

SIERRA LAKES COUNTY WATER DISTRICT

Policies and Procedures

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I. Board Meeting Agenda Policy

A. Agenda Preparation.

- The Secretary to the Board, in cooperation with the Board President and/or the General Manager, shall prepare an agenda for each regular and special meeting of the Board.
- Any Director may contact the Secretary to the Board and request an item to be placed on the agenda.
- Requests to place items on the agenda should be made no later than 5:00 p.m. on Thursday one week prior to the regular meeting date.

B. Public Participation.

1. Public Request for Agenda Item.

- Any member of the public may request that the District consider that a matter directly related to District business be placed on the agenda of a regularly scheduled meeting of the Board, subject to the following conditions:
 - The request must be in writing and be submitted to the Secretary to the Board together with any supporting documents and information.
 - The General Manager shall, in consultation with the Board President, be responsible for determining whether the public request is a matter directly related to District business and therefore qualifies for consideration by the Board at a future meeting. The public member requesting the agenda item may appeal the Board President's decision at the next regular meeting of the Board. The Board may, by a 60% majority vote (or a unanimous vote of those remaining if 40% of the Board is not present) add the item to that meeting's agenda if the Board determines that there is need to resolve the issue immediately and that it could not reasonably wait until the Board's next regular meeting. Any Director may request that the item be placed on the agenda of the Board's next regular meeting.
 - No matter that is legally a proper subject for consideration by the Board in closed session will be accepted under this policy.

2. Public Comment.

- This policy does not prevent the Board from taking testimony at regular and special meetings of the Board on matters not on the agenda that a member of the public may wish to bring before the Board. However, the Board shall not discuss or take action on such matters at that meeting.
- The Board President may impose a reasonable time limit on comments made by members of the public during meetings of the Board.

C. Agenda Changes.

1. Regular meetings.

- Government Code Section 54954 requires that agendas for regular meetings are posted no less than seventy-two (72) hours prior to the time of the meeting. Therefore, no changes may be made to a regular meeting agenda less than seventy-two (72) hours prior to the meeting.

2. Special meetings.

- Government Code Section 54656 requires that agendas for regular meetings are posted no less than twenty-four (24) hours prior to the time of the meeting. Therefore, no changes may be made to a regular meeting agenda less than twenty-four (24) hours prior to the meeting.

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D. Posting of Meeting Agendas and Materials.

- All meeting agendas shall be posted in compliance in compliance with Government Code Section 54954.2 and with the timing requirements described in Section 3, above.

II. Capitalization of Fixed Assets

All fixed assets will be subject to this capitalization policy and will be capitalized if they meet the required criteria as defined per the procedural guidelines established by this policy.

A. Procedure for capitalization of fixed assets.

- In order for an asset to be eligible for capitalization it must meet the following requirements.
 - It must cost \$10,000 or more.
 - It must have a useful life of at least five (5) years.
- The cost will be calculated as follows:
 - For purchases the allowable cost will consist of invoice cost, tax and shipping.
 - Project cost will consist of contractor billings, labor, material and an appropriate overhead rate. Only direct costs will be assigned to the project. All other costs of an administrative nature, sometimes referred to as soft costs, will be charged to operating expense. In no instance will an administrative project be capitalized; nor will administrative costs be charged to a project, except as a component of overhead calculation.
- The categories of cost to be capitalized will be as follows:
 - Only fixed assets classified as plant and equipment will be capitalized.
 - There will be no capitalization of good will.
 - There will be no capitalization of leased assets.
 - There will be no capitalization of projects that do not result in the acquisition of a tangible physical asset.
 - There will be no capitalization of assets held in ownership by another District, regardless of the language in any auxiliary contract between the two Districts.

B. Depreciation.

- All assets will be depreciated based on useful life, which will be determined at the time of purchase or completion of a project.

- All depreciation will be calculated on a straight-line basis. The method for this application is division of the purchase price/project cost by the number of years of useful life assigned to the asset. The resulting number will be recorded as depreciation for each year of life of the asset.
- If the life of the asset is reduced for any reason (i.e., it wears out sooner than expected, or is broken or destroyed, or declared to be obsolete) then the asset will be removed from District records and all of the remaining depreciation will be recorded immediately.

C. Capitalization.

- All assets acquired during the year will be capitalized (i.e., recorded as an asset and added to the depreciation schedule) at the end of each fiscal year. Projects that are in progress more than one year will be capitalized in the year in which they are completed.

III. Code of Ethics

1. The Board of Sierra Lakes County Water District is committed to providing excellence in legislative leadership that results in the provision of the highest quality services to its constituents. In order to assist in the governance of the behavior between and among members of the Board, the following rules shall be observed.

- The dignity, style, values and opinions of each Director shall be respected.
- Responsiveness and attentive listening in communication is encouraged.
- The needs of the District's constituents should be the priority of the Board.

2. The primary responsibility of the Board is the formulation and evaluation of policy and budget. Routine matters concerning the operational aspects of the District are to be delegated to staff members of the District.

3. Directors should commit themselves to emphasizing the positive, avoiding double talk, hidden agendas, gossip, backbiting, and other negative forms of interaction.

4. Directors should commit themselves to focusing on issues and not personalities. The presentation of the opinions of others should be encouraged. Cliques and voting blocs based on personalities rather than issues should be avoided.

5. Differing viewpoints are healthy in the decision-making process. Individuals have the right to disagree with ideas and opinions, but without being disagreeable. Once the Board takes action, Directors should commit to supporting said action and not to create barriers to the implementation of said action.

6. Directors should practice the following procedures:

- In seeking clarification on informational items, Directors may directly approach staff members to obtain information needed to supplement, upgrade, or enhance their knowledge to improve legislative decision-making.
- In handling items related to safety, concerns for safety or hazards should be reported to the General Manager or to the District office. Emergency situations should be dealt with immediately by seeking appropriate assistance.
- In presenting items for discussion at Board meetings, see Agenda Policy.
- In seeking clarification for policy-related concerns, especially those involving personnel, legal action, land acquisition and development, finances, and programming, said concerns should be referred directly to the Board President or General Manager.
- When approached by District personnel concerning specific District policy, Directors should direct inquiries to the appropriate staff supervisor. The chain of command should be followed.

7. The work of the District is a team effort. All individuals should work together in the collaborative process, assisting each other in conducting the affairs of the District.

8. When responding to constituent requests and concerns, Directors should be courteous, responding to individuals in a positive manner and routing their questions through appropriate channels and to responsible personnel.

9. Directors should develop a working relationship with the General Manager wherein current issues, concerns and District projects can be discussed comfortably and openly.

10. Directors should function as a part of the whole. Issues should be brought to the attention of the Board as a whole, rather than to individual members selectively.

11. Directors are responsible for monitoring the District's progress in attaining its goals and objectives, while pursuing its mission.

12. Directors are responsible for notifying the General Manager and General Counsel of any potential conflicts of interest they may have with respect to any business coming before the Board so that the General Manager and General Counsel may review the issue for potential conflicts of interest under the Political Reform Act (Government Code § 81000 et seq.), Government Code § 1090, and the common law conflicts of interest doctrine.

IV. Disposal Policy

This is the policy of the Sierra Lakes County Water District for disposal of supplies, materials and equipment.

When used in this policy, the term “disposal” shall include disposal, sale, or barter of supplies, materials, or equipment which are no longer useful to the District.

No disposal, the estimated or actual value of which is greater than \$2,500.00, shall be made without the prior authorization of the Board. The General Manager is authorized to approve disposals with an estimated or actual value of \$2,500.00 or less.

The General Manager or his or her designee shall act as the District’s Disposal Agent, who shall make all District disposals in accordance with this policy.

In case of emergency, where a disposal has not been authorized by the Board, and the Disposal Agent has determined that the best interest of the District requires that such disposal be made before the Board can meet to authorize such disposal, the Disposal Agent is authorized to make such disposal after first obtaining the verbal consent of the President or Vice President of the Board. The Disposal Agent shall thereafter promptly report in writing to the Board the nature of the disposal and the emergency circumstances justifying the disposal. Such action shall be subject to ratification at the next Board Meeting.

V. Employee Uniforms

1. The cost of employee uniforms will be borne by the district. Each employee will receive a specified annual amount as a combined clothing/boot allowance. The employee is free to purchase the clothing/boots at the store of his/her choosing following established guidelines of: blue denim pants, earth tone work shirts (long/short sleeve and material of personal preference) and overalls in a brown color. All of the shirts will be embroidered with the District logo at District expense.

2. The District will provide each employee with a heavy canvas-type coat with removable liner, and a safety vest, that can be worn over all clothing. Each of these items will be embroidered with the District logo, be replaced on an as-required basis and must be turned in when the employee no longer works for the District.

3. The District will provide each employee with six high visibility (orange/lime) t-shirts each season. These shirts will be screened with the District logo.

4. Each employee must wear clothing bearing the SLCWD logo (shirt, coat, vest) while at work. Each employee is responsible for laundering his/her work clothing (assigned and purchased) and laundering facilities are provided for employee use.

VI. Fraud in the Workplace – Guidelines and Procedures

A. Purpose and Scope.

To establish policy and procedures for clarifying acts that are considered to be fraudulent, describing the steps to be taken when fraud or other related dishonest activities are suspected, and providing procedures to follow in accounting for missing funds, restitution and recoveries.

B. General.

The Sierra Lakes County Water District is committed to protecting its assets against the risk of loss or misuse. Accordingly, it is the policy of the District to identify and promptly investigate any possibility of fraudulent or related dishonest activities against the District and, when appropriate, to pursue legal remedies available under the law.

C. Definitions.

1. Fraud.

- Claims for reimbursement of expenses that are not job-related or authorized by the District.
- Forgery, falsification, or unauthorized alteration of documents or records (including but not limited to checks, promissory notes, time sheets, independent contractor agreements, purchase orders, and budgets).
- Misappropriation of District assets (including but not limited to funds, securities, supplies, furniture, and equipment).
- Inappropriate use of District resources (including but not limited to labor, time, equipment and materials).
- Improprieties in the handling or reporting of money or financial transactions.
- Authorizing or receiving payment for goods not received or services not performed.
- Computer-related activity involving unauthorized alteration, destruction, forgery, or manipulation or misappropriation of District-owned or licensed data or software.
- Misrepresentation of information on documents.
- Theft of equipment or goods.
- Any apparent violation of federal, state, or local laws related to dishonest activities or fraud.
- Seeking or accepting anything of material value from those doing business with the District including vendors, consultants, contractors,

lessees, applicants, and grantees. Materiality is determined by the Fair Political Practices Commission's regulations.

- Any other conduct, actions or activities treated as fraud or misappropriation under any federal or state law, rule or regulation.

2. Employee.

In this context, "employee" refers to any individual or group of individuals who receive compensation, either full- or part-time, including the Board, from the District. The term also includes any volunteer who provides services to the District through an official arrangement with the District or a District organization.

3. Management.

In this context, "management" refers to any manager, supervisor, or other designated individual who manages or supervises the District's employees, resources, and assets.

4. Internal Audit Committee.

- (a) In this context, if the claim of fraud involves anyone other than the General Manager, the Internal Audit Committee shall consist of the General Manager, the General Counsel and one other person appointed by the Board President.
- (b) If the claim of fraud involves the General Manager, the Internal Audit Committee shall consist of the Board President, the General Counsel and one other person appointed by the Board President.
- (c) In the event the Board President is implicated or otherwise involved in the claim of fraud, the Board President shall recuse him or herself from all aspects of the investigation, and the Internal Audit Committee shall consist of the General Manager, General Counsel, and one other person appointed by the Board.
- (d) In the event more than one member of the Board are implicated or otherwise involved in a claim of fraud, the matter will be reviewed by an external auditor. Nothing contained in this policy shall be construed as requiring the Board President to appoint other persons to the Internal Audit Committee. Individuals appointed to the Internal Audit Committee by the Board President, other than the District's Legal Counsel, shall serve at the pleasure of the Board President.

5. External Auditor.

In this context, External Auditor refers to independent audit professionals who perform annual audits of the District's financial statements and are appointed by the District's Board.

It is the District's intent to fully investigate any suspected acts of fraud, misappropriation, or other similar irregularity. An objective and impartial investigation will be conducted regardless of the position, title, and length of service or relationship with the District of any party who might be involved in, or becomes, the subject of such investigation.

Each department of the District is responsible for instituting and maintaining a system of internal control to provide reasonable assurance for the prevention and detection of fraud, misappropriations, and other irregularities. Management should be familiar with the types of improprieties that might occur within departmental areas of responsibility and be alert for any indications of such conduct.

For all claims of fraud, the Internal Audit Committee, as appointed by the Board President, shall have primary responsibility for the investigation of the activity covered by this policy. The District's General Counsel shall advise the Committee, or the Board President, on all such investigations.

Throughout the investigation, the Internal Audit Committee will inform the Board President of pertinent investigative findings.

Employees will be granted whistle-blower protection pursuant to Labor Code section 1102.5 when reporting suspected or actual misconduct. Neither the District nor any person acting on behalf of the District shall retaliate against the employee for disclosing information, or because the employer believes that the employee disclosed or may disclose information. Prohibited acts of retaliation include:

- Dismissing or threatening to dismiss the whistle-blowing employee;
- Disciplining, suspending, or threatening to discipline or suspend the employee;
- Imposing any penalty upon the employee; or
- Intimidating or coercing the employee.

Violations of the whistle-blower protection will result in discipline up to and including dismissal.

Upon conclusion of the investigation, the results will be reported to the General Manager (or in the event the investigation involves the General Manager, to the Board President) who shall receive the report and advise the Board.

The General Manager or the Board President, as the case may be, following review of the investigation results, will take appropriate action regarding the misconduct. Disciplinary action can include termination and referral of the case to the District Attorney's Office for possible prosecution.

The General Manager (or the Board President) will pursue every reasonable effort, including court ordered restitution, to obtain recovery of District losses from the offender, or other appropriate sources.

6. Procedures.

(a) Board Responsibilities.

If a Board Member has reason to suspect that a fraud has occurred, he or she shall immediately contact the Board President and the District's Legal Counsel.

The Board Member shall not attempt to investigate the suspected fraud or discuss the matter with anyone other than the Board President and the District's Legal Counsel.

The alleged fraud or audit investigation shall not be discussed with the media by any person other than the Board President after consultation with the District's Legal Counsel and the Internal Audit Committee, if any Committee is appointed.

(b) Management Responsibilities.

Management is responsible for being alert to, and reporting, fraudulent or related dishonest activities in its areas of responsibility.

Each manager shall be familiar with the types of improprieties that might occur in his or her areas and be alert for any indication that improper activity, misappropriation, or dishonest activity is or was in existence those areas.

When an improper activity is detected or suspected, management shall determine whether an error or mistake has occurred or if there may be dishonest or fraudulent activity.

If anyone in a management position determines that a suspected activity may involve fraud or related dishonest activity, he or she shall contact his or her immediate supervisor or the District's General Manager. If the activity involves the General Manager, the report shall be made to the Board President or the District's Legal Counsel.

Management personnel shall not attempt to conduct individual investigations, interviews, or interrogations. However, management is responsible for taking appropriate corrective actions to ensure that adequate controls exist to prevent recurrence of improper actions.

Management shall support the District's responsibilities and cooperate fully with the Internal Audit Committee, other involved departments, and law enforcement agencies in the detection, reporting, and investigation of criminal acts, including the prosecution of offenders.

Management must give full and unrestricted access to all necessary records and personnel to the Internal Audit Committee. All District assets, including furniture, desks, and computers, are open to inspection at any time. There is no assumption of privacy.

In dealing with suspected dishonest or fraudulent activities, great care must be taken. Therefore, management should take reasonable care to avoid the following:

- Making incorrect accusations.

- Alerting suspected individuals that an investigation is underway.
- Treating employees unfairly.
- Making statements that could lead to claims of false accusations or other offenses.

In handling dishonest or fraudulent activities, management has the responsibility to:

- Refrain from contacting (unless requested) the suspected individual to determine facts or demand restitution. Under no circumstances shall there be any reference to “what you did,” “the crime,” “the fraud,” “the misappropriation,” etc.
- Avoid discussing the case, facts, suspicions, or allegations with anyone outside the District, unless specifically directed to do so by the General Manager.
- Avoid discussing the case with anyone inside the District other than employees who have a need to know such as the General Manager, the Internal Audit Committee, the District’s Legal Counsel, or law enforcement personnel.
- Direct all inquiries from the suspected individual, or his or her representative, to the District’s Legal Counsel. All inquiries by an attorney of the suspected individual should be directed to the District’s Legal Counsel. All inquiries from the media should be directed to the Board President.
- Take appropriate corrective disciplinary action, up to and including dismissal, after consulting with the District and Legal Counsel.

(c) Employee Responsibilities.

A suspected fraudulent incident or practice observed by, or made known to, an employee must be reported to the employee’s supervisor for reporting to the proper management official. An employee will not be exempted from discipline up to and including termination by reporting his or her own misconduct, although self-reporting may be taken into account in determining the appropriate course of action and/or discipline in response to the employee’s misconduct.

When the employee believes the supervisor may be involved in the inappropriate activity, the employee shall make the report directly to the next higher level of management and/or the General Manager. If the activity involves the General Manager, it shall be reported to the Board President or the District’s Legal Counsel.

The reporting employee shall refrain from further investigation of the incident, confrontation with the alleged violator, or further discussion of the incident with anyone, unless requested by the General Manager, Internal Audit Committee, the District’s Legal Counsel, or law enforcement personnel.

(d) Internal Audit Committee Responsibilities.

Upon assignment by the Board President, the Internal Audit Committee shall promptly investigate the fraud.

In all circumstances where there appears to be reasonable grounds for suspecting that criminal fraud has taken place, the Internal Audit Committee, in consultation with the District General Manager or the Board President and District's Legal Counsel, shall contact the Placer County Sheriff's Office.

The Internal Audit Committee shall be available and receptive to receiving relevant, confidential information to the extent allowed by law after consultation with the District's Legal Counsel.

If evidence is uncovered showing possible dishonest or fraudulent activities, the Internal Audit Committee shall proceed as follows:

- Discuss the findings with the General Manager and the Board President.
- Advise management, if the case involves District staff members, to meet with the Board President to determine if disciplinary actions should be taken.
- Report to the External Auditor such activities in order to assess the effect of the illegal activity on the District's financial statements.
- Coordinate with the District's General Manager and Office Manager regarding notification to insurers and filing of insurance claims.
- Take immediate action, after consultation with the District's Legal Counsel, to prevent the theft, alteration, or destruction of evidentiary records. Such action shall include, but is not limited to:
 - Removing the records and placing them in a secure location or limiting access to the location where the records currently exist.
 - Preventing the individual suspected of committing the fraud from having access to the records.

In consultation with the District's Legal Counsel and the Placer County Sheriff Department, the Internal Audit Committee may disclose particulars of the investigation to potential witnesses if such disclosure would further the investigation.

If the Internal Audit Committee is contacted by the media regarding an alleged fraud or audit investigation, the Internal Audit Committee will refer the media to the Board President.

At the conclusion of the investigation, the Internal Audit Committee will document the results in a confidential memorandum report to the Board President for action. If the report concludes that

the allegations are accurately founded and the District's Legal Counsel has determined that a crime has occurred, the report will be forwarded to the Placer County Sheriff Department.

The Internal Audit Committee will be required to make recommendations to the appropriate department for assistance in the prevention of future similar occurrences.

Upon completion of the investigation, including all legal and personnel actions, all records, documents, and other evidentiary material, obtained from the department under investigation will be returned by the Internal Audit Committee to that department.

(e) Exceptions.

There will be no exceptions to this policy unless provided for and approved by the Board President and the District's Legal Counsel. The Board reserves the right to amend, delete, or revise this policy at any time by formal action of the Board.

(f) Authority.

This policy was duly enacted by the Board of the District by formal action taken on August 9, 2013.

VII. Guidelines for Accessing Public Records

This policy outlines how requests for access to the records of the Sierra Lakes County Water District should be made in accordance with the California Public Records Act (“CPRA”) (Gov. Code § 6250 et seq.).

A. Making a Request for Public Records.

Any interested party may request access to or copies of District records orally or in writing. The District encourages, but does not require, that requests for records be made in writing. Written requests will help the District in correctly identifying the records requested. Written requests should be sent care of the District Secretary at P.O. Box 1039, Soda Springs, CA 95728, or may be made by email addressed to Anna Nickerson at anickerson@slc wd.org.

B. Identifying Records.

In order to help the District provide records promptly, requesters should provide specific information about the records they seek. When a record cannot be identified by name, the requester should attempt to be as specific as possible in describing the record, based on its content. When a request is not sufficiently specific, District staff may request additional information from the requester in order to identify the information being sought.

C. Inspection of Physical Records.

Public records maintained by the District are available for inspection during the District's regular business hours. Members of the public are not required to give notice in order to inspect public records at the District office during normal working hours. However, reviewing records requires District staff to locate the requested records and review them to determine whether they are to be withheld from disclosure or redacted in accordance with the CPRA. Therefore, members of the public are encouraged to arrange a mutually agreeable time to inspect records. In order to prevent records from being lost, damaged, or destroyed during an inspection, District staff will determine where original documents may be inspected and will supervise such review.

D. Processing Requests for Copies of Records.

When a copy of a record is requested, and the record cannot be produced immediately, the District will provide a response within ten (10) days. Depending on the complexity of the request and available staff resources, the time necessary to provide records may need to be extended. In that event, District staff will inform the requester of the need for an extension and with an estimated date on which the records will be available and will provide the records within a reasonable period of time.

E. Duplication Fee and Additional Costs.

The District charges a \$0.10 per page duplication fee for physical copies of records. This duplication fee represents the District's direct copying costs and does not include staff time associated with providing records. Oversized records may be subject to additional costs equal to the District's copying costs. To the extent the CPRA allows for the District to recover any

additional costs associated with responding to a request, the District will provide the requestor with an estimate of such additional costs prior to commencing the review of the requested records. All duplication fees and additional costs must be paid prior to the release of any records. No duplication fees are charged for electronic records.

F. Exemptions.

The District will provide access to all public records in accordance with the CPRA. Under the CPRA, some categories of records or portions of records are exempt from disclosure. Examples of such exempt records under the CPRA include, but are not limited to: certain personnel records, investigative records, drafts, confidential legal advice, records prepared in connection with litigation, and information that may be kept confidential pursuant to other state or federal statutes.

G. Privacy and Customer Usage Data.

The Sierra Lakes County Water District is committed to protecting the privacy of its customers. The District does not intentionally disclose any personal information about its customers, including name, credit history, utility usage data, home address, telephone number, or email addresses to any third party, except in the following circumstances:

- When disclosure is necessary in the ordinary course of District operations.
- When disclosure is required pursuant to Gov. Code § 6254.16(a) [to an authorized agent or family member of the customer]
- When disclosure is required pursuant to Gov. Code § 6254.16(b) [to a government official in the course of their performing their official duties].
- When disclosure is compelled by a court order or law enforcement request pursuant to Gov. Code § 6254.16(c) [court order or law enforcement request].
- When disclosure is allowed pursuant to Gov. Code § 6254.16(e) [information pertains to elected or appointed official with authority to influence usage policies], subject to the restrictions described therein.
- When disclosure is permitted pursuant to Gov. Code § 6254.16(d), (f) [customer is found to have used services in a manner that is contrary to adopted policies; public interest served by disclosure outweighs public interest served by nondisclosure] and Board has approved the disclosure.
- When disclosure is required pursuant to any other law or regulation.

VIII. Incident Report Procedure

This policy defines the procedure for reporting extraordinary operational events (incidents) to the appropriate managerial personnel. Reporting is required for incidents which include but are not be limited to:

- Major power outages;
- Unacceptable levels of contaminants in the water supply system;
- Flooding that affects any District facility;
- Sewer spills or pipeline breaks;
- Major water line breaks;
- Breakdown of any major equipment component that is essential to operation of the water; supply or sewer collection system;
- A significant injury to any member of the District Staff; or injury to a third party or third-party property by the District Staff or any District Facility;
- Trespass or damage to District property by a third party;
- Any chemical spill that might endanger persons, property or the District water supply; and
- Any other event that might affect the normal operation of the District.

Any employee who discovers an existing or potential incident must report it to his or her supervisor as soon as possible, after taking the actions necessary to remedy the situation on a temporary basis if it is safe for the employee to do so. If the employee's immediate supervisor cannot be contacted, the employee should to the next higher level of authority until a report can be made. Supervisors should make a personal visit to the site, if appropriate, and take any additional measures necessary to stabilize the situation. Responding Management shall contact the General Manager or Board President once the situation is stable.

This policy shall be supplemented with departmental internal procedures that include notification of other organizations (i.e., County Health Department, DSPUD, State Water Resources Control Board, etc.) and the District's planned response to specific types of incidents.

IX. Operator Certification Requirements

SLCWD SYSTEM NO: 3110017

CWEA System Maintenance 1 Collection No:
090321042

	Minimum Certification of Chief Operator	Minimum Certification of Shift Operator
<u>Water Treatment</u>		
Facility Classification - T3	T3	T2
<u>Water Distribution</u>		
System Classification - D2	D2	D1

	<u>Treatment</u>			<u>Distribution</u>		
	<u>Operator Number</u>	<u>Certification</u>	<u>Renewal/Expiration Date</u>	<u>Operator Number</u>	<u>Certification</u>	<u>Renewal/Expiration Date</u>
Jeff Krebill	24394	T3	9/1/2022	20912	D3	11/1/2022
Matthew Marriner	38264	T2	10/1/2021	47884	D2	1/1/2021
Patrick Baird	40299	T3	1/1/2021	50974	D3	4/1/2022

Renewals: Any person wishing to maintain a valid operator certificate shall submit an application for renewal at least 120 days, but no more than 180 days, prior to expiration of the certification. To be eligible for certificate renewal, certified operators shall have completed continuing education contact hours since the previous renewal or issuance of the certificate. For specific instructions for certification renewal, refer to the attached document from the Division of Drinking Water and Environmental Management, "Operator Certification Regulations", Section 63840, Page 17.

Examinations: An Applicant who has had a certificate revoked, and not reinstated, for any reason other than failure to meet renewal requirements pursuant to Section 63840 shall not be eligible for water treatment operator or distribution operator examinations at any grade level. Operators must submit a completed application for examination by the final filing date established by the Department of Health Services, and must meet various eligibility requirements based on the grade level for which they make application (see Eligibility Criteria below). Along with the completed application form, the test applicant must submit documentation of completion of specialized training courses, as provided by the educational institution, claimed to meet the requirements.

Certifications: Upon passing an examination, the operator must meet specific experience requirements before submitting an application for certification. For information regarding eligibility criteria for water treatment operator certification and distribution operator certification, refer to the attached document from Division of Drinking Water and Environmental Management, "Operator Certification Regulations", pages 10-13.

Eligibility Criteria for Taking a Water Treatment Examination:

- | | |
|----|---|
| T1 | An applicant shall have a high school diploma or GED. |
| T2 | A high school diploma or GED and successful completion of at least one course of specialized training covering the fundamentals of drinking water treatment. |
| T3 | A high school diploma or GED and successful completion of at least two courses of specialized training that includes at least one course covering the fundamentals of drinking water treatment. |
| T4 | A valid Grade T3 operator certificate, successful completion of at least three courses of specialized training that includes at least two courses in drinking water treatment. |
| T5 | A valid Grade T4 operator certificate and successful completion of at least four courses of specialized training that includes at least two courses in drinking water treatment. |

Specialized training courses may be used to fulfill the eligibility requirements for water treatment operator and /or distribution operator examinations.

Eligibility Criteria for Taking a Distribution Operator Examination:

- D1 An applicant shall have a high school diploma or GED.
- D2 A high school diploma or GED and successful completion of at least one course of specialized training in water supply.
- D3 A valid Grade D2 or interim Grade D3 or higher operator certificate and successful completion of at least two courses of specialized training that includes at least one course in water supply principles.
- D4 A valid Grade D3 or interim Grade D4 or higher operator certificate and successful completion of at least three courses of specialized training that includes at least two courses in water supply principles
- D5 A valid Grade D4 or interim Grade D5 operator certificate and successful completion of at least four courses of specialized training that includes at least two courses in water supply principles.

X. Procurement Policy

[Deferred for Separate Consideration]

XI. Retention and Disposal of District Records

A. Purpose.

The purposes of this policy are:

- To provide guidelines regarding the retention and disposal of District Records
- To provide for the identification, maintenance, safeguarding, and disposal of District Records in the normal course of business
- To assist staff with the prompt and accurate retrieval of District Records to comply with legal and regulatory requirements, in response to requests under the California Public Records Act, or in the ordinary conduct of District business

B. District Records.

District Records are those records kept by the District in the ordinary course of business, regardless of their format.

C. Authority.

The District is authorized to maintain and identify for destruction District Records pursuant to Government Code Sections 60200 thru 60203, Water Code Section 21403, and the guidelines prepared by the State of California Controller's Office and the Controller's Advisory Committee for Special Districts.

D. Procedure for Destruction of District Records.

Staff shall at least annually review District Records and identify District Records that may be destroyed pursuant to this policy. The steps for destroying District Records shall be as follows:

- Staff shall complete a "Request for Destruction of Obsolete Records" ("RDOR") form, listing the date and description of each document to be destroyed.
- Staff shall verify the documents listed on the submitted RDOR form are not required to be permanently retained have been retained for the legally required period and have satisfied any applicable reproduction requirements.
- Staff shall submit the RDOR form to the General Manager for review and signature.
- The General Manager shall submit the RDOR form to the General Counsel for review and signature.
- The fully reviewed RDOR form shall be submitted to the Board for approval for destruction.

- The General Manager shall oversee the destruction of District Records approved for destruction by the Board.
- The General Manager shall retain all original, signed RDOR forms for a minimum of two (2) years and permanently retain a record of District Record destruction through either a log or certificates of destruction.

E. General Guidelines.

The following general guidelines apply to all district records.

Pursuant to Government Code Section 60201, except where a record is expressly required to be preserved according to state law, the district may destroy any original obsolete document without retaining a copy of the document as long as the retention and destruction of the document complies with the retention schedule as set forth in this policy.

In addition to the retention periods required under this policy, the district shall retain original administrative, legal, fiscal and/or historical records with continued value (i.e., records for long-term transactions and/or special projects) until all matters pertaining to such records are completely resolved or the time for appeals has expired. (Government Code Sections [14755\(a\)](#) and [34090](#).)

Pursuant to Government Code Section 14755(b) and 34090, the district shall not destroy any record subject to audit until it has been determined that the audit has been performed.

Pursuant to Government Code Section [60201](#), the district shall not destroy any of the following records:

- Records relating to the formation, change of organization, or reorganization of the district;
- Ordinances and resolutions, unless they have been repealed or have become invalid or otherwise unenforceable for five years;
- Minutes of any meeting of the district;
- Records relating to any pending claim, litigation, any settlement or other disposition of litigation within the past two years;
- Records that are the subject of any pending request for records under the California Public Records Act, whether or not the record is exempt from disclosure, until the request has been granted or two years after the request has been denied by the district;
- Records relating to any pending construction that the district has not accepted or for which a stop notice claim may be legally presented;
- Records relating to any non-discharged debt of the district;
- Records relating to the title to real property in which the district has an interest;
- Records relating to any nondischarged contract to which the district is a party;
- Records that have not fulfilled the administrative, fiscal, or legal purpose for which they were created or received;

- Unaccepted bids or proposals, which are less than two years old, for the construction or installation of any building, structure or other public work;
- Records less than seven years old that specify the amount of compensation or expense reimbursement paid to district employees, officers, or independent contractors.

F. Record Retention Schedule.

District Records shall be retained for the periods described in the following Record Retention Schedule, in accordance with state laws and regulations.

XII. Record Retention Schedule

Type of Record	Category	Notes	Authority
Accident/Illness Reports	Administration	For employee medical records and employee exposure records regarding exposure to toxic substances or harmful physical agents – includes material safety data sheets (MSDS)	8 CCR 3200.11(B)
		Does not include: records of health insurance claims maintained separate from employer’s records; first aid records of one-time treatments for minor injuries; records of employees who worked less than one year if records are given to employee upon termination	
Accidents/Damage to District Property	Administration	Risk management administration	GC 34090
			CCP 337.1
Accounts Payable	Finance	Journals, statements, asset inventories, account postings with supporting documents, vouchers, investments, invoices and back-up documents, purchase orders, petty cash, postage, PERS reports, check requests, etc.	CCP 337
			26 CFR 31.101-1
			Sec. of Sta. Gov’t. Rec. Guidelines
Expense reimbursements to employees and officers, travel expense reimbursements or travel	GC 60201(d)(12)	7 years after date of payment	

Type of Record	Category	Notes	Authority
compensation			
Accounts Receivable	Finance	Receipts for deposited checks, coins, currency; checks received, reports, investments, receipt books, receipts, cash register tapes, payments for fees, permits, etc.	CCP 337
			26 CFR 31
			Sec. of Sta Gov't. Rec Guidelines
Affidavits of Publication/Posting	Administration	Legal notices for public hearings, publication of ordinances, etc.	GC 34090
Agency Report of Public Official Appointments (FPPC Form 806)	Administration	Report of additional compensation received by district officials when appointing themselves to committees, boards or commissions of other public agencies, special districts, joint powers agencies or joint powers authorities. Current report must be posted on the district's website	FPPC Reg 18702.5(b)
			GC 34090
Agenda/Agenda Packets	Administration	Original agendas/special meeting notices/certificates of posting, etc. – Board' meetings	GC 34090
			Sec. of Sta Gov't. Rec Guidelines

Type of Record	Category	Notes	Authority
Agenda Reports (Staff Reports)	Administration	Documentation received, created and/or submitted to Board	GC 34090
			Sec. of Sta Gov't. Rec Guidelines
Agreements (see also Contracts)	Administration	Original contracts and agreements and back-up materials, including leases, license agreements, service/maintenance contracts, etc.	CCP 337,
Original contracts/agreements regarding the development of real property, design specifications, surveying, planning, supervision, testing, or observation of construction or improvement to real property; may include records of retention releases, retention withheld, change orders, etc.	CCP 337.15	10 years after termination/completion	
Annexations/Reorganizations	Development	Notices, resolutions, certificates of completion	GC 34090
Annual Financial Report	Finance	May include independent auditor analysis	GC 34090
			Sec. of Sta Gov't. Rec Guidelines
Appraisals	Development	For real property owned by district – Not a public record until real estate transaction is complete	GC 6254(1)

Type of Record	Category	Notes	Authority
Articles of Incorporation	Administration		GC 34090
Audit Reports	Finance	Financial services, internal and/or external reports, independent auditor analysis	GC 34090
			Sec. of Sta Gov't. Rec Retention
Audit Hearing or Review	Finance	Documentation created and/or received in connection with an audit hearing or review	GC 34090
Backflow Test Reports	Public Works	Reports of testing and maintenance – water supply	17 CCR 7
Bank Account Reconciliations	Finance	Bank statements, receipts, certificates of deposit, etc.	26 CFR 31
Bids, Successful	Development	Includes plan and specifications, notices/affidavits	GC 34090
			CCP 337,
Bids, Unsuccessful	Development	Unsuccessful bid packages only	GC 34090
Billing records	Finance	Utility bill stubs – submitted with payment	GC 34090

Type of Record	Category	Notes	Authority
Bonds	Finance	Authorization/public hearing records/prospectus/proposals/certificates/notices (transcripts)/registers/statements	CCP 337.5
Bonds – Employee (Fidelity Bonds)	Finance	Form of insurance that covers employer (district) for losses resulting from fraudulent acts of specified employees	CCP 3409
Bonds – Paid/Cancelled	Finance	Paid or cancelled bonds, warrant certificates, interest coupons	CCP 337.5
Bonds – Unsold	Finance	Unsold bonds	GC 34090
Bonds – Final	Finance	Final bond documentation, monthly statement of transactions, supporting documents	CCP 337.5
Bonds, Development	Finance	Housing, industrial development	CCP 337.5
Bonds, Surety	Finance	Documentation created and/or received in connection with the performance of work/services for the district	CCP 337
Brochures/Publications	Administration	Retain selected documents only for historic value	GC 34090
Budget, Annual	Finance	Annual operating budget approved by the Board	GC 34090

Type of Record	Category	Notes	Authority
			Sec. of Sta Gov't. Rec Guidelines
California – OSHA	Administration	Personnel – logs, supplementary record, annual summary (federal and state – California OSHA)	LC 6410
			8 CCR 14.
California State Tax Records	Finance	Forms filed annually, quarterly and year-end reports	R&TC 19
Campaign Statements and Other Campaign Reports (Originals) – Board	Administration	Original statements of candidates and supporting committees; other original reports and statements	GC 81009
Campaign Statements and Other Campaign Reports (Copies)	Administration	Copies of reports/statements (if filing officer is not required to keep more than copy)	GC 81009
Capital Improvements, Construction	Public Works	Records on planning, design, construction, conversion or modification of local government-owned facilities, structures and systems	GC 34090
			H&S 1985
			Sec. of Sta Gov't. Rec Guidelines
Checks – District-Issued	Finance	District checks paid – expense reimbursements to employees, payments to independent contractors, etc. Includes check copies, canceled or voided checks, electronic versions of checks	GC 60201
			CCP 337

Type of Record	Category	Notes	Authority
District checks paid to vendors; other district payments. Includes check copies, canceled or voided checks, electronic versions of checks	Sec. of State Local Gov't. Records Mgmt. Guidelines	Until audited + 4 years	
	CCP 337	Sec. of State Guidelines recommends until audited + 5 years	
	26 CFR 31.6001-1(e)(2)		
Citizen Feedback	Administration	General correspondence	GC 34090
Claims Against the District	Administration	Paid/denied	GC 25105
Clean Water State Revolving Fund – State Water Resources Control Board	Administration	Clean water state revolving fund records include, but are not limited to, the following:	GC 60200

Type of Record	Category	Notes	Authority
		(a) Signed contracts and/or agreements;	
		(b) Bid documents;	
		(c) Design plans of the collection system and wastewater reclamation facility;	
		(d) Timecards;	
		(e) Environmental documents;	
		(f) EADOC correspondence;	
		(g) Invoices;	
		(h) Disbursement requests.	
Collective Bargaining Agreements	Administration		29 CFR 5

Type of Record	Category	Notes	Authority
Complaints – Customer Complaints – Water Quality, Water Outages	Administration	Customer complaints regarding water quality – odor, taste, appearance; or water outages	40 CFR 12
			22 CCR 6
Complaints – Miscellaneous	Administration	Miscellaneous complaints, not related to specific lawsuits involving the district and not otherwise specifically covered by the retention schedule	GC 34090
Comprehensive Annual Financial Reports (CAFR)	Finance	Finance	GC 34090
			CCP 337
Conflict of Interest Code	Administration	Conflict of Interest Code – required under Political Reform Act; must be reviewed by July 1st of every even-numbered year and amended if necessary	GC 87300
Contracts (see also Agreements)	Administration	Original contracts and agreements and back-up materials, including leases, service/maintenance contracts, etc.	CCP 337,
Original contracts/agreements regarding the development of real property, design, specifications, surveying, planning, supervision, testing, or observation of construction or improvement to real property; may include records of retention releases, retention withheld, change orders, etc.	CCP 337.15	10 years after termination/completion	

Type of Record	Category	Notes	Authority
Correspondence	Administration	General correspondence, including letters and email; various files, not otherwise specifically covered by the retention schedule	GC 34090
Credit Cards, District-Owned	Finance	Credit card bills or statements, and other records related to the use of district-paid credit cards	GC 60201
Deeds, Real Property	Development	File with recorded documents; originals may not be destroyed	GC 34090
Deferred Compensation Reports	Finance	Finance – pension/retirement funds	29 CFR 5
Demographic Statistical Data	Administration		GC 34090
DMV Driver’s Records Reports (DMV Pull-Notice System)	Administration	Motor vehicle pulls – personnel record – not a public record	GC 36254
			VC 1808.1
			Sec. of Sta Gov’t. Rec Guidelines
Easements, Real Property	Development	File with recorded documents; originals may not be destroyed	GC 34090
EEOC Records (Equal Employment Opportunity Commission)	Human Resources	Records, reports showing compliance with federal equal employment requirements (EEO-4 reports, etc.)	29 CFR 16

Type of Record	Category	Notes	Authority
Election – Administrative Documents	Administration	Not ballot cards or absentee voter lists/applications	GC 34090
Election – Affidavit Index	Administration	Voter registration index	EC 17001
Election – Ballots and Related Documents	Administration	State and local elections: All ballot cards (voted, spoiled, canceled) arranged by precinct, unused absentee ballots, ballot receipts, absent voter identification envelopes, absentee voter applications. May be destroyed subject to any pending contest	EC 17302
Election – Ballots and Identification Envelope – Federal Offices	Administration	For elections to federal office (President, Vice-President, U.S. Senator, U.S. Representative)	EC 17301
Election – Ballots – Prop. 218 (Assessment Districts)	Administration	Ballots – property related fees (assessment ballot proceeding)	GC 53755
Election – Canvass	Administration	Notifications and publication of election records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results, special election results	EC 17304
Election – Certificate of Election	Administration	Certificates of elections; original reports and statements	GC 81009
Election – Election Official’s Package of Documents	Administration	Package of two tally sheets, copy of index, challenge lists, assisted voters list	EC 17304
		Public record – all voters may inspect after commencement of official canvass of voters	
Election – Nomination Documents – Successful	Administration	All nomination documents and signatures in lieu of filing petitions	EC 17100
Election – Nomination Documents – Unsuccessful	Administration		GC 81009

Type of Record	Category	Notes	Authority
Election Petitions – Initiative/Recall/Referendum, Charter Amendments	Administration	Not a public record – documents resulting in an election – retention is from election certification	EC 17200
			GC 6253.5
			GC 34458
Election Petitions – No Election	Administration	Not a public record. Not resulting in an election. Retention is from final examination	EC 17200
			GC 6253.5
Election – Precinct Records	Administration	From date of election: precinct official material, declaration of intention, precinct board member applications, orders appointing members of precinct boards and designating polling places includes notice of appointment of office and record of service	EC 17503
Election – Roster of Voters	Administration	From date of election, initiative, referendum recall, general municipal election, Charter amendments	EC 17300
Election – Voter Affidavits	Administration	Affidavits of registration (including cancelled affidavits); voter registration index	EC 17000
Election – Voter Registration Signature Copy	Administration	Special district	EC 17000
Email	Administration		GC 34090
Emergency Response and Recovery – FEMA, CalWARN, etc.	Administration	Emergency response and recovery records include, but are not limited to,	GC 60200

Type of Record	Category	Notes	Authority
		the following:	
		(a) Timecards;	
		(b) Photos;	
		(c) Public notifications;	
		(d) Mutual aid documentation;	
		(e) Contracts and purchases;	

Type of Record	Category	Notes	Authority
		(f) Water testing reports;	
		(g) Incident reports.	
Employee Benefits	Human Resources	Benefit plans (include “cafeteria” and other plans), health insurance programs; records regarding COBRA – extension of benefits for separated employees, insurance policies (health, vision, dental, deferred compensation, etc.)	29 USC 10
			11 CCR 5
			28 CCR 1
			29 CFR 16
Employee Bonds (Fidelity Bonds)	Administration	Form of insurance that covers the district for losses resulting from fraudulent acts of specified employees	GC 34090
Employee Files	Administration	Personnel – not a public record	GC 6254(
Employee Information, General	Administration	Name, address, date of birth, occupation	GC 12946
			29 CFR 16
			LC 1174
Employee Information, Payment	Administration	Rate of pay and weekly compensation earned	GC 60201
Employee Information – CEIR	Administration	Personnel – California employer information report (for employers of 100 or more employees)	2 CCR 72 7287.0(a),
			GC 12946

Type of Record	Category	Notes	Authority
Employee Information – And Non-Hired Applicant Identification Records	Administration	Personnel – data regarding race, sex, national origin of non-hired applicants and employees	2 CCR 72(c)(3)
Employee, Medical and Exposure Records (Toxic Substances or Harmful Physical Agents)	Administration	Medical records are part of personnel file – not a public record	GC 6254(
		Includes medical records made or maintained by a physician, nurse, or other health care personnel, or technician pertaining to employees exposed to toxic substances or harmful physical agents	29 CFR 19
		Does not include first aid records of one-time treatment made on site by a non-physician or observation of minor scratches, cuts, burns, splinters, etc., which do not involve medical treatment, loss of consciousness, restriction of work or motion, or transfer to another job	8 CCR 32(d)(1)(A)(
		(For employees of less than one year, no need to retain medical records regarding exposure to toxic substances/harmful physical agents if they are returned to employee upon termination)	
Employee, Nonsafety	Administration	Nonsafety employee records may include: release authorizations, certifications, reassignments, outside employment, commendations, disciplinary actions, terminations, oaths of office, evaluations, pre-employee medicals, fingerprints, identification cards (IDs)	29 CFR 16
			GC 12946

Type of Record	Category	Notes	Authority
Employee Programs	Administration	Includes EAP and recognition	GC 12946
Employee, Recruitment	Administration	Alternate lists/logs, ethnicity disclosures, examination materials, examination answer sheets, job bulletins	GC 12946
			29 CFR 16
			29 CFR 16
Employee, Reports	Administration	Employee statistics, benefit activity, liability loss	GC 34090
Employee Rights – General	Administration		GC 12946
			29 CFR 16
Employment Agreements – At-Will Employees; Temporary Employees	Human Resources	Original agreements/contracts for at-will employees or temporary employees	CCP 337,
Employment Applications – Not Hired	Administration	Applications submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to hire applicant	GC 12946
			29 CFR 16
Employment Eligibility Verification (I-9 Forms)	Administration	Federal Immigration and Nationality Act; Immigration Reform/Control Act 1986	8 USC 132
			Pub. Law

Type of Record	Category	Notes	Authority
Employment – Surveys and Studies	Administration	Includes classification, wage rates	GC 12946
			29 CFR 5
Employment – Training Records, Nonsafety	Administration	Paperwork documenting internal and external training for nonsafety employees, includes any volunteer program training – class training materials, internships	GC 12946
Employment – Vehicle Mileage Reimbursement Rates	Administration	Annual mileage reimbursement rates set by the Internal Revenue Service	GC 34090
Environmental Quality – Air Quality (AQMD)	Development	Participants/voucher logs, total daily mileage survey (TDM), various local authorities, commute alternative	CCP 338(
			GC 34090
Environmental Quality – Asbestos	Development	Documents, abatement projects, public buildings	GC 34090
Environmental Quality – California Environmental Quality Act (CEQA)	Development	When the district is the lead or responsible agency – notice of exemptions, environmental impact report, mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations	GC 34090
			CEQA gui

Type of Record	Category	Notes	Authority
Environmental Quality – Congestion Management	Development	Ride sharing, trip management	GC 34090
Environmental Quality – Environmental Review	Development	Correspondence, consultants, issues, conservation	GC 34090
Environmental Quality – Pest Control	Development	Pesticide applications, inspections and sampling documents	GC 34090
Environmental Quality – Soil	Development	Analysis, construction recommendations	GC 34090
Environmental Quality – Soil Reports	Development	Final reports	GC 34090
ERISA Records (Employee Retirement Income Security Act)	Human Resources	Employee Retirement Income Security Act of 1974 – plan reports, certified information filed	29 USC 10
Ethics Training Records	Administration	Records required to be kept under Gov’t Code § 53235.2. Records must show dates that district officials satisfied the training requirements and the entity that provided the training	GC 53235
Family and Medical Leave Act (Federal)	Administration	Records of leave taken, district policies relating to leave, notices, communications relating to taking leave	29 CFR 82
			GC 12946
Federal Tax Records	Finance	May include Forms 1096, 1099, W-4 and W-2	29 USC 4

Type of Record	Category	Notes	Authority
			26 CFR 31
			26 CFR 31
			29 CFR 51
Fixed Assets – Inventory	Finance	Reflects purchase date, cost, account number	GC 34090
Fixed Assets – Surplus Property	Finance	Auction; disposal – listing of property; sealed bid sales of equipment	GC 34090
			CCP 337
Fixed Assets – Vehicle Ownership and Title	Finance	Title transfers when vehicle is sold	VC 9900 e
Forms	Administration	Administrative – blank	
Fund Transfers	Finance	Internal; bank transfers and wires	GC 34090
General Ledgers	Finance	All annual financial summaries – all agencies	GC 34090
			CCP 337
			Sec. of Sta Gov't. Rec Retention

Type of Record	Category	Notes	Authority
Gift to Agency Report (FPPC Form 801)	Administration	FPPC form showing payment or donation made to the district or to a district official and which can be accepted as being made to the district	FPPC Reg 18944(c)(3) FPPC Factors to an Agency
Gifts/Bequests	Finance	Receipts or other documentation	GC 34090
Grants – Successful Community Development Block Grant (CDBG); Urban Development; Other Federal and State Grants	Development	Grants documents and all supporting documents: applications, reports, contracts, project files, proposals, statements, subrecipient dockets, environmental review, grant documents, inventory, consolidated plan, etc.	GC 34090
			24 CFR 85
			24 CFR 57
Grants – Unsuccessful	Development	Applications not entitled	GC 34090
Hazardous Materials – Hazardous Waste Disposal	Public Safety	Documents regarding handling and disposal of hazardous waste	CAL OSH
		(Permanent retention of environmentally sensitive materials is recommended)	Sec. of Sta Gov't. Rec Guidelines
Hazardous Materials – Permits, Hazardous Materials Storage	Public Safety	(Permanent retention of environmentally sensitive materials is recommended)	GC 34090

Type of Record	Category	Notes	Authority
			Sec. of Sta Gov't. Rec Guidelines
Hazardous Materials – Exposure Records, Etc.	Public Safety	Employee exposure records, name/identity of chemical substance used, when and where chemical substance was used	8 CCR 32
Hazardous Materials – Underground Storage Tank	Public Safety	Compliance: documents regarding: storage, location, installation, removal, remediation, maintenance and repair	GC 34090
Improvements (Lighting, Underground Utility) – Supporting Documents	Public Works	Supporting documents – bonds, taxes, construction	GC 34090
			Sec. of Sta Governme Managem
Insurance, Joint Powers Agreement	Finance	Accreditation, MOU, agreements and agendas	GC 34090
Insurance Certificates	Finance	Liability, performance bonds, employee bonds, property	GC 34090
		Insurance certificates filed separately from contracts, includes insurance filed by licensees	
Insurance, Liability/Property	Finance	May include liability, property, certificates of participation, deferred, use of facilities	GC 34090
Insurance, Risk Management Reports	Finance	Federal OSHA forms, loss analysis report, safety reports, actuarial studies	29 CFR 19
			GC 34090
Investment Reports, Transactions	Finance	Summary of transactions, inventory and earnings report	GC 34090

Type of Record	Category	Notes	Authority
			CCP 337
			Sec. of Sta Governme Retention
Invoices	Finance	Copies sent for fees owed, billing, related documents	GC 34090
Job Descriptions	Human Resources	Descriptions of duties, qualifications, responsibilities for each position/classification/job title	29 CFR 16
Lease Agreement	Administration	Property or equipment	CCP 337,
Legal Notices/Affidavits of Publication	Administration	Notices of public hearings, proof of publication of notices	GC 34090
Legal Opinions	Administration	Confidential – not for public disclosure (attorney-client privilege)	GC 34090
Litigation	Administration	Case files	GC 34090
Lobbying or Lobbyist Forms (FPPC forms)	Administration	FPPC Form 602 – Lobbying Firm Activity Authorization; FPPC Form 635 – Report of Lobbyist Employer and Reports of Lobbying Coalition – forms used when employing or contracting with a lobbying firm	FPPC Reg
Maintenance Manuals	Administration	Equipment service/maintenance	GC 34090

Type of Record	Category	Notes	Authority
Maintenance/Repair Records	Administration	Equipment	GC 34090
Marketing, Promotional	Administration	Brochures, announcements, etc.	GC 34090
Meter Operations	Public Works	Reader reports, orders, tests, maintenance reports	GC 34090
Meter Reading	Public Works	Reports and rebate reports	GC 34090
Minutes – Board Meetings	Administration	Minutes of Board meetings. Documents are to be imaged immediately. Paper records are to be maintained permanently by the board	GC 34090
Newsletter, District	Administration	May wish to retain permanently for historic reference	GC 34090
Notices – Public Meetings	Administration	Special meetings	GC 34090
Oaths of Office	Administration	Elected and public officials – board members	GC 34090
			29 USC 1
			Sec. of Sta Gov't. Rec Guidelines
OSHA	Administration	OSHA Log 200, supplementary record, annual summary (federal and state – California – OSHA); OSHA 300 Log, privacy case list, annual summary, OSHA 301 incident report forms	LC 6410
			8 CCR 14
			29 CFR 19

Type of Record	Category	Notes	Authority
OSHA (Accident/Illness Reports)	Administration	Personnel – employee exposure records and employee medical records	LC 6410
		Not a public record	8 CCR 32
			8 CCR 14
			GC 6254(c)
Payroll – Federal/State Reports	Finance	Annual W-2s, W-4s, Form 1099s, etc.; quarterly and year-end reports	GC 60201
Payroll Deduction/Authorizations	Finance	Finance	29 CFR 5
			GC 60201
Payroll Records	Finance	Records that specify compensation paid to employees, officers	GC 60201
Payroll Records, Terminated Employees	Finance	Finance files	29 CFR 5
			GC 60201
Payroll, Registers	Finance	Payroll registers, payroll reports	29 CFR 5
			LC 1174(c)
			GC 60201
Payroll, Time Cards/Sheets	Finance	Employee	29 CFR Pa
			8 CCR 11

Type of Record	Category	Notes	Authority
			LC 1174
			Sec. of Sta Governme Mgmt. Gu
Payroll – Wage Rates/Job Classifications	Finance	Employee records	GC 60201
PERS – Employee Benefits	Administration	Retirement plan – annual reports required to be filed under ERISA	29 USC 10
PERS Employee Benefit Plan – original document or copies	29 CFR 1627.3(b)(2)	Current + 2 years	
Personnel Records	Administration	Other records (not payroll) containing name, address, date of birth, occupation, etc., including records relating to promotion, demotion, transfer, lay-off, termination	29 CFR 16
Personnel Rules and Regulations	Administration	Including employee handbooks, employee manuals, and other policies/procedures	CFR 516.0
			CFR 1627
Petitions	Administration	Submitted to legislative bodies	GC 34090
Policies, Administrative	Administration	All policies and procedures, directives rendered by the district not assigned a resolution number	GC 34090
Policies, Board	Administration	Original policies adopted by the Board	GC 34090
Political Support/Opposition, Requests and Responses	Administration	Related to legislation	GC 34090

Type of Record	Category	Notes	Authority
Press Releases	Administration	Related to district actions/activities	GC 34090
Procedure Manuals	Administration	Administrative	GC 34090
Property, Abandonment	Development	Buildings, condemnation, demolition	GC 34090
Property Acquisition/Disposition	Development	District owned. Supporting documents regarding sale, purchase, exchange, lease or rental of property by district	CCP 337.1
Public Records Act Requests	Administration	Requests from the public to inspect or copy public documents	GC 34090
			GC 60201
Purchasing RFQs, RFPs	Finance	Requests for qualifications; requests for proposals regarding goods and services	GC 34090
Purchasing, Requisitions, Purchase Orders	Finance	Original documents	GC 34090
			CCP 337
Recordings – Audio (e.g., for preparation of meeting minutes)	Administration	Audio recordings of board meetings “made for whatever purpose by or at the direction of the local agency”	GC 34090

Type of Record	Category	Notes	Authority
Recordings – Routine Video Monitoring, Telephone, and Radio Communications	Administration	Routine daily recording of telephone communications and radio communications; recordings of routine video monitoring, monitoring systems, or building security systems	GC 53160
Recordings, Video Recordings – Meetings of Legislative Bodies	Administration	Recordings of public meetings made by or at the direction of the district (e.g., board meetings)	GC 54953

Type of Record	Category	Notes	Authority
Recordings, Video – Other Events	Administration	Other than video recordings of public meetings; considered duplicate records if another record of the same event is kept (i.e., written minutes or audio recording)	GC 53161
Records Management Disposition/Destruction Certification	Administration	Documentation of final disposition/destruction of records	GC 34090
Records Retention Schedules	Administration		GC 34090
Recruitments and Selection	Administration	Records relating to hiring, promotion, selection for training	29 CFR 16
Resolutions	Administration	Vital records	GC 34090
Returned Checks	Finance	Adjustments – NSF, etc. (not district checks)	GC 34090
			CCP 337,
Salary/Compensation Studies, Surveys	Finance	Surveys of other agencies regarding wages, salaries and other compensation benefits	GC 34090
State Controller	Finance	Annual reports	GC 34090
State Tax Records	Finance	Filed annually; quarterly	Refer to fe records
Statement of Economic Interest (SEI) – Form 700 (Copies)	Administration	Copies of original statements of elected officials forwarded to Fair Political Practices Commission (FPPC)	GC 81009
Statement of Economic Interest (SEI) – Form 700	Administration	Originals of statements of designated	GC 81009

Type of Record	Category	Notes	Authority
(Originals) (Non-Elected)		employees	
Stop Payments	Finance	Finance – bank statements	GC 34090
Taxes, Special	Finance	Special tax levied by a local agency on a per-parcel basis	CCP 338(
Underground Utility – Supporting Documents	Public Works	Supporting documents for improvements, lighting – bonds, taxes, construction	GC 34090
			Sec. of Sta Gov't. Rec Guidelines
Unemployment Insurance Records	Finance	Records relating to unemployment insurance – claims, payments, correspondence, etc.	26 USC 33
			Calif. Une Insurance
			CCP 343
Utility Services – Applications	Public Works	Applications for utility connections, disconnects, registers, service	GC 34090
			Sec. of Sta Gov't. Rec Guidelines
Utility Services – Billing Records	Public Works	Customer name, service address, meter reading, usage, payments, applications/cancellations, monthly activity	GC 34090
			Sec. of Sta Gov't. Rec Guidelines
Utility Services – Connection Records	Public Works	Maps, water line connections	GC 34090

Type of Record	Category	Notes	Authority
			Sec. of Sta Gov't. Rec Guidelines
Utility Services – Meter Reading, Reports	Public Works		GC 34090
Utility Services – Utility Rebates, Reports	Public Works		GC 34090
Vouchers – Payments	Finance	Account postings with supporting documents	GC 34090
			CCP 337
Wage Garnishment	Finance	Wage or salary garnishment	CCP 337
Warrant Register/Check Register	Finance	Record of checks issued; approved by legislative body (copy is normally retained as part of agenda packet information)	GC 34090
Workers' Compensation Files	Finance	Work injury claims (including denied claims), claim files, reports, etc.	8 CCR 10
			8 CCR 15

XIII. Remuneration and Expenditure Reimbursement

A. Purpose and Authority.

The purpose of this policy is to prescribe the manner in which District employees and directors may be reimbursed for expenditures related to District business, and how directors may be compensated for their service, as permitted under Government Code Sections 53232 through 53232.4.

B. Scope.

This policy applies to the District's General Manager, Staff, and Directors. The provisions of this policy are intended to result in no personal gain or loss to the General Manager, Staff, or Directors.

C. Reimbursement Requests.

Whenever requests for reimbursement for out-of-pocket expenses for item(s) or service(s) appropriately relating to District business are submitted, they shall be submitted on a reimbursement form provided by the District and approved by the Board. Included on the reimbursement form shall be an explanation of the District-related purpose for the expenditure(s), and, except for mileage expense reimbursement, receipts evidencing each expense.

- The Board will review and approve Director reimbursement requests.
- The General Manager will review and approve Staff reimbursement requests.
- The Board will review and approve reimbursement requests made by the General Manager.

D. Cell Phone Reimbursement.

Certain district employees' job duties include the frequent need for a cell phone. Employees who choose to use their personal cell phone for such duties may receive reimbursement for the reasonable and necessary business expenses incurred as a result of using their personal device at a flat rate of \$50.00 per month. This will be paid as part of the employees' paycheck and will be subject to all applicable payroll taxes. This reimbursement does not constitute an increase to base pay and will not be included in the calculation of percentage increases to base pay for salary increases, promotions, etc.

E. Director Compensation.

Members of the Board shall receive compensation on a per meeting or per occurrence basis. The amount Directors receive for attending meetings shall be established by the Board and reviewed annually at its regular meeting in December.

Subject to the restrictions imposed by Water Code Section 30507, Directors are compensated for attending the following:

- Board Meetings and meetings of any advisory committee of the District
- Public meetings of other jurisdictions where the Director's presence is requested by the Board
- A conference or organized educational activity conducted in compliance with Government Code Section 54952.2(c), including but not limited to ethics training required by Government Code Section 53234.
- Any meeting or work session in which a Board member is performing District Business. This includes, but is not limited to, meetings with consultants, contractors or professional staff; meetings with other Districts to review joint venture progress or negotiate contractual specifications; work directly with District Staff on operational or administrative matters; or any other activity that is in support of District operations.

F. Expense Reimbursement.

District employees and directors are eligible to receive reimbursements for travel, meals, lodging, and other reasonable and necessary expenses for attending the above occurrences on behalf of the District. Reimbursement rates shall coincide with rates set by Internal Revenue Service Publication 463 or its successor publication(s).

- Lodging costs shall not exceed the maximum group rate published by the conference or activity sponsor. If the published group rate is unavailable, directors shall be reimbursed for comparable lodging at government or IRS rates.
- Government or group rates offered by the provider of transportation or lodging shall be used when available.
- Directors attending functions on behalf of the shall submit a report to the District summarizing their actions during the meeting or event on behalf of the District.

Any and all expenses that do not fall within the adopted reimbursement policy or the IRS reimbursement rates are required to be approved by the Board of Sierra Lakes County Water District in a public meeting prior to the expenses(s) being incurred.

Sierra Lakes County Water District shall provide expense reimbursement report forms to employees and directors who incur reimbursable expenses on behalf of the District to document that their expenses adhere to this policy.

Expenses that do not adhere to the adopted reimbursement policy or the IRS reimbursement rates, and that do not receive prior approval from the Board in a public meeting prior to the expense being incurred, shall not be eligible for reimbursement.

Receipts are required to be submitted in conjunction with all items listed on the expense report form. Expenses without receipts will not be reimbursed.

Expense reports shall be submitted within a reasonable time of the expense being incurred.

XIV. Reserve Policy

[Deferred for Separate Consideration]

XV. Return to Work Program

WORK-RELATED INJURY/ILLNESS RETURN TO WORK POLICY

In an effort to minimize serious disability due to on-the-job injuries and illnesses and to reduce workers' compensation costs, Sierra Lakes County Water District has developed a return to work policy and a program based on that policy.

This policy is consistent with the District's responsibilities under the Fair Employment & Housing Act (FEHA) to make reasonable accommodations for the injured or ill worker, taking all abilities of that individual into account.

The program will consist of a team effort with participation by supervisors, the District's workers' compensation insurance representative, the medical provider, the injured employee, and District management. All team members will be asked to take an active role in returning the injured/ill employee to a productive status.

Supervisors will assist by directing the employee to appropriate care and assisting in proper reporting of the injury or illness while maintaining a positive and constant flow of communication with the injured worker. They will also assist in arranging work which meets "light duty" restrictions, as needed, to reduce lost time. The supervisor will work with the workers' compensation insurance representative to assist with the assessment of the employee's ability to return to work. Together they will actively encourage the treating physician to release the injured worker to work as soon as possible with due regard for the worker's continued recovery.

By this joint effort, the District will help the injured/ill worker recover at a more rapid rate, gain production for wages paid, minimize the employee's wage loss, and reduce workers' compensation costs.

Procedures for Implementing the Return to Work Program (RTWP)

Action should be taken *the day of the accident or illness* to initiate the RTWP process and continue until the employee is fully recovered as provided below:

- **Contact injured or ill employee and medical facility**
 - Contact the injured or ill employee as soon as practical to ensure him or her of the District's support.
 - Express concern for employee's health and recovery and encourage a speedy return.
 - Inform the employee of the District's interest in tailoring and offering a modified duty job during his/her recovery period.
 - Review the employee's responsibilities for returning to work (page 7, Injured Worker's Responsibilities.)
 - Contact the medical facility treating the employee and inform the treating physician:
 - The District has a RTWP.
 - The District's interest in offering a modified duty position, when appropriate.
 - The need to know the employee's exact job restrictions.
 - Provide the physician with:
 - A follow-up letter indicating the desire to offer the injured employee modified duty if possible. (page 8, Sample Letter - Medical Provider Return to Work)
 - A copy of the employee's regular job description.
 - A form the physician can use to clearly identify the employee's work restrictions. (pages 9-10, Attending Physician's Return To Work Recommendations Record)
- **Obtain employee's medical restrictions**
 - Be sure to get a clear indication of the employee's exact work restrictions.
 - The Attending Physician's Return to Work Recommendations Record (pages 9-10) can help the supervisor identify work options.
 - If the employee cannot return to work, maintain frequent contact with the employee (not less than weekly) for progress reports. This regular contact should be made with the injured or ill worker to return him/her to work as soon as possible.
- **Identify modified duty job**
 - Once the employee's restrictions are known, have management and supervisors review the work restrictions.
 - Have management and supervisors identify the modified duty jobs the employee can possibly perform.
- **Coordinate the modified duty job with JPIA Claims Management**
 - Contact JPIA Claims Management, (800) 231-5742, to discuss the possibility of offering the employee a modified duty position during his/her recovery period.
 - Coordinate RTWP follow-up actions.

- Maintain good communication with JPIA regarding the status of the injured worker.
 - Notify the claims representative if the worker refuses the modified work or fails to report to work on the start date.
 - Send a copy of the physician's release and written job offer to the claims representative, along with certified receipts (as applicable).
- **Offer employee modified duty position**
 - Contact the injured employee and inform him/her that a temporary modified duty position is being offered.
 - Review the modified job description (page 11, Temporary Modified Work Assignment form) with the employee in person and have him/her sign it.
 - If the worker has cannot be contacted by telephone, text, or e-mail, send a written job offer via certified return receipt mail. (page 12, Sample Letter – Temporary Modified Duty Job Offer)
- **Ensure supervisor and employee understand modified duty job restrictions**
 - Make sure the limitations are clear and understood by all necessary levels of supervision.
 - The Temporary Modified Work Assignment form (page 11) can be used to ensure the modified duty assignment is understood.
- **Initiate follow-up of employee's medical progress**
 - Follow-up with the employee, as necessary, to review information and forms he or she is required to return.
 - Continue monitoring the employee's medical condition while working modified or light-duty, and make sure the employee does not exceed the physician's limitations.
 - Obtain the latest medical restrictions following each doctor visit.
 - Updated Attending Physician's Return to Work Recommendations Record forms (pages 9-10) can be used throughout the healing process to get a clear indication of new work restrictions.
- **Re-evaluate duty restrictions and change modified duty job**
 - On a regular basis (recommended at least every two weeks, but not less than monthly), assess the worker's progress and ability to increase work activity or return to regular work duties.
 - Update the modified duty job description each time the employee's restrictions change.
 - Make sure new job limitations are clear and understood by all necessary levels of supervision.
- **Monitor employee until he or she has returned to full duty**
 - Continue monitoring the employee's medical condition and work restrictions until returned to full duty.
 - Make any necessary adjustments to ensure a positive and successful return to work for the employee.
 - Maintain continuous communication with all levels of management.

- Notify the JPIA Claims Management representative when the worker returns to work, and update the JPIA Claims Management representative when the worker returns to full duty.

Employee Acknowledgement of Return to Work Program

It is the District’s policy to provide modified or alternative work for all employees with a work-related injury or illness. Should you become injured or ill due to your work activities, you will be encouraged to return to work as soon as medically appropriate.

Your supervisor, the District’s workers’ compensation insurance carrier representative, and District management will assist in this effort. In the event of a work-related injury or illness, you will be directed to the appropriate medical facility and a strong attempt will be made to provide work for you within your medical restrictions.

I HAVE READ AND UNDERSTAND THE SIERRA LAKES COUNTY WATER DISTRICT RETURN TO WORK POLICY.

Date: _____ Signed: _____

Worker's Responsibilities in Case of On-the-Job Injury or Illness

After your first appointment with a physician, bring the Return to Work Recommendations Record completed by the doctor (or any other slip provided by the physician) to your supervisor. Work will be provided to you within your restrictions, if any, whenever possible.

If you are not able to work at all after the first appointment, advise your supervisor. Once you are released to light duty, report to work immediately.

Once you are back at work, you are responsible for:

- working within the physical limitations set by the physician at all times and performing only those temporary duties assigned to you by your supervisor;
- informing your supervisor if you are having any difficulties performing your assigned tasks;
- informing your supervisor in advance if you must miss work for a medical appointment - please make every effort to schedule your medical appointments outside your work schedule; and
- ensuring that your supervisor knows of any changes in your work restrictions you learn from your doctor.

Please note that if you do not report to work (light duty or regular work) when you are released, you may not be eligible for temporary disability payments or wages.

All District rules and policies apply to employees who are performing light duty work.

Sample Letter - Medical Provider Return to Work

(Letterhead)

Date

Medical Provider
Address
CSZ

Dear Doctor:

The Sierra Lakes County Water District is committed to the return to work of its industrially injured/ill employees and has developed a Return to Work Program to facilitate resumption of work within the constraints of the medical recovery. We will provide restricted and alternative job opportunities to allow for healing on the job, in line with your medical restrictions.

Our injured/ill employees will be returned to temporary assignments which will not aggravate or stress the injured body part(s). This should prevent long term temporary disability with absences from work and lessen the loss of productivity for both the employer and employee.

You are authorized to treat our employees and fill out the attached Return-to-Work Recommendations Record. A few sample job descriptions are attached for your review, and individual job descriptions and a Return to Work Recommendations Record will be provided as workers are referred to you for treatment. The descriptions should help to clarify the physical requirements of positions within the District, allowing employees to return to regular duties more quickly.

This program has been created as a benefit to the injured worker from a financial and employment standpoint. If you have any questions regarding aspects of the program or tasks on the list, please contact us or the claims administrator immediately. We would welcome your personal visit to the District to help illustrate our commitment to the program.

Thank you in advance for your support and cooperation.

Sincerely,

Sierra Lakes County Water District

Enclosures

(Physicians RTW Recommendations Record and Job Descriptions)

Attending Physician's Return to Work Recommendations Record

PATIENT'S NAME

DATE OF INJURY/ILLNESS

DIAGNOSIS

TO BE COMPLETED BY ATTENDING PHYSICIAN

I saw and treated this patient on _____ and:
(date)

1. ___ Recommend his/her return to work with no limitations on:
(date)

2. ___ He/She may return to work capable of performing the degree of work checked below, with the noted limitations.

DEGREE

LIMITATIONS

___ Sedentary Work. Lifting 10 pounds maximum and occasionally lifting and/or carrying such articles as docket, ledgers, and small tools. Although a sedentary job is defined as one which involves sitting, a certain amount of walking and standing is often necessary in carrying out job duties. Jobs are sedentary if walking and standing are required only occasionally and other sedentary criteria are met.

___ Light Work. Lifting 20 pounds maximum with frequent lifting and/or carrying of objects weighing up to 10 pounds. Even though the weight lifted may be only a negligible amount, a job is in this category when it requires walking or standing to a significant degree or when it involves sitting most of the time with a degree of pushing and pulling of arm and/or leg controls.

___ Medium Work. Lifting 50 pounds maximum with frequent lifting and/or carrying of objects weighing up to 25 pounds.

___ Heavy Work. Lifting 100 pounds maximum with frequent lifting and/or carrying of objects weighing up to 50 pounds.

___ Very Heavy Work. Lifting objects in excess of 100 pounds with frequent lifting and/or carrying of objects weighing 50 pounds or more.

In an 8-hour work day patient may:

a. Stand/Walk

___ None ___ 1-4 Hrs
___ 4-6 Hrs ___ 6-8 Hrs

b. Sit

___ 1-3 Hrs ___ 3-5 Hrs ___ 5-8 Hrs

c. Drive

___ 1-3 Hrs ___ 3-5 Hrs ___ 5-8 Hrs

Patient may use hands for repetitive:

___ Single Grasping ___ Pushing & Pulling
___ Fine Manipulation

Patient may use feet for repetitive movement as in operating foot control: ___ Yes ___ No

Patient is able to:

Frequently Occasionally Not at All

a. Bend _____

b. Squat _____

c. Climb _____

d. Twist Body _____

OTHER INSTRUCTIONS AND/OR LIMITATIONS:

3. These restrictions are in effect until _____ or until patient is reevaluated on _____.

4. He/She is totally incapacitated at this time. Patient will be reevaluated on _____.

**PHYSICIAN'S
DATE**

SIGNATURE

AUTHORIZATION TO RELEASE INFORMATION

I hereby authorize my attending physician and/or hospital to release the above information or copies thereof acquired in the course of my examination of treatment for the injury identified above to my employer or his representative.

**PATIENT'S
DATE**

SIGNATURE

SIERRA LAKES COUNTY WATER DISTRICT

Temporary Modified Work Assignment

Employee Name: _____ Date: _____

Job Title: _____

I understand that I am temporarily assigned to modified duty. My duties will include:

My pay for this work will be: _____ per _____

I also understand that the following limitations have been prescribed by the physician and I will not exceed these limitations:

Expected date of return to regular employment or re-evaluation of my physical capabilities is: _____

I understand that all District rules and policies apply to employees working in a modified or alternative position.

Employee: _____ Date: _____

Supervisor: _____ Date: _____

Sample Letter – Temporary Modified Duty Job Offer

(Letterhead)

Date

Certified Mail No.
Return Receipt Requested

Claimant Name
Address
CSZ

Dear :

We have received information from your physician that you have been released to perform light duty work with the following restrictions:

Given your skills, aptitudes, and abilities, I would like to offer you a position as _____. [Note agreed upon or offered accommodations.] The wage for this position is \$_____ per _____. Your work week will be Monday through Friday, _____ a.m. to _____ p.m. We can start you at _____ days per week, if necessary, and gradually build up to a full work week. We will work to ensure that any medical appointments are accommodated within your work schedule.

I would appreciate hearing from you within five days or by _____ to let me know when you will be coming to work, since the job will be available as of _____. Failure to return by the date the job is available could result in the reduction or loss of your time loss benefits and/or loss of your re-instatement rights with us.

We look forward to hearing from you soon.

Sincerely,

Sierra Lakes County Water District

cc: JPIA

Wage Loss Calculation

If an injured worker is brought back to a temporary job consistent with the medical restrictions but at a lower pay rate, the JPIA will pay 2/3 of the difference between the employee's current income in the temporary job and the earnings at the time of injury or \$735/week, whichever is lower (the temporary job earnings must be less than \$735/week to qualify for wage loss payments.)

Example 1

Date of Injury Earnings: \$600/wk
Temporary Work Earnings: \$400/wk
Wage Loss Formula: $\$600 - \$400 = \$200$
 $\$200 \times 2/3 = \$133.34/\text{wk}$ due to the worker from JPIA

Example 2

Date of Injury Earnings: \$672/wk
Temporary Work Earnings: \$550/wk
Wage Loss Formula: $\$672 - \$550 = \$122$
 $\$122 \times 2/3 = \$81.34/\text{wk}$ due to the worker from JPIA

Example 3

Date of Injury Earnings: \$1000/wk
Temporary Work Earnings: \$735/wk
Wage Loss Due: \$0 from JPIA

Example 4

Date of Injury Earnings: \$550/wk
Temporary Work Earnings: \$550/wk
Wage Loss Due: \$0 from JPIA

XVI. Workplace Safety

A. Use of Personal Protective Equipment.

Hard hats must be worn:

- By all personnel on the ground within 50 feet and by the operator of a backhoe.
- In and around any construction area.
- In and around any area where overhead work is being conducted.

Hard hats with attached ear and eye protection must be worn:

- By all personnel within 50 feet of an operational jackhammer.
- By the operator or anyone assisting in the operation of electric or gas-powered pieces of equipment such as a weed eater or saw.

B. Illness and Injury Prevention Manual

[Deferred for Separate Consideration]

XVII. Statement of Investment Policy

A. Background and Purpose.

Government Code section 53646 requires the District to prepare and adopt a written statement of investment policy annually.

Government Code sections 53600 et seq. and 53630 et seq. and other laws authorize the District to deposit and invest its money and funds in various institutions and types of investments, subject to limitations.

The purpose of this policy is to provide guidelines with regard to the deposit and investment of District monies and funds in accordance with, and subject to the limitations of, applicable laws.

B. Scope.

This investment policy applies to all monies, funds, and financial assets of the Sierra Lakes County Water District, including its general fund, all enterprise funds, all developer and impact fee funds, and any and all capital project funds.

C. Standard of Care and Objectives.

Deposits and investments shall be made with the judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs; not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived. District management and employees handling deposits and investments of District funds shall act pursuant to a “prudent investor” standard applied in the context of managing the entire portfolio. (See Govt. Code, § 53600.3.)

When depositing, investing, reinvesting, purchasing, acquiring, exchanging, selling, and managing District funds, the District’s primary goals and objectives, in priority order, shall be:

1. Safety.

To safeguard the principal of the District funds. Deposits and investments of District funds, monies, and financial assets shall be undertaken in a manner that seeks to ensure the preservation of capital in the overall portfolio.

2. Liquidity.

To meet the liquidity needs of the District. The District’s investment portfolio must remain sufficiently liquid to enable the District to meet all operating expenses and requirements which might be reasonably anticipated.

3. Return on Investment.

To achieve a return on the investment of District funds. As a final priority, the District's investment portfolio shall be designed with the objective of obtaining a fair market rate of return throughout budgetary and economical cycles and consistent with the first two priorities.

D. Duty of the Board.

The Board of the Sierra Lakes County Water District is responsible for the deposit and investment of District monies, funds, and financial assets pursuant to this statement of investment policy.

E. Authorized Investments.

District funds and monies may be deposited and invested in various institutions and investment types as provided by law under Government Code sections 53600 et seq.

No investment shall be made in any security that at the time of the investment has a term remaining to maturity in excess of five years, unless the Board has granted express authority to make that investment either specifically or as a part of an investment program approved by the Board no less than three months prior to the investment.

F. Safekeeping and Custody.

All District deposits and investments shall have the District named as depositor and registered owner. All securities purchased or acquired shall be delivered to the District by Book entry, by physical delivery, or by third party custodial agreement as required by Government Code section 53601.

G. Annual Review and Quarterly Reporting.

The District Secretary on a monthly basis shall submit to the Board copies of the most recent account statements received by the District from the institutions holding District funds and financial assets. (Govt. Code, § 53646(e).) The District Secretary shall annually review this statement of investment policy and request the Board either to make appropriate changes or to reaffirm the current policy. (Govt. Code, § 53646(a).)

H. Amendments.

This statement of investment policy shall take effect only upon adoption by resolution of the Board. Any subsequent amendments or modifications shall not take effect unless expressly approved by resolution of the Board.

XVIII. Board Decision Making.

A. Purpose.

The purpose of this policy is to establish a clear process for determining and expressing District positions on the legislative or policy actions of other jurisdictions so that the District can represent its interests in a clear and time-effective manner. As used in this policy, the term “jurisdiction” includes non-profit organizations.

B. Policy

It is the policy of the Board to have a clearly defined process for efficiently and effectively communicating the District's position on relevant legislation or policy actions of other jurisdictions at the local, state and federal levels. This policy applies solely to actions pending before legislative or administrative bodies, not to matters that are directly before the voters.

C. Procedure.

There will be two procedures for establishing official District positions on the legislative or policy actions of other jurisdictions:

1. Standard Procedure.

Under all circumstances except those described in subsection (B) of this policy, staff will present the Board with an agenda report and recommendation for taking an official District position on the legislative or policy actions of other jurisdictions, including but not limited to, the federal, state and other local governments.

These agenda reports will summarize the relevant issues, providing appropriate background information and alternatives for the Board to base a decision.

If the staff recommendation is approved, the Board will authorize the Board President or the President’s designee to advocate for or against that legislation or policy action, and to take related actions to advance the relevant District interests.

2. Urgency Procedure.

With prior notice to the General Manager, the Board President or the President's designee is delegated authority to establish official District positions on the legislative or policy actions of other jurisdictions, or to engage in communications with other government officials regarding potential legislation or policy actions without Board action, if all of the following conditions are met:

- The proposed legislation or policy action has a clear positive or negative connection to District activities;
- The proposed District position or comment is consistent with existing Board policies or policy direction; and
- Using a reasonable person standard:
 - There is insufficient time to bring this matter before the full Board; and

- The proposed District position appears unlikely to generate public controversy or create other unintended consequences.

In advance of any action taken under this authority, the Board President or the President's designee shall provide written (e-mail) notice to all members of the Board by blind copy (bcc) with a summary of the position being taken and other relevant information.

If any member of the Board objects to the proposed position within 24 hours of written notice, the District will not take an official position until such a recommendation can be brought before the entire Board.

Actions taken by the Board President or the President's designee pursuant to this policy shall be agendaized for discussion at the next regular Board meeting, and the agenda packet shall include a summary of the position taken and a copy of any written communications of that position provided to other jurisdictions.

XIX. Vehicle Use

A. Use of District Vehicles.

District vehicles shall be operated only by authorized District employees.

The use of District vehicles shall be limited to commuting to and from work by the on-call Operator or conducting official District business.

Family members are not authorized to drive/ride in a District vehicle nor shall family members be taken to a District job site or facility. Employees may occasionally have non-family passengers in the vehicle that are a necessary part of the District's operations.

The District will provide a vehicle for transportation to and from business meetings, work-related conferences, seminars, training or other similar events District employees are invited to attend whenever operational needs permit. Whenever District vehicles are not available for such official District business and an employee uses a personal vehicle for such District business, the District will reimburse the current rate for mileage as set from time to time by the Internal Revenue Service.

Personal use, or other improper or unauthorized use of District vehicles will result in disciplinary action up to and including termination.

B. General Manager Authorization to Use District Vehicles.

The General Manager may authorize the use of a District vehicle by the Operator assigned on-call duty to commute to and from their residence and to respond to after-hours calls for the period the Operator is on such duty.

The vehicle shall not be used for personal purposes once the vehicle is at the residence other than de minimis personal use, such as a stop for a personal errand on the way to and from home and during the work day when his/her personal vehicle is not available. The vehicle may not be used after hours for personal travel in anticipation of, or being prepared for, call-out. If the on-call Operator chooses to use a District vehicle to commute between his/her home, a second Operator may shuttle the on-call Operator and his/her personal vehicle to the on-call Operator's home so that the personal vehicle is available for non-District related travel. In lieu of using a District vehicle, the Operator assigned on-call duties may elect to use his/her personal vehicle and will be reimbursed the current rate for mileage to/from his/her residence and the District during the period the Operator is on-call and for after-hours calls.