



ADMINISTRATIVE Policies/Procedures Manual

Issue Date: January 14, 2022

Revised: 09/12/2025



CMSA ADMINISTRATIVE POLICIES/PROCEDURES

INDEX

Issue Date: January 14, 2022

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POLICY/PROCEDURE #:	1
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Agency Policy/Procedure Identifier Standard
DATE:	2/12/25

PURPOSE

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

PROCEDURE

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

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

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POLICY/PROCEDURE #:	2
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Media Information Requests
DATE:	2/12/25

POLICY

To promptly and transparently respond to media information requests.

PROCEDURE

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

- I. Staff receiving the request will obtain the reporter's contact information and deadline, and provide it to the Administrative Specialist.
- II. The Administrative Specialist will forward the reporter's contact information to the appropriate Department Manager.
- III. The Department Manager will contact the reporter to determine the nature of the information requested. The requested information does not need to be given during the initial contact.
- IV. The Department Manager will determine if the information is readily available, and evaluate if the information can be retrieved and a response formulated by the reporter's deadline.
- V. The Department Manager will contact the GM to discuss the request and an appropriate response. If the GM is not accessible, the Assistant GM will contact the Board Chair to discuss the request.
- VI. Responses to media inquiries shall be limited to the information being requested.
- VII. After the information is provided, the Department Manager will prepare a brief written summarizing of the discussions with the reporter and the information provided, and provide it to the GM.

Agency staff shall not provide any document that contain legally restricted confidential, personnel, or medical information.

POLICY/PROCEDURE #:	3
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Disposal of Surplus Assets
DATE:	12/10/2024 <i>(Board Approved)</i>

POLICY

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

PROCEDURE

Agency assets will be determined to be surplus by department. Department Managers will estimate the value of the asset to be declared surplus and provide a recommendation to the General Manager on the manner to dispose of the assets, including process and method, and the advertising approach. The recommendation will be submitted on the Agency's Disposal of Surplus Assets Form, located at S:\Lib - Forms and Templates\STAFF FORMS

- I. Advertising—The Department Manager will review options for advertising, including advertising in print media or listing on websites. The most appropriate method will be determined using factors such as asset value, advertisement costs, desired audience, and breadth of advertisement.
- II. Disposal Methods—The disposal method may include sale to the highest bidder after sealed proposals are opened, donation to a local non-profit organization, or discarding or recycling with other solid waste. Department Managers will determine and recommend the most appropriate disposal method for each asset.

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

- III. Authorization—The Board of Commissioners shall approve disposal for any item whose current value is \$7,500 or greater. The General Manager shall approve disposal of any item valued less than \$7,500.
- IV. Reporting—After an asset has been sold, donated, or disposed, the Department Manager will ensure the asset information is updated in the Agency's fixed asset schedule and asset management program.
- V. All funds realized from the sale of surplus assets will be deposited in the Agency's general operating account.

POLICY/PROCEDURE #:	4
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Agency Tours
DATE:	2/12/25

PURPOSE

This policy identifies the route and procedures to be used when scheduling and providing educational tours of the Agency.

GENERAL PROCEDURES

The identified procedures and route are designed to comply with the access requirements of the Americans with Disabilities Act (ADA). The tour route stop descriptions provide a basic framework for discussion in each area.

- A. Refer persons requesting a group tour to the Regulatory Compliance Manager, who will take the pertinent information, schedule the tour, and arrange for a tour leader.
- B. Group tours must be scheduled in advance. Individual tours may be given with minimal advance scheduling, provided the tour leader has obtained authorization from their supervisor to conduct the tour.
- C. Generally, tours shall be scheduled during normal Agency business hours. However, exceptions may be considered by the General Manager. Tours are to be conducted with the utmost concern for the safety of the tour group.
- D. Tours requests from individuals and small groups shall be scheduled together for efficiency.
- E. Tours shall not be conducted in the vicinity of construction work. If construction is near the Agency's standard tour route, the tour leader shall adjust the route accordingly.
- F. Tour groups will have at least one adult for each 15 students for Grades 5 and above, and for younger students the ratio shall be one adult to each three students. Tours shall only be provided to students Grades 3 and above, except as approved by the General Manager. Student group tour leads must carry radios on all tours.
- G. All tour attendees shall complete and submit the CMSA Tour Waiver and Release Form prior to the scheduled tour event. The form can be found on the Agency website.
- H. In the event of a facility-wide emergency, the tour leader shall immediately escort the

tour group to the Emergency Assembly Area, depicted as “AA” in the attached map, and await further instructions.

- I. After completing the tour, the tour leader will email the Regulatory Compliance Manager the pertinent information regarding the tour, including tour date and time, organization name, size of group. This information shall be included in the Agency’s monthly performance metric report and annual pollution prevention report.
- J. Students are not allowed to take cell phones, PC tablets, and similar electronic devices on the tour, and they must be left in vehicles or in the administration building’s electronic device storage container. Adults may carry mobile devices, but they must be left in the device storage containers in designated areas of the facility during the tour.

TOUR ROUTE

- I. The attached map depicts the standard facility tour route.
- II. A complete tour should take an average of approximately 1-2 hours. The time taken and the details provided at each stop will vary based on overall time constraints, interests of the tour group, the tour leader’s other duties, etc.
- III. Each stop identified on the tour route map is lettered and corresponds to the heading letters in the Tour Route and Description section, below. The description talking points are a general guideline only, and may be supplemented by the tour leader’s knowledge of particular areas.
- IV. Tour Route and Descriptions
 - A. Administration Building/Entry Plaza/Board Room (depending upon conditions)
 - 1) CMSA owns and operates a large regional wastewater treatment plant (WWTP).
 - 2) Our service area: part of San Rafael (South of Santa Venetia), Corte Madera, Larkspur, Greenbrae, Kentfield, Ross, San Anselmo, Fairfax, San Quentin, and unincorporated areas in the Ross Valley.
 - 3) CMSA’s facilities began operation in 1985.
 - 4) A computer control system monitors operating conditions at the Agency’s facilities and automates control of many different treatment processes.

B. Laboratory

- 1) The lab conducts compliance testing for a number of compounds under our NPDES (National Pollutant Discharge Elimination System) permit which regulates our discharge into SF Bay. The permit protects the beneficial uses of the Bay by applying specific limits to a number of different compounds.
- 2) Control testing is performed on treatment processes to ensure they are operating as effectively and efficiently as possible.
- 3) If time permits, briefly describe the equipment and the test procedures used and the bioassay testing equipment.
- 4) If time permits, briefly describe the Agency's pretreatment and pollution prevention programs.

C. Hydrogen Peroxide Station

- 1) Briefly describe use of calcium nitrate solution and hydrogen peroxide in a two-phase program to control odors.

D. Hauled Waste/Vactor Receiving Station

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

E. Headworks/Preliminary Screening/Primary Clarifiers

- 1) Screens are the first step of wastewater solids separation; they remove large, untreatable objects (plastic, wood, toys, etc.) from the wastewater for separate disposal.
- 2) Aerated grit tanks remove sand and rocks using air flow to create a horizontal cyclone that increases settling to the bottom of each tank.
- 3) Sand and rocks are pumped to grit washers and classifiers, where they are washed and hauled away to a landfill. The lighter-weight organic

solids, that are suspended or dissolved in the wastewater, are removed in the next process downstream, primary clarification.

- 4) Primary clarifiers: A physical process where the water is slowed down to ~2 ft./sec. to allow floating material, “scum,” and non-floating materials, “sludge,” to be removed.
- 5) The waste materials from the primary process (scum and sludge) are pumped to the anaerobic digesters to produce biogas.

G. Secondary Treatment – Biotowers and Aeration Tanks

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

H. Secondary Clarifiers

- 1) Aeration tank effluent flows to the Secondary Clarifiers where the activated sludge settles to the bottom.
- 2) A majority of the activated sludge is sent back to the aeration tanks, called Return Activated Sludge, to maintain the treatment process. The rest of the activated sludge is “wasted off” from the treatment stream – called Waste Activated Sludge. This is thickened with special equipment called rotary drum thickeners and pumped to the digesters for treatment.
- 3) By balancing the amount of returned and wasted sludge, the optimum age and type of microorganisms can be selected that will both treat the wastewater properly and settle well in the secondary clarifiers.

I. Effluent Storage Pond

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

J. Chlorine Contact Tanks/Dechlorination

- 1) High-efficiency mixing of a chlorine solution (sodium hypochlorite that is like pool chlorine) is introduced to secondary-treated water as a disinfectant prior to discharge into SF Bay.
- 2) After the water is chlorinated, it travels slowly in long basins called chlorine contact tanks. These tanks are very long so that the chlorine can stay in contact with the wastewater long enough to adequately remove harmful bacteria.
- 3) A portion of the disinfected water is recycled, and used on-site to irrigate landscaping, cool a cogeneration engine, wash equipment and tanks, and transport chemicals. Some is trucked off-site to clean sewer pipelines.
- 4) At the end of the chlorine contact period, residual chlorine in the water is removed utilizing a dechlorinating solution called sodium bisulfite.

K. Outfall

- 1) Once the water has been fully treated, disinfected, and dechlorinated, it is discharged into a seven-foot (7') diameter Outfall Pipeline.
- 2) The Outfall Pipeline is about 10,000 feet long (about two miles), and generally follows the alignment of the Richmond Bridge in the Bay.
- 3) At the end of the outfall, the final effluent is slowly discharged into the Bay through a 1,000-foot-long diffuser section with 176 separate diffuser ports.

L. Chemical Storage

- 1) Sodium hypochlorite and sodium bisulfite are stored on-site. CMSA has five 6,000 gallon tanks to store sodium hypochlorite, and two 6,000 sodium bisulfite bulk storage tanks.
- 2) Sodium hypochlorite is a caustic chemical that requires special tanks, pumps, transfer lines, and storage.
- 3) Sodium bisulfite, in the next storage room, is used to dechlorinate the disinfected effluent. Tanks and plumbing in this room are insulated and heated because sodium bisulfite needs to be kept warm so that it doesn't crystallize and plug the lines.

M. Organic Waste Receiving Facility

- 1) Receives Fats, Oils, and Grease (FOG) from private haulers that collect it from restaurant grease traps.
- 2) Receives organic liquid wastes, such as brewery and food processing wastes from private haulers.

- 3) Receives pre-consumer food waste from restaurants, schools, and markets.
- 4) FOG, food waste, and other organic liquid wastes are mixed, screened, processed, and pumped to the anaerobic digesters to produce additional biogas.
- 5) Benefits of receiving these wastes are reduced greenhouse gas emissions, increased landfill space, and additional biogas production which extends the cogeneration system's runtime for renewable energy production.

N. Anaerobic Digesters

- 1) We have two anaerobic digesters that receive and process sludges that are pumped from the primary and secondary clarifiers, and organic materials that are processed and pumped from the Organic Waste Receiving Facility.
- 2) These materials decompose without oxygen present (anaerobic digestion), which produces biogas. Biogas is used as a fuel for our cogeneration engine.
- 3) The Digesters are heated to at least 95 degrees Fahrenheit. The solids are retained for at least 15 days to break down the organic components of the solids, kill pathogenic bacteria, and reduce odors.

O. Solids Handling Building (3rd floor)

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

P. Biogas Treatment and Flares

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

generator, damaging the engine.

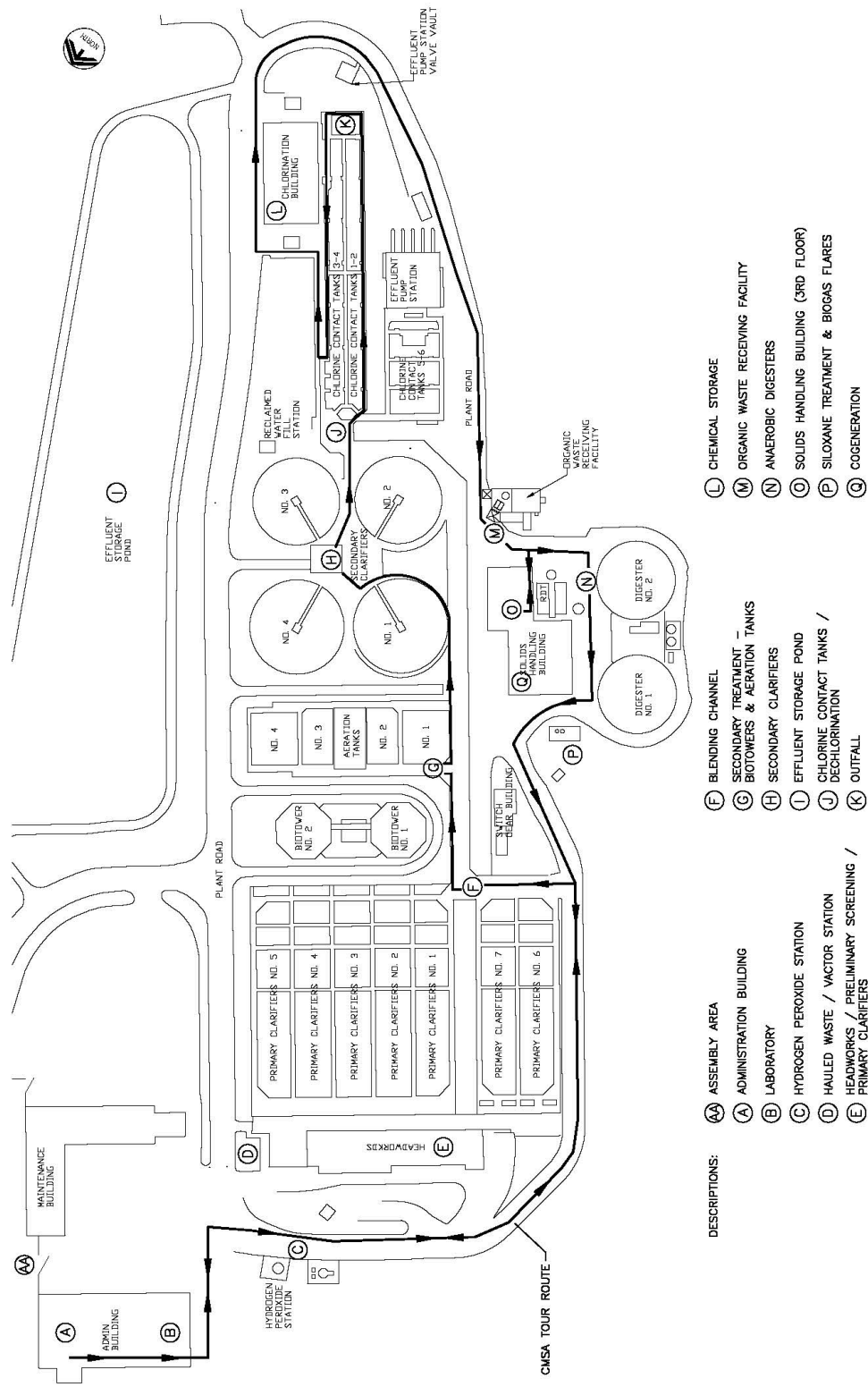
- 3) Biogas is used in our boilers to produce hot water to heat the digesters. When the cogeneration engine is down for maintenance, we continue to produce biogas in the digesters. Occasionally it is necessary to burn off some of this gas in flares to manage the digester's biogas volume.

Q. Cogeneration

- 1) We have two cogeneration systems, a 995kW primary engine-generator and a 750kW back-up unit.
- 2) The engines run on either biogas or natural gas—both are methane, but natural gas is about 95% methane, and biogas is about 65%.
- 3) On most days, renewable energy powers the Agency's facilities and we export some for sale to MCE.
- 4) The engine also produces heat, which is recovered and used to keep the digesters warm, heat the administration and maintenance buildings, and heat all the water needed throughout Agency facilities.
- 5) Two dual-fuel boilers back up the cogeneration system to produce hot water if the engine is not running.
- 6) A back-up 750kW diesel-powered generator is on site in case of emergency, and a rental back-up generator can also be brought in if needed.

Attachments:

- 1) Tour Route Map
- 2) Tour Waiver and Release Form





CENTRAL MARIN SANITATION AGENCY TOUR WAIVER AND RELEASE

For and in consideration of permitting [ENTER NAME: _____] to participate in a public tour of Central Marin Sanitation Agency (CMSA) at 1301 Andersen Drive, San Rafael, California, 94901 on [ENTER DATE: _____], the undersigned hereby VOLUNTARILY RELEASES, DISCHARGES, WAIVES AND COVENANTS NOT TO SUE CMSA, ITS DIRECTORS, OFFICERS, AGENTS, AND EMPLOYEES (RELEASEES) for any and all loss, liability, expense, claims, suits, and damages, including attorneys' fees, arising out of or resulting from my participation in tours including, but not limited to, negligent acts, errors or omissions, or willful misconduct of CMSA or any other participant which causes the undersigned property damage, injury, or death. Additionally, by signing this agreement, I further release the RELEASEES from any and all claims and liabilities for injuries or property damage arising from my own negligent acts, errors or omissions, or willful misconduct.

The undersigned further agrees to indemnify, defend and hold the RELEASEES harmless from and against any loss, liability, expense, claims, suits, and damages, including attorney's fees, that arise out of or result from my participation in tours, and/or presence on CMSA property.

The undersigned acknowledges that I am aware of the risks inherent in tours and VOLUNTARILY elect to accept all risks associated with tours and my entry onto CMSA property to participate in tours.

I grant CMSA the right to take photographs of me or my child when participating in an Agency tour. I authorize the Agency to use and publish the same in print or electronically. I agree that CMSA may use such photographs with or without my name and for any lawful purpose, including for example such purposes as publicity, illustration, advertising, web content, presentation, or media related purpose.

The undersigned acknowledges that I have read this document and understand that it is a release of all claims and assumption of all risk inherent in tours. I am fully aware of the legal consequences of signing this document and I voluntarily sign my name evidencing my acceptance of the above provisions.

(Signature of Attendee)

(Street Address)

(Print Name)

(City, State, Zip Code)

(Date)

(Phone Number)

In the event that the volunteer applicant is under the legal age of consent, this form must be signed by a parent or legal guardian.

(Signature of Parent/Guardian)

(Street Address)

(Print Name)

(City, State, Zip Code)

(Date)

(Phone Number)

POLICY/PROCEDURE#:	5
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Records Management and Retention
DATE:	2/12/25

PURPOSE

Establish guidelines and procedures pertaining to the maintenance, management, retention, and destruction of Agency records in hard copy and electronic format.

RECORDS STORAGE LOCATIONS

Each Agency department manager is responsible for the management of department-related files. The Safety Officer maintains safety related documents, with most hard copies kept in their administrative office file cabinets.

A Finance, Operations, Maintenance, Engineering, and Clean Water Grant Program hard copy record archive is located in a secure room on the second floor of the Solids Handling Building. Records are stored in cardboard bankers' boxes on shelving units, with the contents clearly labeled on the front of each box.

Source Control and Laboratory Analytical records are housed in Technical Services staff offices that are adjacent to the environmental laboratory in the Administrative Building.

Employee personnel, workers' compensation and medical records are kept in secure cabinets in the Administrative Office. When an employee separates from active CMSA employment their personnel file is maintained until scheduled for destruction.

Managers are expected to visit the archive at least annually to review and organize the records in their respective sections.

PROCEDURE

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

I. Retention

- A. The designated employee is responsible for determining required retention times for their categories of records.
- B. The designated employee is responsible for filing records using a system that is readily understandable and searchable.
- C. The designated employee is responsible for moving files to the Archive when appropriate, and ensuring that the files are appropriately boxed and labeled, ensuring all records are appropriately stored, and keeping their area of the Archive clean and orderly.

II. Records Purge/Destruction

- A. The designated employee is responsible to authorize purging of records according to the retention schedule. No records will be destroyed without written authorization of the appropriate Department Manager.
- B. The designated employee will determine what type of destruction method is appropriate for each type of record in their department. Destruction methods are described below.
 - 1. In-house shredding – for small quantities of paper using the Administrative shredder.
 - 2. Offsite shredding – supervised, for large quantities, at Marin Sanitary Service's facility.
 - 3. Discarded to dumpster for recycling or trash – non-sensitive documents.
- C. Records that are confidential or sensitive may be destroyed only by shredding.

Records Retention Schedule
(Retention Periods in Years)

Abbreviations:

AS: Administrative Specialist
 ASM: Administrative Services Manager
 ESA: Environmental Services Analyst
 AT: Accounting Technician
 ISA: Information Systems Administrator

RCM: Regulatory Compliance Manager
 LA: Laboratory Analyst
 SO: Safety Officer
 TPM: Treatment Plant Manager
 TSM: Technical Services Manager

ADMINISTRATION

Record Category	Document Manager	Hard Copy Retention Period	Electronic Retention Period
General Administrative Files	AS	10	10
Agendas/Minutes	AS	Permanent	Permanent
Citizen and odor complaints	AS	10	10
Contract Files	AS	10	10
Job Applications	AS	4	4
JPA Correspondence	AS	10	Permanent
Active Personnel Files	AS	During Employment	N/A
Separated Employee Personnel Files	AS	5	N/A
BAAQMD Permits and Related Communications	TPM	10	Permanent
NPDES Permits	RCM	Permanent	Permanent
Time Sheets	AT	4	4
Workers Compensation	ASM	5	5

ENGINEERING

Record Category	Document Manager	Hard Copy Retention Period	Electronic Retention Period
Building Permits	TSM	Permanent	Permanent
Project Grant and Loan Files	TSM	As required by funding Agency	Permanent
Interim Project Files	TSM	-	Permanent
Record Drawings and Specifications	TSM	Permanent ^a	Permanent

Final Project Files	TSM	Permanent ^b	Permanent
Interim Project Files	TSM	-	Permanent
Construction Management Files	TSM	Permanent ^c	Permanent
Central Marin Clean Water Grant Program Files ^a	TSM	Permanent	Permanent
Historical CMSA Engineering Files: 1985 through 2010 Projects ^a	TSM	Permanent	Permanent

^a Stored in dedicate areas in archives. Record drawings may be purged if the facility or equipment has been removed or replaced by new equipment or work.

^b Final project hardcopy files include: design reports, master plans, engineering studies, condition assessment reports, project management summary files, noteworthy legal document such as warranties or negotiated settlements.

^c Hardcopy construction management files include: RFI/submittal/change order summary logs (actual submittals etc do not need to be saved as hardcopy) and summary construction progress photos documenting key construction progress steps.

LABORATORY AND SOURCE CONTROL

Record Category	Document Manager	Hard Copy Retention Period	Electronic Retention Period
Analytical Bench Data and Quality Control	RCM	5	20
Biosolids Reports, Annual (EPA)	TSM	5	20
Biosolids Analytical Reports and EPA NANIs	RCM	5	10
Discharge Monitoring Reports	RCM	5	10
ELAP Certification Documentation	RCM	5	10
LIMS Analytical Reports	RCM	NA	10
LIMS, WIMS and LINKO Data Historians	ISA	NA	Permanent
Quality Assurance Documentation	LA	5	10
Organic Waste Hauler Documentation	ESA	5	20
Pretreatment and Pollution Prevention Documentation and Reports	RCM	5	20
Regional Board correspondence	RCM	5	20
Regional Board Self-Monitoring Reports	RCM	5	20
Septage Program Documentation	ESA	5	20
Source Control Permits, Inspections, and Monitoring Documentation	ESA	5	20
Storm Water Program Documentation	RCM	5	20
Underground Storage Tank Documentation	ESA	5	20
Violation records	RCM	Permanent	Permanent

FINANCE

Record Category	Manager	Hard Copy Retention Period	Electronic Retention Period
Accounts payable	ASM	10	10
Accounts receivable	ASM	10	10
Audit work papers	ASM	Permanent	Permanent
Bank reconciliations	ASM	10	10
Budgets	ASM	Permanent	Permanent
Budget work papers	ASM	Permanent	Permanent
ACFR/PAFR	ASM	Permanent	Permanent
Cash receipt logs	ASM	10	10
Certificate of Title for Agency vehicles	ASM	Duration +2	Duration +2
Employee license certification reimbursements	ASM	10	10
Financial reports	ASM	10	10
Purchase orders	ASM	10	10
Payroll	ASM	10	10
Payroll Fed/State filings	ASM	10	10

OPERATIONS & MAINTENANCE

Record Category	Manager	Hard Copy Retention Period	Electronic Retention Period
NexGen CMMS records	TPM	N/A	Permanent
Operations Written Daily Log Books	TPM	Permanent	N/A
Collection Systems Service Contracts (I.E. SD2, SQPS, SQVSD)	TPM	10	Permanent
Equipment disposal records	TPM	N/A	10
NPDES & BAAQMD Flow and Calibration records	TPM	N/A	Permanent
O&M purchase and budget excel records	TPM	N/A	10
O&M training attendance records (All Training is logged in NexGen as WO)	TPM	N/A	Permanent
Operations Written Process Log sheets	TPM	3	N/A
Operations Electronic Process Log sheets	TPM	N/A	Permanent
WIMS data historian	ISA	Permanent	Permanent
O&M Weekly, Weekend, & Collection System Reports	TPM	N/A	10
Operations Wet Weather Blending reports	TPM	N/A	Permanent

SAFETY

Record Category	Manager	Hard Copy Retention Period	Electronic Retention Period
Accident Investigations	SO	After closure + 5	10
Audiometric Testing	SO	Duration of employment	Duration of employment
Confined Space canceled permits	SO	Current yr +1	N/A
Crane/hoist inspection reports	SO	N/A	Current test +1
Completed air received tank permits	SO	Current permit	Current permit
Electrical safety PPE inspections	SO	N/A	5
Fall Arrest equipment inspections	SO	N/A	5
Facility safety inspections	SO	N/A	After closure +5
H & S Communications	SO	After closure +1	After closure +1
Hazardous waste management training	SO	Employment +3	Employment +3
Maintenance of fire alarm systems	SO	N/A	Current test + 5
Maintenance of fire extinguishing systems	SO	N/A	Current test + 5
Noise surveys	SO	N/A	Current + 2
Medical /Injury Investigations/WC files	ASM	Employment + 30 yr	Employment + 30 yr
OSHA 300, 300A, 301	SO	Current yr + 5	Current yr + 5
Safety Committee minutes	SO	N/A	5
Safety Data Sheets	SO	30 years after no longer in use	30 years after no longer in use
Safety equipment inspections	SO	N/A	After closure +2
Safety Programs, Policies, and Procedures	SO	Most current	Most current
Safety Training records	SO	Current year +3	Current year +5

POLICY/PROCEDURE #:	6
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Electronic Data Management
DATE:	2/12/25

PURPOSE

To establish guidelines for electronic data management in the areas of storage, capacity, accessibility, and archiving.

PROCEDURE

I. General

- A. The Information Systems Administrator (ISA) is responsible for developing and maintaining procedures related to electronic data management.
- B. All electronic data is stored and saved pursuant to the Agency's Administrative Policy: Records Management and Retention.

II. Data Management Systems

A. File Server

- 1) Hosted on CMSA virtualization cluster.
- 2) Data on the server is retained per the data's retention policy.
- 3) Incremental backups are performed nightly to the Agency's backup storage server and offsite cloud storage.
- 4) The ISA is responsible for creating and managing accounts and permissions.

B. Local Computers

- 1) Workstations and laptops are installed across the Agency facilities
- 2) Data on local drives is considered provisional, interim, or a stopgap rendition of information, and as such is not retained nor protected.
- 3) Backups are not performed, so important data should not be stored locally.
- 4) The ISA is responsible for creating and managing accounts and permissions.

C. Email

- 1) Hosted on Microsoft 365, and can be accessed at <http://webmail.cmsa.us/>

- 2) Incremental backups are performed nightly to the Agency's backup storage server.
- 3) The ISA is responsible for creating and managing accounts and permissions.

D. SCADA

- 1) Hosted on CMSA virtualization cluster.
- 2) Historical SCADA data will be retained for 10 years.
- 3) Incremental backups are performed nightly to the Agency's backup storage server and offsite cloud storage.
- 4) The ISA is responsible for creating and managing accounts and permissions.

E. CMMS – Maintenance Management System

- 1) Hosted on CMSA virtualization cluster.
- 2) Historical data is retained indefinitely.
- 3) Incremental backups are performed nightly to the Agency's backup storage server and offsite cloud storage.
- 4) The ISA and CMMS Administrator are responsible for creating and managing accounts and permissions.

F. Tyler Incode – Financial System

- 1) Hosted on CMSA virtualization cluster.
- 2) Historical data is retained for various periods depending on classification of data. See official CMSA retention policy.
- 3) Incremental backups are performed nightly to the Agency's backup storage server and offsite cloud storage.
- 4) ISA is responsible for creating and managing accounts and permissions. The Administrative Services Manager is the back-up administrator.

G. WIMS

- 1) Hosted on CMSA virtualization cluster.
- 2) Historical data is retained indefinitely.
- 3) Incremental backups are performed nightly to the Agency's backup storage server and offsite cloud storage.
- 4) The Regulatory Compliance Manager (RCM) is responsible for creating and managing accounts and permissions. The Operations Supervisor and ISA are back-up administrators.

H. LIMS

- 1) Hosted on CMSA virtualization cluster.
- 2) Incremental backups are performed nightly to the Agency's backup storage server and offsite cloud storage.
- 3) The RCM is responsible for creating and managing accounts and permissions, and the Lab Analyst IIs are the back-up administrators.

I. Linko – Pretreatment Inspection System

- 1) Hosted on CMSA virtualization cluster.
- 2) Incremental backups are performed nightly to the Agency's backup storage server and offsite cloud storage.
- 3) The RCM is responsible for creating and managing accounts and permissions, and the ESA IIs are back-up administrators.

J. SDS – Safety Data Sheets

- 1) Provided as a hosted service.
- 2) Applicable safety data sheets are continually updated, no snapshots exist.
- 3) Data protection is ensured by the hosting provider, but no historical backups to recover deleted content are available. Monthly onsite snapshot retained by Safety Officer.
- 4) The Safety Officer is responsible for creating and managing accounts and permissions.

K. Agency Website

- 1) Hosted on offsite VPS (Virtual Private Server).
- 2) Backups are performed weekly by the VPS provider, and website content is compressed and backed up on offsite cloud storage weekly.
- 3) The IS Administrator is responsible for creating and managing accounts and permissions.

L. LOTO (Lockout Tagout) Procedures

- 1) Provided as a hosted service.
- 2) Applicable procedures are continually updated, no snapshots exist.
- 3) Data protection is ensured by the hosting provider, but no historical backups to recover deleted content are available.
- 4) The Safety Manager is responsible for creating and managing accounts and permissions.

POLICY/PROCEDURE #:	7
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Union Access
DATE:	2/12/25

PURPOSE

To provide guidance to administrative and management staff regarding granting access to Union representatives.

PROCEDURE

CMSA provides access to Union representatives for the purpose of meeting with the Agency's represented staff to discuss items within the scope of their representation, and to meet with new represented employees during their new hire orientation. The Agency's MOU contains provisions for employees to request time off for Union Representation (Section 3), access to work locations (Section 4), and Use Agency facilities (Section 5).

I. Union Request for Access

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

II. New Employee Orientation Meeting with Union Representative (AB199)

- A. After a new employee signs and returns the employment agreement, the department manager will inform the Administrative Specialist and the General Manager of the employee's start date. The General Manager will inform the Agent of the employee's start date at least 10 days in advance of the date.
- B. Within 30 days after the new employee's start date, the Administrative Specialist or Department Manager will provide the Agent with the employee's contact information.
- C. If the Agent wants to meet with the new employee during their orientation period, the Agent must contact the General Manager to discuss and agree to a date, time, location, and duration for the union orientation meeting.

POLICY/PROCEDURE #:	8
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Cost Savings Award Program
DATE:	1/14/25 <i>(Board Approved)</i>

PURPOSE

To encourage and support Agency employees' efforts in identifying and implementing ways to continuously improve CMSA operations and business practices. The Agency will support this creativity and innovation by sharing a portion of the savings with the employee(s) who implement the cost saving activities.

SCOPE

The costs saving categories are energy reduction, chemical cost reduction, and labor savings. Other categories may be considered on a case-by-case basis, as determined by the employee's department manager.

PROCEDURES

I. Administration

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

Forms can be found on the Agency's shared drive: S:\Lib-Forms and Templates\Staff Forms
- C. The department manager will maintain a file of all proposals and evaluations, prepare newsletter articles as appropriate, coordinate the evaluation process, and recommend any award distribution.
- D. The employee's department manager will evaluate proposals of projects and evaluate completed projects and coordinate with other staff on the evaluation process as needed.

II. Eligibility

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

III. Project Proposals

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

IV. Project Evaluation Process

- A. The following summarizes the proposal review for proposed projects and completed projects:
 - 1) Each proposing individual or team will complete the information on the Application or Evaluation form, as appropriate, and submit it to their department manager.
 - 2) Department manager will perform the formal review within two weeks of receiving the form.
 - 3) Technical Services and Finance staff may assist with technical aspects of the proposal or evaluation review, as needed.
 - 4) If the department manager recommends a proposed project for implementation or a completed project for consideration of award, the General Manager will make the final determination.
 - 5) Once a project proposal has been reviewed and authorized by the General Manager, the proposer(s) will coordinate with the appropriate department manager(s) to implement the proposal on a trial basis.
 - 6) Proposers will gather, or coordinate gathering of, all pertinent data to determine the approved project's cost savings.

VI. Determination of Cost Savings

- A. Savings will be calculated according to the following steps:
 - 1) Department manager(s) will submit a final report and any award recommendation to the General Manager
 - 2) Final Report will include what measure(s) were used to calculate baseline costs and cost savings.

- 3) If savings will accrue over time, the appropriate time period for determining savings will be included with the final report.
- 4) The proposer(s) will coordinate the data gathering to support the cost savings calculations.
- 5) Appropriate staff will review the proposed cost savings calculations for accuracy.

VII. Award Amounts

- A. Awards for successful projects will be based on the verified cost savings calculated as described above.
- B. Award will be received as monetary award.
- C. Monetary awards will be made by the Agency as a single, one-time payment for each successful project.
- D. Monetary award will be ten percent (10%) of the fixed amount of savings, up to \$10,000 per each successful project.
- E. For team proposals, the team will determine award allocation amongst team members, but the total amount will not exceed \$10,000 per each successful project.

POLICY/PROCEDURE #:	9
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Public Records Act Requests
DATE:	2/12/25

PURPOSE

To provide guidance to Agency staff on the procedures to follow upon receiving informal and formal public records requests for Agency records, and for the public to access Agency records.

PROCEDURE

I. Legal Review

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

II. Informal Records Requests for Agency Information

- A. Periodically, Agency staff receive requests from an individual or a stakeholder group for general Agency information, such as job descriptions, policies, procedures, compensation and benefits, or process data. Stakeholder groups may include JPA member agencies, industry associations, CASA members, environmental groups, or other local agencies. Staff will send the request to

Administrative Specialist (AS), who will forward them to the appropriate Department Manager who will respond to the request in a timely manner.

- B. If the Department Manager (DM) believes the request may be formal in nature, due to the information requested and/or the group making the request, the DM shall inform the GM, and the procedures for Formal Records Requests shall be followed.

II. Formal Records Requests

A. Receipt of Formal Records Requests

- 1) Upon receipt of correspondence, paper hard copy or electronic, that is either identified as a Public Records Act Request (PRAR), a Freedom of Information Act Request, or could be reasonable interpreted to be a formal records request, the staff member will forward the request to the AS who shall enter the information in the Public Records Request Log. If it is a hard copy, the AS shall date stamp it. The PRAR log shall include the requestor's contact information, the date received, the initial response due date, the date of the Agency response, review appointment day and time (if applicable), legal review information, and the disposition of the request.
- 2) The AS then shall provide the request to the GM, who will confer with the DM whose department retains the records.
- 3) The GM and/or the DM then determines the scope of the request and the timeframe to prepare a response.

B. Processing of Formal Records Requests

- 1) The Agency must respond to requests in writing within 10 calendar days after receipt with a timeframe for providing the documents. If the request is received on the weekend or after business hours, the next business day is considered the date of receipt. Email responses are preferable.
- 2) The GM and the appropriate DM will determine whether the Agency retains the records in the form requested, either paper hard copy and/or electronic.
- 3) If the Agency does retain the record in the form requested:
 - a) The DM shall determine the estimated number of copies that will be required to satisfy the scope of the request, or
 - b) The GM or designee will email the electronic records to the requestor.

- 4) If the Agency retains all or some of requested documents or information, but not in the form requested, the GM or designee will notify the requester of the form in which the requested records are retained, provide an estimate of the duplication costs if paper records are requested, and ask if the requester would like the records be provided to them either in paper hard copy or electronic via email.
- 5) If the Agency does not retain the records in any form, the DM shall promptly inform the GM, who will inform the requesting Party.
- 6) For paper hard copy documents, the GM or their designee shall advise the requester of the number of documents that the request requires, and the estimated duplication costs.
- 7) The GM or their designee will gather the requested documents, collect payment, and inform the requester when the copies will be available for pick-up at the Agency office.
- 8) Requester has the option of coming to the Agency office to collect the records, or, if the Requestor is unable to come by the office, AS will notify Requester that the documents can be mailed and charged according to stated fees.
- 9) The requesting party may choose to refine their request for duplication, or to make an appointment to physically view documents at the Agency office. If so, the GM or designee will ask the AS to set up a time for the requester to come to the Agency's office.
 - a. The AS shall schedule the appointment during normal business hours, and at a time that does not disrupt Agency operations.
 - b. During the requester's appointment to review the documents, they may flag additional documents to be duplicated.
- 10) The AS will complete the entry in the Public Records Request Log.

C. Communication with Requester:

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

Duplication Fees and Payment

- If the requestor can't receive the records via email or the files are too large, they can be placed on digital media for pick-up or mailing.
- Duplication of documents and the digital media device costs are charged at the rates shown below.
- Payment is collected in advance of providing the records or digital media.
- In the interest of conserving paper, or if the original document dictates, duplexed copies may be made.

FEE SCHEDULE

PRINT COPIES:

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

DIGITAL MEDIA: Actual cost of media storage device

MAILING VIA USPS: Current USPS rates

POLICY/PROCEDURE #:	10
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Acceptance of Hauled Wastes
DATE:	08/13/2024 (<i>Board Approved</i>)

PURPOSE

To identify the types of hauled wastes that the Agency accepts for treatment and processing, and to establish the procedures for receiving the waste materials.

PROCEDURES

I. Types of Wastes Accepted

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

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

Wastes from septic tanks serving commercial or industrial facilities are accepted only with prior written approval from the General Manager or designee.

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

Grease Interceptor Waste: Fats, Oils, and Grease (FOG) from food service establishments that is transported through Marin County is accepted at the Agency's Organic Waste Receiving Facility (OWRF).

Food Waste: Commercial food waste collected from restaurants, schools, and other similar type businesses, are accepted at the Agency's OWRF.

Liquid Organic Wastes: Liquid wastes from food and beverage manufacturing and/or production facilities are accepted at the Agency's OWRF receiving facility. At the General Manager's discretion, certain organic waste loads may be accepted at the septage receiving facility.

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

No hauled industrial wastes are accepted at CMSA. This specifically includes, but is not limited to, wastes from auto washing or repair oil/water separators, and portable toilet loads contaminated with industrial waste.

II. Fees and Charges

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

Food waste tipping fees are specified in specific food waste processing and disposal agreements.

A Waste Disposal Fee and Facility Use Fee are assessed for each septage waste load discharged at the wastewater treatment plant. This Waste Disposal Fee recovers the Agency's expenses for treating the septage, while the Facility Use Fee is designed to recover Agency expenses associated with septage sampling and analyses, equipment corrective and preventative maintenance, and facility administrative activities.

III. Marin County Permit/CMSA Authorized Waste Hauler List

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

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

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

IV. Receiving Facilities Hours of Operation

Hauled waste loads are accepted Monday through Friday, during regular business hours, CMSA holidays excluded. Waste receiving at any other time is only by advance arrangement.

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

V. Delivery Documentation

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

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

VI. Discharge to Manholes Prohibited

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

VII. Discharge Procedures

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

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

VIII. Vacuum Truck Loads

CMSA accepts vacuum truck loads that are generated by our JPA member agencies that own and operate the wastewater collection systems in the JPA members' combined service area, or by private haulers working directly for CMSA. The JPA members are:

- San Rafael Sanitation District (SRSD)

- Sanitary District #2 of Marin County (SD2)
- Ross Valley Sanitary District (RVSD)

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

For special circumstances and upon approval from the General Manager, CMSA may consider receiving vacuum loads from outside the JPA members' service area. If a load is accepted, the hauler will pay a tipping fee based on the volume discharged and the septage facility use and disposal charge, and if needed, a fee to dispose of debris bin contents after the discharge event.

POLICY/PROCEDURE #:	11
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Beneficial Use of Agency Products
DATE:	1/14/2025 <i>(Board approved)</i>

POLICY

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

PROCEDURE

1. CMSA will pursue beneficial reuse options for key Agency products such as recycled water, biosolids, and biogas.
2. The Agency recognizes that as technology advances there may be opportunities to improve the quality of existing products, and recover additional products from the wastewater treatment facilities for beneficial uses. CMSA will consider appropriate new and emerging technologies.
3. CMSA will highlight benefits of Agency product reuse through public education and outreach, and industry presentations.
4. When feasible, the Agency will seek out partnerships with local agencies and/or private entities on the production, distribution, and beneficial reuse of Agency products.

POLICY #:	12
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Use of Board/Conference Room by Outside Organizations
DATE:	1/14/2025 <i>(Board approved)</i>

PURPOSE

To outline the criteria and process for extending the use of the CMSA Board/Conference Room during non-business hours to outside organizations

PROCEDURE

- I. Public or non-profit organizations eligible for consideration need to be associated with the water and wastewater industry. These may include organizations where the Agency is a member or a sponsor. Other governmental entities may also be eligible to use the Agency Boardroom.
- II. Requests from outside organizations for use of the Board/Conference Room are referred by staff to the Administrative Specialist (AS). The AS then contacts the group and gathers the necessary information:
 - A. Group name
 - B. Coordinator's name and complete contact information
 - C. Description of the meeting topic, projected attendance, and any special needs or requirements
 - D. Desired date(s) and time(s)
- III. The AS determines if the group meets the general use criteria, and if the days and times are compatible with the Agency schedule, and then reviews the request with the General Manager (GM).
- IV. If approved by the GM, the AS then:
 - A. Contacts the group coordinator to confirm the meeting details
 - B. Sends a confirmation email to the group coordinator
 - C. Enters the meeting dates on the Agency calendar
 - D. Notifies operations staff of the meeting schedule, including the hours the Administrative building lights need to be kept on, and the lobby door and Andersen Drive access gate kept open.
 - E. Notifies maintenance staff of the meeting schedule so the Administrative

building lobby, public restrooms, and Board/conference room are cleaned prior to the meeting.

- F. Reminds operations staff the day of the meeting, at the start of the shift during which time the meeting is to be held.
- V. If the group's request is denied, the AS will contact the group coordinator with an explanation of why the meeting was not determined appropriate for CMSA Board/Conference Room use.
- VI. The GM will confer with the Board Chair as needed.

POLICY #:	13
SECTION:	ADMINISTRATIVE - GENERAL
SUBJECT:	Filming and Photographing on Agency Property
DATE:	1/14/25 <i>(Board approved)</i>

POLICY

The Agency will allow the use of Agency facilities and grounds for the filming or photographing for appropriate projects, at the discretion of the General Manager or designee.

PROCEDURE

I. Filming and Photographing Request

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

II. Indemnification and Insurance

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

III. Prior to Production Day(s)

The AS will perform the following tasks:

- A. Contact the project representative to discuss production details (dates, times, number of people, contact information, etc.), and request a written confirmation.
- B. Notify the Executive Team of the upcoming production schedule, who will

determine appropriate administrative activities, required supervision, and prepayment amount.

- C. Send a confirmation email to the contact person, including an invoice if payment is required, requesting the following documents be supplied:
 - 1) City of San Rafael Film Business License
 - 2) Signed waiver form
 - 3) Signed indemnification form
 - 4) Insurance documentation (General Liability, Automobile Liability, and Worker's Compensation) with CMSA required endorsements
 - 5) CMSA staff supervision payment
- D. Ensure that the above documents are received and approved prior to the production date.
- E. Enter the production date(s) on the Agency calendar.
- F. Forward the fee payment to Finance, and file the submitted documents.

IV. On-site Coordination and Supervision

- A. The Treatment Plant Manager or designee will perform a general safety awareness training for film/photography personnel before on-site production activities begin.
- B. A designated staff member will monitor production activities, if required.
- C. Any problems or conflicts that arise out of the production activities will be brought to the attention of the General Manager.
- D. The production activities must be performed in a safe manner, and not disrupt Agency work, operations, or other related activities.

IV. Fee Waiver

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

CMSA General Liability Waiver and Indemnification forms, and insurance requirement documents can be found at S:\Dept - Administration\Forms & Templates Source Files\ADMINISTRATIVE

POLICY/PROCEDURE #	14
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Internship Program Guidelines
DATE:	2/12/25 (Board approved)

PURPOSE

To provide internships for students and recent college graduates who are interested in learning about careers in the water or wastewater industry.

ELIGIBILITY

Student interns may be from a Marin County high school or college, or currently enrolled in a college undergraduate or graduate degree, Career Technical Education (CTE), Regional Occupational Program (ROP), or similar program.

EMPLOYMENT STATUS

Student interns will receive an hourly pay rate within a pay range established by the Board of Commissioners. Internships will generally be for one (1) school semester or 6 months. For special assignments and projects, the internship may be extended. Paid interns are not eligible for Agency benefits except Workers' Compensation and state disability insurance, California paid sick time, a contribution to the Public Agency Retirement System (PARS) instead of Social Security, and otherwise to the extent required by law.

In no event will an internship exceed 960 hours in a fiscal year.

PROCEDURE

I. Intern Request

- A. Department managers may request interns by submitting a request (Exhibit A) to the General Manager for approval.

Requests must include:

- 1) Anticipated starting and ending dates.
- 2) Anticipated working hours.
- 3) A description of the projects and/or tasks to be performed and how they will be integrated into other ongoing Agency programs and activities.
- 4) How the intern will benefit from the training and experience of such work assignments.

- B. Any Agency employee can be designated as the intern's mentor and is responsible for the intern's day-to-day training, supervision, and evaluation.

II. Intern Advertisement and Selection

- A. Intern requests may include advertising of internship opportunities through the Marin County Office of Education and high schools, junior college, college, and university placement and counseling offices, academic departments, student associations, career/job fairs, and recognized internship programs.
- B. Applicants interested in an internship are required to provide the following:
 - 1) A completed CMSA job application form.
 - 2) Proof of current enrollment in high school, an authorized academic/educational program, or proof of recent high school or college graduation.
- C. The selection process shall be conducted jointly by the department manager and designated staff. Selection criteria shall include, but is not exclusive of, core academic course work, work experience, and job application and/or resume information.
- D. The department manager and the mentor shall meet with the intern in person, via phone, or virtual conference to review the following:
 - 1) Work experience desired.
 - 2) Work hours and schedule.
 - 3) Hourly compensation.

III. Introduction and Orientation

- A. During the first week of the internship, the intern will meet with their mentor to develop and review the internship work plan. The work plan will identify learning objectives and general work tasks and activities.
- B. Interns shall receive an Agency orientation during their first week of employment that will include the following:
 - 1) CMSA overview – mission, culture, and structure.
 - 2) Conduct expectations – work rules, communication, and harassment prevention.
 - 3) Safety training – employee safety training checklist completed by Safety Officer.
 - 4) Facility tour.
- C. Guidelines for the mentor:
 - 1) Interns are not authorized to perform as, occupy, or cover for vacant Agency positions.
 - 2) Avoid skipping or compressing the onboarding process.
 - 3) Do not leave interns unsupervised.
 - 4) Integrate socialization and networking opportunities.

- 5) Provide feedback and recognition on a regular basis.
- 6) Explain the significance or contribution made to the Agency while assigning projects.

IV. Evaluation

- A. Mentors are expected to evaluate intern progress on a continuous, ongoing basis.
- B. Mentor will seek out staff feedback on their intern's work performance and conduct.
- C. Department managers wishing to extend an intern's assignment beyond the original ending date must obtain advance written approval from the General Manager.
- D. At the end of the internship, the mentor shall conduct an oral interview with the intern to get feedback about the internship experience.
- E. There shall be no expectation of continued employment at conclusion of the internship.

V. Internship Program Reporting

- A. Annually in June, managers who had an intern(s) in their respective department over the past fiscal year will prepare the following information about each internship program participant:
 - 1) Intern name.
 - 2) School attending or recently graduated from, and major course of study.
 - 3) Duration of internship.
 - 4) Assigned projects, assignments, and work activities.
- B. The General Manager will provide the Board with an internship program oral report at the July meeting.

POLICY/PROCEDURE #:	15
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Innovation Award Program
DATE:	2/12/25

PURPOSE

To encourage and support employee efforts in identifying and implementing ways to continuously improve CMSA operations and business practices.

SCOPE

The Agency will support employee creativity and innovation by providing an award with the employee(s) who implement a beneficial idea. The award categories are chemical use reduction, energy savings, work process productivity/efficiency gains, extension of asset/equipment life, and improved quality of treatment at a lower cost. Other categories may be considered on a case-by-case basis.

PROCEDURES

I. Administration

- A. The review and implementation procedures outlined in this Policy, and the associated form, may be revised as necessary based on the program's ability to fulfill its purpose.
- B. This procedure is intended to be used in conjunction with the Innovation Award Program Application Form, found on the Agency's shared drive. S:\Lib - Forms and Templates\STAFF FORMS.
- C. A copy of all previously completed proposals will be retained in the Agency's shared drive. S:\Lib - Forms and Templates\AWARD PROPOSALS.

II. Eligibility

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

III. Fixed Awards

- A. Proposals
 - 1) Individuals or teams may propose initiatives.
 - 2) Proposers are responsible for screening ideas and gathering data to support their proposal.

B. Evaluation Process

- 1) The individual or group must complete the Innovation Award Program application form and submit it to their department manager for review and consideration of approval.
- 2) The department manager will target to approve or deny the proposal within 14 days of receipt. During the review period, the department manager may ask the applicant(s) clarifying questions. If approved, the proposal will be forwarded to the General Manager (GM).
- 3) The GM will review the proposal and make a final decision within 14 days.

C. Implementation Process

- 1) Once a proposal has been authorized by the GM, the proposer(s) will coordinate with the appropriate department manager(s) to implement the proposal.
- 2) In general, the proposing staff member(s) will make up the implementation team; additional support from outside departments will be coordinated on an as needed basis.
- 3) Proposers will assist with the gathering of all pertinent data to evaluate the proposal's practicality.
- 4) A status report of the implementation results shall be provided on the approved application form.

D. Proposal Award

- 1) The General Manager will consider the implementation results and determine the proposal award level – practical, remarkable, or exemplary, and record the level on the application form.
- 2) Awards for each team member will be received as a check according to the table below:

Practical	\$100
Remarkable	\$150
Exemplary	\$200

IV. Recognition of Outstanding Work

The General Manager may, at the recommendation of a department manager and/or their discretion, award a gift card in an amount of their choosing to an employee who demonstrates outstanding work.

POLICY/PROCEDURE #	16
SECTION:	ADMINISTRATIVE – GENERAL
SUBJECT:	Environmentally Preferable Purchasing and Practices (EPPP)
DATE:	2/12/25

PURPOSE

To purchase and use environmentally preferable products, such as products with recycled content, whenever possible, to the extent that such use does not negatively impact employee and environmental health and safety, or operational efficiency.

PROCEDURES

- I. Environmentally preferable products include but are not limited to:
 - a. Recycled paper products, printing and writing paper, and printer cartridges
 - b. Recycled plastic products
 - c. Biodegradable and compostable products
 - d. Products made from renewable materials
 - e. Products with reduced packaging
- II. CMSA will favorably consider the selection of recycled content and renewable materials, products and supplies over their non-recycled content and non-renewable alternatives in cases where availability, fitness, operational efficiency, quality, safety, and price of the recycled product is otherwise equal to, or better than the non-recycled content and/or non-renewable alternative.
- III. Departments shall examine their purchasing practices and, where feasible, adjust them to include the use of products which contain post-consumer recycled content, are reusable, or are designed to be easily recyclable.
 - a. Whenever feasible, recycled paper shall be purchased and used in copy machines and printers.
- IV. Outside contractors bidding to provide products or services to the Agency shall be encouraged, not required, to use recycled content whenever practicable.

POLICY/PROCEDURE #:	31
SECTION:	ADMINISTRATIVE - FINANCIAL
SUBJECT:	Management Signature Authority
DATE:	3/11/2025

PURPOSE

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

BACKGROUND

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

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

DEFINITIONS

I. Staff Designations

A. Individual Account Administrator (IAA)

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

B. Project Manager (PM)

- 1) Classifications identified in the Agency's 10-Year CIP or as designated by the GM.
- 2) These assignments are updated annually by the CIP team.

- 3) The PM is responsible for developing the project budget, monitoring project expenditures, and performing the reviewer role during the invoice authorization process.
- 4) The PM may also approve expenditures as prescribed under the Fund Disbursement Approval Levels section below. Any staff member may be a PM.

C. Supervisor

Supervisory classifications are those that report directly to a Department Manager.

D. Department Manager

Staff who report directly to the General Manager.

II. **Procurement**

A. Construction Contract

- 1) A formal or informal contract between the Agency and a general or specialty contractor to implement an Agency construction or improvement contract, or project.
- 2) All construction contracts must be executed by the General Manager prior to disbursement of Agency funds.

B. Professional Services Agreement

- 1) A formal contract between the Agency and service provider when hiring non-construction service-related firms such as legal, financial, and human resources consultants, or individuals or firms to provide design, inspection, or similar non-construction services.
- 2) All professional services agreements must be signed by the General Manager; no disbursements can be made without an executed agreement.
- 3) Payments are made according to the Agreement's task/fee schedule.

C. Maintenance Services Agreement or Purchase Order (PO)

- 1) Minor construction, equipment installation, and professional services for repairs and maintenance are authorized under an agreement or a Purchase Order.
- 2) POs over \$5,000 must be approved by the General Manager, or designee.

D. Materials & Supplies

- 1) Budgeted materials and supplies for Agency operations.
- 2) Procurement is through a blanket PO, executed PO, purchase card, contract, or agreement.

- 3) Procurements that fall under this category include, but are not limited to, bulk chemical orders, uniforms, and biosolids disposal.

E. Equipment

Equipment for the treatment facility, pump stations, and other agency needs. Procurement may be by blanket PO, executed PO, purchase card, or formal contract.

PROCEDURE

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

Procurement Authorization Levels

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

	Blanket PO	Purchase Order^{1,6}	Purchase Card³	Petty Cash²
Individual Account Administrator (IAA)	\$2,500	-	-	-
Project Manager (PM)	2,500	\$5,000	Refer to Note 3	-
Supervisor	2,500	-	\$1,500 ⁴	-
Manager	2,500	5,000	5,000	\$ 50
General Manager ⁵	2,500	>5,000	>5,000	up to 100

Notes:

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

Fund Disbursement Approval Levels

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

	Section II-A: Construction Contract ^{1,2}	Section II-B: Professional Service Agreement ^{1,2}	Section II-C: Construction/ Professional Svcs PO ^{1,2}	Section II-D: Materials and Supplies ²	Section II-E: Equipment
Supervisor	-	-	-	2,500	2,500
Project Manager (PM)	5,000/ 10,000 ³	5,000/ 10,000 ³	5,000/ 10,000 ³	5,000/ 10,000 ³	5,000/ 10,000 ³
Manager	10,000	10,000	10,000	10,000 ⁴	10,000
General Manager	>10,000	>10,000	>10,000	>10,000	>10,000

Notes:

1. The GM must approve all construction and professional service contracts and contract change orders.
2. Contracts/POs must be executed prior to approving invoices.
3. The higher limit is for a PM who is also a Manager.
4. The GM has delegated to the Treatment Plant Manager the authority to approve payment for chemicals purchased under chemical procurement contracts.

POLICY/PROCEDURE #:	32
SECTION:	ADMINISTRATIVE - FINANCIAL
SUBJECT:	Budget Tracking and Administration
DATE:	3/11/25

PURPOSE

To provide a general understanding of the responsibilities involved with respect to individual department account budget tracking and administration.

BACKGROUND

During the fiscal year, July 1 through June 30, it is the responsibility of the Department Managers (DM), Project Managers (PM), and designated Individual Account Administrators (IAA), identified in the Agency's budget documents, to track and administer spending activity for specific budget accounts.

RESPONSIBILITIES

Finance Staff

Monthly. During the second week of each month, Finance staff shall produce operating and capital budget status reports for the prior month's budget activity. These reports shall be distributed to the General Manager, DMs, PMs, and IAAs by the second week in the month. The reports shall include the following information at the account level:

- Fiscal year budget
- Revised budget
- Month-to-date actual
- Year-to-date actual
- Encumbrances
- Budget remaining (FY budget minus YTD actual and encumbrances)
- Year-to-date actual spent plus encumbrances as a percent of FY budget amount

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

Quarterly. The ASM shall produce a quarterly Agency-wide budget status report for the operating and capital budgets for GM review, and then to the Board for acceptance. The timing of this report shall be, for example, a February Board report for a December 31 quarter end.

The report shall include the following information at the budget category level and an explanation for the significant variances and salient issues:

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

Department Manager

Overseeing the Agency's operating expense budgets is ultimately the responsibility of the Department Managers. IAA's must ensure that actual departmental spending during a fiscal-year is at or below the Board adopted budget and provide explanations when variances exceed beyond a +/- 20% threshold. The DM shall review the monthly departmental budget reports with the IAA responsible for the accounts within their department, and other responsible department staff (if appropriate).

During Executive Team meetings, the DM shall communicate budget related issues including budget variances

Individual Account Administrator

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

- Accumulated actual account spending through a stated period is significantly less than or greater than the budget estimate through the same stated period.
- An upcoming large expenditure will cause accumulated actual account spending for a stated period to be significantly greater than what was budgeted.

If, while analyzing the monthly departmental expense report, the IAA determines that expenditures for an account have exceeded, or have the potential to exceed, the budget, the IAA shall report to their Department Manager one of the following:

- 1) If the variance for the period is due to inconsistent spending patterns, and therefore unlikely to occur for a sustained amount of time, and occurs at the end of the fiscal year, the IAA shall provide an explanation of the variance to the DM, who shall provide this information to the ASM or designated finance staff.

- 2) If the variance for the period will likely result in a budget deficit during the fiscal year, the IAA is responsible for researching why the variance exists, provide an explanation for the variance, and recommend a resolution – either a budget transfer or budget amendment.

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

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

POLICY/PROCEDURE #:	33
SECTION:	ADMINISTRATIVE - FINANCIAL
SUBJECT:	Budget Transfer Request
DATE:	3/11/25

PURPOSE

This procedure delineates the actions required for transferring funds:

- Between operating accounts within a department
- Between capital project accounts in a FY
- From the contingency account to an operating account
- From the contingency account to a capital account

PROCEDURE

A contingency account is established in the Administration Department Budget specifically to cover budget shortages due to inaccurate budget forecasting and/or unexpected events. It is required that funds, if available, be transferred within a department budget or within the capital budget, prior to considering transferring funds from the contingency account.

The procedure for transferring funds between budgets, as described above, is outlined below:

I. INITIATE REQUEST

- A. The IAA responsible for the account receiving the funds (receiving-IAA) shall be responsible for initiating the budget transfer request.
- B. Prior to initiating the transfer of funds, the receiving-IAA should review the specific account(s) in question with the Department Manager and the IAA responsible for the account where the funds will be disbursed (disbursing-IAA) to ensure that all parties are in agreement with the budget transfer.

Note: For an intra-departmental budget or capital budget transfer request, the Department Manager, receiving-IAA and disbursing-IAA, may all be the same individual.

- C. To initiate a budget transfer request, the receiving-IAA shall fill out Budget Transfer Request form fill document located at **S:\Lib - Forms and Templates\STAFF FORMS**, then submit to the Department Manager, ASM, and GM for approval, as appropriate.

II. AUTHORIZATION

- A. Once the request form is received by the initiating Department Manager, they shall either approve or deny the request. If the request is denied, provide a reason for this decision and ensure this is communicated to both IAA's. A new transfer request may be submitted provided it fully addresses the original justification for denial.
- B. Once the request form is received by the ASM, the ASM shall either forward requests to the GM (Contingency and Capital Budget transfers only) or forward the request to finance staff for processing.
- C. The GM will either approve or deny request for contingency and capital budget transfers. If the request is denied, the GM will provide a reason for this decision and will communicate it to the requesting IAA.

III. BUDGET TRANSFER ADMINISTRATION

Once the request is authorized, finance staff shall perform the following:

- A. Update the budget figures for the impacted accounts in the general ledger.
- B. Place the original copy of the request in a transfer request folder, to be kept with the Senior Accountant.

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

POLICY/PROCEDURE #:	34
SECTION:	ADMINISTRATIVE – FINANCIAL
SUBJECT:	Invoice Authorization
DATE:	3/11/2025

PURPOSE

To provide direction to Agency staff on the proper process to authorize invoices for payment processing.

PROCEDURE

I. Documentation Preparation and Distribution

- A. Prior to invoice authorization, quotes, packing slips, and other materials and documents associated with a purchase are attached in electronic form to the purchase order (purchase orders required for amounts greater than \$500) and circulated for approval. After approval, they await in a queue with the Accounting Technician (AT) for invoice receipt processing.
- B. Each business day while processing the incoming mail, the Administrative Specialist (AS) or designee collects the invoices to be paid, stamps them with the date and *RECEIVED / APPROVED* block stamps, and forwards them to the applicable department manager.
- C. The department manager may review the invoices or forward, if applicable, to another appropriate reviewer such as an Individual Account Administrator (IAA) or Project Manager as identified in the Operating or Capital Budget. If the AS cannot determine the reviewer, they should contact the appropriate Department Manager (DM) or Administrative Services Manager (ASM) to discuss routing of the invoice.
- D. Invoices may be sent directly to the IAA via email. In this case, it is the IAA's responsibility to coordinate with the AS to collect the information noted in Section 1.B.

II. Review

- A. The invoice reviewer is responsible for validating that the figures (i.e., quantities, amounts) presented on the invoice reflecting the goods delivered and/or services provided. Upon receiving an invoice, the reviewer shall match it to previously approved purchased materials where there is a purchase order. Any additional supporting documentation in the reviewer's possession when there is not a purchase order (i.e., shipping tags, packing slips, acknowledgements, receipts, applicable contract sections, etc.) must be attached to the invoice. The reviewer needs to make every effort to obtain the appropriate level of

documentation to complete the review process. If the reviewer does not possess enough supporting documentation, the reviewer must provide a written explanation of the activity related to the invoice and attach the explanation to the invoice.

- B. Once the reviewer has the appropriate documentation and has validated the invoice, they shall initial and date in the appropriate stamped RECEIVED area. The reviewer shall ensure that the appropriate general ledger account number to charge the invoice is entered in the stamped EXPENSE ACCOUNT NO. area and the PURCHASE ORDER NO. or CONTRACT NO. in the PO area. **The contract number is essential where applicable to apply the payment to reduce the contract and the corresponding encumbrance.** The COMMENTS area may be used to provide instructions to Finance staff regarding how to handle payment (e.g., partial items received, partial payment, identifying specific purchase order numbers). The period charged for accounting purposes is the date the goods were received or the services were performed. If the reviewer cannot validate the invoice, they shall discuss the matter with their DM.
- C. For chemical invoices, see Administrative Procedure: Chemical Ordering/Receiving-Reconciliation/Payment Authorization (CORRPA) for additional review, approval, and payment processing procedures.
- D. If the reviewer is not the designated IAA, he/she shall route the invoice and supporting documents to the line-item's IAA for secondary review (the IAA shall also provide his/her initials in the appropriate stamped RECEIVED area) before forwarding the documents on to the appropriate approver; otherwise the reviewer shall route the invoice and supporting documents to the appropriate approver (Refer to the Management Signature Authority Policy).
- E. The IAA should process the invoices in a timely manner.

III. Approval

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

IV. Payment Processing

- A. The ASM shall review the invoice and supporting documentation for completeness. If the documentation is deemed complete, the ASM will initialize the invoice in the appropriate stamped area. The ASM will then route the invoices and supporting documents to the AT to complete receipt of invoice and payment processing.

- B. If the ASM receives an approved invoice without sufficient supporting documentation, they shall refer the invoice back to the approver for an explanation in writing.
- C. Upon receiving the reviewed and approved invoice(s) and supporting documentation, the AT shall address any inquiries about an invoice with the ASM, who shall resolve them with the reviewer and/or approver as appropriate.
- D. Under no circumstance should the ASM authorize payment for any invoice in which they are undertaking the roles of an IAA, invoice approver, or ASM reviewer. This would be a violation of segregation of duties. In these instances, the GM must approve the invoice.
- E. The AT shall review for outstanding invoices not received by the IAA or the DM by comparing the received monthly customer statement to the list of paid invoices within the Tyler system. This check is to be done for only invoices processed by the laboratory services team within the Technical Services Department. All other teams and departments are responsible for checking their received customer statements for any outstanding invoices not processed.

POLICY/PROCEDURE #:	35
SECTION:	ADMINISTRATIVE – FINANCIAL
SUBJECT:	Travel Expense Reimbursement
DATE:	3/11/2025 (Board approved)

PURPOSE

To define the process for authorization, payment, and reimbursement of travel expenses incurred by Agency staff while conducting Agency business.

PROCEDURE

I. Authorization for Travel

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

II. Travel and Related Expenses

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

- A. Transportation: The following transportation modes may be used for the purposes of traveling on Agency business:

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

If the use of a personal vehicle is approved over air travel, the limit of reimbursement is based on the lesser of the calculated mileage or current air fare cost to the destination airport.

- B. Rental Car: Rental cars are not to be used without prior approval by the General Manager. Public transport, taxi services, and ridesharing services shall be used as needed at destination locations.
- C. Other Transportation Expenses: Estimates for parking, bridge tolls, and other related transportation expenses are to be included when completing the Preauthorization Form. Receipts shall be attached to the Report in order to obtain reimbursement. No receipt is required for reimbursement of bridge tolls. Travel costs from the employee's residence to the departure airport shall be reimbursed at the IRS mileage rate or by local transportation to the airport.
- D. Lodging
 - 1) Expenses will be allowed for lodging at the single-room rate for preauthorized overnight travel. The approved rate will be based on the conference-sponsoring hotel single-room rate, when applicable.
 - 2) Employees shall be responsible for all cost differentials for spouse/family member accompanying the employee if the actual room rate exceeds the conference single room rate.
 - 3) Meals or other charges on the hotel bill will be charged to the per diem amount as stated below. All receipts must be retained for payment or reimbursement.

- 4) When a lodging bill includes meals or other charges which exceed per diem rates, the employee is responsible for the amount that exceeds the lodging and per diem allowance as set forth in this procedure.

E. Meals and Incidental Expenses

- 1) Overnight Travel: The Agency will provide a per diem amount per Financial Policy: *Travel, Training and Other Business Expense Reimbursements*, at the rates noted on the Form.
- 2) Meals provided during a conference in which Agency staff participates will be subtracted from the overnight travel per diem rate.
- 3) Agency staff may be advanced the per diem amount upon request.

F. Daily Travel

- 1) Meal allocations: Meal allocations for travel where no overnight stay is required, and the meals are not provided by the registration fee, will be based on the per diem limits established each calendar year.
- 2) Registration Fees: Generally, the Agency will pre-pay registration fees for approved conferences prior to the date of the event either by Agency purchase card or an Agency issued check. In cases where the Agency purchase card is not accepted for payment of registration fees, the employee shall complete a Purchase Order form and request a check payment for the registration fee.
- 3) Overtime: If the conference attendance and travel time exceeds the employee's normal daily work hours, adjustments to the employee's weekly work schedule shall be discussed with their Department Manager when the Preauthorization Form is submitted for approval.
- 4) Other Expenses: Expenses not allowed above are NOT reimbursable. In no event shall expenses incurred by a non-Agency employee be reimbursed by Agency.

II. Payment/ Reimbursement of Expenses

- A. Upon return, receipts (including credit card receipts) must be attached to a completed Report.
- 1) When the receipt is for an expense paid on an Agency purchase card, a note must be added to the purchase card statement stating that the receipt is attached to the Report.
 - 2) All expenses are to be included regardless of whether the costs have been advanced, prepaid, or are reimbursable, along with the original Preauthorization Form.

- 3) Any variance between the receipt and reimbursement amount must be explained in writing.
- B. The completed Report shall be signed and dated by the Agency staff incurring the expenses, and approved by their Department Manager.
- C. The Department Manager will submit the Report to the Administrative Services Manager for final review and then it will be forwarded to the General Manager for approval, as appropriate.

POLICY/PROCEDURE #	36
SECTION:	ADMINISTRATIVE – FINANCIAL
SUBJECT:	Petty Cash & RV Receipts Management, and Vault Security
DATE:	3/11/2025

PURPOSE

To provide guidelines for the security of the Administration Building vault, and petty cash and recreation vehicle (RV) waste disposal receipts.

PROCEDURE

I. Vault Security

- A. Both the petty cash box and the RV receipt box are to be kept in the Administration Building vault at all times.
- B. Vault shall be closed after each use and keys shall be kept secure.
- C. Only authorized CMSA employees shall have access to the vault.
- D. Vault access keys must remain stored in a secure location at all times.
- E. The following employees are authorized to have a vault access key: Administrative Specialist (AS), Accounting Technician, Senior Accountant, Administrative Services Manager, and the General Manager.

II. Petty Cash

- A. Cash box limit is \$400.
- B. All transactions from petty cash must be documented with an approved *Request for Petty Cash Advance* form or a *Reimbursement Request* form.
- C. Disbursement shall be for \$50 or less pursuant to Financial Policy: Purchasing; may disburse up to \$100 with General Manager's approval.
- D. All approved petty cash advance or reimbursement request forms must have a receipt attached, where applicable, and a transaction description to document the transaction and use for monthly balancing and replenishment.
- E. Reimbursement requests shall be made through the AS or Administrative Services Manager.
- F. The petty cash box shall be counted monthly by the Senior Accountant.
- G. The box shall be replenished when the balance approaches \$100 or less.

III. RV Receipts

- A. Transactions for RV waste disposal use are recorded through the cashier workstation at the front counter. The Agency will provide every RV station customer with a receipt from the cash receipt printer.
- B. Cash receipts from RV waste disposal transactions are maintained in a locked box in the Administration Building vault until deposited in the Operating Account with WestAmerica Bank.
- C. Monthly, the AS will perform the End of Day Function to record accumulated RV cash receipts taken-in since the date of last performing the End of Day function. This step records both the RV cash and revenue to the general ledger. RV cash is temporarily maintained in the RV cash general ledger account until a deposit is performed that transfers it to the bank and the Operating account general ledger account.
- D. The AS prepares general cash deposits as well as RV waste disposal cash deposits. General deposits are prepared when significant enough to go to the bank, and RV waste disposal deposits are performed at the same time with a general deposit. RV deposits consist of all accumulated undeposited End of Day batches. When preparing the amount of RV cash receipts to deposit, maintain a minimum of \$40 in small bills for making change, and deposit the balance.
- E. RV customers paying the RV Dumping Fee via credit card follow the process as previously mentioned, except have the End of Day Function performed within two business days of receipt.

POLICY/PROCEDURE#:	37
SECTION:	ADMINISTRATIVE – FINANCIAL
SUBJECT:	Asset Tracking
DATE:	3/11/2025

PURPOSE

To record the acquisition and disposition of assets and capital improvements related to facilities, equipment, vehicles, structures, and treatment systems.

PROCEDURE

I. Responsibilities

- A. The General Manager and Agency staff shall ensure that the acquisition and disposition of all assets are appropriately documented and accounted for, and that appropriate procedures are developed and implemented to meet the requirements of this procedure.
- B. The Capital improvement Program (CIP) Team Lead, along with the Administrative Services Manager, shall ensure that proper budgeting, purchasing, and accounting guidelines are followed for all assets, and that they are adequately controlled, properly secured, accurately accounted for, and used for appropriate Agency purposes.

II. Assets Defined

- A. Agency maintenance staff shall account for and record all assets in the Agency's asset management system (Nexgen).
 - 1) An asset is any item purchased which is expected to have a useful life of more than one year. Such assets include those installed or acquired as part of a new process, facility, or major equipment replacement, such as infrastructure, buildings, furniture and fixtures, machinery, or equipment. These assets provide an addition or improvement to an existing process or facility, or that replace or significantly prolong the useful life of an existing process or facility.
 - 2) Maintenance costs are expenses for routine actions that keep assets in sound working condition.
- B. Capital expenditures are shown in the Agency's adopted Capital Improvement Program. All costs associated with capital transactions, such as the asset's purchase, construction, installation, and acquisition shall be entered in the Tyler

financial software's fixed asset schedule. These costs include materials and supplies; studies, design engineering, construction management, legal fees, site preparation, installation, overhead and administrative; taxes, freight and transportation; and other expenditures and charges directly attributable to asset acquisition.

- a. Agency staff time for designated projects in the CIP shall be included in the cost of the capital improvement.

For financial auditing purposes, asset purchases of less than \$5,000, excluding items deemed critical to the performance of the facility, are typically expensed. There are some exceptions to this which can include safety equipment, remaining materials from construction, and computers. Also, multiple items that are each less than \$5,000, but work together as one system that exceeds \$5,000, should be recorded as an asset.

Examples:

- \$2,000 PLC and \$4,000 VFD related to one sludge pump
- Secondary Clarifier Pipe Repair including pipe and expansion joints for a total cost of \$33,000.
- Hydraulic valves and pipe fittings for \$30,000

III Expenditure Tracking – Asset Cost Tracking

- A. Upon Board approval of a capital or maintenance project through the annual budget process, the CIP Team Lead, in consultation with the Administrative Services Manager, shall create the necessary accounting structure within the accounting system to record the financing and expenditures associated with the project.

POLICY/PROCEDURE #:	51
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Agency Open Recruitments
DATE:	6/16/2025

This procedure supports *Personnel Policy #208 - Recruitment and Selection*.

PROCEDURE

- I. When a vacancy occurs in a job classification or when a new job classification is created, the Department Manager (manager) will prepare a recruitment plan and consult with the General Manager (GM) about filling the vacancy. The recruitment plan must contain the recruitment process details such as tasks, schedules, outside interview panel members, and other pertinent information.
- II. After the recruitment plan is approved, the GM or designee will contact the Agency's recruiting firm to request a proposal to perform the recruitment and administer the recruitment process. The proposal must include a scope of work detailing the recruitment tasks, schedule, and fees.
- III. The manager will prepare a purchase order to the recruiting firm for the recruitment fee, referencing the approved proposal.
- IV. Once a candidate is selected based on the interview performance, the hiring manager will contact the candidate to verbally offer them the position.
- V. When the candidate accepts the position, the Administrative Specialist (AS) will engage Justifacts to perform the standard background check (non-criminal).
- VI. If the initial background check is passed, the following steps will be performed.
 - A. The AS will prepare conditional offer of employment letter for signature by the General Manager. File location: S:\Dept - Human Resources\Conditional Offer Letters\Conditional Offer Letter Template
 - B. The manager will discuss the terms of the conditional offer with the candidate and notify them that the AS will be scheduling an appointment for a functional capacity evaluation and a pre-employment physical, with testing for illegal substances, and Justifacts will be conducting a criminal background check.

If during the course of this discussion, the candidate requests accommodation for the evaluation or discloses other information pertaining to possible workplace accommodations, the manager will not proceed to the next step without guidance from the GM.

- C. The AS will schedule the functional capacity test and pre-employment physical with the medical provider.
 - D. The AS will email the location of testing facility to the candidate.
 - E. Should the candidate decline the conditional offer of employment prior to the evaluation, it is preferable that they provide that in writing to the manager
- VII. Below are the steps once the AS has received the results from the functional capacity evaluation, pre-employment physical, and criminal background check:
- A. The AS provides the physical, evaluation, and criminal background check results to the manager.
 - B. The manager then assesses the evaluation results to determine if candidate has passed the illegal substance screening and can physically perform the job functions.
 - C. If one of the following situations arises, the manager will discuss the situation with the Administrative Services Manager and GM. Additional guidance from the employment law attorney will be required before proceeding with the hire.
 - 1) An illegal substance is detected
 - 2) Physical conditions are found that limit or prevent performance of essential job function(s)
 - 3) The candidate has a criminal background
 - D. The manager shall receive approval from the GM before proceeding with the hire.
 - E. The AS will email the appropriate Employment Agreement template to the manager. File location: S:\Dept - Human Resources\Employment Agreements\TEMPLATES - Employment Agreements
 - F. The manager will discuss and finalize the terms and conditions of employment with the candidate and prepare an Employment Agreement for signature between the GM and candidate. The employee start date will be at the beginning of a pay period.
 - G. The manager will give the AS an initial copy of the Agreement signed by the General Manager. The AS will create medical and personnel files for the new employee, and place a fully executed Agreement in the personnel.
 - H. The manager will notify all Agency employees via email prior to the arrival of the new employee, and coordinate with the AS to prepare for the new employee's first day of work.

POLICY/PROCEDURE #:	52
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Personnel Action Form (PAF)
DATE:	6/16/2025

PURPOSE

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

PROCEDURE

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

Preprinted forms can be found in the Administrative Office, next to the staff in-boxes.

POLICY/PROCEDURE #:	53
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Hours of Work
DATE:	6/16/2025

PURPOSE

To summarize the current Hours of Work provisions from the Agency’s Personnel Policies and the MOU with SEIU Local 1021, and provides guidance to supervisory staff on the appropriate methods to adjust employee daily and weekly hours of work while complying with the overtime provisions of the Fair Labor Standards Act (FLSA).

DETAILS

The following sections of the Agency’s Personnel Policies and the MOU define the workweek, scheduling, and overtime.

Agency Personnel Policies:

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

MOU:

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

HOURS OF WORK PROVISIONS

For Agency employees working an 8-hour or 10-hour shift, the regular workweek shall begin at 00:00 hours on Sunday and conclude the following Saturday at 24:00 hours. For employees working the 9-80 shift, each employee’s defined workweek will be approved in an Alternative Work Schedule Agreement with the employee, and will be in compliance with FLSA requirements.

Work Schedule - All Agency employees shall have an established standard workday and workweek schedule, with daily starting and ending times. Each employee is expected to observe their schedule, by being at work at their defined start time, and to stay at work until their defined ending time.

OVERTIME

The FLSA defines overtime as hours worked beyond 40 work hours (excluding leave time) in the established workweek.

Overtime is paid at 1.5 times the employee's regular rate of pay which includes their base pay rate and applicable special pay rates such as shift differential, stand-by, flex dollars, cash in lieu, and OIC. Overtime can be taken as cash added to the employee's bi-weekly paycheck or taken as compensatory time, which is added to their compensatory time leave bank, at the employee's discretion. An employee who opts to receive compensatory time in lieu of overtime pay must have either 1) a predesignation on file, or 2) notified their supervisor of intent to receive compensatory time in lieu of overtime pay prior to accepting overtime work. Employees cannot accrue more than 40 hours of compensatory time. If an employee's comp time accrual reaches this limit, they will be paid cash for overtime worked until their compensatory time balance drops below the 40-hour cap.

WORK SCHEDULE ADJUSTMENT

Adjustments to an employee's established workday or workweek must be approved in advance by the department manager or designee, or the General Manager.

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

Exempt Employees - Workweek and workday schedules can be adjusted by the employee's manager, within a pay period, as needed. Exempt employees are not entitled to overtime.

POLICY/PROCEDURE #:	54
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Employee Computer Purchase Assistance Program
DATE:	6/16/2025 <i>(Board approved)</i>

PURPOSE

To assist employees with purchasing a home computer, job related software, and authorized accessories.

ELIGIBILITY

Any employee who has completed their initial probationary period of employment.

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

LOAN AMOUNT

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

LOAN TERMS

- Loans are available for the purchase of personnel computer equipment.
- Loans are interest-free.
- Minimum loan payment of \$25 per pay period through payroll deduction.
- Maximum loan repayment period of 52 pay periods (2 years).
- In the event an employee separates from the Agency, finance staff will request that the employee provide written authorization for CMSA to deduct the remaining loan balance from their final payroll check.

PROCEDURE

- I. Employees interested in applying for a computer loan must fill out the program specific Request for Financing form, available in the S/Lib-Forms and Templates/Staff Forms/Computer Purchase Loan Agreement.
- II. The employee must submit the completed Request for Financing form and a copy of the computer purchase receipt to the Administrative Services Manager (ASM).

- III. If the Request for Financing is approved, the ASM will forward it to finance staff to prepare the Installment Note for the employee to execute.
- IV. After the employee has executed the Installment Note, finance staff will prepare a reimbursement check for the approved loan amount.
- V. The employee will receive a copy of the Installment Note with the reimbursement check.

The Board of Commissioners reserves the right to terminate or modify the program. In the event the Board terminates the program, no new loans will be issued. Should this program be terminated, any employee with an outstanding loan will continue to make loan repayments until they satisfy the terms and conditions in the Installment Note.

POLICY/PROCEDURE #:	55
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Carpool/Alternate Commute Incentive Program
DATE:	6/16/2025 <i>(Board approved)</i>

PURPOSE

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

SCOPE

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

PROGRAM ALTERNATIVES

- Agency Vehicle Carpool – The Agency will make available two hybrid vehicles for commute use for when three (3) or more employees agree to carpool;
- Alternate Commute Program – Alternatives to solo driving, including:
 - Using a private vehicle to carpool with other CMSA employees;
 - Using public mass transit;
 - Bicycling;
 - Participating in a third-party vanpool or rideshare program.

SUPPORT AND INCENTIVES

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

- An Agency vehicle for three (3) or more CMSA employees who participate in an

approved Agency Vehicle Carpool. One of the two commute vehicles is required to remain onsite for business use until 4:15 pm.

- A \$5.00 per day cash stipend to each employee (except for members of Agency Vehicle Carpools) for each day that they participate in the Alternate Commute Program.
- Flexibility in employees' work shift start and stop times and Rotating Days Off (RDO), to accommodate carpooling or other commute schedules.
- A guaranteed ride home when unforeseen Agency needs (such as overtime requests) or personal emergencies arise that would prevent the employee from completing their planned alternative commute that day.

PROCEDURES

I. Eligibility

All Agency employees are eligible to participate in the program.

II. Registration

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

C. Registration for use of Agency Vehicle

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

III. Schedule Flexibility

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

IV. Tracking and Incentives

- A. Each employee who enrolls in the program will track their actual participation for each pay period on his/her timesheets. Accuracy of reporting will be monitored by their supervisor.
- B. Employees who commute in an organized vanpool or public transit may also combine the pretax withholding provisions of the Agency's Commuter Cash Reimbursement procedure with the \$5.00 per day stipend.

V. Private Vehicle Carpooling Requirements

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

VI. Agency Vehicle Carpooling Requirements

- A. If three (3) or more Agency employees determine that carpooling is a viable alternative for them, they may request use of an Agency vehicle for their carpooling. The Program Administrator will review Agency vehicle carpool requests, assign vehicles, designate drivers, and impose conditions on vehicle use as needed to ensure that the vehicles are available for Agency use. The assignment of the Agency vehicle(s) will be based on the greatest number of riders in a vehicle. Carpoolers will be expected to determine the details of the carpool the same as private vehicle carpooling. Use of an Agency vehicle for carpooling will be subject to all the conditions contained in Agency policies pertaining to use of Agency vehicles and driving while on Agency business. The Agency will not mediate disputes among carpool participants.

- B. Designated drivers using Agency vehicles for carpools are required to follow the same check-out procedures for the use of Agency vehicles. When a designated vehicle is unavailable for commute use, the Program Administrator will consider approving the use of non-designated vehicle for commute purposes.
- C. Participants using the Agency vehicle must adhere strictly to the requirement for three persons minimum in a vehicle during each trip (refer to Taxability of Incentives, Section 132 of the Internal Revenue Code). The Agency reserves the right to suspend use of an Agency vehicle for carpooling if the Program Administrator deems that the users have not met the minimum rider requirement.
- D. Agency vehicle carpools are exempt from the minimum rider requirements under the following situations:
 - 1) When a participant is scheduled for standby duty, their becomes the driver for the carpool (unless the standby person has received prior authorization, their may not take a separate Agency car and commute separately from the carpool).
 - 2) A participant has an approved leave from work.
 - 3) A participant has an unforeseen absence from work.

VII. Guaranteed Ride Home

- A. Employees participating in this program are eligible for a guaranteed ride home if required to work overtime or to respond to a personal/family emergency. The guaranteed ride home will be coordinated with the employee's supervisor.
- B. "Emergency" is defined as the sudden onset of illness or injury to an immediate family member, immediate threat of property loss, or other qualifying event as determined by their supervisor.

VIII. Other Programs

Employees may elect to join a non-CMSA ridesharing arrangement with local employers, such as PG&E, Golden Gate Transit, or Marin Municipal Water District. Employees using such non-CMSA alternatives will be expected to arrange all the details of their participation themselves. They will be eligible for the \$5.00 per day cash stipend for each day they participate, are required to track their participation, and may request schedule flexibility.

IX. Accountability

The Program Coordinator reserves the right to audit timesheets to ensure that program participants adhere to these procedures. Should the Program Administrator determine that a participant has improperly used this program, the Program Administrator can immediately suspend the employee from further participation.

The employee may also be subject to other penalties or disciplinary action for falsifying program forms, timesheets, or reimbursement requests.

TAXABILITY OF INCENTIVES

The \$5.00 per day stipend for employees participating in the Alternate Commute Program will be totaled for the days they participated in each pay period and added to the employee's gross pay for that pay period, and taxed accordingly.

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

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

POLICY/PROCEDURE #:	56
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Commuter Cash Reimbursement
DATE:	6/16/2025 <i>(Board Approved)</i>

PURPOSE

CMSA supports, encourages, and promotes the use of public transit when convenient and affordable for Agency employees, and the CMSA Commuter Cash Reimbursement procedure provides a tax-benefit to those employees using public transit.

BACKGROUND

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

Employees enroll in the Commuter Cash Reimbursement Program for each time period requested using the Commuter Cash Reimbursement Request form in an amount not to exceed the monthly maximum of \$325. The amount is withheld from the employees' paycheck pre-tax and is reimbursed to the employee upon presentation of receipts for the purchase of public transit passes, tickets, tokens, and vanpool fares. Section 1.132-9(b) Q/A-16(a) allows a bona fide cash reimbursement arrangement to the employee, for the purchase of eligible transit passes.

There are a variety of public transit agencies and organizations that participate in the program, such as BART, Golden Gate Transit, and Sonoma-Marín Area Rail Transit (SMART).

Any employee who commutes to and from work using public transport is also eligible to participate in the Agency's Carpool/Alternative Commute Incentive Program.

PROCEDURE

- A. Employees who qualify for the benefit will complete a Commuter Cash Reimbursement Request form when requesting pre-tax reimbursement for qualifying transit expenses. The form is located on the Agency's network at S:/Library-Forms and Templates/STAFF FORMS.
 - 1) Only one form per employee per requested time period (i.e., monthly, bimonthly, or quarterly) will be processed by the Agency.
 - 2) The employee may request reimbursement for more than one public transit agency/organization requested per time period up to the aggregate cost prescribed by Federal law.
 - 3) Only one reimbursement per time period shall be processed.

- B. Employee shall submit their reimbursement request form to the Administrative Services Manager (ASM) for approval and authorization. The form should have the receipts attached to document the purchase. The form will be returned to the employee if not approved with an explanation for the denial.
- C. After approval, the ASM will provide the authorized form to finance staff to set up the appropriate pre-tax payroll deduction in the Agency's accounting system.
- D. The Finance Department with the next payroll will pre-tax deduct the reimbursement amount for the time period requested on the enrollment form.
- E. The Finance Department will issue a check to the employee drawing on the monies previously withheld as a reimbursement, provided that they have attached the appropriate receipts documenting the purchase of transit passes.

POLICY/PROCEDURE #:	57
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Employee Performance Evaluation Process
DATE:	6/16/2025

This procedure is to be used in conjunction with Personnel Policy #211 – *Performance Appraisals*.

PURPOSE

To establish procedures to conduct an employee performance evaluation between the employee and supervisor.

PERFORMANCE EVALUATION PROCEDURE

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

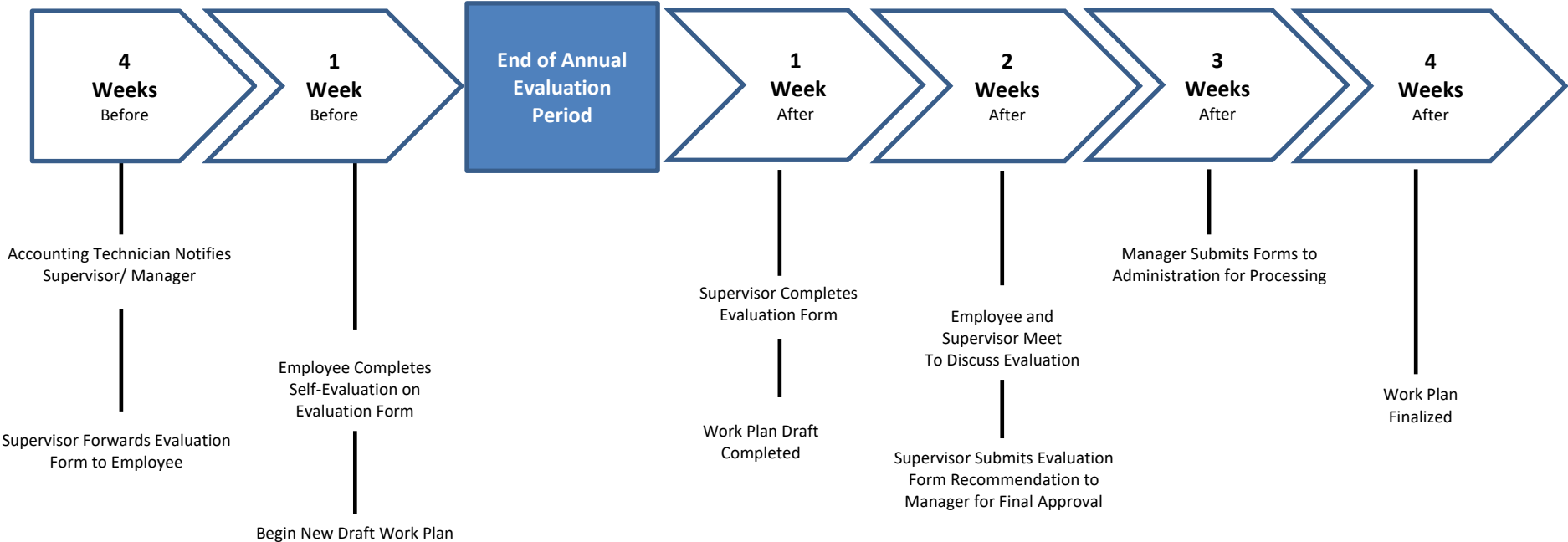
Employees and supervisors shall complete the annual evaluation no later than two (2) weeks after the end of the employee's evaluation period. The work plan for the upcoming evaluation cycle should be completed no later than two (2) weeks into the new evaluation period.

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

	Activity	Exchanging documents
1.	Accounting Technician will notify supervisor/department manager of upcoming employee evaluation four weeks prior to end of annual evaluation period. The supervisor will initiate the evaluation process within two days of the notification from the Accounting Technician.	Supervisor will complete the cover page of the evaluation form, and the work plan result and achievement section, and email the document to the employee.
2.	Once the employee has received the evaluation form from the supervisor, the employee may begin to complete a self-evaluation on the evaluation form. Supervisor and employee to establish a deadline for the employee self-evaluation, to be no later than the week prior to the end of the evaluation period. The employee may have four (4) hours of work time to complete the self-evaluation.	Once the employee has completed the self-evaluation, they will email the evaluation form to the supervisor.
3.	The supervisor or employee shall prepare a new work plan for the coming year one-week before the end of the evaluation period, to be submitted prior to evaluation meeting. Employees may have up to four (4) hours of work time to prepare a draft of a work plan prior to the evaluation meeting.	The appropriate party prepares a draft work plan and emails it no later than one day prior to the evaluation meeting.
4.	The supervisor should complete the draft evaluation within two (2) weeks of receipt of the self-evaluation from the employee and schedule an evaluation meeting with the employee.	Supervisor completes the evaluation and emails it to the employee. Supervisor completes the cover page for the upcoming work plan and emails it to the employee.
5.	Supervisor conducts evaluation meeting and discusses the draft work plan no later than two weeks after the beginning of the new evaluation period.	Supervisor will update evaluation form as necessary and email it to the employee.

		The supervisor and employee coordinate completion of the new work plan document to be finalized no later than four weeks after the beginning of the new evaluation period.
	Activity	
6.	The supervisor will review and sign the evaluation form and provide a copy to the employee. The supervisor will also save a copy of the employee's approved work plan. The supervisor will submit to their manager the following items no later than three weeks after the beginning of the new evaluation period: a. Signed evaluation form b. Completed Personnel Action Form ,as applicable, for General Manager approval	
7.	Once the manager has completed their review, they will provide all forms to the Administration for processing. Only the signed paper documents will be placed in the employee's personnel file.	
8.	No later than four weeks after the beginning of the new evaluation period, the employee submits final work plan to the supervisor, who saves a copy on their computer.	

EVALUATION ACTIVITY TIMELINE



POLICY/PROCEDURE #:	58
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Employee Award Recognition
DATE:	6/16/2025 <i>(Board approved)</i>

POLICY

The CMSA Board recognizes agency employees when they receive industry-related awards for exceptional individual or organizational accomplishments.

PROCEDURE

The Agency and its employees periodically receive recognition from national, state, and regional industry associations. Upon notification from an industry association that the Agency and/or staff members have received an award, the General Manager (GM) will prepare a report to inform the Board of the accomplishments, and the department manager will prepare the Personnel Action Form. Regular and Probationary employees who were employed by the Agency for at least six months during an agency, department, or work group award's specified time period are eligible for the monetary award. Temporary employees may be eligible for a monetary award, at the GM's discretion, if they meet the six-month employment criteria and their work or work product contributed to the particular award. The industry association, their award categories, the Board monetary award levels, and the eligible employee classifications are detailed below.

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

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

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

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

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

CWEA is one of the state's water and wastewater industry associations. CMSA is a member of the Redwood Section of CWEA, which includes Marin, Sonoma, Napa, and parts of Mendocino and Solano counties.

Each CWEA section has award programs, which are standardized throughout the state, and recognize the achievements of its member agencies and their employees. Regional award-winning employees and organizations are automatically included in the statewide competition. CWEA announces the award recipients at their respective regional conferences and the annual state conference, and provides award plaques to the recipients.

The following monetary award amounts are for achieving first place in a regional and state award.

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

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

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

The ACFR award is the Certificate of Achievement for Excellence in Financial Reporting and is the highest form of recognition in governmental accounting and financial reporting. Its attainment represents a significant accomplishment by a government entity and its management. The PAFR award is for an agency's outstanding achievement in popular annual financial reporting. The Distinguished Budget Presentation award

signifies that an agency's budget was deemed to be proficient as a policy document, financial plan, operational guide, and communication device for the agency's business. Recognition by the GFOA includes plaques for each award, and a certificate for the Agency's Administrative Services Manager.

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

IV. OTHER AGENCY AND EMPLOYEE AWARDS

If the Agency and an employee(s) receive noteworthy recognition and an award from another industry association or group, such as the California Association of Sanitation Agencies or the California Sanitation Risk Management Authority, the General Manager may present the award to the CMSA Board and recommend a monetary award.

POLICY/PROCEDURE #:	59
SECTION:	ADMINISTRATION - HUMAN RESOURCES
SUBJECT:	Maintenance of Employee Personnel Files
DATE:	6/16/2025

PURPOSE

To establish guidelines for the maintenance of the various types of human resources records and files that the Agency produces for each employee.

POSITIONS RESPONSIBLE

Administrative staff are responsible for the maintenance of the records and files associated with employment at CMSA. Unless otherwise instructed by the General Manager (GM), the Administrative Specialist will hold the keys to the personnel file cabinets and check that these cabinets are locked and keys are returned to the secured place at the end of each work day.

PROCEDURES

Documents relating to an employee's job performance, compensation and benefits, medical information or workplace injury shall be given directly to the Administrative Specialist (AS) or to the Administrative Services Manager (ASM).

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

Also refer to Administrative Procedure on Records Management and Retention (#6), regarding retention and long-term storage of personnel records and files by the Agency.

I. Access to Personnel Files

With the exception of the GM and ASM, no manager or supervisor shall keep any official Agency personnel files in their office.

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

A manager or supervisor can view the official Agency personnel files of their subordinates in the confines of ASM's office, or other designated location, and in the presence of the ASM or AS.

Any CMSA employee, upon written request to the ASM, may, at reasonable times and intervals, inspect their official personnel file. CMSA shall make the employee's file available for inspection within a reasonable period of time after the receipt of the

written request. The employee must view their file in the confines of the ASM's office, or other designated location, and in the presence of the AS, ASM or another manager designated by the GM.

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

II. Disclosure and Release of Employment Information and Records

A. Background and Reference Check

- 1) Reference inquiries regarding current or former CMSA employees must be directed to the GM or their designee.
- 2) Unless the current or former employee signs an authorization and release (S:\Lib - Forms and Templates\STAFF FORMS) regarding the disclosure of specific further information, the only information that will be disclosed by CMSA is the employee's current or final job title and dates of employment.
- 3) No information will be disclosed without the employee's or former employee's written authorization and release for the disclosure of the specific information requested. The authorization and release are provided and signed by the employee and shall give written authorization for CMSA to disclose to an identified third party the specific information.

B. Financial Information

The ASM or designee will be responsible for responding to the following types of inquiries or requests:

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

C. Court Subpoenas and Other Legal Requests

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

D. Medical Information

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

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

III. Type of Files

A. Personnel Files

Maintained by the AS.

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

- 1) Employment Information
 - a. Completed job application and background check information
 - b. Conditional offer of employment, employment agreement, and job description
 - c. Completed federal and state tax withholding forms, and Form I-9
 - d. Change in probationary status
 - e. Promotions and salary step adjustments
 - f. Agreement to earn compensatory time in-lieu of paid overtime
 - g. Requests for extended leave of absence
 - h. Letters of resignation
 - i. Letters of termination
 - j. Exit interview

2) Benefits

- a. Form SSA-1945—Statement Concerning Your Employment in a Job Not Covered by Social Security
- b. Copies of marriage certificates and dependent birth certificates
- c. Completed CalPERS healthcare enrollment forms
- d. Waiver of Coverage of Health Benefit form
- e. Documentation of other health insurance coverage, such as dental, vision, flex, and MARA plans
- f. Designation of Person(s) Entitled to Receive Final Checks in the Event of Employee's Death form
- g. Enrollment confirmation and designation of beneficiaries for life insurance
- h. SEIU Membership deduction authorization
- i. Wage and employment verifications and wage garnishments
- j. Change of address
- k. Employee-initiated changes in payroll withholding
- l. Enrollment confirmation in Plan 457 deferred compensation plan
- m. Carpool/Alternate Commute enrollment form
- n. Telework Agreement

3) Evaluations

- a. Annual performance evaluation
- c. Promotion and Completion of Training and Development Checklist
- d. Disciplinary action
- e. Employee recognition

4) Licenses/Certificates

- a. Department of Motor Vehicle Driving Record at time of hire
- b. New Employee Safety Orientation Training Checklist
- c. Job-required licenses and certifications
- d. Completion of Training certificates
- e. Education Expense Reimbursement Contract, Record of School Course Completion, and Reimbursement of Tuition
- f. Personnel Policies Acknowledgement

B. Medical Files

Maintained by the AS.

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

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

C. Payroll Administration Files

Maintained by Finance Department staff.

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

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

D. Supervisor's/Drop Files

Maintained by individual managers and supervisors.

- 1) Supervisor's files are "discoverable" and can be considered part of official personnel files. Supervisor files shall have a limited duration as defined by the period of the employee's evaluation. Items in the supervisor's files are notes related to the subordinate's current evaluation period.

- 2) Managers and supervisors are encouraged to attach any relevant information used to develop the subordinate's evaluation to the evaluation document for inclusion in the employee's personnel files. Other supporting documents shall be disposed.
- 3) Managers and supervisors should not retain medical, payroll, disciplinary or investigative information in the supervisor's file.
- 4) All documents related to a filed grievance should be placed in a separate grievance file for the matter and maintained by the General Manager.

E. DMV Records

Maintained by the AS.

Files are kept in a locked Human Resources file cabinet.

F. Worker's Compensation

Maintained by Safety Officer and AS.

Files are kept in a locked cabinet in the Administration Office.

G. Safety and Accident Investigations

Maintained by Safety Officer.

- 1) Attendance records for safety training
- 2) Accident Investigations

IV. Other Type of Employment-Related Records and Files

A. Employee-Filed Grievance

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

B. Ongoing Investigations

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

C. Completed Investigation That Does Not Result in Discipline

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

POLICY/PROCEDURE #:	60
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Recognition for Employee Service
DATE:	6/16/2025

POLICY

To provide guidance on how CMSA recognizes an employee's service when they retire from the Agency.

PROCEDURE

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

The retiring employee may choose to have an on-site luncheon (pot-luck style or catered) for staff and family, or an off-site luncheon. The Agency may contribute funds for the event.

The Agency allows a reasonable duration of time, usually at lunch time, for the recognition event. Supervisors are responsible for assuring that appropriate coverage is maintained at the Agency in those instances where the event is off-site.

POLICY/PROCEDURE #:	61
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	CMSA Vehicle Assigned Use
DATE:	6/16/2025

PURPOSE

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

PROCEDURE

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

I. VEHICLE ASSIGNMENTS

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

Asset Number	Asset Name	Primary Use	Secondary Use	Tertiary Use	Key Location (see below)
VE03.29	2020 Honda CRV	Agency Business (All Staff)	Agency Vehicle Carpool (All Staff)	Standby Vehicle	#1
VE03.20	2025 Honda CRV*	Agency Business (All Staff)	Agency Vehicle Carpool (All Staff)	Standby Vehicle	#1
VE03.30	2024 Honda CRV*	Agency Business (Admin/TS Staff)	Meetings / Training (Agency Staff)	Emergency Use (All Staff)	#2
VE03.23	2016 Ford F150*	Utility Vehicle (Maintenance Staff)	Plant Service (O&M)	On-call / Emergency Use (All Staff)	#3
VE03.26	2018 Ford F150 SB*	Pump Station Inspection (Maintenance Staff)	Pump Station Service (O&M)	On-call / Emergency Use (All Staff)	#3
VE03.18	2024 Ford F550*	Pump & Plant Service (Maintenance Staff)	Pump Station Inspection (Maintenance Staff)	Emergency Use (All Staff)	#3
VE03.19	2008 Ford E250*	Agency Business (E&I Staff)	Pump Station Service (E&I Staff)	Emergency Use (All Staff)	#3
VE03.28	2019 Ford F150 (SQPS)	San Quentin PS (IUL use Exclusively)		SSO/Emergency Use (All Staff)	#3
VE03.25	2024 Jeep Grand Cherokee	Agency Business (General Manager)	Emergency Response (General Manager)	Emergency Use (All Staff)	#4
VE03.24	2018 Ford Transit Connect*	Source Inspections (Technical Services)	Outreach-Fair-Carpool (Technical Services)	SSO/Emergency Use (All Staff)	#5

Asset Number	Asset Name	Primary Use	Secondary Use	Tertiary Use	Key Location (see below)
VE03.27	2020 Ford Transit Connect	Source Inspection (Technical Services)	Agency Business (Technical Services)	SSO/Emergency Use (All Staff)	#5

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

II. VEHICLE KEY LOCATIONS AND SIGN-OUT

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

- #1 - Administration Building front counter, far left-hand drawer labeled "Agency Vehicles, Keys, Transponders, Sign-in Sheet."
- #2 - Administration Building, see Accounting Technician. Spare keys in Key Lock Box, Agency vault.
- #3 - Maintenance Building, on the key rack in the main office entrance.
- #4 - In the General Manager's possession, with a duplicate located in the Administration Building, in the key lock box in the Agency vault.
- #5 - Administration Building, on the key rack in the Laboratory.

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

B. Vehicle sign-in/sign-out sheets are located on clipboards in the Administration Building in location numbers 1 and 5 and in the Maintenance Building location number 3 and must be filled out prior to vehicle use. The user must record the date, their initials, the vehicle number, time out, the specific use (Agency Business, Carpool, Standby), and if required, a vehicle transponder for toll use.

C. All Agency vehicles are located in the parking spaces outside the Administration Building adjacent to the Maintenance Building. This is the designated Agency vehicle parking area. The corporation yard can be used for overflow parking if necessary.

D. Prior to off-site use, employee is to:

- 1) Visually inspect the vehicle. Report any signs of physical damage, low tire pressure, or lights not working properly to the Maintenance Supervisor immediately. **Select another vehicle if any of the above are recognized prior to use.**
- 2) Verify that Agency Insurance ID card and vehicle accident forms are in the glove box.
- 3) Ensure vehicle has adequate fuel. All Agency keys have vehicle-specific fuel access cards on their key rings.

III. VEHICLE RETURN

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

POLICY/PROCEDURE #:	62
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Employee Professional Development
DATE:	6/16/2025

POLICY

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

PROCEDURE

- I. The employee's supervisor is responsible for working with the employee to determine appropriate training and professional development topics and establishing training goals in the employee's annual work plan.
- II. Specific work-appropriate classes, training events, conferences, and webinars shall be identified, and the employee and supervisor shall work collaboratively to schedule them.
- III. The Agency will provide advance funds and/or reimbursement for professional development and training as detailed in *Personnel Policy on Expense Reimbursement*.
- IV. After attending a training event, the employee is responsible for entering training data into the appropriate Agency record-keeping system, found on the network.
- V. The Agency will report the total training hours taken by staff each month on the Monthly Performance Metric Report.

POLICY/PROCEDURE #:	63
SECTION:	HUMAN RESOURCES – GENERAL
SUBJECT:	Employee Workstation Assessments
DATE:	6/16/2025

POLICY

CMSA is committed to improving the safety, comfort, and wellbeing of employees by identifying and correcting ergonomic risk factors in the workplace.

PROCEDURE

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

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

An employee may see the Safety Officer at any time to request a workstation assessment. The Safety Officer evaluates workstations for ergonomics and safety considerations for every new employee who spends more than 50 percent of their time at a dedicated workstation, and for field-based employees as needed.

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

I. Employee Request for Workstation Evaluation

- A. In order for CMSA to best determine whether an employee's workstation is appropriate or if the workstation arrangement needs to be modified, employees are to request an ergonomic evaluation of their workstation by completing the Workstation Ergonomic Assessment form on the Agency shared drive.
 - 1) Employee completes all information on the request form (located on the shared Safety Department drive under Ergonomics) and submits it to their immediate supervisor. (Incomplete forms will be returned to the employee.)
 - 2) Supervisor reviews the request form to confirm accurate completion, and then submits it to the Safety Officer.
 - 3) Safety Officer will perform a workstation evaluation with the employee and note the recommended appropriate actions to be taken on the form,

within a week from when it was received.

- a. If improvements are needed, the Safety Officer will initiate a purchase order utilizing the "Safety Supplies" account in the Administrative budget for the purchase and installation of equipment.
 - b. The Safety Officer shall oversee the purchase and installation of the equipment.
 - c. Equipment improvements will be completed within a month, barring extenuating circumstances, such as back-ordered equipment.
- 4) If it is agreed that no action is required, the employee checks the "no action needed" box on the form, the listed parties sign it, and the form is given to the Safety Officer for filing in the employee's confidential medical file.
- 5) The Safety Officer retains the form until the corrective measures have been completed and noted on the form.
- 6) Once completed, the employee and Safety Officer will sign the form, and a hard copy will be saved in the employee's confidential medical file.
- 7) The General Manager shall be informed of the status and disposition of the assessment through the Safety Officer.

POLICY/PROCEDURE #:	64
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Employee Wellness Program
DATE:	6/16/2025

PURPOSE

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

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

GOALS

The goals of the program are to:

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

PROGRAMS AND PROCEDURES

- I. The Administrative Specialist shall monitor and administer programs and procedures that work toward supporting the wellness program's purpose and goals, such as:
 - A. Wellness Wall -- Wellness information and resources periodically posted by the Wellness Coordinator on a bulletin board located in a centralized location for all employees.
 - B. Walk/Run Path -- A map of the Agency facility indicating measured routes that can be used by employees to track walking and running distances, with corresponding markers along the route. As this path encompasses facility vehicle roads and galleries, employees participating in this activity should observe appropriate safety measures and be aware of traffic at all times.
 - C. Wellness Notices -- The AS provides wellness information to all staff through the Claremont wellness newsletters sent by email.
 - D. Annual Flu Shots -- The Agency provides interested employees with paid time to get flu shots once a year during flu season.

- E. Digital Bulletin Board Messages – The AS will coordinate the regular addition of wellness information to the Administrative and Maintenance digital bulletin boards.

- II. Employee Participation

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

POLICY/PROCEDURE #:	65
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Safety Footwear
DATE:	6/16/2025

PURPOSE

Provide direction for eligible employees to acquire Agency required safety footwear.

ELIGIBILITY

Employees that regularly work in the field (Operations, Maintenance and designated Technical Services staff) are required to wear protective (safety) footwear, appropriate for the hazards while on the job and in accordance with the CMSA Health and Safety Personal Protective Equipment policy. Other employees who have the potential for a hazardous exposure may change into protective footwear prior to exposure.

PROCEDURE

- I. All protective footwear (rain boots and daily footwear) shall meet the latest ASTM F2413. Standard Specification Requirements for Foot Protection. Required minimum specifications are impact resistance (I), compression resistance (C), and electrical hazard protection (EH). Such specifications shall be clearly marked on the footwear (usually inside the tongue). Daily footwear shall be all leather construction, properly fitted, have skid-resistant soles and be waterproof (or capable of being waterproofed).
- II. New field staff shall be provided with two pairs of safety footwear and one pair of rain boots. Two pairs of footwear are being provided with the recommendation that employees regularly rotate their footwear for sanitation purposes. Annually, field staff shall be eligible to select one replacement pair of safety footwear, up to the price reimbursement limit set by the Agency, which shall be published on the Safety Shoe Purchase Request form.
- III. For non-field staff that have been identified as required to periodically wear safety footwear, one pair (as described) shall be purchased or cost reimbursed, as needed, up to the established price limit.
- IV. Employees shall be responsible for properly wearing safety footwear, maintaining it in a sanitary and serviceable condition, and immediately reporting damage (such as a separating midsole, penetrations or toe protection showing) to their supervisor. Footwear should be cleaned regularly and allowed to dry out between uses.

- V. As a convenience to employees, the Agency will schedule an approved “boot-mobile” vendor site visit to the Agency once per year, typically in July.
- VI. With supervisor approval, employees may obtain their annual safety footwear from an alternative supplier, provided it meets required Agency specifications. The employee can request reimbursement for this purchase, not to exceed the established Agency price limit, using the Agency’s Safety Shoe Purchase Request. Footwear, not meeting the required specifications, will need to be replaced at the employee’s own expense.
- VII. All field staff are responsible for the maintenance and safekeeping of their safety footwear so that they always have two serviceable pairs available for use. With supervisor approval, damaged footwear will be replaced via purchase or cost reimbursement, as needed, if the employee can demonstrate that the hazards of the job have caused the safety footwear to become damaged, defective, or incapable of providing the intended level of protection.
- VIII. With supervisor approval, employees who choose not to obtain their safety footwear from the annual boot-mobile event may procure footwear on Agency time, during their work shift, in accordance with this policy.

REFERENCE

- CMSA Health and Safety Policy: Personal Protective Equipment

POLICY/PROCEDURE #	66
SECTION:	ADMINISTRATION - HUMAN RESOURCES
SUBJECT:	Employee Compensation and Benefit Approval Process
DATE:	6/16/2025 <i>(Board Approved)</i>

POLICY

To enhance transparency and the opportunity for public engagement, the CMSA Board will utilize a multi-step process when considering Agency employee compensation and benefits adjustments.

PROCEDURE

- I. Any adjustments to employee compensation or benefits shall be approved by the CMSA Board at a public meeting, in open session, in accordance with the Ralph M. Brown Act.
- II. When considering compensation and benefit adjustments for a job classification(s) the Board will use the following process:
 - A. Staff will present the adjustment at a regular Board meeting, for Board review and discussion, public comment, and Board direction.
 - B. At a subsequent Board meeting, after Board comments and direction from the prior meeting have been addressed by staff, the Board will consider approving the adjustment.
- III. For cases where the adjustment is minor, non-substantive, or a housekeeping matter, as determined by the General Manager and approved by the Board Chair, the Board will consider the adjustment at a regular Board meeting and take action, as appropriate.
- IV. Generally, adjustments will not be considered by the Board at special or emergency meetings due to the reduced public notification period associated with each type of meeting.

POLICY/PROCEDURE #:	67
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Social Media Policy
DATE:	6/16/2025

PURPOSE

This policy establishes the following social media goals:

- Provide guidelines for how staff should respond to CMSA related social media requests from third parties (consultants, vendors, etc.)
- Provide policy guidelines when operating on social media on behalf of the Agency.
- Protect CMSA’s social media account(s) from inappropriate or unproductive dialogue.
- Safeguard CMSA from adverse legal and security implications.

Agency standards of conduct shall apply to all employee social media technology use that involves the Agency.

PROCEDURE

I. Guidelines to Staff for Engaging in Social Media

- A. Be transparent and truthful: Honesty – or dishonesty – is quickly noted and exploited in the social media environment. Information shared via these mediums must be carefully considered. Once information has been posted, it will be widely accessible, and it cannot be “taken back.”
- B. Be judicious: Material that is intended to be private, confidential, and/or for internal use only – such as legal or personnel issues – must not be posted.
- C. Admit mistakes: If content is posted by mistake, admit it – as quickly as possible. If it’s a post that can be edited, make all necessary changes.
- D. If it gives you pause, pause: If something is about to be published that makes you at all uncomfortable, do not publish it. In order to help clarify the post, review these guidelines and/or talk to a supervisor to work through your concern.

II. General Use and Content

- A. The Agency’s website (www.cmsa.us) will remain its primary and predominant internet presence.
- B. Wherever possible, content posted to an Agency social media site(s) should contain hyperlinks that direct users back to CMSA’s website for more in-depth information or documents.
- C. Employees shall not represent, in social media or other online forums, that they

speaking on behalf of the Agency, unless specifically authorized to do so by the General Manager/designee. Employees authorized to speak on behalf of the Agency shall identify themselves by full name, title, and shall address issues only within the scope of their specific authorization.

- D. If posts are shared or unoriginal imagery is used, posts must include credit to the original source.
- E. Articles, posts, and comments on the Agency's social media site are subject to monitoring and removal by the Agency. Any content deemed inappropriate by the Agency is not allowed and will be removed. Inappropriate content may include, but is not limited to, the following:
 - 1) All unproductive or inappropriate dialogue.
 - 2) Profane or offensive language or content.
 - 3) Content that promotes, fosters, or perpetuates discrimination or harassment, or in any other way violates the Agency's Personnel Policy on Unlawful Harassment/Discrimination.
 - 4) Sexual content or links to sexual content.
 - 5) Solicitations of commerce.
 - 6) Conduct or encouragement of illegal activity.
 - 7) Information that may compromise safety or security.
 - 8) Content that violates any Agency policy.
 - 9) Content that is off topic, out of context, spam, promotional, or links to third party sites.
 - 10) Content from anonymous profiles.
 - 11) Content that attacks an individual's character.
 - 12) Discussion of personal subjects such as politics and religion.
- F. CMSA disclaims responsibility and liability for inappropriate material posted by visitors or any other unauthorized user.
- G. Responding to visitors' comments (if necessary) is the responsibility of the AS.
- H. Posting any confidential, sensitive, or proprietary information on CMSA operations, business, and/or employees is strictly prohibited.
- I. CMSA aims to respond to relevant questions and comments as quickly as possible but reserves the right to use judgement in selecting the messages that receive responses.

IV. Guidelines to Staff Responding to CMSA Related Social Media Requests from Third Parties

- A. Third parties such as consultants, vendors or other entities sometimes create social media content that mentions CMSA and/or includes CMSA related content.
- B. If staff is approached by a third party with a CMSA related social media request, staff shall send the request to the General Manager and obtain written General Manager approval prior to responding to the third party.
- C. If staff becomes aware of previously unknown third-party social media content that relates to CMSA, and believes such content may not meet the goals outlined in this policy, staff shall inform the General Manager of the specific content. The General Manager will then review the content for compliance with this policy and if required, will contact the third party to request revision and/or removal of the content.

III. Roles and Responsibilities

- A. CMSA's primary contact for social media pages/sites is the Administrative Specialist (AS). The AS is responsible for posting approved content, monitoring activity on the Agency page, and referring inquiries and other matters needing attention to the appropriate manager, as noted below.
 - 1) Questions from the Public – General Manager
 - 2) Stakeholder engagement – General Manager; Administrative Services Manager; Treatment Plant Manager; Technical Services Manager, as appropriate
 - 3) Security and legal concerns – General Manager
 - 4) Crisis response – General Manager, Treatment Plant Manager
 - 5) Finance/HR – Administrative Services Manager
 - 6) Safety concerns – Safety Officer, General Manager
 - 7) Social media monitoring – AS, General Manager
- B. In most cases, the AS will be responsible for the content, maintenance, and monitoring.
- C. The Agency has the authority to designate additional Agency staff as social media publishers on an as-needed or project-specific basis.
- D. Staff is encouraged to suggest posting material to the Agency's social media site(s). Suggestions should be sent to the AS, who will forward to the appropriate department manager for review.

POLICY/PROCEDURE #:	68
SECTION:	ADMINISTRATIVE – HUMAN RESOURCES
SUBJECT:	Modified Duty/Return to Work Quick Reference
DATE:	6/16/2025

PROCEDURE

The Return-To-Work procedure is fully described in *Modified Duty/Return to Work Personnel Policy*. This reference provides further information about the modified duty/return-to-work policy for work-related as well as non-work-related illnesses or injuries. It does not supersede the above referenced policy. The Agency's Safety Officer is also the Return to Work and Worker's Compensation Coordinator.

WORK RELATED INJURIES

Work related injuries can be first aid or more significant, and are those that occur while working on Agency time on-site or off-site.

- I. First aid is any one-time treatment, and any follow-up visit for the purpose of observation of minor scratches, cuts, burns, splinters, or other minor industrial injury, which do not ordinarily require medical care.
- II. For injuries that are beyond in-house first aid, the injury must be reported to the supervisor, and the supervisor will immediately direct the injured worker to call the "Nurse Triage" injury hotline or dial 911 if it's an emergency. The Nurse Triage hotline gathers information over the phone from the injured worker and will advise the worker on whether further medical assessment or treatment is warranted. If recommended by Nurse Triage, the worker will visit the occupational physician that same day. The appointment will be arranged and coordinated by the Nurse Triage service.
- III. Injury reporting packets are located in the pink file folder on top of the black file cabinet in the Administrative Building's front office. The supervisor must complete the supervisor section of the DWC-1 form, and provide this to the employee as soon as possible, but no later than 24 hours from the worker's initial reporting of the incident. If necessary, the form may be emailed, hand-delivered, or mailed certified return receipt to the employee. The employee must complete the "Employee" section of the form and return it to the Agency.
- IV. The *Incident/Accident Report-Declined Medical Treatment* form is to be used if the employee does not need, or chooses to decline medical treatment, including for injuries requiring only in-house first aid. Declining does not prevent the employee from later seeking medical attention for the incident previously declined. If the employee uses the Nurse Triage hotline service, and declines medical treatment, the Nurse Triage service will document the declination. If medical treatment is declined, no DWC-1 form is required, and no workers' compensation claim will be filed. Use caution when declining, as even a simple cut could become infectious in our working environment.

- V. An incident investigation must be performed by the supervisor and/or Safety Officer, as directed under the Injury and Illness Prevention Program (IIPP), using the *Health & Safety Investigation* form. The documented investigation must be completed as soon as possible after the incident, preferably concurrent with completion of other required workers' compensation claim forms.
- VI. If medical evaluation and diagnosis is performed, it must occur within the Agency's Medical Provider Network, unless a pre-designated physician is on file for the injured employee (forms for physician pre-designation are available from Administration). The employee is under the care of the treating doctor for the duration of the treatment period until released by the physician to modified or full duty.
- VII. The Safety Officer can work with the employee and supervisor to complete forms required for a workers' compensation claim, if applicable. A workers' compensation claim must be filed for any injury, including first aid, for which medical evaluation is performed.
- VIII. The employee must return to work upon physician release to modified duty or full duty according to the Agency's return-to-work program. An *Work Status Report* form indicating the employee is released to return to work, with or without medical restrictions, must be completed and signed by the physician to return to work.
- IX. The physician's initial and subsequent Work Status Reports will state work restrictions, if any, that are indicated for the injured employee. The Return-to-Work (RTW) Coordinator or other designated knowledgeable person should lead the return-to-work process. The RTW Coordinator, the supervisor, and the employee are to discuss work restrictions and possible modified work so that the employee may return to work as soon as possible.
- X. Continuing eligibility for workers compensation may be at risk if the employee refuses any modified work offered by the Agency.
- XI. Modified duty assignments are set until the next scheduled physician visit, up to a maximum of six weeks each. The general manager may extend a modified duty assignment with the physician's updated evaluation and recommendation.
- XII. Forms Needed – Work Related
 - 1. *Health & Safety Incident Investigation* form.
 - 2. *DWC-1 Workers Compensation Claim* form completed to file the claim.
 - 3. *Incident/Accident Report-Declined Medical Treatment* form to decline treatment.
 - 4. Workers' Compensation packet with Medical Provider Network information, *Treatment Authorization* form, and Workers' Compensation overview and related forms.

5. *Employee Status/Work Status Report*, completed by physician for full release or with restrictions.
6. *Pre-designation of Personal Physician form to assign a workers' compensation treating* (must be on file prior to incident/accident).
7. Return-to-Work Template Memo.

All forms are located in S:\Lib - Forms and Templates\SAFETY FORMS

NON-WORK-RELATED ILLNESSES OR INJURIES

- I. Medical information is confidential and employees may, but are not required to, provide any information about the underlying diagnosis.
- II. The employee discusses with the supervisor the need for time away from work due to the non-work related illness or injury. The employer must not ask for information about the underlying diagnosis.
- III. The employee is required to provide a physician's note documenting the need for leave.
- IV. The employee remains off work during the approved leave until released by the physician to modified or full duty.
- V. The employee returning from medical leave must provide a medical release-to-work with or without restrictions as a condition of returning to work. There are no exceptions. The Agency will assist with forms if needed.
- VI. If the employee is released to return to work with restrictions that preclude them from performing all the essential job duties, the designated RTW Coordinator, the supervisor, and the employee will discuss possible modified duties for return to work, as applicable.
- VII. The employee returns to work with or without modified duty.
- VIII. Modified duty assignments, if available and appropriate under the circumstances, are a maximum of six weeks each.

Forms Needed – Non-Work-Related

1. Documentation of initial discussion.
2. Information to medical provider and medical information release form.
3. Work Status Report form for full release or with restrictions.

POLICY/PROCEDURE #	69
SECTION:	HUMAN RESOURCES
SUBJECT:	Teleworking
DATE:	6/16/2025

POLICY

Teleworking, or remote work, is a temporary, limited arrangement that allows eligible employees to work in a designated area off-site (typically, the employee's home) and requires advance authorization by the General Manager. Teleworking, if approved, is a cooperative arrangement between the employee and the Agency that is subject to a written telework agreement.

SAFETY AND CONFIDENTIALITY

Employees who are authorized to telework must ensure that they can safely and efficiently perform all of their duties and responsibilities, and must maintain their designated work area so it is free of all dangers, safety hazards, and risks that might endanger themselves or others.

Employees are covered by Workers' Compensation laws when performing work duties at their remote work location. Accordingly, employees who suffer a work-related injury or illness while telecommuting must notify their supervisor and complete any required forms immediately.

Employees working remotely must take all steps necessary to safeguard and protect Agency property and confidential, sensitive, and proprietary information of the Agency.

ELIGIBILITY

Eligibility for teleworking depends on both the position and the employee. Not every position, and not every employee, is necessarily well-suited for teleworking.

I. Position Eligibility

A position may be suitable for teleworking when the job duties:

- A. Lend themselves to measurable deliverables.
- B. Do not require frequent in-person interaction at the worksite with supervisors, colleagues, clients, or the public.
- C. Do not require the employee's immediate presence at the worksite to address unscheduled and/or emergency events.

II. Employee Eligibility

Employees may be eligible to telework when they have consistently demonstrated, for example:

- A. Dependability, responsibility, and initiative

- B. Effective communication with supervisors, coworkers, and the public
- C. The ability to work independently and productively
- D. A high level of skill and knowledge of the job
- E. Good organizational and time-management skills.

Employees who are not meeting performance or conduct expectations, are generally not eligible to telework.

Teleworking employees must continue to comply with all CMSA rules, policies, practices, and instructions, just as employees working on site must do.

WORK HOURS

All the rules for work hours at the Agency worksite are also applicable while teleworking, including:

- I. Employees must account for, record, and report time spent teleworking in the same manner as when working at the Agency worksite, and/or according to the terms of the telework agreement;
- II. Employees must obtain approval to use vacation, sick, or other accrued time off in the same manner as employees working at the Agency worksite; and
- III. Employees who become ill must report the hours actually worked, if any, and use sick leave for hours not worked.
- IV. Additional requirements for non-exempt employees:
 - A. Must perform designated work during scheduled work hours;
 - B. Must not work overtime unless directed to do so, and approved in advance, by the supervisor;
 - C. Must take meal and rest breaks in accordance with applicable law and Agency requirements.

TELEWORK REQUEST

The Agency may consider requests for long and short-term teleworking where the request:

- Is submitted in writing to the employee's manager and the General Manager;
- Describes the reason(s) for the request; and
- Describes the manner in which the employee can telework without reduction in work quality, efficiency, or productivity, and consistent with the needs of the Agency.

I. Long Term Telework Request

If an employee is interested in long-term teleworking, a telework request must be submitted to their supervisor, using the Telework Request Form.

If the department manager approves the long-term telework request, the employee and manager must prepare a telework agreement for the General Manager to consider, submitted on the Telework Agreement Form.

Telework arrangements will generally not be approved for a period longer than 90 days.

The Telework Request and Agreement Forms can be found on [S:\Lib - Forms and Templates\STAFF FORMS](#)

II. Short Term Telework Request

An employee with a short-term telework request (<3 days), can submit the request to their supervisor by email. The request must state what work activities will be performed during the telework period, and how many hours per day the employee intends to telework.

If the department manager approves the short-term telework request, the request can be submitted by email to the General Manager for consideration. The request must list the reason for the request, telework location, beginning and end dates, and a description of the work projects and activities to be performed during the telework period.

Note: For a short-term telework arrangement, typically less than three days, the employee does not need to meet all of the above listed Position and Employee Eligibility requirements.

POLICY #:	70
SECTION:	HUMAN RESOURCES – HR
SUBJECT:	EMPLOYEE OR RETIREE REQUESTED PAYMENT CHANGES
DATE:	6/16/2025

POLICY

Changes in bank account information or payment reimbursement requests by active or retired employees must be made to the Administrative Department in-person, virtually, or through power of attorney or notarization.

GENERAL

Agency employees or retirees may occasionally need to update their personal records. These changes include updates in personal address or other contact information, payroll tax status, and bank account information. The Agency encourages its employees to provide the most up to date information to the Administration Department for timely and accurate processing of payments, either payroll or reimbursements.

However, the advent of technology has brought about challenges for making such changes. Between phishing emails and artificial intelligence (AI) voice recordings, the opportunity for fraud becomes easier. As such, employees seeking to make changes to their personal information that cannot be done so on their own are to perform them through presentment (either via in-person, virtually, power of attorney, or notarization) before the Administration Department to quickly validate their identity.

EMPLOYEE INFORMATION REQUIRING ADMINISTRATION ASSISTANCE

Most employee changes follow the normal Agency approval process through the preparation of a Personnel Action Form (PAF) or Expense Reimbursement Form. The PAF covers an array of employee personnel information, such as promotions or job status changes, changes in pay or work schedule, employee leaves, address or phone changes, or payee bank account information. Payment reimbursement requests are made using the Reimbursement Request Form. Changes to bank account information and expense reimbursement requests require a verification process per this policy with the Administration Department to either input the change into the financial system or review to avoid the potential for fraud.

PROCEDURES

All active and retired employees requiring changes to their bank account or request a reimbursement are to do so in using one of the following options:

- 1) Employee or Retiree to physically appear at the Agency Administration office to submit the appropriate form to Administration Department Staff.
- 2) If unable to appear at the Agency's physical location, the person may alternatively request to communicate their request through an online video conferencing tool, and submit the form. Available online video conferencing tools are Zoom, Microsoft Teams, or any other online video conferencing tool through which the individual's face can be seen.
- 3) Submit the form with a scanned copy of a power of attorney or other notarized document confirming your account change to the Administrative Specialist or Administrative Services Manager. Included with the notarized document must have either a Certificate of Acknowledgement or a Jurat that includes an official notary public seal. The sequential identification number on the seal is then verified to the applicable County Recorder's Office or other local jurisdiction to validate its authenticity.

All methods quickly validate the identity of the individual(s) through view of their face or review of an official document versus relying on their email address or voice over the phone.

In the case an active or retired employee wants to change their bank account information, they also need to provide a voided check. Copies of the CMSA PAF and Reimbursement Request forms are located within the Administration Office.

POLICY/PROCEDURE #:	71
SECTION:	ADMINISTRATIVE – CONTRACT ADMINISTRATION
SUBJECT:	Chemical Ordering, Receiving, Reconciliation, and Payment Authorization (CORRPA)
DATE:	9/12/2025

PURPOSE

To provide guidelines for ordering, receiving, and paying for bulk chemicals used in the wastewater treatment process.

PROCEDURE

I. Chemical Contract Procurement – Technical Services

- A. CMSA participates in the Bay Area Chemical Consortium (BACC) procurement process for several bulk chemicals. The BACC manages the bid document preparation and public bid process. Technical Services staff will coordinate with the BACC to ensure that CMSA specific chemical supply information and requirements are included in the bid documents.
- B. Some bulk chemicals may be procured by the Agency using a staff administered evaluative or public bid process. For example, polymer is procured using a bid process that includes polymer vendor testing, using specific Agency testing procedures.
- C. After chemical supply, BACC, or Agency-managed bids are opened and analyzed, staff will request the Board award each contract to a chemical vendor. With Board approval, a Notice of Award will be issued to each vendor. After the required vendor documentation is approved, the General Manager will execute a Chemical Supply Agreement.

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

II. Chemical Ordering – Operations Department

- A. Operations staff determines the need and quantity for the specific product, and places the order with the appropriate vendor.
- B. An Operations staff designee will log the order date, the quantity ordered, the scheduled delivery date, and the initials of person placing the order, Standard Operating Procedures No. 01.04, into the chemical ordering, receiving, reconciliation, and payment authorization spreadsheet (CORRPA Log).

S:/Dept-Operations/Spreadsheets/CORRPA

- C. Force Majeure (Chemical Supplier) – An unforeseeable circumstance that prevents someone from fulfilling a contract.
 - 1. Operations Supervisor to immediately determine the onsite physical inventory, period until inventory is exhausted, ramifications due to loss of this process chemical, and incorporate immediate short-term actions to extend product use. Immediately consult the Treatment Plant Manager.
 - 2. Operations to seek out additional chemical/product suppliers, consult with Treatment Plant Manager and Technical Services Manager.
 - 3. Secure chemical from a supplier under an emergency Purchase Order.

III. Chemical Delivery/Receiving Procedures Summary – Operations Department

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

IV. Invoice Forwarding – Administration

- A. The Administrative Specialist or designee opens, date stamps, and delivers applicable invoices for chemical purchases and BACC bid management services to the Accounting Technician.
- B. The Accounting Technician then puts the invoice in an operations

supervisor/designees in-box, located in the Administration office.

V. Delivery Payment Authorization – Operations Department

- A. Once an invoice is received by Operations, the invoice stamp is filled in with the date, GL Account number, staff initials, and procurement period.
- B. Operations staff attaches the corresponding delivery paperwork to the invoice, records the authorization information in the CORRPA Log, and delivers all the payment documents to the Accounting Technician.
- C. The Treatment Plant Manager is authorized to approve all chemical procurement invoices.

VI. Invoice Payment – Finance

- A. Once the Accounting Technician has received the payment authorization, the payment is calculated using the quantity received on the payment authorization stamp multiplied by the contract unit cost.
- B. The Accounting Technician shall not process payments for invoices if the authorization stamp is missing or incomplete. The Accounting Technician will return incomplete documentation back to the Operations Department designee for correction or completion.
- C. The Accounting Technician should note discrepancies between the invoiced amount and the actual quantity received on the payment authorization. Invoices with discrepancies shall be returned to the Operations Department supervisor for review and clarification.
- D. If necessary, Technical Services staff will contact the vendor to address discrepancies.

POLICY/PROCEDURE #:	72
SECTION:	ADMINISTRATIVE – CONTRACT ADMINISTRATION
SUBJECT:	Professional Services Agreements
DATE:	9/12/2025

PURPOSE

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

BACKGROUND

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

- Signature Authority
- Contracting

Procurement of professional services shall follow the general guidelines as contained in the above policies.

PROFESSIONAL SERVICES AGREEMENT FORMS

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

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

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

PROCEDURES

Generally, consultants and other professional service providers will be selected utilizing the Request for Qualification (RFQ) and/or Proposals (RFP) selection process. If expected service costs (estimated by staff based on previous jobs of similar type and scale, informal surveys of other agencies, or other means) are within the General Manager's current signature authority,

then the General Manager may waive the need for a RFQ and/or RFP and authorize staff to request letter or email proposals from qualified consulting firms. If an RFP is used, it will include the scope of services requested, submittal requirements, submittal delivery date and time, a general schedule for the projected work, and other pertinent information. A sample CMSA Professional Services Agreement (PSA) form shall be attached.

The development of the RFQ and/or RFP documents, consultant selection process, and negotiation of the services fee shall be managed by the designated project manager.

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

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

POLICY/PROCEDURE #:	73
SECTION:	ADMINISTRATIVE – CONTRACT ADMINISTRATION
SUBJECT:	Public Project and Maintenance Work Contracting
DATE:	9/12/2025

PURPOSE

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

This procedure conforms to the requirements of the Uniform Public Construction Cost Accounting Act (UPCCAA) and the California Uniform Construction Cost Accounting Commission’s policies and procedures. This procedure will clarify the responsibilities of the Agency and contractors, improve transparency, and legally protect the Agency.

BACKGROUND

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

- CMSA Board Ordinance No. 2013-03 – An Ordinance Relating to Bid Cost Thresholds and Bidding Procedures For Construction Services
- Financial Policy on Signature Authority
- Financial Policy on Contracting
- Administrative Procedure on Professional Services Agreements
- Administrative Procedure on Equipment and Material Procurement

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

- Contractor’s Pre-Qualification Application
- Maintenance Project Proposal Request
- Maintenance Contractor Service Agreement
- Formal & Informal Construction Contract Specifications*
- Newspaper Notice Inviting Bids
- Bid Addendum Form
- Bid Opening Form

- Notice of Award
- Notice to Proceed
- Construction Contract Change Order
- Notice of Completion

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

DEFINITIONS AND APPLICABILITY

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

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

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

Specific historic CMSA Public Projects performed by in-house staff included:

- Addition of new VFDs to existing site waste pumps which previously did not have VFDs.
- Addition of new Air Conditioning Units to the Main Switchgear Building which previously did not have Air Conditioning.

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

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

- Minor repainting.
- Resurfacing of plant roads and/or parking lot at less than one inch.
- Landscape maintenance, including mowing, watering, trimming, pruning, planting, replacement of plants, and servicing of irrigation and sprinkler systems.

- Carpentry, electrical, plumbing, glazing, and other craftwork necessary to preserve the buildings, treatment plant facilities, and/or supporting structures in a safe, efficient, and continually usable condition for which the specific facility was intended, including repairs, cleaning, and other operations on machinery and other equipment permanently attached to the facility as fixtures.
- Work performed as needed to keep, operate, and maintain the treatment plant and its supporting structures (such as replacing existing equipment—valves, pumps, motors, sluice gates, tanks, or existing piping—in kind) that do not materially alter or improve the usability or operation of the plant or its supporting structures.

Specific historic CMSA Maintenance Projects performed by in-house staff included:

- Replacement of existing pump VFDs with newer VFDS.
- Touch up painting of the Solids Handling Building stairwell.
- Replacement of the various existing gates throughout the facility.
- Replacement of the existing primary clarifier flights and chains.

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

- Tier I –\$75,000 or less
- Tier II – between \$75,000 and up to \$220,000
- Tier III – above \$220,000

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

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

SCOPE

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

- Identify Public Projects, the appropriate tier, appropriate forms, and delivery method for each;
- Establish and maintain a list of qualified contractors by type of contractor's license/type of work;

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

ADMINISTRATIVE PROCEDURES

I. Engineering Staff will:

- A. Maintain program files and records;
- B. Prepare the annual notices inviting contractors to request inclusion on the list of qualified contractors by mailing, faxing, or emailing notices to the Agency's Construction Trade Journals list. The Agency's Construction Trade Journals list shall at least include the Marin Builders Association and Dodge Data & Analytics;
- C. Maintain a list of qualified contractors, identified according to categories of work;
- D. Advise contractors of their removal from the list of qualified contractors; and
- E. Provide guidance or support, as appropriate, to the Capital Improvement Program Team for project identification, tier assignment, and cost estimating and tracking.

II. Maintenance Staff will:

- A. Obtain two or more quotes, unless only a single quote is authorized by the General Manager, and select a contractor for Maintenance Department led projects;
- B. Prepare a Maintenance Project Proposal Request if necessary; and ask Engineering staff for review, if necessary.
- C. Provide proposal results and scope of work information to Engineering staff to develop the Maintenance Contractor Service Agreement.
- D. Oversee the execution of the maintenance work by the contractor.

III. The Capital Improvement Program Team will:

- A. Identify, during its annual CIP Budget development, Public Projects or maintenance work that are candidates for delivery under one of the UPCCAA tiers;
- B. Identify which of those projects qualify as Public Projects;
- C. Identify the Project Manager (PM) for new projects;
- D. Provide guidance or assistance to the individual PMs in developing estimates as

- required by UPCCAA for public projects;
- E. Ensure that contracting, and equipment and materials procurements are aligned with their respective Administrative Procedures; and
 - F. Provide guidance or assistance to the PM in tracking Public Project costs.

IV. The Engineering Staff will:

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

BIDDING PROCEDURES

I. Informal Bidders List Maintenance

A. Annual List Invitation

Each December, engineering staff will send written notices by mailing, faxing, or emailing to the Agency's Construction Trade Journals List, inviting all licensed contractors to submit the name of their firm to the Agency for inclusion on the Agency's list of qualified bidders. The Agency will either establish a new list or update its existing list of qualified contractors.

B. List Maintenance

The list of qualified contractors will be updated throughout the year on the CMSA server (S:\Dept - Technical Services\Engineering\Consultants-Contractors).

C. Interim Additions to the List

A contractor may have his or her firm added to an Agency's contractors list at any time by providing the required information online at <https://cmsa.us/projects/cupcaa-application>.

D. Removal From List

A contractor may be removed from the list if, at any time during the year, it no longer has a valid California contractor's license or it requests to be removed from the list.

II. Project Delivery Planning

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

III. Cost Estimating

- A. Each Public Project must have a cost estimate supporting the tier of UPCCAA award used:
 - 1) Tier I projects can be estimated using Agency's CMMS system's time and material estimates, with the addition of the 30% overhead allowance described in the UPCCAA guidance.
 - 2) For Tier II projects, the PM should contact Engineering staff for assistance developing the estimate.
 - 3) Tier III projects will always be formally bid, with cost estimates provided by design consultants and rigorous cost accounting measures used during construction.
- B. Engineering staff will produce a project delivery recommendation when updating the CIP budget, listing the Public Projects and Maintenance Projects by tier for the General Manager's review and, if needed, redirection. The General Manager may seek legal counsel's concurrence, if needed.
- C. Cost estimates and project delivery recommendations will be retained in the Engineering Department.

IV. Project Delivery

- A. Tier I projects may be self-performed by Agency staff, performed by others under a Maintenance Contractor Service Agreement, or by a combination of in-house and contracted work. A Maintenance Project Proposal Request will be prepared and sent to multiple contractors unless only one contractor is qualified to

perform the project.

B. Tier II projects may be informally bid, using these steps:

- 1) Notices inviting sealed informal bids must be sent to all contractors on the list of qualified contractors, identified according to categories of work, and to the Agency's construction trade journals list. If there are no qualified contractors on the list for the type of work for the project, then the request need only be sent to the Agency's construction trade journals list. The notice inviting bids form is included in the Engineering Forms and the Construction Contract Specifications.
- 2) There is no requirement to advertise the notices in a local newspaper. However, an advertisement may be placed in a newspaper using the Newspaper Notice Inviting Bids form, if deemed appropriate.
- 3) Notices inviting informal bids must be distributed no less than ten (10) calendar days before the informal bids are due.
- 4) The notice inviting informal bids shall describe the project in general terms, describe how to obtain more detailed information about the project, and state the time and place for the submission and opening of sealed bids.
- 5) The level of detail for the project plans and specifications will depend on the size and complexity of the project. Technical Services will collaborate with the project's identified PM to establish the needed level of detail. The Engineering staff will develop or coordinate development of plans and specifications, either in-house or via outside consultants, as appropriate. During the bid period, the contract documents may be amended using the Bid Addendum form. If an addendum is issued within 48 hours of the scheduled bid opening, the bid opening time must be changed to be at least 48 hours after the release of the addendum.
- 6) Contractors that are not on the list of qualified contractors may submit bids for Agency projects.
- 7) Bids will be opened and recorded in the Bid Opening form.
- 8) If the lowest responsive, responsible bid is less than the UPCCAA Tier II limit, a Notice of Award will be issued to the bidder. After the bidder submits the required documentation in the Notice of Award, the General Manager may execute the Contract Agreement and issue a Notice to Proceed that establishes the start date for the contract.
- 9) If all bids received are in excess of the Tier II limit, the UPCCAA states that the Board of Commissioners may, by adoption of a resolution with a four-fifths vote, award the contract, at \$235,000 or less, to the lowest responsive, responsible bidder, if it determines the cost estimate prepared by Agency staff was reasonable. After receiving the adopted Board resolution, a Notice

of Award will be issued to the bidder. The General Manager may execute the Contract Agreement and issue the Notice to Proceed after the bidder submits their required documentation.

- 10) A Construction Contract Change Order may be negotiated and executed during the construction period to modify the Contract Agreement as necessary to address changes to the contract scope, schedule, and/or fee.
- 11) A Notice of Completion will be filed with the Marin County Recorder after the project punch list is accepted as complete.

C. Tier III projects shall be formally bid, using these steps:

- 1) Detailed plans and specifications, including all the required supporting documentation and contract provisions, must be prepared and formally adopted by the Board of Commissioners at a publicly-noticed meeting.
- 2) After Board adoption of the project, the bid period must:
 - a. extend for at least thirty (30) calendar days beyond distribution of the Notice Inviting Bids,
 - b. be advertised in the Marin Independent Journal Newspaper at least fourteen (14) calendar days before the date of bid opening using the Newspaper Notice Inviting Bids form, and
 - c. sent to the Agency's construction trade journals list at least fifteen (15) calendar days before the date of the bid opening.
- 3) During the bid period, the contract documents may be amended using the Bid Addendum form. If an addendum is issued within 48 hours of the scheduled bid opening, the bid opening time must be extended to be at least 48 hours after the release of the addendum.
- 4) Sealed formal bids will be opened, recorded in the Bid Opening Form, and analyzed. A formal award recommendation will be made to the Board at a publicly-noticed meeting.
- 5) If the Board accepts the award recommendation, a Notice of Award will be issued to the bidder. After the bidder submits the required documentation in the Notice of Award, the General Manager may execute the Contract Agreement and issue a Notice to Proceed that establishes the start date for the contract.
- 6) A Construction Contract Change Order may be negotiated and executed during the construction period to modify the Contract Agreement as necessary to address changes to the contract scope, schedule, and/or fee.
- 7) A Notice of Completion will be filed with the Marin County Recorder after the project punch list is accepted as complete by the construction manager.

V. Cost Tracking

- A. Detailed cost tracking is only required for Public Projects as defined above. Maintenance work or other work that utilize the UPCCAA tiers and bidding methods need not maintain this added level of tracking. The Agency's CMMS system can be used to track project costs, and to produce the final cost report. The final cost report will be maintained by the Program Administrator, and copies supplied to the CIP Team and the Finance Department for their reference.
- B. Tier I Public Construction Projects can use the Agency's CMMS system to track the following costs:
 - 1) Direct material and equipment costs, including tax.
 - 2) Direct CMSA labor costs, including burden.
 - 3) Additional services performed under service agreement or purchase order.
 - 4) 30% administrative overhead applied to all direct costs (direct material and equipment, outside services, and burdened CMSA labor costs), as stipulated in the current UPCCAA guidance document (for local agencies serving populations greater than 75,000).
- C. Tier II Public Project contracts need to track the total construction, construction management, and additional support costs of the informally bid contract, together with the items listed in item B, above (including overhead). Informally-bid project costs may be tracked using the Agency's CMMS system or another construction management financial system.
- D. Although Tier III contracts do not fall under the UPCCAA cost-tracking requirements, any contract costs or additional Agency-incurred costs should be tracked and reported to Engineering, who will provide copies to the Finance Department, the General Manager, and the CIP Team.

VI. Record Retention

- A. Informal Bidders List
 - 1. All records relating to the current year's list will be retained by Engineering, including copies of all correspondence to or from contractors on, applying to, or disqualified from, the list of qualified contractors, and any documentation supporting removal of any contractor from the list.
 - 2. Prior years' list maintenance records will be retained an additional four years, or for a total of five years. After the fifth year, the records may be removed, depending on volume.
 - 3. Any electronic copies of these records will be retained for a minimum of five years, and after five years the records may be purged from the Agency's network.

B. Cost Estimates, Contracts, and Asset Management

1. Cost estimates for maintenance or Public Projects that were completed during the year will be kept electronically for the same length of time as the overall project records, in accordance with "Interim Project Files" per the Administrative Procedure on Records Management and Retention.
2. Original wet-signed contracts and change orders are to be filed in the Administration Department files.
3. Cost estimates for projects that were not initiated need not be retained.
4. New assets shall be recorded per the Administrative Procedure on Asset Tracking.
5. Disposed assets shall be reported per the Administrative Procedure on Disposal of Surplus Assets.

POLICY/PROCEDURE #:	74
SECTION:	ADMINISTRATIVE – CONTRACT ADMINISTRATION
SUBJECT:	Equipment and Material Procurement
DATE:	9/12/2025

PURPOSE

This procedure shall be used when procuring equipment or materials. Equipment procurement includes replacing existing equipment in kind, modifying existing equipment, or purchasing new equipment that is different than, or an upgrade from, the equipment it is replacing. Material or supplies procurement is intended replace depleted inventory or for use on maintenance or public projects.

The purpose of this policy is to ensure that the procurement procedures and the rules and expectations for following them are clearly defined and understood. This will legally protect the Agency and provide the necessary procedural structure and transparency when the Agency procures equipment or materials.

BACKGROUND

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

- Financial Policy on Signature Authority
- Financial Policy on Contracting
- Administrative Procedure on Management Signature Authority
- Administrative Procedure on Professional Services Agreements
- Administrative Procedure on Public Project and Maintenance Work Contracting

The two procurement tiers outlined here align with the authority limits referenced in the Signature Authority Financial Policy.

- Tier I – currently up to \$75,000 – aligns with the General Manager’s signature authority. Procurement up to this amount may be processed using a purchase order or a professional services agreement, as appropriate.
- Tier II – currently above \$75,000 – shall be awarded by the Board of Commissioners using a purchase order, or a CMSA professional services agreement, together with appropriate supporting documents.

APPLICABILITY

- This procedure applies both to equipment and material purchases for routine maintenance, repair or replacement, and pre-purchasing for construction or other capital improvement projects. Pre-purchasing should be considered when it will not change the Uniform Public Construction Cost Accounting Act (UPCCAA) tier status of a Public Project and will provide advantages to the Agency such as cost savings, shortened construction schedules and reduced uncertainty in construction bid documents.
- For the purposes of this procedure, the procurement document may include incidental vendor services, such as startup of equipment, as long as the total cost of such incidental services is less than 25% of the overall procurement cost. When the cost of supporting services is greater than or equal to 25% of the overall cost, then the procurement and work should be carried out under a professional services agreement.
- When pre-purchasing equipment or materials as part of a larger Public Project, then that larger project contract will be developed subject to the provisions of Administrative Procedure on Public Project Contracting. The project delivery method is determined by estimated total project cost, including pre-purchased equipment and/or materials.
- Consistent with the provisions of the UPCCAA, multiple identical items procured from a single vendor, should be grouped into one procurement process, and should not be arbitrarily broken up so as to keep individual orders within the General Manager's signature authority.

FORMS – PURCHASE ORDERS AND SERVICES AGREEMENTS

I. Purchase Orders

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

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

If a vendor is performing work on CMSA property, generally, the vendor must provide proof of insurance before starting the work. Proof of insurance is a minimum \$1 million in liability coverage policy and workers compensation, if applicable. CMSA, at its discretion, may waive insurance requirements or reduce the above stated coverage limits based on the vendor's scope of work and

complexity of the associated task.

- C. All purchase orders are subject to the procurement, signature authority, and disbursement requirements in Agency's Financial Policies

II. Services Agreements

A Services Agreement (either Professional Services or Maintenance Services; see below) should be used if the vendor's services will constitute 25% or more of the total cost. At the General Manager's discretion, legal counsel may need to review a professional services agreement before it is executed.

PROCEDURES

- I. Procurement will be by purchase order or a Services Agreement.
- II. Procurements estimated to cost up to the General Manager's signature authority may be executed by the General Manager or designee, or, at the General Manager's discretion, brought before the Board of Commissioners for approval. Procurements above the General Manager's signature authority must be approved by the Board of Commissioners.
- III. Two or more quotes (preferably at least three) should be obtained whenever practicable. One quote may suffice if the material is specialized such that only one vendor is available or suitable, or if the General Manager or designee determines that a single quote is acceptable.
- IV. For procurement that is expected to exceed the General Manager's signature authority, a Request for Quote (RFQ) (S:\Lib - Forms and Templates\ENGINEERING FORMS) should be developed, unless waived by the General Manager.
 - A. RFQs should include any specifications, scope of any additional services requested, submittal requirements, submittal deadline date and time, a general timeline for the projected procurement and installation, payment schedule, liquidated damages, and other pertinent information.
 - B. If the procurement is to utilize a services agreement form, then a specimen Agreement form will be attached to the RFQ.
- V. The development of the RFQ documents, scope of work, selection process, and negotiation of the services fee shall be managed by the Project Manager or designee. Generally, RFQ documents should be reviewed by Engineering staff before being issued to vendors.
- VI. If the General Manager has waived the RFQ requirement, the Project Manager will solicit several quotes, based on either actual specifications or on a general description of the equipment to be provided.
- VII. Before an equipment procurement commitment is made, the Purchase Order or Services Agreement must be completed.
 - A. All CMSA purchase orders must be approved in the Agency's financial system.

Unless waived by the General Manager, CMSA Project Manager shall not sign equipment supplier purchase orders.

- B. Services Agreements need to be signed by the vendor and countersigned by the General Manager.
- C. The Project Manager or designee shall attach all selected quotes for the equipment to the purchase order or service agreement to document that selection process. All other quotes will be saved in the project file.

VIII. Service Agreement Type

- A. CMSA has both Professional and Maintenance Contractor Services Agreements.
- B. If per this policy, a Services Agreement is found to be required, Engineering shall advise as to which agreement type is more appropriate for the project.

POLICY/PROCEDURE #:	81
SECTION:	ADMINISTRATIVE – INFORMATION TECHNOLOGY
SUBJECT:	Third-Party Agency Information Technology Support
DATE:	9/12/2025

PURPOSE

This procedure shall be used by the Agency when contacting third-party support for Agency Information Technology (IT) software or hardware issues.

PROCEDURE

- I. An employee initially requests support from the Information System Administrator (ISA).
- II. If the ISA is unavailable, the employee shall request assistance from an Electrical/Instrumentation Technician.
- III. If the E/I Technician is not available, and the issue is deemed significant enough such that resolution cannot wait until the ISA or E/I Tech returns, an attempt should be made to reach the ISA by calling their personal phone numbers to see if they are available to assist.
- IV. If the above Agency staff cannot be contacted, or they are unavailable, the employee's department manager should contact the Agency's IT Support Provider (Progent). At this point, Progent will work with the manager to identify and resolve the issue.

REFERENCE

Progent contact information:
(866) 776-4368 (24-hour support)
trc@progent.com (Medium priority, 6am-6pm)

POLICY/PROCEDURE #:	82
SECTION:	ADMINISTRATIVE – INFORMATION TECHNOLOGY
SUBJECT:	Artificial Intelligence Use
DATE:	9/12/2025

PURPOSE

To provide guidance to staff on the appropriate use and restrictions of using generative artificial intelligence (GenAI or AI) tools in connection with their work for the Agency.

PROCEDURE

Available applications driven by GenAI, such as chatbots (e.g., ChatGPT) or image generators (DALL-E 2, Midjourney) are exciting new innovations that may appear to offer opportunities to increase workplace efficiency. Use of this new technology can also bring significant risks related to confidentiality, accuracy, and security.

- I. GenAI applications are subject to providing false answers or information, or information that is out-of-date. As such, employees must carefully and thoroughly verify that any response from a GenAI tool upon which they intend to rely or use: is accurate, appropriate, and ethical; is not a breach of confidentiality; and does not violate any Agency policy or law.
- II. Information provided to a GenAI tool may become publicly available, regardless of any assurances to the contrary. As such, no confidential, proprietary, or sensitive information should be provided to a GenAI tool. For example, employees must not upload or input: passwords or other credentials; confidential health records or other personnel or personally-identifiable information; or any other confidential Agency information.
- III. If an employee does use a GenAI tool to help perform a work task, they must inform their supervisor of that fact, preferably in advance of such use, in writing.
- IV. Employees are not permitted to represent any work generated by AI as their own original work. Employees must ensure that, if any of their work uses AI-generated information or assistance, they should include a clear statement of that fact on the work product.
- V. Employees shall not integrate any GenAI tool into Agency software, as explained in Policy #94: *IT Security*, without advance written authorization from the Information Systems Administrator.
- VI. Any employee who has a concern about possible violation of this policy must report the concern to their supervisor or the Information Systems Administrator.

POLICY/PROCEDURE #:	91
SECTION:	ADMINISTRATIVE – SAFETY AND SECURITY
SUBJECT:	Facility Security
DATE:	9/12/2025

PURPOSE

To maximize the security of CMSA’s assets, facilities, and people, and to reduce liability and risk associated with unauthorized individuals utilizing CMSA property.

PROCEDURE

This procedure shall be annually reviewed and updated by the Safety and Security Committee with modifications recommended to the Executive Team, as needed.

I. Agency Property Security

- A. Perimeter inspections of Agency property will be conducted once daily by Operations staff during the rounds. The inspector shall look for any perimeter fence or gate damage, ensure all gates are secured, and report any signs of intrusion or threats to perimeter security to the Safety & Security Coordinator. Needed repairs will be performed on a high-priority basis.
- B. All access gates in CMSA’s perimeter fence shall remain locked with a “G” series lock at all times when not in use. The Administration Building’s main entrance door will be locked outside of normal business hours. Each department is responsible for ensuring security of its designated work areas.
- C. Only CMSA staff, authorized Marin Airporter employees, Joint Powers Agreement (JPA) member agency staff receiving recycled water, and authorized contractor personnel shall possess and use electronic gate openers (keycards), which are issued by the Information Systems Administrator (ISA). Temporary contractor keycards issued by the ISA are stored in the Administration department vault and are tracked by the Administrative Specialist (AS). Keycards temporarily issued to contractor personnel shall be returned promptly upon completion of the contractor’s work, and shall be surrendered immediately upon request by the CMSA project manager, General Manager (GM), or GM designee. *See Policy/Procedure 95 – Key and Keycard Control.*

Keycards will be deactivated by the ISA after 30 days of nonuse.
- D. The Andersen Drive front entrance gate business hours are 5:15am to 5pm, Monday through Friday and closed on the weekends. The front entrance gate shall be kept closed during non-business hours, and the facility yard access gate shall remain closed at all times.

II. Entry/Access Control

- A. Signs shall give clear direction to all persons entering CMSA's property. "No Trespassing" signs referencing California Penal Code 555 are installed on perimeter fences and gates and posted on Agency property above Andersen Drive.
- B. All visitors who have not been issued keycards shall check in at the Administration Building and sign the visitor log before entering the facility. The visitor sign-in sheet shall indicate name, date, time in, reason for visit, and the CMSA contact. Tour groups may sign in as a group; group sign-ins shall include the number of attendees entering. Completed sign-in sheets will be maintained in the Administration files, in chronological order, for three years.
- C. All deliveries will be coordinated with CMSA personnel and typically will be made during normal business hours. CMSA personnel will initiate all delivery requests, and the vendor shall provide delivery confirmation and the approximate delivery date and time. During business hours, delivery personnel shall stop and sign in at the Administration building, and the appropriate Agency representative will be notified before they are granted access through the facility's yard access gate.

Typically, deliveries will wait at the "Blue line" on the plant road just inside the corporation yard to be met and accompanied by CMSA personnel. At the discretion of the Operations or Maintenance contact person, companies that frequently deliver to CMSA may be allowed to continue to the specific delivery location where an Agency staff member will provide them access to the appropriate storage facility. If a delivery is anticipated outside normal business hours, the delivery personnel shall contact CMSA operations staff by telephone (415-459-1455, ext. 2) at least an hour before delivery, and confirm delivery times approximately 10 minutes before arrival.
- D. Business hours shall be clearly posted at the Administration Building entrance, main vehicle entrance gate and facility yard access gate.
- E. There are two remote facility access controllers which can open the facility's yard access gate, the main door into the Administration Building, and the two doors off the Administration Building foyer.
 - 1) These remote controls are kept at the Administrative Specialist and Accounting Technician desks.
 - 2) If a remote control is lost or stolen, the ISA will be informed immediately to replace the remote and modify the door opening codes.
 - 3) Access shall only be granted through the doors or yard gate after the visitor requesting entry has identified themselves, properly signed in at the front desk (except for deliveries occurring after business hours), and the CMSA staff member the visitor wishes to meet has been informed. Generally, CMSA staff shall escort the visitor into the facility. If the visitor

is permitted to proceed unaccompanied, the appropriate gate or door will be opened for them.

- 4) For visitors driving inside the facility, the yard gate video camera should be monitored and the yard gate opened only when they are visible onscreen, waiting at the gate.
 - 5) During non-business hours, the Operator-in-Charge (OIC) shall promptly open either gate, if required, after determining that the person(s) requesting entry is authorized to enter.
- F. Facility access cards and key fobs are subject to the requirements in the *Key and Keycard Control Administrative Policy*.

III. Vehicle and Materials Delivery Management

- A. Employees of CMSA, Marin Airporter, and Agency visitors shall use the appropriate designated parking areas. Contractors working at CMSA will use the staging and parking areas designated in the project's contract documents.
- B. To ensure separation between CMSA and contractor possessions, CMSA portable tools and equipment shall not be left at contractor work sites or staging areas.
- C. All Agency vehicles and vehicle storage bins shall be kept locked when vehicles are off site. Management of vehicle keys is detailed in the *Fleet Vehicle Assigned Use Administrative Policy*.
- D. Delivery of bulk chemicals and organic waste, and septage and vacuum trucks shall be done in accordance with CMSA's Standard Operating Procedures (SOPs). These SOPs address safe handling, traffic control, and verification requirements. Electronic versions of the SOPs are available on the shared drive CMSA internal network:

S:\Dept - Operations\Standard Operating Procedures
- E. Private recreational vehicles may dispose of waste during regular business hours only. Owners are required to sign in and discharge waste according to the *Acceptance of Hauled Waste Administrative Policy*.

IV. Agency Staff Responsibilities

- A. Security threats shall be dealt with in accordance with the Agency's Emergency Action Plan and Workplace Violence Prevention Program.
- B. Lone operators shall carry a radio at all times that can access emergency assistance in accordance with Agency Emergency Operating Procedure 01.01. Emergency services should be summoned by dialing 911.

POLICY/PROCEDURE #:	92
SECTION:	ADMINISTRATIVE – SAFETY AND SECURITY
SUBJECT:	Health and Safety Policy
DATE:	9/12/2025 <i>(Board approved)</i>

PURPOSE

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

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

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

- Workplace incidents and injuries are preventable.
- No employee is required to work in an unsafe area.
- Employees will not be required to perform a task that is unsafe.
- Employees are encouraged to discuss safety issues, and bring to management's immediate attention any unsafe condition or hazard within the workplace, without concern about retaliation or harassment.
- Every employee has the responsibility to work safely. Employees are expected to participate in Health and Safety Program activities, and to accept and follow established safety programs, policies, and work procedures.
- All supervisors and managers are responsible and accountable for the overall administration and effectiveness of the Health and Safety Program within their designated areas of responsibility. The safety of each employee is considered an integral part of the supervisor's regular management functions.
- Agency business shall be conducted in accordance with applicable federal, state, and local laws, regulations, and standards.

CMSA safety related documents, including an Injury and Illness Prevention Program (IIPP), can be accessed on the Agency network.

POLICY/PROCEDURE #:	93
SECTION:	ADMINISTRATIVE – SAFETY AND SECURITY
SUBJECT:	Safety and Wellness Incentive Program
DATE:	9/12/2025 <i>(Board Adopted)</i>

PURPOSE

To enhance the Agency’s Safety and Wellness Programs by encouraging employees’ active participation. The Safety and Wellness Incentive Program (Program) strives to achieve this by acknowledging employee contributions in several of the key aspects of a sound safety and wellness culture such as hazard identification, safety communication, safety and wellness training, and personal wellness practices.

GOALS

- Prompt identification and correction of safety hazards;
- Increased leadership and participation in safety training;
- Consistent demonstration of safe work practices;
- Improved personal health and well-being; and
- Zero workplace injuries.

AWARD CRITERIA

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

PROCEDURE

- I. The ~~Safety and Wellness Incentive~~ Program functions on a 6-month basis (July 1 through December 31, and January 1 through June 30) with awards provided to employees at the end of each 6-month period.
- II. Points are earned and accumulated on an individual basis and expire at the end of each period.
- III. All employees (except contract and exempt) are eligible to earn points toward awards. To receive a Tier 4 or 5 level award, the employee must lead at least one qualifying department tailgate during the period.

- IV. For each 6-month period, eligible employees will have the opportunity to earn monetary rewards for participation as shown in Table 1 below.

Table 1 – Six-Month Award Levels

Award Level	Total Points	Total Cash Award
Tier 1	75	\$ 25
Tier 2	100	\$ 50
Tier 3	125	\$ 75
Tier 4	150	\$150
Tier 5	225	\$225

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

A. Safety Hazard Alert or Near Miss

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

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

B. Safety Hazard Alert/Near Miss with a Suggested Solution

A suggested safety solution to a valid safety hazard/near miss represents a substantial improvement to a genuine risk or problem whether actually implemented or not. It must be a solution not previously identified. A valid safety hazard alert/near miss and its suggested solution receive points for both.

Submittal of the hazard and solution can utilize the same process and forms as noted above in item A.

C. Leading Tailgates

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

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

D. Outside Safety Training Participation

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

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

E. Attend Wellness Training/Wellness Webinar

Wellness training participation involves successful completion of seminars or webinars, or conference attendance provided by an outside training organization such as CSRMA or the Employee Assistance Program administrator, ~~or another entity, as approved by CMSA.~~

- 1) To qualify for incentive award points, the activity must be wellness-related and approved by the Safety Officer as a qualifying wellness training activity. Pre-approval or post-approval may be obtained by providing the Safety Officer a course agenda, web link, or pamphlet describing the event.
- 2) If the activity will be performed during work hours, (such as completion of a wellness-related webinar available on Target Solutions) the employee seeking the outside training must obtain his or her supervisor's advance authorization, and provide proof of that authorization to the Safety Officer.
- 3) Upon successful completion of the outside training event, the employee submits the certificate, receipt, or evidence of successful completion to the Safety Officer for logging, scanning, and filing.
- 4) For webinars where multiple employees participate simultaneously, such as in the conference room, an attendance sheet (certified by a manager) and certificate, receipt, or evidence of completion shall be acceptable.

F. Annual Physical, Dental Checkup or Vaccination

Participation in this incentive requires getting preventive care medical checks or vaccinations and provide proof of completion. Incentive points will be awarded, up to a maximum one event for each 6-month period, for completion of one or more of the following:

- 1) One well-visit physical per year, as performed by the employee's personal physician. Proof of the physician visit must be provided to the Agency.
- 2) One dental checkup per year, as performed by the employee's personal dentist. Proof of the dental visit must be provided to the Agency.
- 3) One vaccination per year by the employee. Proof of the vaccination visit must be provided to the Agency.

VI. Program activities and their maximum 6-month point values are identified on Table 2 below.

Table 2: Safety Award Criteria

Action / Activity	Points Awarded	Maximum Available Points Per Period	Validated or Certified by	Tracked by
Valid Safety Hazard Alert or Near-Miss	50/Each	100	Safety Officer	Safety Committee
Valid Safety Hazard Alert with Suggested Solution	100/Each	200	Safety Officer	Safety Committee
Lead Qualifying Safety Tailgate	75/Each	150	Dept. Manager	Safety Officer
Attend Outside Safety Training/Safety Webinar	50/Each	100	Safety Officer	Safety Officer
Attend Wellness Training/Wellness Webinar	25/Each	25	Safety Officer	Safety Officer
Get Annual Physical, Annual Dental Checkup, or Vaccination	25/Each	25	Safety Officer	Safety Officer

VII. Award Tabulation

- A. The employee is responsible for submitting the appropriate completed documentation to the Safety Officer for logging within 10 working days of completion of an Action/Activity to be considered for point awards.
- B. Within 30 days of the end of the 6-month award period, the Safety Officer shall ensure all Action/Activity point tallies are submitted to the Administrative Specialist for final tabulation and submittal to the General Manager for approval/distribution of awards.

PROCEDURE #:	94
SECTION:	ADMINISTRATIVE – SECURITY PROCEDURES
SUBJECT:	Information Technology Security
DATE:	9/12/2025

PURPOSE

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

PROCEDURES

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

I. Information Technology

- A. CMSA's Information Systems Administrator (ISA) will keep current with and implement measures to control unauthorized access to the Agency's computer/SCADA systems including, but not limited to:
 - 1) Maintaining and upgrading firewalls and intrusion detection systems as necessary to prevent unauthorized internet access to CMSA's information systems.
 - 2) Installing and maintaining current versions of professional-grade antivirus and antimalware software on applicable Agency systems and devices.
 - 3) Conducting periodic vulnerability assessments. The ISA will determine the need for an outside professional to perform or assist in the evaluation.
 - 4) Apply security patches frequently for user applications and operating systems.
 - 5) Prohibit and prevent the execution of unauthorized software and other executables on Agency systems.
 - 6) Ensure sensitive data is encrypted, both when stored and while being transferred between systems.
- B. Passwords and access controls shall be utilized to monitor and ensure appropriate levels of security for Agency staff. User accounts shall be disabled upon an employee's departure from Agency employment or leave greater than 30 days. The ISA shall establish the appropriate level of electronic security access for all new employees in consultation with the employee's supervisor. Staff shall not store passwords in an unencrypted or insecure manner, nor shall staff share

their passwords with anyone. Storing credentials in password-protected spreadsheets is not considered secure. To assist employees who need secure credential management, a password manager (e.g., KeePass XC) will be maintained on all workstations. This enables login details to be stored in an encrypted manner with a “master password,” allowing users to have to memorize only a few usernames and passwords.

- C. The ISA will ensure that all Agency servers are regularly backed up. A “backup” server is installed onsite, but physically located away from the data being backed up, and incremental backups are made to this server. Backups will also be replicated off-site for disaster recovery.
- D. Only Agency-managed Internet file sharing programs and services (Dropbox, Google Drive, OneDrive, etc.) will be used for Agency documents and data. Accessing personal online file storage from Agency computers is prohibited.
- E. No hardware, including, but not limited to, laptops, desktop peripherals, tablets, phones, or removable storage devices, shall be connected to Agency hardware or networks without the approval of the ISA, General Manager, or designee, with the exception of personal devices connecting to the Agency’s public Wi-Fi. No software shall be installed on Agency systems without the approval of the ISA or General Manager.
- F. Basic computer security training will be given to all employees who use Agency computers. This training will be included with initial security policy training and refresher training will be scheduled at least annually.
- G. Personnel Policy #408-*Rules Regarding Use of Agency Property and Equipment* addresses further Information System issues, and will be reviewed annually to verify that it remains adequate and relevant.
- H. Remote access to the Agency’s Office Network can be established for individual employees on a case-by-case basis. If access is approved by the employee’s supervisor and the GM, the ISA will provide IT security refresher training, then set up the secure connection.

When remote access is no longer necessary, or authorized, the employee’s supervisor notifies the ISA, who removes the user from the remote access group.

POLICY/PROCEDURE #:	95
SECTION:	ADMINISTRATIVE – SAFETY AND SECURITY
SUBJECT:	Key and Keycard Control
DATE:	9/12/2025

PURPOSE

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

PROCEDURE

This procedure shall be reviewed annually by the Safety and Security Committee and modifications recommended to the Executive Team, as needed.

I. Keys, Keycards, and FOB Control

- A. The Administrative Building Key Control Box and key list is maintained by the Administrative Specialist (AS), and contains copies of the keys listed in the Master Key list. The Maintenance Supervisor (MS) maintains the Maintenance Building Key Control Boxes and associated key lists. The Agency’s FOB Control list is maintained by the Information Systems Administrator (ISA). (See Attachment A).

The treatment plant’s process areas and facility access gates are all keyed according to a master key system with “G” stamped keys.

The Master Key List documents “G”, “M” and confidential keys. (Attachment A)

B. Employee Keys and Keycards

- 1) Each new employee will be issued a “G” key and a keycard upon hire. Additional keys, as appropriate and based upon the employee’s job duties, will be issued by the employee’s supervisor. Upon issuing the key(s), the supervisor will ensure the keys are noted on the Issued Key Log stored in the employee’s personnel file.
- 2) Supervisors are responsible to ensure that keys and keycards are returned by their employees upon transfer or termination of employment with CMSA or when the need for the key no longer exists.
- 3) Keys and keycards will be issued, and access granted for the duration of the need, not by term of employment with CMSA.
- 4) Transferring ownership or responsibility of keys or keycards from one person to another is not permitted. Keys and keycards must be returned to the supervisor and recorded in the employees’ Issued Key Log.
- 5) All keys not issued to a specific employee must be secured in the appropriate Key Control Box. Supervisors will not store unissued keys

outside of a Key Control Box (Attachment B).

- 6) Each employee is responsible for the safekeeping of their keycard and key(s), and for their return to their supervisor upon transfer or separation of employment with CMSA or when the need for the key no longer exists. Lost or stolen keys, keycards, or FOB's are to be reported to the employee's supervisor immediately.
- 7) No keys shall be duplicated without the prior approval of the GM or Treatment Plant Manager.

II. Contractor keycards shall be programmed to permit access only through the facility yard access gate during normal business hours, unless approved by the Project Manager or designee.

- A. Contractor keycards will not operate the main facility entrance gate, the employee entrance gate, or any secured doors in the CMSA facility.
- B. The CMSA Project Manager will request keycards from the AS on a per project basis. The Project Manager's request will include the number of keycards, name of the person(s) the keycards will be issued to, the contractor's contact information, and the scheduled completion date for the project.
- C. The Project Manager will inform the contractor that the keycards are the property of CMSA and need to be returned at the completion of the project.
- D. The contractor shall immediately inform the Project Manager if a keycard is lost or stolen. The Project Manager will then inform the ISA to deactivate the keycard.
- E. Annually, the AS shall conduct a Contractor Keycard inventory to ensure all cards are accounted for.
- F. Keycards must be surrendered immediately upon request by the Project Manager or designee.
- G. No person who has had a keycard revoked and/or has been removed from CMSA property will be reissued a keycard and allowed back on CMSA premises without the GM's express written approval, including any conditions the GM determines are prudent or necessary.

III. Marin Transit Authority (MTA) Keycards and FOB's shall be programmed to permit access through the CMSA main and yard gates, and MTA employee entrance gate at all times. The Agency's MTA Keycard and FOB Control Lists are maintained by the ISA.

- A. MTA Keycards and FOB's will not operate the CMSA administration building main entrance door, CMSA employee entrance gate, or the vehicle fuel station.
- B. MTA will request keycards and/or FOB's from Agency on a per person or vehicle basis. The requester will include the number of keycards/FOB's, name of the

person(s) or vehicle ID the devices will be issued to. The ISA will track this information in a control list.

- C. MTA representatives shall immediately inform the Agency if a Keycard/FOB is lost or stolen and will also ensure keycards and FOB's are returned by their employees upon transfer or termination of employment.
 - D. Twice annually, the ISA will provide the most current MTA Keycard holders and vehicle FOB's control list to the MTA for updating. The ISA will then review the MTA provided list and shall conduct a Keycard and FOB audit. Findings from these audits shall be used to update the control list.
 - E. Keycards and FOB's must be surrendered immediately upon request by the Agency.
 - F. No person who has had a keycard revoked and/or has been removed from CMSA property will be reissued a keycard and allowed back on CMSA premises without the GM's express written approval, including any conditions the GM determines are prudent or necessary.
- IV. Recycled Water Station access FOBs shall be programmed to permit access only through the facility yard access gate during normal business hours.
- A. Recycled Water access FOB will not operate the main facility entrance gate, the employee entrance gate, or any secured doors in the CMSA facility.
 - B. Recycled Water access FOB will only operate the yard entrance gate, and the recycled water station only.
 - C. The recycled water hauler shall immediately inform the Regulatory Compliance Manager if a FOB is lost or stolen. The Regulatory Compliance Manager will then inform the ISA to deactivate the FOB.

KEY LIST**Staff Abbreviations**

AMS	Assistant Maintenance Supervisor	LMT	Lead Mechanical Technician
AS	Administrative Specialist	MS	Maintenance Supervisor
ASM	Administrative Services Manager	MT	Maintenance Technician
ET	Electrical/Instrumentation Technician	AT	Accounting Technician
SA		RCM	Regulatory Compliance Manager
GM	General Manager	TPM	Treatment Plant Manager
ISA	Information Systems Administrator	TSM	Technical Services Manager
LMR	Lead Maintenance Repair Worker	UW	Utility Worker

Key List

Key #	General Area Used	Staff Access
GM	Facility Master Key and General Manager's office; fits all locks including private offices.	GM, ASM, AS
G	General Access Key to facility and fence gate locks; does not open private offices.	All employees
G1	Treatment Plant Manager's office	TPM
G2	Administrative Services Manager's office	ASM
G3	NOT USED	
G4	Operations Supervisor's office	TPM, OS, AOS
G5	Regulatory Compliance Manager's office	RCM, ASM, TPM, TSM
G6	NOT USED	
G9	Landscaping tool room in Headworks	TPM, MS, AMS; authorized maintenance staff

MS1	Maintenance Supervisor's office	ASM, TPM, TSM, MS, AMS
MS2	Assistant Maintenance Supervisor's office	ASM, TPM, TSM, MS, AMS
MS3	Technical Services Manager's office	TSM, ASM, TPM
V	Agency vault within Administration Building	ASM, S EA, AS, P AT
KC	Key control boxes (Administration and Maintenance buildings)	AS, AMS
MR	Personnel Medical Records in Administration	ASM, AS, P AT
PR	Personnel Records/Evaluations/Confidential Information in Administration	ASM, AS, P AT

KEY CONTROL BOXES

There are three key control boxes within the facility: the primary key control box located in the Administration Building's vault, and two control boxes located in the Maintenance Supervisor's (MS) office in the Maintenance Building. Each individual control box is to be clearly labeled, and access is to be made solely by the Maintenance Supervisor or AMS for the Maintenance boxes, and by the Administrative Services Manager (ASM) or Administrative Specialist (AS) for the key box in the Administration vault.

- Administrative Building – The key control box within the Agency vault contains a minimum of two labeled keys each from the Key List.
- Maintenance Building – Key Control Box No. 1 is for “Lockout/Tagout” master keys storage, is to be well maintained and labeled, and is managed by the MS. Key Control Box No. 2 is to be well-organized and contain a minimum of one spare key for each of the Agency's fleet vehicles and motorized equipment, keys for major tools and tool crib, maintenance carts, and inventory for specialty locks for on/offsite assets.

POLICY/PROCEDURE #:	96
SECTION:	ADMINISTRATIVE – SAFETY AND SECURITY
SUBJECT:	Homeless Encounters
DATE:	9/12/2025

PURPOSE

To minimize risk to the security of Agency assets, facilities, and employees, and to minimize liability and risk associated with unauthorized individuals utilizing Agency and contract agency service area property.

PROCEDURE

This procedure shall be reviewed annually by the Safety and Security Committee and modifications recommended to the Executive Team, as needed.

I. General

Any Agency employee observing evidence of a homeless encampment or encountering any unauthorized activity on Agency or contract agency service area property shall immediately leave the area and follow the notification procedures below.

Under no circumstances shall an employee inspect a suspected homeless encampment or contact persons associated with them without a police officer present. Once the police officer has verified that the encampment is empty and posted the appropriate notification, the Safety & Security Coordinator or designee shall coordinate the cleanup.

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

II. Notification – Encampment on Agency Property

If an employee encounters unauthorized activity or evidence of an encampment on Agency property, they shall notify their supervisor who will inform the Safety & Security Coordinator.

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

III. Cleanup

A. Cleanup Schedule

Once the site has been determined to be vacated, the Safety & Security Coordinator will hire a cleanup contractor and schedule the cleanup with the SRPD. The cleanup may be monitored by the SRPD. The Safety & Security Coordinator will approve the cleanup with the SRPD officer present. Assigned CMSA staff will periodically observe and manage the cleanup contractor for contractual purposes.

B. Cleanup Contractor

The cleanup will be carried out by a qualified contractor.

C. Contraband/Hazardous Materials

Should any contraband (illegal drugs or paraphernalia, weapons, explosives, etc.) or hazardous materials be discovered during cleanup, the contractor crew will leave the contraband untouched and cease cleanup in the immediate vicinity, and proceed with the rest of the cleanup if it is safe to do so. The SRPD will confiscate the contraband and dispose of it as appropriate. If the SRPD is not on site, the contractor will notify the SRPD and the Safety & Security Coordinator immediately, informing them of the nature of the material discovered, and determining whether to proceed with the cleanup.

D. Post Cleanup

Once the cleanup is completed, the Safety & Security Coordinator will inspect the site and verify that the cleanup has been completed. The Safety & Security Coordinator will then update the incident memo and other records with cleanup information, including date(s), personnel and equipment used, total costs, and any comments about the cleanup process. The Safety & Security Coordinator will also monitor that the encampment is not being re-established.

IV. Encampments at or near Contract Service Area Property

- A. In alignment with procedural steps I and II above, any observed signs of homeless encounters and/or encampment activity shall be reported immediately to the employee's supervisor. The supervisor will notify the contract agency representative and their applicable law enforcement agency. If requested to do so, CMSA may consider managing the clean-up effort on behalf of the contract agency.

B. Contract Service Agency Location and Applicable Law Enforcement Agency:

1. Sanitary District No. 2's Pump and Lift Stations – Central Marin Police Authority – **(415) 927-5150**
2. San Quentin Peroxide Station – CDCR San Quentin Prison, Watch Commander – **(415) 454-1460, extension 5051**
3. Ross Valley Sanitary District's Greenbrae Nitrate Station – Central Marin Police Authority
4. San Rafael Sanitation District's North Francisco and West Railroad Nitrate Stations – San Rafael Police Department - **(415) 485-3000**
5. San Quentin Village Sewer Maintenance District – Marin County Sheriff Department - **(415) 473-7250**

