and organizations are automatically included in the statewide competition. CWEA announces the award recipients at their respective regional conferences and the annual state conference, and provides award plaques to the recipients.

In addition to the following monetary award recommendation, staff will prepare a resolution of appreciation for Board action for the employees who were recognized by the CWEA Redwood Empire Section.

- A. Regional award
 - 1) Organizational: \$100 for each Agency employee
 - 2) Department/workgroup: \$100 for the employee group recommended by the GM
 - 3) Individual: \$100 per award
- B. State Agency award (placing first):
 - 1) Organizational: \$250 for each Agency employee
 - 2) Department/workgroup: \$250 for the employee group recommended by the GM
 - 3) Individual: \$250 per award

III. GOVERNMENT FINANCE OFFICERS ASSOCIATION (GFOA) - FINANCIAL REPORTING AND BUDGETING

The GFOA is a national finance association that recognizes public agencies for exceptional financial reporting and distinguished budgeting. The Agency annually prepares a Comprehensive Annual Financial Report (CAFR), a Popular Annual Financial Report (PAFR), and GFOA version of the Board adopted fiscal year budget. The CAFR and Distinguished Budget Presentation award applications are reviewed by an independent panel of finance managers/directors around the country, and must meet specific and strict criteria to be considered for award. The PAFR award applications are judged using more subjective criteria for presentation, readability, creativity, and understandability.

The CAFR award is the Certificate of Achievement for Excellence in Financial Reporting and is the highest form of recognition in governmental accounting and financial reporting. Its attainment represents a significant accomplishment by a government entity and its management. The PAFR award is for an agency's outstanding achievement in popular annual financial reporting. The Distinguished Budget Presentation award signifies that an agency's budget was deemed to be proficient as a policy document, financial plan, operational guide, and communication device for the agency's business. Recognition by the GFOA includes plaques for each award, and a certificate for the agency's finance manager.

Each finance department employee, and appropriate administrative staff as recommended by the General Manager, will receive a \$100 monetary award for receipt of the CAFR award, a \$100 monetary award for receipt of the PAFR award, and \$100 monetary award for receipt of the Distinguished Budget Presentation award.

POLICY/PROCEDURE#:	61
SECTION:	Human Resources
SUBJECT:	Maintenance of Employee Personnel Files
DATE:	06/30/2014

PURPOSE

The purpose of this procedure is to establish guidelines for the maintenance of the various types of human resources records and files that the Agency produces for each employee.

POSITIONS RESPONSIBLE

The Administrative Assistant, Personnel & Accounting Technician, and Administrative Services Manager are responsible for the maintenance of the records and files associated with employment at CMSA. Unless otherwise instructed by the General Manager, the Administrative Assistant will hold the keys to the personnel file cabinets and check that these cabinets are locked and keys are returned to the secured place at the end of each work day.

PROCEDURES

Documents relating to an employee's job performance, conduct, pay, abilities, medical information or workplace injury including, but not limited to, performance evaluations, records of disciplinary action, workers' compensation claims, and requests for leaves of absence shall be given directly to the Administrative Assistant or to the Administrative Services Manager when the Administrative Assistant is not present.

Until the document is properly filed, the Administrative Assistant will safeguard the document in a working folder and put it in the locked personnel file cabinet.

Also refer to Administrative Procedure on Hard Copy Record Retention regarding retention and long term storage of personnel records and files by the Agency.

I. Access to Personnel Files

With the exception of the General Manager and Administrative Services Manager, no manager or supervisor should keep any official Agency personnel files in his/her office.

In general, information contained in an employee's official personnel file will be disclosed internally only to persons with a need to know, and to outside third parties pursuant to a proper legal request.

A manager or supervisor can view the official Agency personnel files of his/her subordinates in the confines of the Administrative Service Manager's office, or other

designated location, and in the presence of the Administrative Services Manager or Administrative Assistant.

Any CMSA employee, upon written request to the Administrative Services Manager, may, at reasonable times and intervals, inspect his/her official personnel file that is used or has been used to determine the employee's qualifications for employment, promotion, additional compensation, termination or other disciplinary action. CMSA shall make the employee's file available for inspection within a reasonable period of time after the receipt of the written request. The employee must view his/her file in the confines of the Administrative Services Manager's office, or other designated location, and in the presence of the Administrative Assistant, Administrative Services Manager, or another manager designated by the General Manager.

Records of a CMSA employee relating to the investigation of a possible criminal offense, letters of reference, and other matters protected by constitutional, statutory, or common law provisions shall be excluded from the employee's review described in the preceding paragraph.

II. Disclosure and Release of Employment Information and Records

A. Background and Reference Check

- 1) Reference inquiries regarding current or former CMSA employees must be directed to the General Manager or his/her designee.
- 2) Unless the current or former employee signs an authorization and release regarding the disclosure of specific further information, the only information that will be disclosed by CMSA is the employee's current or final job title, dates of employment, and current or final rates of pay.
- 3) No information will be disclosed without the employee's or former employee's written authorization and release for the disclosure of the specific information requested. The waiver and release is provided and signed by the employee, and shall give written authorization for CSMA to disclose to an identified third party the specific information CMSA is to provide.

B. Financial Information

The Administrative Services Manager will be responsible for responding to the following types of inquiries or requests:

- 1) Employment and salary verification for loans, insurance settlements, etc.
- 2) Application of CalPERS retirement and verification of service and compensation

- 3) Coordination of State Disability Insurance (SDI) benefits
- 4) Coordination of State of California Paid Family Leave (PFL) benefits
- 5) Coordination of Workers' Compensation benefits
- 6) Claims for Unemployment Insurance
- 7) Tax liens, wage garnishments, and withholdings from federal and state taxing authorities
- 8) Compliance with court orders for child support payments
- 9) Verification of health insurance coverage

C. Public Records Requests

Refer to Administrative Procedure on Public Records Act Requests from members of the general public for employee salary and wage information. Such requests should be made in writing and referred to the General Manager.

D. Court Subpoenas and Other Legal Requests

All requests for information regarding CMSA employees or former employees made pursuant to subpoena or other valid legal request shall be directed to the General Manager for response.

E. Medical Information

Medical records will be maintained separately from each employee's official personnel file. Access to the files containing medical records shall be limited to the General Manager, Administrative Services Manager, Personnel & Accounting Technician, and Administrative Assistant. Medical records shall be disclosed only to those with a need to know, such as in the examples listed below:

- 1) Safety Director for modified job duty requests
- 2) To managers if necessary to respond to and/or provide a reasonable accommodation to an employee
- 3) To first responders and/or medical personnel in event of emergency
- 4) When compelled by law

III. Type of Files

A. Personnel Files

Maintained by the Administrative Assistant.

Files are organized by current and separated employees and kept in a locked Human Resources file cabinet. Each employee's official Personnel File will be

organized into the following four sections:

- 1) Salary and Termination Information
 - a. Completed job application
 - b. Conditional offer of employment, employment agreement and job description
 - c. Completed federal and state tax withholding at time of hire
 - d. Change in probationary status
 - e. Promotions and salary step adjustments
 - f. Agreement to earn compensatory time in-lieu of paid overtime
 - g. Requests for extended leave of absence
 - h. Letters of resignation
 - i. Letters of termination
 - j. Exit interview

The following documents that are received during the hiring process should be disposed of once the employee is hired and should not be kept in the official personnel file:

- a. Background check and credit reference
 - b. Form I-9, Verification of Employment Eligibility
- 2) Benefits
 - a. Initial enrollment and subsequent changes, including documentation of marriage and dependents
 - b. Form SSA-1945—Statement Concerning Your Employment in a Job Not Covered by Social Security
 - c. Copies of marriage certificates and dependent birth certificates for enrollment in CalPERS health benefits
 - d. Waiver of Coverage of Health Benefit form and documentation of other health insurance coverage
 - e. Designation of Person(s) Entitled to Receive Final Checks in the Event of Employee's Death form
 - f. Designation of beneficiaries for life insurance
 - g. Fair Share Service Fee Authorization or SEIU Membership Application and dues deduction
 - h. Wage and employment verifications and wage garnishments

- i. Change of address
 - j. Employee-initiated changes in payroll withholding
 - k. Enrollment in Plan 457 deferred compensation
- 3) Evaluations
 - a. Annual performance evaluation
 - b. Merit award
 - c. Promotion and Completion of Training and Development Checklist
 - d. Disciplinary action
 - e. Employee recognition
- 4) Licenses/Certificates
 - a. Department of Motor Vehicle Driving Record at time of hire
 - b. New Employee Safety Orientation Training Checklist
 - c. Job-required licenses and certifications
 - d. Completion of Training certificates
 - e. Education Expense Reimbursement Contract, Record of School Course Completion, and Reimbursement of Tuition

B. Medical Files

Maintained by the Administrative Assistant.

Medical files are maintained separate from the employee's official personnel file, in a locked file cabinet in the Administrative Services Manager's Office.

- 1) Job functional capacity test
- 2) Pre-employment/post-offer medical examination records
- 3) Medical examination records (e.g., fitness for duty examinations) relating to current employees
- 4) Drug testing
- 5) Designation of medical provider for Workers' Compensation
- 6) Documents relating to any reasonable accommodation that was considered under the Americans with Disabilities Act and/or the California Fair Employment and Housing Act
- 7) Documents relating to an employee's request for medical leave
- 8) Any documents from the employee's healthcare provider including, but not limited to, sick leave verification notes

- 9) Modified Duty and other types of workplace accommodations

C. Payroll Administration Files

Maintained by Finance Department staff.

Files are kept in a locked file cabinet in the Finance Department. Designated finance department staff will hold the key to the payroll administration files.

- 1) Biweekly timesheets and payroll calculations
- 2) Salary changes and adjustments
- 3) Changes to payroll deductions and withholdings
- 4) Medical and dependent care reimbursement requests
- 5) Computer loan agreements
- 6) Coordination of leave benefits with State Disability Insurance

D. Recruitment File

Maintained by the Administrative Assistant.

Files are kept in a locked file cabinet in the Administrative Services Manager's Office. CMSA retains job applications for two years.

- 1) All completed job applications related to the recruitment
- 2) Candidate evaluation and interview notes
- 3) Releases for background and reference checks
- 4) Requests for accommodations during interviews and/or functional evaluations. Medical-related information supplied by the applicant is kept separately from the recruitment records.
- 5) Background/reference check information for applicants not offered employment or who declined an offer of employment

E. Supervisor's/Drop Files

Maintained by individual managers and supervisors.

- 1) Supervisor's files are "discoverable" and can be considered part of official personnel files. Supervisor files should have a limited duration as defined by the period of the employee's evaluation. Items in the supervisor's files should be limited to notes related to the subordinate's current evaluation period.
- 2) Managers and supervisors are encouraged to attach any relevant information used to develop the subordinate's evaluation to the

evaluation document for inclusion in the employee's personnel files.
Other supporting documents not germane to the completed evaluation should be given to the Administrative Assistant for disposal.

- 3) Managers and supervisors should not retain medical, payroll, disciplinary or investigative information in the supervisor's file.
- 4) All documents related to a filed grievance should be placed in a separate grievance file for the matter and maintained by the General Manager.

F. DMV Records

Maintained by the Administrative Assistant.

Files are kept in a locked Human Resources file cabinet.

G. Worker's Compensation

Maintained by Safety Director and Administrative Assistant.

Files are kept in a locked cabinet in the Administrative Services Manager's Office.

H. Safety and Accident Investigations

Maintained by Safety Director.

- 1) Attendance record for safety training
- 2) Accident Investigations
- 3) Annual Auditory records are maintained in the employee's medical file.

IV. Other Type of Employment-Related Records and Files

A. Employee Filed Grievance

Files are turned over to the General Manager upon conclusion of the grievance process. These are not included in the official personnel file.

B. Ongoing Investigations

Documents and files are maintained by the General Manager. These are not included in the official personnel file.

C. Completed Investigation That Does Not Result in Discipline

Documents and files are maintained by the General Manager. These are not included in the official personnel file.

POLICY/PROCEDURE#:	62
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Recognition for Employee Service
DATE:	10/28/2016

POLICY

This policy provides guidance on how CMSA, as a public Agency, recognizes an employee's service when he or she retires from the Agency.

PROCEDURE

When an employee formally submits notice of retirement, a representative of the Agency (generally, the Administrative Assistant) may coordinate a recognition event with the employee, his or her supervisor, and the Administrative Services Manager. This event is typically a luncheon. The Agency representative will perform general coordination duties such as helping to identify invitees, setting up the event, and posting notices in the lunchroom.

The retiring employee may choose to have an on-site luncheon (pot-luck style or catered) or an off-site luncheon. Where there is a cost incurred, it shall be paid for either by attendees paying the actual cost of their meal, or through a voluntary collection of monies gathered beforehand. Agency funds are not to be used for the event.

The Agency allows a reasonable duration of time, usually at lunch time, for the recognition event. Supervisors are responsible for assuring that appropriate coverage is maintained at the Agency in those instances where the event is off-site. In general, invitations to the event are limited to current and former employees, and to guests of the retiring employee (e.g., family or close friends).

POLICY/PROCEDURE#:	63
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	CMSA Fleet Vehicle Assigned Use
DATE:	09/15/2016

PURPOSE

Agency fleet vehicles are assigned for routine business, carpool, on-call and/or emergency use activities. This policy and procedure outlines vehicle assignments and use protocols, and serves as a guide to departments in managing those vehicles designated solely for department use.

PROCEDURE

Any vehicle driven while conducting Agency business, or for any other Agency purpose, must be operated in a safe and courteous manner, and in compliance with all applicable laws and Agency policies. Refer to *CMSA Personnel Policy #403* for rules and regulations specific to driving on Agency business.

I. VEHICLE ASSIGNMENTS

- A. The designated uses for specific Agency fleet vehicles and assignments by department are listed in the table below.

Asset Number	Asset Name	Primary Use	Secondary Use	Tertiary Use	Key Location (see below)
VE03.01	2006 Honda Civic (Hybrid)	Agency Business (All Staff)	Agency Vehicle Carpool (All Staff)	On-call vehicle	#1
VE03.13	2006 Honda Civic (Hybrid)	Agency Business (All Staff)	Agency Vehicle Carpool (All Staff)	On-call vehicle	#1
VE03.21	2013 Toyota Prius C*	Agency Business (Admin/Eng/ES Staff)	Meetings / Training (Agency Staff)	Emergency Use (All Staff)	#2
VE03.23	2016 Ford F150*	Utility Vehicle (Maintenance Staff)	Site Service (O&M)	On-call / Emergency Use (All Staff)	#3
VE03.16	2009 Ford Ranger*	Pump Station Inspection (Maintenance Staff)	Pump Station Service (O&M)	On-call / Emergency Use (All Staff)	#3
VE03.22	2014 Toyota Highlander	Agency Business (General Manager)	Emergency Response (General Manager)	Emergency Use (All Staff)	#4

Asset Number	Asset Name	Primary Use	Secondary Use	Tertiary Use	Key Location (see below)
VE03.12	2005 Ford Explorer*	Source Inspection (Environmental Services)	Agency Business (Environmental Services)	SSO / Emergency Use (All Staff)	#5
VE03.20	2012 Ford F150*	Source Inspection (Environmental Services)	Agency Business (Environmental Services)	SSO / Emergency Use (All Staff)	#5
VE03.18	2007 Ford F450*	Agency Business (Maintenance Staff)	Pump Station Service (Maintenance Staff)	Emergency Use (All Staff) Environmental Services (Public outreach-Fair)	#2
VE03.19	2008 Ford E250*	Agency Business (E&I Staff)	Pump Station Service (E&I Staff)	Emergency Use (All Staff)	#2

* Designated emergency use vehicle, available to all Agency staff for use if necessary.

II. VEHICLE KEY LOCATIONS AND SIGN-OUT

A. Keys for the vehicles are located in the following areas:

- #1 - Administration Building front counter, far left hand drawer labeled "Agency Vehicles, Keys, Transponders, Sign-in Sheet."
- #2 - Administration Building, in the top left drawer of the Personnel/Accounting Technician's desk.
- #3 - Maintenance Building, on the key rack next to the main office entrance.
- #4 - In the General Manager's possession, with a duplicate located in the Administration Building, in the key locker in the vault.
- #5 - Administration Building, on the key rack in the Environmental Services Manager's office.

All vehicle keys shall be returned to their proper storage location when the vehicle is not in use.

B. The vehicle sign-in/sign-out sheets are located on clipboards in the Administration drawer and beside the Maintenance Building key rack, and must be filled out prior to vehicle use. The user must record the date, their initials, the vehicle number, time out, the specific use (Agency Business, Carpool, stand-by), and if required, a vehicle transponder for toll use. Environmental Services staff check out vehicles used during inspections and other Agency business using the white board in the Environmental Services Manager's office.

- C. All Agency vehicles are located in the parking spaces outside the Administration Building adjacent to the Maintenance Building. This is the designated Agency vehicle parking area. The corporation yard can be used for overflow parking if necessary.
- D. Prior to off-site use, employee is to:
 - 1) Visually inspect the vehicle. Report any signs of physical damage, low tire pressure, or lights not working properly to the Maintenance Supervisor immediately. **Secure a new vehicle if any of the above are recognized prior to use.**
 - 2) Verify that Agency Insurance ID card and vehicle accident forms are in the glove box.
 - 3) Ensure vehicle has adequate fuel. All Agency keys have vehicle-specific fuel access cards on their key rings. Vehicle mileage must be entered into the fuel island card reader in order to activate fuel pumps.

III. VEHICLE RETURN

- A. Vehicles should be returned to the designated parking area outside the Administration Building and locked up. The keys must be returned to their proper storage location. **KEYS ARE NOT TO BE LEFT IN THE VEHICLE.**
- B. All vehicles must be returned with adequate gas for the next use. Vehicles should be returned clean, and all trash and personal items removed upon return of the vehicle.

POLICY/PROCEDURE #:	64
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Employee Professional Development
DATE:	05/23/2014

PURPOSE

CMSA encourages and supports training and professional development for employees to improve their knowledge, skills, and abilities for on-the-job performance and professional growth.

PROCEDURE

- I. The employee's department manager is responsible for working with the employee to determine appropriate training and professional development topics and establishing training goals in the employee's work plan.
- II. It is the employee's responsibility to seek out and identify specific work-appropriate classes, training events, conferences, and webinars that fit the training and development topics, and to work collaboratively with his/her department manager to review and schedule them.
- III. After attending a training event, the employee is responsible for entering training data into the appropriate Agency/Department record-keeping system.
- IV. The Agency will provide advance funds and/or reimbursement for professional development and training as detailed in *Personnel Policy #305 — BENEFITS—Expense Reimbursement*.
- V. The Agency will report the total training hours taken by staff each month on the Monthly Performance Metric Report.

POLICY/PROCEDURE #:	65
SECTION:	HUMAN RESOURCES – GENERAL
SUBJECT:	Employee Workspace Assessments
DATE:	08/09/2015

POLICY

CMSA is committed to providing employees with workstations that are safe and ergonomic, which will allow employees to be both productive and comfortable.

PROCEDURE

The Agency recognizes and appreciates that in order to be effective, employees may, at times, need differently configured workstations.

Agency staff members who share a computer workstation with one or more employees will be provided with adjustable equipment and training awareness on how to safely and effectively use the equipment.

An employee may see the Safety Director at any time to request a workplace assessment. The Safety Director routinely evaluates workstations for ergonomics and safety considerations for every new employee.

If an employee is experiencing pain or discomfort, and would like an evaluation of his or her workspace, the employee should ask for a workspace evaluation, as detailed below.

I. EMPLOYEE REQUEST FOR WORKSPACE EVALUATION

- A. In order for CMSA to best determine whether an employee's workstation is appropriate or if the workstation arrangement needs to be modified, employees are to request an ergonomic evaluation of their workstation by the Safety Director by completing the form on the Agency shared drive.
 - 1) Employee completes all information on the request form (see attachment A) and submits it to his/her immediate supervisor or manager. (Incomplete forms will be returned to the employee.)
 - 2) Supervisor/manager reviews the request form to confirm accurate completion, and then submits it to the Safety Director.
 - 3) Safety Director confers with the supervisor/manager and employee, and notes the recommended appropriate actions to be taken on the form, within a week from when it was received.

- a. If improvements are needed, the Safety Director will initiate a P.O. for purchase and installation of equipment. The G/L number to be used is 6815-001-01, Safety Supplies.
 - b. The Safety Director supervises the purchase and installation of the equipment.
 - c. Equipment improvements will be completed within a month, barring extenuating circumstances, such as back-ordered equipment.
- 4) If it is agreed that no action is required, the employee checks the “no action needed” box on the form, the listed parties sign it, and the form is given to the Safety Director for filing in the employee’s confidential medical file.
 - 5) The Safety Director retains the form until the corrective measures have been completed.
 - 6) Once completed, the employee enters the information on the form, signs it, and forwards the form to the manager and Safety Director for their signature.
 - 7) The form is then returned to the Administrative Assistant for filing in the employee’s confidential medical file.
 - 8) The General Manager shall be informed of the status and disposition of the assessment through the Safety Director.



EMPLOYEE WORKSPACE ERGONOMIC EVALUATION

Employee: _____ Date: _____

Department: _____ Supervisor: _____

I am requesting an ergonomic evaluation of my workstation due to the following:

___ I am experience discomfort or numbness when engaged in activities at my workstation.

___ My healthcare provider has recommended that an evaluation of my workstation be conducted as a result of a work-related injury.

___ My healthcare provider has recommended that an evaluation of my workstation be conducted as a result of an injury. (Please attach related documentation from your healthcare provider)

___ My healthcare provider has recommended that an evaluation of my workstation be conducted as part of an ADA accommodation request. (Please attach related documentation from your healthcare provider)

___ Other reasons (please be as specific as possible)

Please describe your work duties and how your current workstation arrangement affects your ability to perform them.

Employee Signature: _____ Date: _____

Supervisor/Manager: _____ Date: _____

Safety Director: _____ Date: _____

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

☐ No action needed

POLICY/PROCEDURE #:	66
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Employee Wellness Program
DATE:	05/18/2016

PURPOSE

The Agency recognizes the benefits to both employers and employees of workplace programs that promote and support employee health and wellness. Worksite wellness programs have been shown to increase productivity, reduce absenteeism and on-the-job injuries, and improve morale and the quality of life for employees.

CMSA's Employee Wellness Program has been established to increase employee health and safety by improving employee awareness of healthy living alternatives through the implementation of wellness activities and identification of appropriate resources.

GOALS

The goals of the program are to:

- Raise awareness among employees regarding the importance of lifestyle behaviors that promote good health, and provide employees helpful information and resources.
- Provide programs and activities that offer employees opportunities to be physically active, eat healthier food, avoid substance abuse, and manage stress.

PROGRAMS AND PROCEDURES

- I. The Wellness Coordinator shall monitor and administer programs and procedures that work toward supporting the wellness program's purpose and goals, such as:
 - A. Wellness Wall -- Wellness information and resources periodically posted by the Wellness Committee on a bulletin board located in a centralized location for all employees.
 - B. Walk/Run Path -- A map of the Agency facility indicating measured routes that can be used by employees to track walking and running distances, with corresponding markers along the route. As this path encompasses facility vehicle roads and galleries, employees participating in this activity should observe appropriate safety measures and be aware of traffic at all times.
 - C. Payroll Notices -- The Wellness Coordinator provides wellness information and tips to the Accounting Technician for publication on the back of the bi-weekly payroll vouchers, as space allows.
 - D. Annual Flu Shots -- The Agency provides interested employees free on-site flu shots once a year during flu season.

II. Employee Participation

- A. Employees are encouraged to participate in the program.
- B. Suggestions for additional health and wellness activities are welcome, and should be submitted to the Wellness Coordinator.

POLICY/PROCEDURE #:	71
SECTION:	ADMINISTRATIVE – CONTRACT ADMINISTRATION
SUBJECT:	Chemical Ordering, Receiving, Reconciliation, and Payment Authorization (CORRPA)
DATE:	10/11/2016

PURPOSE

This Procedure provides guidelines for ordering, receiving, and payment for bulk chemicals used in the wastewater treatment process, and includes the following chemicals: Sodium Hypochlorite, Sodium Bisulfite, Ferric Chloride, Calcium Nitrate, Hydrogen Peroxide and Polymer.

PROCEDURE

I. Chemical Contract Procurement

- A. CMSA participates in the Bay Area Chemical Consortium (BACC) procurement process for all chemicals except polymer. The BACC manages the bid document preparation and bid process. The Engineering Department will coordinate with the BACC to ensure that CMSA specific information and requirements are included in the bid documents. A Notice Inviting Bids for each chemical will be advertised in the newspaper.
- B. Polymer will be procured using a bid process that includes polymer vendor bench scale and full scale testing. A Notice Inviting Bids will be advertised in the newspaper.
- C. After BACC and polymer bids are opened and analyzed, staff will request the Board award each contract to the lowest responsive, responsible chemical vendor. With Board approval, a Notice of Award will be issued to each vendor. After the required vendor documentation is approved, the General Manager will execute a Chemical Supply Agreement.

Note: The bid documents listed above can be found on the CMSA shared drive: S:\Lib - Forms and Templates\ENGINEERING FORMS

II. Chemical Ordering – Operations Department

- A. Operations Department designee determines the need and quantity for the specific product.
- B. Operations Department designee places the order with appropriate vendor.

- C. The Operations Department designee will log the order date, the quantity ordered, the scheduled delivery date, and the initials of person placing the order in the appropriate folder in the CORRPA Log, located in the Operations folder on the CMSA server: S:\Dept-Operations\Operations\Spreadsheets (see subfolders by year).

III. Chemical Delivery/Receiving Procedures Summary – Operations Department

- A. Operations Department will receive chemical deliveries per SOP #1.04.
 - 1. Prior to initiation of off-loading procedure, the operator and the delivery driver verify to which tank the load is to be transferred and take a visual reading from the designated tank sight glass or tank level instrument. The operator records the designated receiving tank number (if applicable) and the starting level on the delivery receipt.
 - 2. After the delivery is completed, the operator and the delivery driver both verify the finished delivery level in the sight glass or the tank level instrument, and the operator records the stopping level on the receipt.
 - 3. The operator must reconcile the delivery by calculating the quantity of the product received using the calculations provided on the delivery receipt. Polymer deliveries will be reconciled per this procedure with one exception: the authorized payment quantity will be per vendor billing invoice amount, not CMSA's delivery calculation, due to the contract language.
 - 4. The operator and the delivery driver both sign the delivery receipt. Once signed, the operator provides a copy to the delivery driver.
 - 5. The Operations Department designee records the delivery date, quantity received and the initials of receiving operator on the CORRPA Log.
 - 6. Delivery paperwork and receipts are to be held by the Operations Department designee until delivery payment is authorized.

IV. Invoice Forwarding – Administration

- A. The Administrative Assistant or designee opens, date and invoice stamps invoices, and delivers them to the Accounting Technician.
- B. The Accounting Technician then puts the invoice in the Operations Department designee in-box, located in the Administration office.

V. Delivery Payment Authorization – Operations Department

- A. Once an invoice is received by the Operations Department designee, the invoice stamp is filled in with the date, GL Account number and initials.

- B. The Operations Department designee matches up each invoice to the corresponding delivery paperwork and receipt.
- C. The Operations Department designee then records the date the payment was authorized and the initials of authorizing person on the CORRPA Log.
- D. The Operations Department designee forwards the delivery paperwork, receipt, and invoice to the Accounting Technician. Completed documents are to be placed in the Accounting Technician's in-box, located in the Administration office.

Note: If the Operations Department designee is not available, the Operations Supervisor will authorize payment. If neither the Operations Department designee nor the Operations Supervisor is available, the Treatment Plant Manager or the GM may authorize payment.

VI. Invoice Payment – Finance

- A. Once the Accounting Technician has received the delivery paperwork, receipt and the invoice with payment authorization, the Accounting Technician calculates the payment using the quantity received on the payment authorization stamp, multiplied by the contract unit cost.
- B. The Accounting Technician shall not process payments for invoices if the authorization stamp is missing or incomplete. The Accounting Technician will return incomplete documentation back to the Operations Department designee for correction or completion.

Note: The Treatment Plant Manager and General Manager may authorize payment with or without Payment Authorization Stamp.

- C. The Accounting Technician should note discrepancies between the invoiced amount and the actual quantity received on the payment authorization. The Accounting Technician will forward invoices with discrepancies to the Operations Department supervisor for review and clarification.
- D. If necessary, the Engineering Manager (or designee) will contact the vendor to address discrepancies.

POLICY/PROCEDURE #:	73
SECTION:	ADMINISTRATIVE – CONTRACT ADMINISTRATION
SUBJECT:	Professional Services Agreements
DATE:	10/11/2016

PURPOSE

These procedures shall be used by the Agency when hiring non-construction service-related firms such as legal, financial and human resources consultants, or individuals or firms to provide design, inspection, or similar non-construction services. The purpose is to ensure that the scope of work and fee proposal, and the rules, expectations, and responsibilities of each entity are clearly defined and understood. This will legally protect the Agency and provide the necessary contractual structure when the Agency engages in the hiring process.

BACKGROUND

The financial policies listed below establish the general guidelines for hiring external entities to perform work for the Agency, and have been adopted by the Commission.

- Financial Policy/Procedure # 560 – Signature Authority
 - Financial Policy/Procedure # 561 – Contracting
- Note that these may be modified in the future.*

Procurement of professional services shall follow the general guidelines as contained in Financial Policies/Procedures #560 and #561. The two procedural tiers outlined here align with limits contained in the Uniform Public Contract Cost Accounting Act (the UPCCAA) as referenced in Financial Policy/Procedure #560.

- Tier I – currently up to \$45,000 – Agreements for this tier of service may be entered into under the General Manager’s signature authority.
- Tier II – currently above \$45,000 – shall be awarded by the Board of Commissioners.

PROFESSIONAL SERVICES AGREEMENT FORMS

All agreements and contracts must be reviewed and signed by the General Manager. At the General Manager’s discretion, legal counsel may need to review an Agreement before it is executed.

The following forms are listed in this policy and are located on the CMSA server (S:\Lib - Forms and Templates\ENGINEERING FORMS):

- Request for Proposals
- Professional Services Agreement
- Professional Services Agreement – Amendment
- Professional Services Agreement – Task Order Based

- Professional Services Agreement – Task Order Exhibit
- Professional Services Agreement – Task Order Amendment

PROCEDURES

Generally, consultants and other professional service providers will be selected utilizing the Request for Proposals (RFP) form and selection process. If expected service costs (estimated by staff based on previous jobs of similar type and scale, informal surveys of other agencies, or other means) are within the General Manager's current signature authority (Tier I), then the General Manager may waive the need for a formal RFP and authorize staff to request letter proposals from qualified consulting firms. Otherwise, an RFP must be developed. The RFP will include the scope of services requested, submittal requirements (fee schedule, project personnel and resumes, etc.), submittal deadline date and time, a general timeline for the projected work, and other pertinent information. A sample CMSA Professional Services Agreement (PSA) form shall be attached.

The development of the RFP documents, scope of work, selection process, and negotiation of the services fee shall be managed by the designated project manager.

The General Manager must provide authorization before a consultant is hired and the PSA form must be fully executed.

I. Tier I Procedure

- A. If the General Manager has waived the RFP requirement, the Project Manager will solicit letter proposals, based on a general description of the service to be provided. If the service is very specialized and only one provider is qualified to perform it, or if the General Manager concurs that there are other reasons, then a single proposal may be requested.
- B. Tier I contracts will be awarded by the General Manager or, at the General Manager's discretion, brought before the Board of Commissioners for award. The contract will utilize the CMSA PSA. The PSA can either be for a single project or task order based as determined by the General Manager. If a task order based PSA is issued, subsequent work may be authorized using the PSA Task Order Exhibit.

II. Tier II Procedure

- A. An RFP, as described above, is required.
- B. This level of contract must be awarded by the Board of Commissioners using the PSA.

If a consultant's scope, schedule, and/or fee amount must be modified, the PSA Amendment form shall be executed to describe the necessary changes. The appropriate amendment form shall be selected based on the type of PSA.

POLICY/PROCEDURE#:	74
SECTION:	ADMINISTRATIVE – CONTRACT ADMINISTRATION
SUBJECT:	Public Project and Maintenance Work Contracting
DATE:	10/11/2016

PURPOSE

This policy/procedure shall be used by the Agency when hiring contractors or other service providers to perform construction and construction-related activities. The purpose of this policy/procedure is (1) to distinguish between what “Public Projects” and “maintenance work” is considered, (2) to ensure that the appropriate advertising, bidding, and award methods are used, and (3) to define the scope of work, project requirements, and rules and responsibilities that apply to Public Projects and maintenance work.

This policy/procedure conforms to the requirements of California’s Uniform Public Construction Cost Accounting Act (UPCCAA) regarding project delivery tiers, project estimating methods, establishment and maintenance of a list of qualified contractors, advertising requirements, awarding procedures, delivery methods of Public Projects and maintenance work projects, and detailed cost accounting where required. This policy/procedure will clarify the responsibilities of each party, improve transparency, legally protect the Agency, and provide access to the UPCCAA informal bidding process by implementing the required contractor listing, project estimating, contracting, and accounting processes to support the Agency’s construction projects while ensuring Agency compliance with UPCCAA guidelines.

BACKGROUND

The ordinance and financial policies/procedures listed below were adopted by the Board of Commissioners to establish the general guidelines for contracting by the Agency, and are supported by this policy/procedure and the other policies/procedures listed below:

- CMSA Board Ordinance No. 2013-03 – An Ordinance Relating To Bid Cost Thresholds and Bidding Procedures For Construction Services
- Financial Policy/Procedure #560 – Signature Authority
- Financial Policy/Procedure #561 – Contracting
- Administrative Policy/Procedure #73 – Professional Services Agreements
- Administrative Policy/Procedure #75 – Equipment Procurement
- Administrative Policy/Procedure #76 – Material Procurement

Note that these may be modified in the future.

This policy/procedure also includes the various documents referred to in the Administrative and Bidding Procedures sections. The following forms are listed in this policy and are located on the CMSA server (S:\Lib - Forms and Templates\ENGINEERING FORMS):

- Contractor's Pre-Qualification Application
- Maintenance Project Proposal Request
- Maintenance Contractor Service Agreement
- Formal & Informal Construction Contract Specifications*
- Newspaper Notice Inviting Bids
- Bid Addendum Form
- Bid Opening Form
- Notice of Award
- Notice to Proceed
- Construction Contract Change Order
- Notice of Completion

*These specifications include several documents that shall be prepared by and/or reviewed by the Engineering Department before being issued for bids.

DEFINITIONS AND APPLICABILITY

The UPCCAA applies to "Public Projects," which are defined as projects for construction, reconstruction, erection, alteration, renovation, improvement, demolition, painting or repainting on any publicly-owned, - leased, or -operated facility.

Examples of Public Projects would include, but are not limited to, the following:

- Remodeling the Agency buildings, treatment plant, or supporting structures that materially changes the use of the buildings, plant, or supporting structures.
- Constructing a new building, or addition to a building, the treatment plant, or a supporting structure.
- Adding new equipment, machinery, piping, a technology, or other works to install an entirely new treatment and/or operational process or system.
- Replacing existing machinery, piping, a technology, or other equipment (valves, pumps, motors, or piping) that will materially alter or improve the usability or operation of the plant or its supporting structures.

"Public Projects" do not include "maintenance work" which is defined as routine, recurring, and usual work for the preservation, protection, and keeping of buildings, treatment plant facilities, and their supporting structures for their intended purposes in a safe and continually usable condition for which they were designed, improved, constructed, altered, or repaired.

Examples of maintenance work would include, but are not limited to, the following:

- Minor repainting.
- Resurfacing of plant roads and/or parking lot at less than one inch.
- Landscape maintenance, including mowing, watering, trimming, pruning, planting, replacement of plants, and servicing of irrigation and sprinkler systems.
- Carpentry, electrical, plumbing, glazing, and other craftwork necessary to preserve the buildings, treatment plant facilities, and/or supporting structures in a safe, efficient, and continually usable condition for which the specific facility was intended, including repairs, cleaning, and other operations on machinery and other equipment permanently attached to the facility as fixtures.
- Work performed as needed to keep, operate, and maintain the treatment plant and its supporting structures (such as replacing existing equipment—valves, pumps, motors, sluice gates, tanks or existing piping—in kind) that do not materially alter or improve the usability or operation of the plant or its supporting structures.

The UPCCAA establishes three Public Project delivery tiers based on the project's estimated costs:

- Tier I – less than \$45,000
- Tier II – between \$45,000 and \$175,000
- Tier III – above \$175,000

The tier thresholds listed above will be revised after the California Uniform Construction Cost Accounting Commission (CUCCAC) approves threshold adjustments.

Although the UPCCAA's provisions are not required for maintenance work projects, PCC Section 22003 permits the same project delivery methods to be used for maintenance work or any other work which does not fall within the definition of "Public Project," so that the higher signature authority and informal bid procedures are available for those types of work, as well, where employing them will produce benefits to the Agency.

SCOPE

This policy/procedure and its supporting documents will be used to:

- Identify Public Projects, the appropriate tier, appropriate forms, and delivery method for each;

- Establish and maintain a list of qualified contractors by type of contractor's license/type of work;
- Advertise, bid, and award the appropriate tier level of contract for each Public Project;
- Administer those projects and contracts;
- Track associated costs as required by UPCCAA; and
- Provide for appropriate record retention of UPCCAA list of qualified contractors and individual projects, where such requirements are more stringent than the Agency's records retention policies.

ADMINISTRATIVE PROCEDURES

I. The UPCCAA Program Administrator will:

- A. Maintain program files and records;
- B. Prepare the annual notices inviting contractors to request inclusion on the list of qualified contractors;
- C. Confirm additions to the list of qualified contractors;
- D. Advise contractors of their removal from the list of qualified contractors; and
- E. Provide guidance or support, as appropriate, to the Capital Improvement Program Team for project identification, tier assignment, and cost estimating and tracking.

II. The Capital Improvement Program Team will:

- A. Identify, during its annual CIP Budget development, Public Projects or maintenance work that are candidates for delivery under one of the UPCCAA tiers;
- B. Identify which of those projects qualify as Public Projects;
- C. Identify the Project Manager (PM) for new projects;
- D. Provide guidance or assistance to the individual PMs in developing estimates as required by UPCCAA for public projects;
- E. Ensure that contracting, and equipment and materials procurements are aligned with Administrative Policies/Procedures #75 and #76, respectively; and
- F. Provide guidance or assistance to the PM in tracking Public Project costs.

III. The Engineering Department will:

- A. Assist in the development of, or develop cost estimates for, more complex Tier I and some Tier II projects;
- B. Coordinate the preparation of Tier II and Tier III cost estimates by design consultants where design consultants have been engaged for the work;
- C. Develop and administer advertising, bidding, and award recommendations for informally- and formally-bid contracts;
- D. Provide project management services or project management assistance for Public or maintenance work projects.

BIDDING PROCEDURES

I. Informal Bidders List Maintenance

- A. Annual List Invitation
 - 1. Early each November, the Program Administrator will advertise the Contractor's Pre-Qualification Application (Application) in the local newspaper of public record and send copies of the Application to the trade journals listed in Table 1, and to all contractors currently on the list of qualified contractors.
 - 2. Applications are to be due by December 20th each year.
- B. List Maintenance
 - 1. By January 1st each year, the list of qualified contractors will be updated by the Program Administrator.
 - 2. The informal bidders list will be published on the Agency's website and updated throughout the year.
- C. Interim Additions to the List
 - 1. Contractors may apply for inclusion on the list at any time during the year by submitting the Application.
 - 2. Once the Application is received and favorably reviewed by the Program Administrator, the Contractor will be added to the list.
- D. Removal From List
 - 1. A contractor may be removed from the list if, at any time during the year, it no longer has a valid California contractor's license or it requests to be removed from the list.

Table 1

Trade Journal & Contact	Address/Phone	Format
Construction Bidboard (eBidboard)* Attn: Matt planroom@ebidboard.com	11622 El Camino Real, Suite 100 San Diego, CA 92130 Ph: 800-479-5314, ext. 6813 Fax: 619-688-0585	PDF
McGraw-Hill Construction Dodge* dodge.bidding@mhfi.com FTP site: www.mghims.com User name: mghp Password: mghpmghp	3315 Central Avenue Hot Springs, AR 71913 Ph: 817-375-2959 Fax: 800-625-3488	PDF; upload to FTP site
North Coast Builders Exchange* Attn: planroom@ncbeonline.com	1030 Apollo Way Santa Rosa, CA 95407 Ph: 707-542-9502 Fax: 707-542-2027	PDF
Marin Builders Exchange* Attn: Kellie kellie@marinba.org	660 Las Gallinas Avenue San Rafael, CA 94903 Ph: 415-462-1220 Fax: 415-462-1225	Hard Copy
Solano-Napa Builders Exchange Attn: Bob planroom@snbe.com	135 Camino Dorado Napa, CA 94558-6213 Ph: 707-255-2515 Fax: 707-255-2749	Hard Copy
Sacramento Builders' Exchange Attn: Yelena yelenam@sacregionbx.com	1331 T Street Sacramento, CA 95811 Ph: 916-442-8991 Fax: 916-446-3117	PDF or Hard Copy
The San Francisco Builders Exchange Attn: Deanna djohnson@sbcglobal.net	850 South Van Ness Avenue San Francisco, CA 94110-1911 Ph: 415-282-8220 Fax: 415- 821-0363	PDF or Hard Copy
Builders Exchange of Alameda County Attn: Richard Owen richard@beac.com	3055 Alvarado St. San Leandro, CA 94577 Ph: 510-483-8880 Fax: 510-352-1509	PDF or Hard Copy
Bay Area Builders Exchange Attn: April Hamilton april@ccbx.com <i>Note: In the process of merging with Builders Exchange of Alameda</i>	2440 Stanwell Drive, Suite B Concord, CA 94520-4801 Ph: 925-685-8630 Fax: 925-685-3424	PDF

Trade Journal & Contact	Address/Phone	Format
Peninsula Builders Exchange Attn: Andrea andrea@constructionplans.org	735 Industrial Road, Suite 100 San Carlos, CA 94070 Ph: 650-591-4486 Fax: 650-591-8108	PDF or Hard Copy

* Trade journals required to be notified in accordance with UPCCAA Policies and Procedure Manual.

II. Project Delivery Planning

- A. During the annual CIP Budget development, the CIP Team will review recurring line item projects planned for initiation in the next fiscal year and budgeted for less than \$175,000, in order to classify them by nature of work (Public Project versus maintenance work).
- B. Although the UPCCAA project bidding and award tiers can be used for delivering any Agency project including maintenance work projects, it is in the Agency's interest to distinguish maintenance work projects because, while maintenance work projects can use the more streamlined UPCCAA bidding and award methods, they are not required to employ the much more detailed cost-tracking practices outlined in the Cost Tracking section.
- C. Once the planned projects (Public Project and maintenance work) are classified, they will be grouped by roughly estimated cost into UPCCAA Tiers I, II, or III. These rough estimates will be used to assign development of the more complete cost estimates described in the Cost Estimating section. Those completed cost estimates will be used for the final determination of bidding and award method.

III. Cost Estimating

- A. Each Public Project must have a cost estimate supporting the tier of UPCCAA award used:
 1. Tier I projects (less than \$45,000) can be estimated using Agency's CMMS system's time and material estimates, with the addition of the 30% overhead allowance described in the UPCCAA guidance.
 2. For Tier II projects (currently between \$45,000 and \$175,000), the PM should contact the Program Administrator for assistance developing the estimate.
 3. Tier III projects (currently above \$175,000) will always be formally bid, with cost estimates usually provided by design consultants and rigorous cost accounting measures used during construction.
- B. The Program Administrator will produce a Project Delivery Recommendation, as part of the annual CIP budget development process, listing the Public Projects

and Maintenance Projects by tier for the General Manager's review and, if needed, redirection. The General Manager may seek legal counsel's concurrence, if needed.

- C. Cost estimates and Project Delivery Recommendations will be retained according to the Record Retention section (Policy/Procedure #7), and files will be maintained by the Program Administrator or designee.

IV. Project Delivery

- A. Tier I projects (estimated to be less than \$45,000) may be self-performed by Agency staff, or performed by others under a Maintenance Contractor Service Agreement in accordance with Administrative Policies/Procedures #73, #75, and #76, or by some combination of methods. A Maintenance Project Proposal Request will be prepared and sent to multiple contractors unless only one contractor is qualified to perform the project.
- B. Tier II projects (estimated to be between \$45,000 and \$175,000) may be informally bid, using these steps:
 - 1) Notices inviting sealed informal bids must be sent to all contractors on the list of qualified contractors and to the trade journals specified by UPCCAA for Marin County and Table 1 of this policy. If there are no qualified contractors on the list for the type of work for the project, then the request need only be sent to the required trade journals. The notice inviting bids form is included in the Formal & Informal Construction Contract Specifications.
 - 2) There is no requirement to advertise the notices in a local newspaper. However, an advertisement may be placed in a newspaper using the Newspaper Notice Inviting Bids form, if deemed appropriate.
 - 3) Notices inviting informal bids must be distributed no less than ten (10) calendar days before the informal bids are due.
 - 4) The notice inviting informal bids shall describe the project in general terms, describe how to obtain more detailed information about the project, and state the time and place for the submission and opening of sealed bids.
 - 5) The level of detail for the project plans and specifications will depend on the size and complexity of the project. The Program Administrator will collaborate with the project's identified PM to establish the needed level of detail. The Engineering Department will develop or coordinate development of plans and specifications, either in-house or via outside consultants, as appropriate. During the bid period, the contract documents may be amended using the Bid Addendum form. If an

addendum is issued within 48 hours of the scheduled bid opening, the bid opening time must be changed to be at least 48 hours after the release of the addendum.

- 6) Contractors that are not on the list of qualified contractors may submit bids for Agency projects.
 - 7) Bids will be opened and recorded in the Bid Opening form.
 - 8) If the lowest responsive, responsible bid is less than the UPCCAA Tier II limit (currently one hundred and seventy-five thousand dollars (\$175,000)), a Notice of Award will be issued to the bidder. After the bidder submits the required documentation in the Notice of Award, the General Manager may execute the Contract Agreement and issue a Notice to Proceed that establishes the start date for the contract.
 - 9) If all bids received are in excess of one hundred and seventy-five thousand dollars (\$175,000), the UPCCAA states that the Board of Commissioners may, by adoption of a resolution with a four-fifths vote (five of six Commissioners), award the contract, at one hundred ninety-two thousand, five hundred dollars (\$192,500) or less, to the lowest responsive, responsible bidder, if it determines the cost estimate prepared by Agency staff was reasonable. After receiving the adopted Board resolution, a Notice of Award will be issued to the bidder. The General Manager may execute the Contract Agreement and issue the Notice to Proceed after the bidder submits their required documentation.
 - 10) A Construction Contract Change Order may be negotiated and executed during the construction period to modify the Contract Agreement as necessary to address changes to the contract scope, schedule, and/or fee.
 - 11) A Notice of Completion will be filed with the Marin County Recorder after the project punch list is accepted as complete.
- C. Tier III projects (estimated to be above \$175,000) shall be formally bid, using these steps:
- 1) Detailed plans and specifications, including all the required supporting documentation and contract provisions, must be prepared and formally adopted by the Board of Commissioners at a publicly-noticed meeting.
 - 2) After Board adoption of the project, the bid period must:
 - a. extend for at least thirty (30) calendar days beyond distribution of the Notice Inviting Bids,
 - b. be advertised in a local newspaper of public record at least

fourteen (14) calendar days before the date of bid opening using the Newspaper Notice Inviting Bids form, and

- c. sent to the trade journals specified by UPCCAA for Marin County and Table 1 of this policy at least fifteen (15) calendar days before the date of the bid opening.
- 3) During the bid period, the contract documents may be amended using the Bid Addendum form. If an addendum is issued within 48 hours of the scheduled bid opening, the bid opening time must be extended to be at least 48 hours after the release of the addendum.
- 4) Sealed formal bids will be opened, recorded in the Bid Opening Form, and analyzed. A formal award recommendation will be made to the Board at a publicly-noticed meeting.
- 5) If the Board accepts the award recommendation, a Notice of Award will be issued to the bidder. After the bidder submits the required documentation in the Notice of Award, the General Manager may execute the Contract Agreement and issue a Notice to Proceed that establishes the start date for the contract.
- 6) A Construction Contract Change Order may be negotiated and executed during the construction period to modify the Contract Agreement as necessary to address changes to the contract scope, schedule, and/or fee.
- 7) A Notice of Completion will be filed with the Marin County Recorder after the project punch list is accepted as complete by the construction manager.

V. Cost Tracking

- A. Detailed cost tracking is only required for Public Projects as defined above. Maintenance work or other work that utilize the UPCCAA tiers and bidding methods need not maintain this added level of tracking. The Agency's CMMS system can be used to track project costs, and to produce the final cost report. The final cost report will be maintained by the Program Administrator, and copies supplied to the CIP Team and the Finance Department for their reference.
- B. Tier I Public Construction Projects can use the Agency's CMMS system to track the following costs:
 - 1) Direct material and equipment costs, including tax.
 - 2) Direct CMSA labor costs, including burden.
 - 3) Additional services performed under service agreement or purchase order.

- 4) 30% administrative overhead applied to all direct costs (direct material and equipment, outside services, and burdened CMSA labor costs), as stipulated in the current UPCCAA guidance document (for local agencies serving populations greater than 75,000).
- C. Tier II Public Project contracts need to track the total construction, construction management, and additional support costs of the informally bid contract, together with the items listed in item B, above (including overhead). Informally-bid project costs may be tracked using the Agency's CMMS system or another construction management financial system.
- D. Although Tier III contracts do not fall under the UPCCAA cost-tracking requirements, any contract costs or additional Agency-incurred costs should be tracked and reported to the Program Administrator, who will provide copies to the Finance Department, the General Manager, and the CIP Team.

VI. Record Retention

- A. All records relating to the current year's list will be retained in the Engineering Office, including copies of all correspondence to or from contractors on, applying to, or disqualified from, the list of qualified contractors, and any documentation supporting removal of any contractor from the list.
- B. Prior years' list maintenance records will be retained in the Engineering Department's section of the Records Long Term Storage Room for an additional four years, or for a total of five years. After the fifth year, the records will be shredded, either onsite or at a secure shredding facility, depending on volume.
- C. Any electronic copies of these records will be retained for a minimum of five years, and after five years the records may be purged from the Agency's network.
- D. Cost estimates for maintenance or Public Projects that were completed during the year will be kept at the Engineering Office together with, and for the same length of time as, the overall project records.
- E. Original wet-signed contracts and change orders are to be filed in the Administration Department files.
- F. Cost estimates for projects that were not initiated need not be retained.

POLICY/PROCEDURE #:	75
SECTION:	ADMINISTRATIVE – CONTRACT ADMINISTRATION
SUBJECT:	Equipment Procurement
DATE:	10/11/2016

PURPOSE

This policy/procedure shall be used by the Agency when procuring equipment, either to replace existing equipment in kind, to modify existing equipment, or to purchase new equipment that is different than, or an upgrade from, the equipment it is replacing. The purpose is to ensure that the procurement procedures, and the rules and expectations for following them are clearly defined and understood. This will legally protect the Agency and provide the necessary procedural structure and transparency when the Agency procures equipment.

BACKGROUND

The financial policies listed below have been adopted by the Board of Commissioners to establish the general procurement guidelines for the Agency, and are supported by this policy/procedure and the administrative policy/procedures listed below.

- Financial Policy/Procedure #560 – Signature Authority
- Financial Policy/Procedure #561 – Contracting
- Administrative Policy/Procedure #3 – Management Signature Authority
- Administrative Policy/Procedure #73 – Professional Services Agreements
- Administrative Policy/Procedure #74 – Public Project and Maintenance Work Contracting
- Administrative Policy/Procedure # 76 – Material Procurement

Note that these may be modified in the future.

The two procurement tiers outlined here align with authority limits as referenced in Financial Policy/Procedure #560, and with the tiers outlined in Administrative Policies/Procedures #73, #74 and #76.

- Tier I – currently up to \$45,000 – aligns with the General Manager’s signature authority. Equipment up to this limit may be purchased under the General Manager’s signature authority or as delegated in Financial Policy/Procedure #561 using purchase orders or CMSA professional services agreements, as appropriate.
- Tier II – currently above \$45,000 – shall be awarded by the Board of Commissioners using a purchase order, or a CMSA professional services agreement, together with an appropriately detailed equipment description.

APPLICABILITY

- This procedure applies both to equipment purchases for routine maintenance, repair or replacement, and to equipment prepurchased for construction or other capital improvement projects. Prepurchasing equipment should be considered when it will not change the UPCCAA tier status of a Public Project as described in Policy/Procedure #74, will provide savings to the Agency, and will not complicate the equipment's installation, startup, or warranty.
- For the purposes of this policy/procedure, the equipment procurement document may include incidental vendor services, such as startup or testing assistance, as long as the total cost of such incidental services is less than 25% of the overall equipment cost. When the cost of supporting services is greater than 25% of the overall equipment cost, then the procurement and work should be performed under a Professional Services Agreement pursuant to the provisions of Policy/Procedure #73.
- When equipment is being prepurchased as part of a larger maintenance or Public Project, then that larger project contract will be developed subject to the provisions of Policy/Procedure #74, using an informally bid contract, or a formally bid contract, as appropriate. The project delivery method is determined by estimated total project cost, including prepurchased equipment.
- Consistent with the provisions of the UPCCAA, multiple identical items of equipment intended for installation during the same mobilization, or different equipment for the same task to be procured from a single vendor, should be grouped into one procurement process, and should not be arbitrarily broken up so as to keep individual pieces within the General Manager's signature authority, or the delegated signature authorities contained in Financial Policies/Procedures #560 and #561 and Administrative Policy/Procedure #3.

FORMS – PURCHASE ORDERS AND PROFESSIONAL SERVICES AGREEMENTS

I. Purchase Orders

Purchase orders are subject to the originator's delegated signature authority. Purchase order forms can be generated in the NexGen system or using the Agency's MS Excel Purchase Order Form (S:\Lib - Forms and Templates\STAFF FORMS).

- A. The NexGen method should be used whenever purchasing a trackable asset, as this will automatically enter the asset into the Agency's equipment inventory and Asset Management systems.
- B. Manufacturer or vendor supporting services for the equipment installation may be included on the purchase order as a separate line item, if they are estimated to be less than 25% of the equipment cost. *NOTE: sales tax does not apply to costs of service.*

- C. All purchase orders are subject to the procurement, signature authority, and disbursement requirements in Financial Policies/Procedures #560 and #561 and Administrative Policy/Procedure #3.

II. Professional Services Agreements

At the General Manager's discretion, legal counsel may need to review a professional services agreement before it is executed. An Agreement should be used if the vendor's or manufacturer's services will constitute more than 25% of the total equipment cost.

PROCEDURES

- I. Procurement will be by purchase order or a Professional Services Agreement.
- II. Procurements estimated to cost up to the General Manager's signature authority may be executed by the General Manager or designee, or, at the General Manager's discretion, brought before the Board of Commissioners for approval. Procurements above the General Manager's signature authority must be approved by the Board of Commissioners.
- III. More than one quote should be obtained whenever practicable. One quote is permissible if:
 - A. the equipment is specialized such that only one vendor is available,
 - B. the equipment must match other existing equipment for parts interchangeability, or
 - C. a field test or experiment will be made with the equipment to determine its suitability for future use.
- IV. For equipment procurement that is expected to exceed the General Manager's signature authority, a Request for Quote (RFQ) (S:\Lib - Forms and Templates\ENGINEERING FORMS) should be developed, unless waived by the General Manager.
 - A. RFQs should include equipment specifications, scope of any additional services requested, submittal requirements (cut sheets, itemized parts lists, description of support services offered, etc.), submittal deadline date and time, a general timeline for the projected procurement and installation, and other pertinent information.
 - B. If the procurement is to utilize a professional agreement form, then a specimen Agreement form will be attached to the RFQ.
- V. The development of the RFQ documents, scope of work, selection process, and negotiation of the services fee shall be managed by the Project Manager or designee. Generally, RFQ documents should be reviewed by the Engineering Department before being issued to vendors.
- VI. If the General Manager has waived the RFQ requirement, the Project Manager will solicit several quotes, based on either actual equipment specifications or on a general description of the equipment to be provided.

- A. If the equipment is very specialized and only one provider is qualified to supply it, or if it must match existing equipment, or the General Manager concurs that there are other reasons, then a single quote may be adequate.
 - B. The Project Manager or designee shall prepare and attach documentation to the purchase order supporting the sole-source justification.
- VII. Before an equipment procurement commitment is made, the Purchase Order or Professional Services Agreement must be completed.
 - A. Purchase orders must be signed and authorized consistent with Administrative Policy/Procedure #3.
 - B. Professional Services Agreements need to be signed by the vendor and countersigned by the General Manager.
 - C. The Project Manager or designee shall attach all quotes received for the equipment to the purchase order to document that selection process.

PROCEDURE #:	76
SECTION:	ADMINISTRATIVE – CONTRACT ADMINISTRATION
SUBJECT:	Material Procurement
DATE:	10/11/2016

PURPOSE

This procedure shall be used by the Agency when procuring materials or supplies, either to replace depleted stocks of materials or supplies, or for maintenance or public projects pursuant to the requirements of the Uniform Public Construction Cost Accounting Act (UPCCAA). The purpose is to ensure that the procurement procedures, and the rules and expectations for following them are clearly defined and understood. This will legally protect the Agency and provide the necessary procedural structure and transparency when the Agency procures materials and supplies.

BACKGROUND

The financial policies listed below have been adopted by the Board of Commissioners to establish the general procurement guidelines for the Agency, and are supported by this policy/procedure and the other administrative policy/procedures listed below.

- Financial Policy/Procedure #560 – Signature Authority
- Financial Policy/Procedure #561 –Contracting
- Administrative Policy/Procedure #3 – Management Signature Authority
- Administrative Policy/Procedure #73 – Professional Services Agreements
- Administrative Policy/Procedure #74 – Public Project and Maintenance Work Contracting
- Administrative Policy/Procedure #75 – Equipment Procurement

Note that these may be modified in the future.

The two procurement tiers outlined here align authority limits as referenced in Financial Policy/Procedure #560, and with the tiers outlined in Administrative Policies/Procedures #73, #74 and #76.

- Tier I – currently up to \$45,000 – aligns with the General Manager’s signature authority. Material up to this limit may be purchased under the General Manager’s signature authority or as delegated in Financial Policy 561, using purchase orders.
- Tier II – currently above \$45,000 – shall be awarded by the Board of Commissioners using a purchase order, together with an appropriately detailed material description.

APPLICABILITY

- This Procedure applies both to material purchases for routine maintenance, repair or replacement, and to material prepurchased for construction or other capital improvement projects. Prepurchasing material should be considered when it will not change the UPCCAA tier status of a Public Project as described in Policy/Procedure #74, or will provide savings to the Agency.
- When material is being prepurchased as part of a larger construction or Public Project, then that larger project contract will be developed subject to the provisions of Policy/Procedure #74, Public Project and Maintenance Work Contracting, using an informally-bid contract, or a formally-bid contract, as appropriate. The project delivery method is determined by estimated total project cost, including prepurchased materials.
- Consistent with the provisions of the UPCCAA, material to be procured from a single vendor should be grouped into one procurement process, and should not be arbitrarily broken up so as to keep individual material orders within the General Manager's signature authority, or the delegated signature authorities contained in Financial Policies/Procedures #560 and #561 and Administrative Policy/Procedure #3.

FORMS – PURCHASE ORDERS

I. Purchase Orders

Purchase orders are subject to the originator's delegated signature authority. Purchase order forms can be generated in the NexGen system or using the Agency's MS Excel Purchase Order Form (S:\Lib - Forms and Templates\STAFF FORMS).

- A. The NexGen method should be used whenever purchasing a trackable asset, as this will automatically enter the asset into the Agency's equipment inventory and Asset Management system.
- B. All purchase orders are subject to the procurement, signature authority, and disbursement requirements of Financial Policies/Procedures #560 and #561 and Administrative Policy/Procedure #3.

PROCEDURES

- I. Procurement will be by purchase order.
- II. Procurements estimated to cost up to the General Manager's signature authority may be executed by the General Manager or designee, or, at the General Manager's discretion, brought before the Board of Commissioners for approval. Procurements above the General Manager's signature authority must be approved by the Board of Commissioners.

- III. More than one quote should be obtained whenever practicable. One quote may suffice if the material is specialized such that only one vendor is available or suitable, or if the General Manager or designee determines that a single quote is acceptable.
- IV. For material procurement that is expected to exceed the General Manager's signature authority, a Request for Quote (RFQ) (S:\Lib - Forms and Templates\ENGINEERING FORMS) should be developed, unless waived by the General Manager or designee.
 - A. RFQs should include material specifications, scope of any additional services requested, submittal requirements, submittal deadline date and time, a general timeline for the projected procurement and installation, and other pertinent information.
- V. The development of the RFQ documents shall be managed by the Project Manager or designee. Generally, RFQ documents should be reviewed by the Engineering Department before being issued to vendors.
- VI. If the General Manager has waived the RFQ requirement, the Project Manager will solicit several quotes, based on either actual material specifications, or a general description of the material to be provided.
 - A. If the material is very specialized and there is only one provider, then a single quote may be requested.
 - B. The Project Manager or designee shall prepare and attach documentation to the purchase order supporting the sole-source justification.
- VII. Before a procurement commitment is made, the purchase order must be completed.
 - A. Purchase Orders must be signed and authorized consistent with Administrative Policy/Procedure #3.
 - B. The Project Manager or designee shall attach all quotes received for the equipment to the purchase order to document that selection process.

POLICY/PROCEDURE #:	91
SECTION:	ADMINISTRATIVE – SAFETY AND SECURITY
SUBJECT:	Facility Security
DATE:	06/10/2014

PURPOSE

To minimize risk to the security of CMSA’s assets, facilities, and people, and minimize liability and risk associated with unauthorized individuals utilizing CMSA property for any use.

PROCEDURE

This procedure shall be revisited annually by the Security Team and modifications recommended to the Executive Team as needed.

I. Agency Property Security

- A. Perimeter inspections of Agency property will be conducted once daily by a maintenance staff worker. The inspector shall look for any perimeter fence or gate damage, ensure all walk gates are locked, and report any signs of intrusion or threats to perimeter security to the security team leader. Needed repairs will be performed on a high-priority basis.
- B. All walk gates in CMSA’s perimeter fence shall remain locked with a “G” lock at all times. The Administration Building’s main entrance door will be locked outside of normal business hours. Each department is responsible for ensuring security of its work areas.
- C. Only CMSA staff and CMSA-authorized contractor personnel shall possess and use electronic gate openers (key cards). Key cards shall be issued by the Administrative Assistant or other authorized representative, and shall be tracked by the Information Systems Analyst (ISA). The CMSA project manager shall request temporary issuance of key cards to contractor personnel as required for individual projects. Key cards temporarily issued to contractor personnel shall be returned promptly upon completion of the contractor’s work, and shall be surrendered immediately upon demand by the CMSA project manager, General Manager (GM), or GM designee.
- D. The main vehicle entrance and facility access vehicle gates shall be kept closed during non-business hours, and may be kept closed during business hours if the General Manager, or designee, determines it is warranted by security alerts or other conditions. The operator(s) on duty shall promptly open them manually, if required, after determining that the person(s) requesting entry is authorized to enter.

II. Entry/Access Control

- A. Signs shall give clear direction to all persons entering CMSA's property. "No Trespassing" signs referencing California Penal Code 555 shall be installed on perimeter fences and gates.
- B. All visitors, vendors, tour groups, and service providers shall check in at the Administration Building before entering the facility. The visitor sign-in sheet shall indicate name, date, time in, reason for visit, and the CMSA contact. Tour groups may sign in as a group; group sign-ins shall include the number of attendees entering. Completed sign-in sheets will be maintained in the Administration files, in chronological order, for 3 years.
- C. All deliveries will be coordinated with CMSA personnel and will be made during normal business hours. CMSA personnel will initiate all delivery requests, and the vendor shall provide delivery confirmation and the approximate delivery date and time. Delivery personnel shall stop and sign in at the Administration Building before they are granted access through the facility vehicle access gate. They will wait to be met and accompanied by CMSA personnel, who will provide them access to the appropriate storage facility. If a delivery is anticipated outside normal business hours, the delivery personnel shall contact CMSA operations staff by telephone (415-459-1455 x2) at least an hour before delivery, and confirm delivery time about 10 minutes before arrival.
- D. Business hours shall be clearly posted at the Administration Building entrance, main vehicle entrance gate and facility vehicle access gate.
- E. Non-electronic key control is the responsibility of the Administrative Assistant or other assigned representative. A log will be kept of keys issued to CMSA staff. Re-keying shall be done periodically. The key system may be replaced or supplemented by a card, code, or other control method.
- F. There are two remote controls to open the facility access gate, the main door into the Administration Building, and the two doors off the Administration Building foyer.
 - 1) The remote controls are kept at Administrative Assistant and Accounting Technician desks in a relatively secure location.
 - 2) If a remote control is lost or stolen, the Agency Security Officer will be informed immediately and will arrange for E & I staff to replace the remote and modify the door opening codes.
 - 3) Access shall only be granted through the doors after the visitor requesting entry has identified themselves, properly signed in at the front counter, and the CMSA staff the visitor wishes to meet has been informed. Generally, CMSA staff shall escort the visitor into the facility. If the visitor is permitted to proceed unescorted, the appropriate gate or

door will be opened for them with the remote control.

- 4) For visitors driving inside the facility, the video camera should be monitored and the yard gates opened only when they are visible onscreen, waiting at the gates.
- G. Temporary gate access cards shall be programmed to permit access only through the facility access gate during normal business hours. They will not operate the front gates, the walk gate next to the Administration Building or any secured doors in the CMSA facility.
- 1) The CMSA Project Manager will request temporary cards from the ISA on a per project basis. The Project Manager's request will include the number of cards, name of the person(s) the cards will be issued to, the contractor's contact information, and the scheduled completion date for the project.
 - 2) The Project Manager will inform the contractor that the temporary cards are the property of CMSA and need to be returned at the completion of the project.
 - 3) The contractor shall immediately inform the Project Manager if a temporary card is lost or stolen. The Project Manager will then inform the ISA to deactivate the card.
 - 4) Temporary cards must be surrendered immediately upon demand by the GM or designee. Card revocation shall be based on safety, legal concerns, violation of CMSA policies and procedures, or other considerations.
 - 5) No person who has had a temporary card revoked and/or has been ejected from CMSA property will be reissued a card and allowed back on CMSA premises without the General Manager's express approval, including any conditions the General Manager determines are prudent or necessary.

III. Vehicle and Materials Delivery Management

- A. Employees of CMSA and Agency visitors shall use the appropriate designated parking areas. Contractors working at CMSA will use the staging and parking areas designated in the project's contract documents.
- B. To ensure separation between CMSA and contractor possessions, CMSA portable tools and equipment shall not be left at contractor work sites or staging areas.
- C. All Agency vehicles and vehicle storage bins shall be kept locked when vehicles are off site.
- D. Delivery of bulk chemicals shall be done in accordance with CMSA's Standard Operating Procedures (SOPs) and chemical delivery contract requirements.

These SOPs address safe handling, traffic control, and verification of the correct chemical being delivered. Electronic versions of the SOPs are available on the shared (H:\Operations\Standard Operating Procedures) drive of the CMSA internal network.

- E. Private recreational vehicles may dispose of waste during regular business hours only. Owners are required to sign in and discharge waste according to CMSA's Administrative Policy/Procedure, Acceptance of Hauled Waste.

IV. Agency Staff Responsibilities

- A. The Security Team Leader is designated as the Agency Security Officer and shall ensure:
 - 1) Coordination of security recommendations and improvements;
 - 2) Periodic Security Policy review and update;
 - 3) Adherence to Security Policy procedures;
 - 4) Provision of security training to staff.
- B. Security threats shall be dealt with in accordance with the Agency's Emergency Response Plan which is located in H:\SAFETY CMSA.
- C. Violence in the workplace is not permitted, and is addressed in CMSA's Personnel Policy, Safety in the Workplace.
- D. Possession or use of explosives, firearms, or other dangerous or unauthorized materials, while on duty, while on Agency property, or while operating a vehicle leased or owned by the Agency is not permitted, and is addressed in CMSA's Personnel Policy, Progressive Discipline.
- E. The lone night shift operator shall carry a radio that can access emergency assistance.

Because emergency calls from cell phones are routed differently than those from land lines, emergency calls from cell phones in San Rafael should call (415) 453-2424, the local police emergency dispatch center. This number should be programmed into the user's cell phone. Emergency calls from land line telephones should be made to 911 (9-911 from treatment plant telephones).

Refer to Emergency Operating Procedure for Using the Solo Operator Safety System for further details, located at H:\Operations\Standard Operating Procedures\EOP01-01.docx–*Using the Solo Operator Safety System*.

V. Emergency Response

- A. The GM or his/her designee shall be the point of contact for the media.
- B. The CMSA Emergency Response Plan, the Wastewater Aid Response Network (WWARN), and California Utilities Emergency Association (CUEA) address contingencies with our member Agencies and other treatment facilities in the Bay Area should wastewater services become disrupted in a disaster.
- C. CMSA also maintains a mutual aid agreement with several Marin County wastewater agencies.

VI. Homeland Security Advisory System

The US Department of Homeland Security has developed a system to advise the public of the progressive threat levels from terrorist attack, as described below. The two highest threat levels will require CMSA to implement increased security measures. The Security Officer will monitor the Homeland Security web site for changes in Threat Conditions, and anyone hearing of a threat condition change should inform their supervisor, so that CMSA may consider its response, if appropriate.

- A. Low Condition (Green, level 1): declared when there is low risk of terrorist attacks.
- B. Guarded Condition (Blue, level 2): declared when there is a general risk of terrorist attacks.
- C. Elevated Condition (Yellow, level 3): declared when there is a significant risk of terrorist attacks.
 - 1) CMSA's SCADA computer room shall remain locked during non-business hours when not occupied by an operator.
- D. High Condition (Orange, level 4): declared when there is a high risk of terrorist attacks.
 - 1) CMSA's SCADA computer room shall remain locked during non-business hours when not occupied by an operator.
- E. Severe Condition (Red, level 5): reflects a severe risk of terrorist attacks.
 - 1) Along with the Condition 4 requirement of locking the SCADA room, the following precautions will also be taken:
 - a. All Administration Building outside doors shall remain locked at all times, except the front Administration door, which will remain open during business hours.
 - b. All visitors and delivery drivers shall show photo identification before being allowed access to the plant.

- c. All key cards temporarily issued to contractors doing work at the Agency shall be disabled for the duration of the Severe Condition. Contractor staff will be escorted to their job site by CMSA staff, and the work site will be checked periodically throughout the workday. The Contractor shall maintain an active log of personnel arriving and leaving the project site.

VII. Homeless Encampments

A. General

Any Agency personnel observing evidence of a homeless encampment on Agency property shall immediately leave the area and follow the notification procedures below. Upon notification, the Security Officer or designee will contact the San Rafael Police Department to initiate proper notification, cleanup and other elements of this Procedure. Under no circumstances shall Agency personnel inspect a suspected homeless encampment or contact persons associated with them without a San Rafael police officer present. Once the Police Department has verified that the encampment is empty and posted the appropriate notification, the Security Officer or designee shall coordinate the cleanup.

Examples of unauthorized activities on CMSA property include camping, storage of property or materials including contraband, illegally parking vehicles on CMSA property, storing or disposing of refuse, littering, and similar activities.

B. Notification

CMSA staff observing suspicious activity or evidence of an encampment on CMSA property shall promptly leave the area without contacting any persons, and shall notify the Agency Security Officer or designee. If the Agency Security Officer or designee is unavailable, they shall notify their supervisor.

The Security Officer or designee will promptly notify the San the San Rafael Police Department (415-485-3000) to schedule an inspection of the area by the San Rafael Police Department's Ranger, and to agree upon a deadline by which any encampment must be vacated. The SRPD Ranger will complete an inspection, notify any unauthorized persons that they must vacate the property by the previously agreed-upon deadline, and post any required notice(s). A cleanup of the area will be completed after verification by SRPD that the encampment is vacant.

C. Clean Up

1) Cleanup Schedule

Once the site has been determined to be vacated, the Agency Security Officer or designee will schedule the cleanup with the SRPD Ranger or their supervisor. The Security Officer or designee will work with the Ranger to estimate the equipment, personnel, and total resources needed to adequately complete the cleanup. The cleanup will be overseen and monitored by the Ranger, who should remain onsite during the entire cleanup. The Agency Security Officer or designee will approve the cleanup with the officer present. Assigned CMSA staff will periodically observe and manage the cleanup contractor for contractual purposes.

2) Cleanup Contractor

The cleanup will be carried out by a qualified contractor who can coordinate debris disposal with Marin Sanitary Service.

3) Contraband/Hazardous Materials

Should any contraband (illegal drugs or paraphernalia, weapons, explosives, etc.) or hazardous materials be discovered during cleanup, the crew will leave the material untouched and cease cleanup in the immediate vicinity, and proceed with the rest of the cleanup if it is safe to do so. The SRPD Ranger will confiscate the material, but if in their opinion it presents a clear and present danger, evacuate the area until appropriate disposal personnel can come onsite and clear the material. If the SRPD is not on site, the crew leader will notify the SRPD and the Security Officer or designee immediately, informing them of the nature of the material discovered, and determining whether or not to proceed with the cleanup.

4) Post Cleanup

Once the cleanup is completed, the Security Officer or designee and the SRPD Ranger will inspect the site and verify that the cleanup has been completed and is satisfactory. The Security Office or designee will then update the incident memo and other records in the incident subdirectory located at H:\Eng\Security\Homeless Encampment Records with cleanup information, including date(s), personnel and equipment used, total costs, and any comments about the cleanup process. The Security Officer or designee will also schedule follow-up visits with the SRPD Ranger to verify that the encampment is not being re-established.

POLICY/PROCEDURE #:	94
SECTION:	ADMINISTRATIVE – SAFETY AND SECURITY
SUBJECT:	Health and Safety Policy
DATE:	12/17/2013 <i>(Board approved)</i>

PURPOSE

Central Marin Sanitation Agency (CMSA) believes that its employees are its most valuable asset. As such, ensuring a safe workplace, free from incidents, is a primary objective at every level of our organization. In support of this objective, to define the details and provide guidance for implementation, the Agency has established a written Health and Safety Program.

Our success has always been dependent on individuals working together; our Health and Safety Program is no exception. Every individual within the organization has a role in ensuring the success of this Program.

To provide guidance for the integration of the health and safety into daily operations, CMSA is committed to the following basic principles:

- Workplace incidents, injuries and illnesses are preventable.
- No employee is required to work in an area believed to be unsafe.
- Employees are encouraged to discuss safety issues, and bring to management's immediate attention any unsafe condition or hazard within the workplace without concern about retaliation or harassment.
- Every employee has the responsibility to work safely. Employees are expected to participate in incident prevention activities, to work in a safe manner, and to accept and follow established safety programs, policies, and work procedures.
- All supervisors and managers are responsible and accountable for the overall administration and effectiveness of the Health and Safety Program within their designated areas of responsibility. The safety of each employee is considered an integral part of his or her regular management function.
- All operations will be conducted in accordance with applicable federal, state, and local laws, regulations, and standards. CMSA has prepared several safety related documents including an Injury and Illness Prevention Program (IIPP) that can be accessed on the CMSA server at the following location: **H:\SAFETY CMSA\CMSA HS Program.**

POLICY/PROCEDURE #:	95
SECTION:	ADMINISTRATIVE – SAFETY AND SECURITY
SUBJECT:	Safety Incentive Program
DATE:	07/22/2015 <i>(Board approved)</i> ; minor revision 05/06/2016

PURPOSE

The Central Marin Sanitation Agency Safety Incentive Program is intended to enhance the overall Safety Program by encouraging employee's active participation. The Incentive Program strives to achieve this by acknowledging employee contributions in several of the key aspects of a sound safety culture such as hazard identification, communication, and training.

GOALS

- Prompt identification and correction of safety hazards;
- Full participation in safety training;
- Consistent demonstration of safe work practices, and
- Zero injuries.

AWARD CRITERIA

The Safety Incentive Program will recognize employee safety program contributions towards the stated goals by awarding points for participation in specific safety activities as identified in the Safety Award Criteria (Table 2) below. The point criteria will be reviewed and revised as appropriate every award cycle to ensure continued emphasis on the appropriate components of the Safety Program.

PROCEDURE

- I. The Safety Incentive Program functions on a 12-month (July 1 thru June 30) basis with awards provided to employees at the end of that period.
- II. Points are earned and accumulated on an individual basis and expire at the end of the period.
- III. All employees (except temporary and contract) are eligible to earn points toward awards providing they lead at least one qualifying departmental tailgate during the period.
- IV. Eligible employees will have the opportunity to earn monetary rewards for participation as shown in Table #1 below:

Table #1 - Award Levels

Award Level	Total Points	Total Cash Award
Tier 1	200	\$ 50
Tier 2	300	\$150
Tier 3	400	\$300
Tier 4	500	\$450

V. Points will be awarded in the following four categories:

A. Safety Hazard Alert or Near Miss

A valid hazard alert or near miss is a situation that poses a probable unacceptable risk of substantial employee injury for which we may control outcomes. It must be associated with hazards not previously identified or currently being addressed. Additionally, the identified hazard or near miss must not be associated with an employee violation of a policy or procedure.

- 1) A Safety Hazard Alert or Near Miss is to be submitted by the employee to the Safety Director using the Injury and Illness Prevention Program (IIPP) Health and Safety Communication Form, found on the shared drive.
- 2) The Safety Director then evaluates, logs, scans, and forwards the Health and Safety form to the Safety Coordinator for action or further evaluation. The Safety Director retains the authority to act immediately on any severe hazards identified.
- 3) A copy of the form, with the evaluation, recommended action, and the status indicated (accepted or denied) is then forwarded to the appropriate party for completion.
- 4) When an action item is completed or a work order has been written for completion, it shall be so designated on the form and the form forwarded back to the Safety Director for final scanning and filing as per the IIPP, with a copy returned to the submitting employee.
- 5) Employees have the option to appeal the “accept/deny” decision to the General Manager.

B. Safety Suggestion or Solution

A valid safety suggestion or solution is a feasible change which represents a substantial improvement to a genuine risk or problem whether actually implemented or not. It must be a solution or suggestion not previously identified. A qualified Safety Hazard Alert or Near Miss that also identifies a feasible solution receives points for both.

- 1) A Safety Suggestion or Solution is to be submitted by the employee to the Safety Director using the IIPP Health and Safety Communication form, found on the shared drive.
- 2) The Safety Director then evaluates, logs, scans and forwards the completed form to the Safety Coordinator for action or further evaluation and tracking through completion (if applicable).
- 3) A copy of the form, with the evaluation, recommended action and the status indicated (accepted or denied) is then forwarded to the appropriate party for completion.
- 4) When an action item is completed or a work order has been written for completion, it shall be so designated on the form and the form forwarded back to the Safety Director for final scanning and filing as per the IIPP, with a copy returned to the submitting employee.
- 5) Employees have the option to appeal the “accept/deny” decision to the General Manager.

C. Leading Tailgates

Leading a tailgate session encourages employees to actively participate in preparing and conducting qualified departmental tailgates. They are conducted and documented at the department level.

- 1) To qualify, a tailgate session must be safety-related and provide training, training reminders, discuss a hazard, or review a safety procedure.
- 2) The material presented must be accurately conveyed and involve active discussion or a presentation.
- 3) Tailgate sessions must be properly documented by the department including attendance and the details of the information presented using the IIPP Health and Safety Meeting form, found on the shared drive.
- 4) The Tailgate Leader completes the IIPP Health and Safety Meeting form, and the attending manager signs the form certifying the information and attendance as being correct.
- 5) The completed Health and Safety Meeting form is then submitted to the Safety Director for logging, scanning, and filing.

D. Outside Safety Training Participation

Outside Safety Training Participation involves successful completion of seminars or webinars, or conference attendance provided by outside training organizations such as CWEA or CSRMA. These trainings are above and beyond those required or organized for the general employee population.

- 1) To qualify for incentive award points, the activity must be safety-related and pre-approved by the Safety Director as a qualifying safety training activity. The employee request shall include an agenda, program, or outline of the event.
- 2) If there is a cost involved, the employee seeking outside training must complete the appropriate paperwork and obtain the department manager's authorization.
- 3) Upon successful completion of the outside training event, the employee submits the certificate, receipt, or evidence of successful completion to the Safety Director for logging, scanning, and filing.
- 4) For webinars where multiple employees may participate simultaneously, such as in the conference room, an attendance sheet (certified by a manager) and certificate, receipt, or evidence of completion shall be acceptable.

VI. Specific activities and their point values are identified on Table #2 below:

Table #2 Safety Award Criteria

Action / Activity	Points Awarded	Maximum Available Points	Validated or Certified by	Tracked by
Valid Safety Hazard Alert or Near-Miss*	50/Each	300	Safety Director	Safety Director
Valid Safety Suggestion or Solution**	50/Each	300	Safety Director	Safety Committee
Lead Qualifying Safety Tailgate	50/Each	200	Dept Manager	Safety Director
Attend Outside Safety Training/Safety Webinar	50/Each	200	Safety Director	Safety Director

* "Valid hazard or near miss" is a situation that poses a probable unacceptable risk of substantial employee injury for which we may control outcomes.

** "Valid suggestion or solution" is a feasible change which represents a substantial improvement to a genuine risk or problem whether implemented or not; it may or may not be associated with a Hazard Alert.

1. Points are earned on an individual basis.
2. Points are accumulated for the designated award period and reset to zero at the end of the period.
3. To be eligible for ANY award during the award period, employees must lead at least one qualifying departmental safety tailgate.

VII. Award Tabulation

- A. The employee is responsible for submitting the appropriate completed documentation to the Safety Director for logging within 10 working days of completion of an Action/Activity to be considered for point awards.
- B. Within 30 days of the end of the award period, the Safety Director shall ensure all Action/Activity point tallies are submitted to the Administrative Assistant for final tabulation and submittal to the General Manager for approval/distribution of awards.

PROCEDURE #:	96
SECTION:	ADMINISTRATIVE – SECURITY PROCEDURES
SUBJECT:	Information Technology Security
DATE:	05/23/2014

PURPOSE

To minimize risk to the security of CMSA's information technologies and to minimize liability and risk associated with unauthorized individuals accessing CMSA information for any use.

PROCEDURES

This procedure shall be revisited annually by the Security Team and modifications recommended to the Executive Team as needed. The General Manager has authority to make minor changes to this policy and its procedures.

I. Information Technology

- A. CMSA's Information Systems Analyst (ISA) will keep current with and implement measures to control unauthorized access to the Agency's computer/SCADA systems including, but not limited to:
 - 1) Maintaining and upgrading firewalls as necessary to prevent unauthorized internet access to CMSA's information systems.
 - 2) Installing and maintaining current versions of professional-grade antivirus software on all Agency desktop, network, and shared computers and tablets.
 - 3) Training staff in procedures to follow when antivirus software detects a virus.
 - 4) Conducting periodic vulnerability evaluations. The ISA will determine the need for an outside professional to perform or assist in the evaluation.
- B. Passwords and access controls shall be utilized to monitor and ensure appropriate levels of security for Agency staff. Passwords shall be deleted upon an employee's departure from Agency employment. The ISA shall establish the appropriate level of electronic security access for all new employees in consultation with the employee's manager/supervisor.
- C. The ISA will back up mission-critical documents, including the contents of CMSA's local area network (LAN) shared network drives, by weekly incremental backups to the redundant LAN server. A backup server is installed in the Solids Handling Building and incremental backups are made to this server. The

treatment plant's Supervisory Control and Data Acquisition (SCADA) software and historical data will be backed up from the operational SCADA computer onto the redundant SCADA computer located at the Solids Handling Building.

- D. Internet-based file sharing programs, newsgroups and chat rooms are only to be used for work-related tasks, and require pre-approval from the ISA or designee.
- E. No hardware (including, but not limited to, laptops, desktop peripherals, tablets, or removable storage devices) shall be connected to the Agency hardware that can access the Agency network without the approval of the ISA or other designee.
- F. Basic computer security training will be given to all employees who use Agency computers. This training will be included with initial security policy training and refresher training will be scheduled annually.
- G. Personnel Policy #408 addresses further Information System issues, and will be reviewed annually to verify that it remains adequate and relevant.