Finance and Personnel Committee Meeting - January 15, 2020

1. Agenda Packet
   Documents:
   
   200115 AGENDA PACKET - POSTED 200110.PDF

2. Media Index By Agenda Item
   Documents:
   
   MEDIA INDEX BY AGENDA ITEM - POSTED 200116.PDF
FINANCE AND PERSONNEL COMMITTEE

AGENDA

DATE: Wednesday, January 15, 2020       TIME: 4:00 p.m.

1. CALL MEETING TO ORDER AND ROLL CALL.

2. ITEMS TO BE ADDED, WITHDRAWN, OR REORDERED IN THE AGENDA.

3. PUBLIC COMMENT.
   Opportunity for members of the public to address the Committee. (Government Code Section 54954.3).

4. ACTION AGENDA.
   The following items on the Action Agenda call for discussion and action by the Committee. All items are placed on the Agenda so that the Committee may discuss and take action on the item if the Committee is so inclined, including items listed for information.

   A. Presentation by Certified Public Manager® Program Graduates
   B. Review of Board Policies and Procedures (501 through 509) – Second Review
   C. Review of Board Policies and Procedures (510-516, 518-519) - First Review
   D. Strategic Plan Reporting – Bi-annual Detailed Work Plan Status Report

5. CLOSED SESSION.
   At any time during the regular session, the Committee may adjourn to closed session to discuss real property matters within the attorney-client privilege, subject to the appropriate disclosures. (Government Code Section 54956.8).

6. NEXT MEETING DATE: Wednesday, February 5, 2020 at 4:00 p.m.

7. ADJOURNMENT.

This agenda was posted at least seventy-two (72) hours before the meeting in a location freely accessible to the Public on the exterior bulletin board at the main entrance to the Authority’s office and it is also posted on the Authority’s website at www.sweetwater.org. No action may be taken on any item not appearing on the posted agenda, except as provided by California Government Code Section 54954.2. Any writings or documents provided to a majority of the members of the Sweetwater Authority Governing Board regarding any item on this agenda will be made available for public inspection at the Authority Administration Office, located at 505 Garrett Avenue, Chula Vista, CA 91910, during normal business hours. Upon request, this agenda will be made available in appropriate alternative formats to persons with disabilities, as required by Section 202 of the Americans with Disabilities Act of 1990. Any person with a disability who requires a modification or accommodation in order to participate in a meeting should direct such request to the Board Secretary at (619) 409-6703 at least forty-eight (48) hours before the meeting, if possible.

To e-subscribe to receive meeting agendas and other pertinent information, please visit www.sweetwater.org.

A Public Water Agency
Serving National City, Chula Vista and Surrounding Areas
TO: Governing Board (Finance and Personnel Committee)
FROM: Management
DATE: January 10, 2020
SUBJECT: Presentation by Certified Public Manager® Program Graduates

SUMMARY
Recently, the Sweetwater Authority had four employees graduate from a leadership program specifically designed for managers in the public sector. As part of this program, the team completed a project focused on the Employee Life Cycle at Sweetwater Authority, identifying best practices and opportunities for improvement. The team will present the findings from their project to the Finance and Personnel Committee.

Background
The Certified Public Manager® Program, now known as The Centre’s Leadership Academy, is designed to prepare California’s public leaders to lead organizations in complex, highly-charged political environments. In addition, the program provides public agencies with the means to meet their succession planning goals through the professional development of their managers. The program is comprised of four 2-day modules over the course of eight months. A unique element of the program is the requirement for participants to complete a major work-related project under the guidance of a sponsor from their home organization.

Upon completion of the program, participants will be able to:
- Demonstrate high levels of public service commitment, personal integrity, and continuous learning
- Effectively align resources and lead people to accomplish goals
- Practice results-driven management
- Lead agency processes to establish goals, measure and report on performance and outcomes, and act as effective change agents
- Meet organizational goals through effective planning
- Participate in a network of public leaders and managers as members of the American Academy of Certified Public Managers (AACPM)

Participants who complete the program will receive a credential recognized by the National Certified Public Manager® Consortium.
MEMO TO: Governing Board (Finance and Personnel Committee)  
Subject: Presentation by Certified Public Manager® Program Graduates  
January 10, 2020  
Page 2 of 2

**PAST BOARD ACTION**  
Each year the Board budget funds for employee training.

**FISCAL IMPACT**  
Funds for this training were included in the Board approved budget.

**POLICY**  
Strategic Plan Goal 5: Workforce Development and Constructive Labor Relations (WD)  
– Attract, retain and develop highly-skilled, adaptable workforce; Equip employees to effectively and safely perform their jobs and prepare for career advancement; Promote constructive labor relations.  

- Objective WD2: Implement a Leadership Development Program that engages staff in Authority’s needs for leadership capacity.

**ALTERNATIVES**  
This item is provided for information purposes.

**STAFF RECOMMENDATION**  
This item is provided for information purposes.
TO: Governing Board (Finance and Personnel Committee)
FROM: Management
DATE: January 10, 2020
SUBJECT: Review of Board Policies and Procedures (501 through 509) – Second Review

SUMMARY
Annually, the Board reviews and updates all of its Policies and Procedures to ensure that they are relevant, accurately reflect current and/or preferred practice, and include all legal requirements. Management will present the policies to the Board in batches so that the Board can carefully review the policies and make any changes.

The Finance and Personnel Committee reviewed Policies 501 through 509 on January 2, 2020. A summary of the recommended changes are as follows:

<table>
<thead>
<tr>
<th>POLICY</th>
<th>ADDITIONS/MODIFICATIONS/COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>501 – 503, 505, and 508</td>
<td>No recommended changes.</td>
</tr>
<tr>
<td>504</td>
<td>Recommended changes: Clarify the role of individual Directors and the direction of General Manager performance of duties</td>
</tr>
<tr>
<td>506</td>
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</tr>
<tr>
<td>507</td>
<td>Recommended changes: Updated the Communications Committee meeting schedule from as-needed to quarterly.</td>
</tr>
<tr>
<td>509</td>
<td>Recommended changes: Clarify that Board members are to notify the Board Secretary of meeting absences as soon as possible</td>
</tr>
</tbody>
</table>
Memo to: Governing Board (Finance and Personnel Committee)  
Subject: Review of Board Policies and Procedures (501 through 509) – Second Review  
January 10, 2020  
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PREVIOUS BOARD ACTIONS

July 24, 2019   Approved Policy 522  
June 12, 2019   Approved Policy 517  
April 24, 2019  Approved Policies 601 through 608  
March 27, 2019  Approved Policies 504, 506, 507, 512 through 516, 518, 519, and 521  
February 27, 2019   Approved Policies 501 through 503, 505, and 507 through 511

FISCAL IMPACT

Fiscal impact is limited to cost incurred for legal counsel review.

POLICY

Governing Board Policy 503, Adoption/Amendment of Policies and Procedures, establishes guidelines to adopt and amend policies and procedures in the Policies and Procedures Manual of the Governing Board of Sweetwater Authority and calls for the periodic review of the existing policies and procedures.

ALTERNATIVES

1. Recommend changes to Policies 501 through 509 for Board review and consideration.

2. Recommend no changes to Policies 501 through 509 for Board review and consideration.

STAFF RECOMMENDATION

Staff seeks direction from the Governing Board.

ATTACHMENTS

Board Policy 501
Board Policy 502
Board Policy 503
Board Policy 504
Board Policy 505
Board Policy 506
Board Policy 507
Board Policy 508
Board Policy 509
POLICY 501 – OFFICIAL SEAL

POLICY

The Governing Board of Sweetwater Authority has adopted a design that shall constitute the official seal of Sweetwater Authority.

PROCEDURE

The following design shall constitute the official seal of Sweetwater Authority.

The seal is comprised of two concentric circles. The diameter of the seal is 1-5/8" with the outer perimeter of the circle encompassed with a braided rope design. The distance between the outer and inner circle is ¼" containing the words “SWEETWATER AUTHORITY” inscribed around the top of the inside circle and “CALIFORNIA” inscribed around the bottom. In the center of the single-lined circle, which is 1” in diameter, the word “ORGANIZED” is inscribed around the top inner portion of the circle, with the words “FEB. 3, 1972” inscribed around the bottom inner portion. The very center of this circle also contains a symbol that resembles a small propeller.
POLICY 502 – PURPOSE OF BOARD POLICIES AND PROCEDURES

POLICY

It is the intent of the Governing Board (Board) of Sweetwater Authority (Authority) to use sound management practices and maintain a Policies and Procedures Manual. It shall contain a comprehensive listing of the Board’s current policies and procedures, constituting the rules and regulations enacted by the Board from time to time.

PROCEDURE

The Policies and Procedures Manual shall serve as a resource for the Directors, staff, Management, and members of the public in determining the manner in which matters of Authority business are to be conducted.

If any policy or portion of a policy contained within the Policies and Procedures Manual is in conflict with rules, regulations, or legislation having authority over the Authority, said rules, regulations or legislation shall prevail.
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POLICY 503 – ADOPTION/AMENDMENT OF POLICIES AND PROCEDURES

POLICY

To establish guidelines to adopt or amend policies and procedures in the Policies and Procedures Manual of the Governing Board (Board) of Sweetwater Authority (Authority).

PROCEDURE

Consideration by the Board to adopt a new policy or procedure or to amend an existing policy or procedure may be initiated by a Director or by the General Manager. The proposed adoption or amendment is initiated by submitting a written draft of the proposed adoption or amendment to each Director and the General Manager through the Authority’s office and requesting that the item be included for consideration on the agenda of the appropriate Committee or on the agenda of a Regular Meeting of the Board.

Periodic review of the existing policies and procedures will be initiated by the General Manager.

Adoption of a new policy or procedure or amendment of an existing policy or procedure shall be accomplished at a Regular Meeting of the Board and shall require an affirmative majority vote of the Board.

Before considering adopting or amending any policy or procedure, Directors shall have the opportunity to review the proposed adoption or amendment prior to the meeting at which consideration for adoption or amendment is to be given.

Copies of the proposed policy or procedure adoption or amendment shall be included in the agenda information packet for any meeting of consideration. Pursuant to the Ralph M. Brown Act, the agenda information packets with said copies shall be made available to each Director for review at least seventy-two (72) hours prior to any meeting of consideration.

Revised and Approved on 2/27/19
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POLICY 504 – CODE OF ETHICS

POLICY

The Governing Board (Board) of Sweetwater Authority (Authority) is committed to providing excellence in legislative leadership that results in the provision of industry-leading services to its constituents and to comply with all applicable state laws including AB 1234 approved in 2006. The Board is also committed to pursuing effective governance of the Authority by using effective communications strategies and respecting the clear division of responsibility between the Board and the professional Management and staff of the Authority.

PROCEDURE

The principles and standards below are intended to ensure effective communications and ethical practices by and among the members of the Board. Directors who consistently ignore or violate these principles and standards, or who commit a substantial and detrimental violation of these principles and standards, may be subject to censure by the Board or removal from representing the Board at any activities where they might be designated by the Board as a representative of the Authority. Board members shall comply with the following principles and standards:

A. The dignity, style, values, and opinions of each Director shall be respected.

B. Responsiveness and attentive listening in communication are encouraged.

C. Directors shall commit themselves to emphasizing the focused, relevant, thoughtful, positive contributions to the discussion and collaborative analytical process, avoiding double talk, hidden agendas, gossip, backbiting, and other negative forms of interaction.

D. Directors shall commit themselves to focusing on issues and not personalities or other prejudices. The presentation of the opinions of others should be encouraged. Cliques and voting blocks based on personalities rather than issues shall be avoided.

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

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

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

H. Directors are responsible for monitoring the Authority’s progress in attaining the goals and objectives, while pursuing its mission, as identified in the annual Strategic Plan.

I. The needs of the Authority’s constituents should be the priority of the Board. When a Director believes he/she may have a conflict of interest, the Director may consult legal counsel to assist the Director in making a determination if one exists or not. If the Director determines that there is a conflict of interest or an appearance of a conflict of interest with respect to any official action that he or she needs to take as a Director, then the Director is responsible for disclosing such conflict and recusing himself or herself in accordance with applicable law and regulations.

The primary responsibility of the Board is the formulation and evaluation of policy and making financial decisions for the Authority. Routine administrative and operational aspects of the Authority are the responsibility of the General Manager, who is the Chief Executive Officer of the Authority. The following procedures are intended to provide for effective channels of communication and a clear division of responsibility between the Board and the Management of the Authority.

–Directors who consistently ignore or violate these procedures, or who commit a substantial and detrimental violation of these procedures, may be subject to censure by the Board or removal from representing the Board at any activities where they might be designated by the Board as a representative of the Authority. Board members shall comply with the following procedures:

A. Directors should develop a working relationship with the General Manager wherein current issues, concerns, and Authority projects can be discussed comfortably and openly. In seeking clarification on informational items, Directors shall approach the General Manager to obtain information needed to supplement, upgrade, or enhance their knowledge to improve legislative decision-making. Directors shall not attempt to obtain such information directly from other Authority staff without the knowledge or involvement of the General Manager.

B. When approached by residents and property owners of the Authority with complaints, said complaints shall be referred directly to the General Manager.

C. When considering items related to safety, concerns for safety or hazards shall be reported to the General Manager.

D. When seeking clarification for policy-related concerns, especially those involving personnel, legal action, land acquisition and development, finances, and programming, said concerns shall be referred directly to the General Manager or
legal counsel.

E. When approached by Authority personnel concerning specific Authority policy or operations, Directors shall direct the Authority personnel to the General Manager. Directors may then directly consult with the General Manager or legal counsel about said issue.

F. When responding to constituent requests and concerns, Directors shall be courteous, responding to individuals in a positive manner and referring their questions to customer service, the General Manager, or legal counsel. Directors may then directly consult with the General Manager or legal counsel about said issue.

G. When approached by vendors or contractors concerning the availability of work or contracts at the Authority, Directors shall direct such inquiries to the General Manager.

H. **Individual Directors shall not act independently to direct the General Manager in the performance of duties, or to provide or compile data, information, or reports.**
POLICY 505 – BOARD CHAIRPERSON AND VICE CHAIRPERSON

POLICY

The appointed Chairperson shall preside as Chair at all meetings of the Governing Board (Board) of Sweetwater Authority and perform such other duties as are specified by the Board. In the absence of the Chairperson, the Vice Chairperson shall serve as Chair over all meetings of the Board.

PROCEDURE

The Governing Board shall hold an annual organizational meeting at its last regular meeting in December. The Board shall elect one of its members as Chairperson and another member as Vice Chairperson. The Chairperson’s term of office shall be one (1) year and until his/her successor takes office. The Chairperson’s authority is granted by the full Board and the Chairperson:

- Represents the full Board in any public announcements, and
- Speaks on behalf of the Board only in support of the decisions of the full Board.

The Chairperson shall have the same rights as the other members of the Board in voting, introducing motions, resolutions and ordinances, and any discussion of questions that follow said actions. The Chairperson customarily has primary contact with the General Manager.

The Vice Chairperson’s term of office shall be one (1) year and until his/her successor takes office. The Vice Chairperson shall perform all the duties of the Chair in the absence of the Chairperson or in the event of the Chairperson’s inability to perform such duties and such other duties as are specified by the Board. If the Chairperson and Vice Chairperson of the Board are both absent, the remaining members present shall select one of themselves to act as Chairperson of the meeting.

As the presiding officer, the Chairperson must keep the meeting discussions aimed at agenda issues and move the Board along toward decisions.

The duties and responsibilities of the Chairperson include the following:

A. Preside over Board meetings.
B. Ensure that orders and resolutions of the Board are carried out.
C. Coordinate the work of officers of the Board and committees.
D. Call special meetings as the need arises.
E. Act as official spokesperson for the Board, unless authority is delegated.
F. Perform all other functions required by the office of Chairperson.

Revised and Approved on 2/27/19
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POLICY 506 – MEMBERS OF THE GOVERNING BOARD

POLICY

To provide guidelines to members of the Governing Board (Board), who are the unit of authority for Sweetwater Authority (Authority). Apart from their normal function as a part of this unit, Directors have no individual authority. Staff does not report to any one Director, but rather to the Board, which may direct formal action by a concurrence of the majority. As individuals, Directors may not commit the Authority to any policy, act, or expenditure. Individual Board members, except as authorized by the Board, shall have no power to act for the Authority, or the Board, or to direct Authority staff. The Board Chairperson has the authority to act on behalf of the Board on both routine and unusual matters, which may, depending on the nature of the matter, be subject to ratification by the Board.

PROCEDURE

The Board shall be comprised of seven (7) members, five (5) of whom are members of the Board of Directors of South Bay Irrigation District and two (2) of whom shall be appointed by the Mayor of National City, subject to confirmation by the City Council of National City. They shall be electors of National City at the time of assuming such offices and at all times during their terms of office. They shall serve four (4) year terms. Any vacancy that occurs among the National City members of the Board shall be filled by appointment by the Mayor of National City, subject to confirmation by the City Council of National City. In order to assist in the governance of behavior as a member of the Board, the following shall be observed:

A. Directors shall act as a part of the body that represents and acts for the community as a whole and should not represent any fractional segment of the community.

B. Directors shall thoroughly prepare themselves to discuss agenda items at meetings of the Board. Information may be requested from, or exchanged with, the General Manager or Assistant General Manager before meetings. Information that is exchanged before meetings shall be distributed to Directors so that all Directors receive all information being distributed. Copies of public information exchanged before meetings shall be available at the meeting for members of the public in attendance, and shall also be provided to anyone not present upon their request. For matters that are to be considered under closed session, information may be requested from, or exchanged with, legal counsel.

C. Directors shall at all times conduct themselves with courtesy to each other, to staff, and to members of the audience present at Board meetings.

D. Directors shall defer to the Chairperson for conduct of meetings of the Board, but shall be free to question and discuss items on the agenda. All comments should be...
brief and confined to the matter being discussed by the Board.

E. Directors may request for inclusion into minutes brief comments pertinent to an agenda item only at the meeting that item is discussed (including, if desired, a position on abstention or dissenting vote).

F. Directors shall recuse themselves and abstain from participating in consideration on any item involving a conflict of interest under state law or applicable regulations. Unless such a conflict of interest exists, however, Directors should not abstain from the Board’s decision-making responsibilities.

G. Because the General Manager is the Chief Executive Officer of the Authority and is responsible for overseeing the administration and operation of the Authority, Directors shall channel requests for substantive information and/or research through the General Manager. Requests by individual Directors that entail substantial effort or cost will be channeled through the Board.

G.H. Individual Directors shall not act independently to direct the General Manager in the performance of duties, or to provide or compile data, information, or reports.

H.I. Directors shall not exchange information about projects, personnel, or any other business matter with employees of the Authority without the knowledge of the General Manager.
POLICY 507 – COMMITTEES OF THE GOVERNING BOARD AND INTERAGENCY COMMITTEES

POLICY

Except as otherwise provided in this Policy, the Chairperson of the Governing Board (Board) shall appoint members to established Standing Committees of the Authority, Interagency Committees/Boards, and Ad Hoc Committees as necessary. The Chairperson may also appoint the Chairpersons for said Committees/Boards or have the option to assign that task to said Committees.

PROCEDURE

A Standing Committee of Sweetwater Authority (Authority) is a legislative body subject to the Ralph M. Brown Act (Brown Act), which is defined as any Standing Committee that has “continuing subject matter jurisdiction” or a meeting schedule fixed by ordinance, resolution, or formal action.

Unauthorized serial meetings occur when there is a “meeting of the minds” of a quorum of the legislative body outside of a formal meeting. This may occur if member “A” contacts member “B,” who contacts member “C” and so on, until a quorum has been involved.

A serial meeting may occur if an individual contacts the members of the legislative body prior to a formal meeting and, in the process, reveals their respective views to one another or asks the members to commit to or decide on a proposed action. Serial meetings are “secret meetings” that deprive the public of an opportunity to contribute to the decision-making process.

In contrast, the distribution of a memo does not constitute a meeting. A unilateral communication to a legislative body, such as an information or advisory memo, does not violate the Brown Act.

The Standing Committees of the Board are:

A. Finance and Personnel Committee
B. Operations Committee
C. Consultant Selection Committee (meets on an as-needed basis)
D. Communications Committee (meets on an as-needed basis or a quarterly basis)

Interagency Committees/Boards are:

A. Association of California Water Agencies/Joint Powers Insurance Authority

Revised and Approved on 8/14/19
(appointment made by the Board)

B. Chula Vista Interagency Water Task Force
C. Water Conservation Garden Joint Powers Authority Board

Ad Hoc Committees are to be appointed by the Chairperson, if necessary.

The creation and duties of the Ad Hoc Committees shall be outlined at the time determined by the Chairperson or by the direction of the Board. Members of the Ad Hoc Committee shall be appointed by the Chair. The Committee shall be considered dissolved when the Chairperson of the Board determines the need no longer exists.

The Chairperson shall appoint and publicly announce the members of the Standing Committees for the ensuing year no later than February 1 of each year.

The Board’s Standing Committees may be assigned to review (a) the Authority’s functions, activities, or operations pertaining to their designated concerns, or (b) those of another Standing Committee, when necessary, if the timeliness of Board action is a consideration in such a review. Any recommendations resulting from review by a Committee should be submitted to the Board via a written or oral report. Audio recordings of Board Standing Committees will be posted to the Sweetwater Authority website for a period of two years.

If a member of a Committee is unable to attend a scheduled meeting, the meeting may take place with only two members of the Committee in attendance. Committee meetings will not be conducted by the use of teleconferencing provided for in Government Code Section 54953 unless the Director’s absence is excused because of health or personal emergency and is notified to the Board Secretary and is then approved by the Chairperson of the Board or Committee or by the Chair of the Committee if the Board Chair is not available.

All meetings of Standing Committees shall conform to all open meeting laws (e.g., “Brown Act”) that pertain to regular meetings of the Board.

Committee recommendations shall be noted in information provided to the Board as part of a publicly available agenda.
POLICY 508 – OTHER APPOINTED OFFICERS

POLICY

To establish a procedure to serve as a guide to appoint other officers of the Governing Board (Board) and to establish guidelines and clarification of responsibilities.

PROCEDURE

The General Manager shall be appointed by the Board. The General Manager shall be the Chief Executive Officer responsible directly to the Board. The General Manager shall have charge of, handle, and have access to, the property of Sweetwater Authority (Authority). The General Manager shall plan, direct, coordinate and administer the activities of the Authority, subject to and within the policy determinations of the Board, and perform such other duties as are specified by the Board.

The Assistant General Manager shall serve as the General Manager in the General Manager’s absence.

Pursuant to Section 2 (D) (3) of the Joint Powers Agreement for the Authority, the Secretary of the Authority shall be appointed by the Board and shall serve at the pleasure of the Board. The Secretary may, but need not, be a member of the Board. The Secretary shall be responsible for the minutes and other records of the proceedings of the Board and shall perform such other duties as are specified by the Board.

Pursuant to Section 2 (D) (4) of the Joint Powers Agreement for the Authority, the Treasurer of the Authority shall be the Treasurer of South Bay Irrigation District, appointed by the Board, and serving ex-officio as Treasurer of the Authority. The Treasurer shall also perform such other duties as are specified by the Board.

The positions of General Manager and Secretary shall be appointed by the Board. The Board may seek and choose to concur with the General Manager’s recommendation or may choose to select a replacement based on an internal search, an external search, or both.
POLICY 509 – ATTENDANCE AT MEETINGS

POLICY

Members of the Governing Board (Board) shall attend the full session of all Regular and Special meetings of the Board unless there is a good cause for absence. As a courtesy, any Board member who believes he/she will be absent from any meeting should notify the Board Secretary of such absence as soon as possible. In the event a Director plans to be absent for a period of time (vacation, illness, etc.) that would cause him/her to be absent for a Special meeting, a “Waiver of Personal Notice of Special Meeting” should be completed, signed, and filed with the Secretary in accordance with Government Code Section 54956.

PROCEDURE

In accordance with Government Code Section 1770, a vacancy shall occur if any member ceases to discharge the duty of his/her office due to the happening of certain events before expiration of the term, including but not limited to:

A. His/her absence from the state without the permission required by law beyond the period allowed by law.

B. His/her ceasing to discharge the duties of his/her office for the period of three (3) consecutive months, except when prevented by sickness or when absent from the state with the permission required by law.

In addition, pursuant to Government Code Section 1062, no state or municipal officer shall be absent himself or herself from the state for more than sixty (60) days, unless either:

A. Upon business of the state or the municipality

B. With the consent of the Legislature or the Governing Body of the municipality

Failure to attend the full session of all Board meetings for three (3) consecutive months is not an automatic disqualification from office; however, it would be evidence of the absent Director’s ceasing to discharge the duties of his/her office and of a misuse of public resources if the Director receives Director’s Fees and attends only partial meetings. (Penal Code § 424) If no reasonable explanation or excuse for the absence is provided, the office shall be considered vacant. In addition, failure to attend meetings while absent from the state for more than sixty (60) days without the consent of the Board shall create a vacancy.
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TO: Governing Board (Finance and Personnel Committee)  
FROM: Management  
DATE: January 10, 2020  
SUBJECT: Review of Board Policies and Procedures (510 through 516, 518, and 519) – First Review

SUMMARY  
Annually, the Board reviews and updates all of its Policies and Procedures to ensure that they are relevant, accurately reflect current and/or preferred practice, and include all legal requirements. Management will present the policies to the Board in batches so that the Board can carefully review the policies and make any changes.

PREVIOUS BOARD ACTIONS  
July 24, 2019 Approved Policy 522  
June 12, 2019 Approved Policy 517  
April 24, 2019 Approved Policies 601 through 608  
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February 27, 2019 Approved Policies 501 through 503, 505, and 507 through 511

FISCAL IMPACT  
Fiscal impact is limited to cost incurred for legal counsel review.

POLICY  
Governing Board Policy 503, Adoption/Amendment of Policies and Procedures, establishes guidelines to adopt and amend policies and procedures in the Policies and Procedures Manual of the Governing Board of Sweetwater Authority and calls for the periodic review of the existing policies and procedures.

ALTERNATIVES  
1. Recommend changes to Policies 510 through 516, 518, and 519 for Board review and consideration.

2. Recommend no changes to Policies 510 through 516, 518 and 519 for Board review and consideration.
STAFF RECOMMENDATION

Staff seeks direction from the Governing Board.

ATTACHMENTS

Board Policy 510
Board Policy 511
Board Policy 512
Board Policy 513
Board Policy 514
Board Policy 515
Board Policy 516
Board Policy 518
Board Policy 519
POLICY 510 – PER DIEM AND REIMBURSEMENT

POLICY

Members of the Governing Board (Board) shall receive per diem, specified herein as “Director’s Fees,” for occasions that constitute the performance of official duties, in an amount that is established by the Board in accordance with state law and for the actual and necessary expenses incurred in the performance of such official duties. The Per Diem and Reimbursement policy set forth herein shall be read in conjunction with Policy 511 for Training, Education, and Community Outreach.

PROCEDURE

Director’s Fees in the amount of $150 per day, as established by the Board in accordance with the Water Code Sections 20200-20207, shall be paid for attendance at the following:

A. Regular, Special, or Adjourned meetings of the Board.
B. Board Committee, Interagency Committees/Boards, and Ad Hoc Committee meetings.
C. Meetings of other organizations, where such attendance constitutes the performance of a Director’s official duties, as provided for by Policy 511; however, Directors shall not receive Director’s Fees for travel days immediately preceding and/or following the day on which a conference or meeting is held.
D. Designated functions at the direction of the Board by motion, either prior to the function or at the next regular Board meeting following the function.
E. Chairperson’s attendance at Board agenda preparation meetings with Management and the General Manager’s performance evaluation by the Chairperson, or Vice Chairperson’s attendance at such meetings and performance evaluations in the event the Chairperson is unable to attend.

Director’s Fees will be reviewed annually in either January or February, and any changes approved will be effective July 1 of the same year.

Directors will not receive a Director’s Fee or payment of actual and necessary expenses for attendance at: a) more than one authorized event per day or b) meetings of other organizations as provided for by Policy 511, unless the Board approves such attendance either prior to the function or at the next regular Board meeting following the function. Total per diem, or Director’s Fees, shall not exceed ten (10) days in any calendar month.

Directors who attend meetings of organizations other than Authority Board or Committee meetings by the use of teleconferencing or the Internet (i.e., online) shall not receive a Director’s Fee unless:

1) the Director is unable to attend in person because of health or personal emergency,
or
2) the Director chooses not to attend in order to save the Authority the expense of travel to the meeting, the Director’s Fee is approved in accordance with Policy 511, and teleconferencing/online participation is approved in advance by the Board, or
3) the Director is participating in a legally required training function with an approved vendor of the State of California provided the Director submits a certificate of completion.
4) the meeting is only available by teleconferencing or Internet and the Director’s Fee is approved in accordance with Policy 511, or
5) the Director is an appointed Authority representative to an organization and that organization’s meeting is available by teleconferencing or the Internet.

At the end of each month, Directors are to submit to the Board Secretary a signed "Director’s Monthly Per Diem and Mileage Reimbursement" form documenting the meetings attended during the month and the corresponding mileage to be reimbursed, if any.

Water Code Section 20202 provides that a water district may increase the amount of compensation which may be received by members of the Board above the amount of one hundred dollars ($100) per day, so long as the increase does not exceed an amount equal to five percent (5%) for each calendar year following the operative date\(^1\) of the last adjustment of compensation. Section 20202 authorizes compensation for no more than a total of ten (10) days in any calendar month.

The Authority will pay actual and necessary expenses of Directors incurred in the performance of official duties within San Diego County as contemplated by Policy 511, including registration, tuition, meals, incidental expenses, tips and gratuities, and each mile actually traveled by a Director in his or her private automobile for attendance of any Director specifically designated or approved by the Board to attend an event within San Diego County. Reimbursement per mile to be equal to the standard rate in effect for business miles deduction by the United States Internal Revenue Service, as such rate is established from time to time.

A Director will receive reimbursement for each mile actually traveled in his or her private automobile while attending meetings outside of San Diego County when acting under orders of the Board, provided such mileage compensation does not exceed economy class airfare plus normal cost for transportation to and from the airport at the point of departure and the airport at the destination. Reimbursement per mile to be equal to the standard rate in effect for business miles deduction by the United States Internal Revenue Service, as such rate is established from time to time.

If a Director chooses to travel in his or her private automobile rather than by scheduled airline, while attending meetings outside of San Diego County when acting under orders of the Board, and the distance traveled requires more than eight (8)-hours driving, mileage,

\(^1\) Resolution 01-09 was adopted on May 23, 2001 approving an adjustment in compensation and establishing the per diem at $150, effective July 23, 2001.
overnight lodging and three (3) meals will be reimbursed to the Director, provided that such reimbursement does not exceed the cost of economy class airfare plus normal cost for transportation to and from the airport at the point of departure and the airport at the destination.

If two (2) or more Directors travel in the same car, the Director driving will receive full mileage reimbursement, provided that said mileage does not exceed the cost of economy class airfare plus normal cost for transportation to and from the airport at the point of departure and the airport at the destination for all the Directors who traveled in the same car.

Directors should travel together whenever feasible, but not in a number that would constitute a quorum of the Board, and economically beneficial, and register sufficiently in advance, when possible, to obtain discounted tuition and registration expenses.

In no event shall a Director receive from the Authority compensation for out-of-town travel expenses, including, but not limited to, airfare, car rental when appropriate, lodging, registration, meals, incidental expenses, or miles traveled in his or her private automobile, unless such out-of-town travel is preapproved by order of the Board. Directors are encouraged, whenever feasible, to provide a fifteen (15) day advanced notice for air travel to the Board Secretary. The cost of alcoholic beverages will not be paid by the Authority.

Frequent flyer miles accumulated by Directors for airfare paid for, or reimbursed, by the Authority, should be redeemed for discounts on future airfare paid for, or reimbursed, by the Authority, and may not be redeemed for personal use. If any Director requires special travel accommodations due to a disability or health-related reasons, the Authority will pay all costs associated with those special accommodations.

Actual and necessary expenses for accommodations and meals incurred by Directors while attending meetings outside of San Diego County when acting under orders of the Board will be reimbursed as provided in this Policy. Reimbursement shall be permitted for travel expenses, including accommodations and meals, incurred on the day immediately preceding or immediately following an approved meeting or conference held outside of San Diego County when travel on the actual day of the meeting or conference is infeasible. Except as otherwise provided herein, the maximum reimbursement for lodging costs shall be two hundred twenty-five dollars ($225) per day including taxes. However, if the lodging is in connection with a conference or organized educational activity conducted in compliance with this Policy, the Authority will pay lodging costs which do not exceed the maximum group rate published by the conference or activity sponsor, provided that the lodging at the group rate is available to the Director at the time of booking. If the group rate is not available, the Authority will pay for comparable lodging at an amount not-to-exceed the maximum group rate published by the conference or activity sponsor. The maximum reimbursement for meals (breakfast, lunch, and dinner) not included in conference registration shall be seventy-five dollars ($75) per day.

Reimbursement for all tips and gratuities shall be limited to a maximum of twenty percent
(20%) of the underlying costs. Tips and gratuities for services with no underlying costs (such as concierge, bellhop, or wheelchair assistance) shall be at a maximum of $5 per service and $20 per day. Directors requesting reimbursement for amounts exceeding the maximum limits shall require Board ratification prior to payment to a Director. Upon the request of a Board member, the Board may authorize actual and necessary expenses for accommodations and meals which exceed the policy limits.

Directors shall use government and group rates offered by a provider of transportation or lodging services or travel and lodging, when available.

The Board Secretary may arrange for certain group travel including prepaying the fares, fees, tips, and gratuities. There shall be no reimbursement for fares, fees, tips, or gratuities paid by Directors if these were prepaid by the Authority.

Actual and necessary expenses for meals incurred by Directors while attending meetings within San Diego County, and meetings outside San Diego County which do not involve lodging, when acting under orders of the Board, will be reimbursed. The maximum reimbursement for said meals not included in conference registration shall be seventy-five dollars ($75) per day.

For conferences and events for which costs and expenses are prepaid by the Authority, Directors unable to attend the conference or event due to illness or scheduling conflict will notify the Board Secretary as soon as possible to ensure credit or reimbursement of costs from the conference or event sponsor. If reimbursement is not possible, the Board Secretary shall contact other Directors to determine if they can attend. The Board Secretary will also inquire through the General Manager if staff members can attend.

Within thirty (30) days following an event which constitutes the performance of official duties as designated in Policy 511, and for which the payment of actual and necessary expenses has been approved, any Director attending must submit a signed “Director’s Expense Reimbursement Form,” together with valid itemized receipts, to the Board Secretary and return any excess funds advanced for attendance of the event. Eligible expenses for which receipts are not available will be reimbursed with an explanation included in the expense report for accounting backup. If actual and necessary expenses incurred by a Director attending exceed the amount of any advance, the Authority will reimburse the Director for excess expenses within ten (10) days of receipt of the expense report.

The Board Secretary shall produce and distribute a quarterly report containing the Governing Board’s Expenses. The reports shall be presented to the Board in January, April, July, and October.
POLICY 511 – TRAINING, EDUCATION, AND COMMUNITY OUTREACH

POLICY

The Governing Board (Board) finds that it is beneficial to Sweetwater Authority (Authority) for the Board to increase its knowledge of matters within the subject-matter jurisdiction of the Board. To this end, members of the Board are encouraged to attend educational conferences and professional meetings concerning matters within the subject-matter jurisdiction of the Board and which activities constitute the performance of official duties. To the maximum extent feasible and practical, Directors attending such conferences and/or meetings will attend for the time frame that they are registered and engage with staff and the public. The Training, Education and Conferences policy set forth herein shall be read in conjunction with Policy 510 for Per Diem and Reimbursement.

PROCEDURE

There is no limit as to the number of Directors attending a particular conference or seminar when it is apparent that their attendance is beneficial to the Authority. To promote such Board development and excellence, the Authority reimburses actual and necessary expenses incurred on behalf of the Authority in the performance of official duties, such as travel, tuition, lodging, meals, incidental expenses, and each mile actually traveled by a Director in his or her private automobile as a result of training, educational courses, participation with professional organizations, and attendance at conferences, in accordance with Policy 510. In no event shall a Director receive from the Authority such compensation for out-of-town travel expenses, unless when such out-of-town travel is pre-approved by order of the Board. The cost of alcoholic beverages will not be paid by the Authority. Reimbursement shall be permitted for travel expenses, including accommodations and meals, incurred on the day immediately preceding or immediately following an approved meeting or conference held outside of San Diego County when travel on the actual day of the meeting or conference is infeasible as provided in Policy 510; however, Directors shall not be entitled to Director's Fees for such travel day(s).

The Board Secretary is responsible for making arrangements for Directors to attend conferences and to record and calculate the per diem or “Director’s Fees” as set forth in more detail in Policy 510. The Director’s Fees for attendance at approved events and the procedure for reimbursement of actual and necessary expenses incurred in the performance of official duties are set forth in Policy 510.

Attendance by Directors at meetings, seminars, workshops and conferences (other than those that are already pre-approved as designated events which constitute the performance of official duties) shall be approved by the Board prior to payment of Director’s Fees or incurring any reimbursable actual and necessary expenses. A Director shall not attend a

Adopted by Resolution 19-13 on 6/12/19; Revised and Approved 5/22/19
conference or training event (other than those that are already pre-approved as designated events which constitute the performance of official duties) that does not cover matters within the subject-matter jurisdiction of the Board.

Upon returning from meetings, seminars, workshops, conferences, and other occasions which constitute the performance of official duties for which Directors receive Director’s Fees and the actual and necessary expenses are reimbursed by the Authority, in accordance with Policy 510, Directors shall either prepare a written report for distribution to the Board, or make a verbal report at the next regular Board meeting following the event. Said written or verbal report shall detail the information that may be of benefit to the Authority that was presented at the meeting, seminar, workshop, conference, or other occasion which constitutes the performance of official duties. Materials from the meetings, seminars, workshops, conferences, and other occasions which constitute the performance of official duties may be delivered to the Authority’s office to be included in the Authority’s library for the future use of other Directors and staff.

Directors who have signed up for an event, and subsequently cannot attend, shall contact the Board Secretary as soon as possible to ensure credit or reimbursement of costs from the conference or event sponsor. If reimbursement is not possible, the Board Secretary shall contact other Directors to determine if they can attend. The Board Secretary will also inquire through the General Manager if staff members can attend.

Directors’ attendance at board and membership meetings of the following associations has been pre-approved as occasions that constitute the performance of official duties:

A. Association of California Water Agencies (ACWA)
B. Association of California Water Agencies – Joint Powers Insurance Authority (ACWA/JPIA)
C. CalDesal
D. California Special Districts Association (CSDA) both state and San Diego Chapter
E. Council of Water Utilities
F. Ethics Training in accordance with AB1234 (bi-annual)
G. Metropolitan Water District of Southern California
H. National Water Resources Association (NWRA) and Municipal Caucus
I. San Diego County Water Authority (SDCWA)
J. Sexual Harassment Avoidance Training in accordance with AB1825 (bi-annual)
K. Sweetwater River Watershed Advisory Panel
L. Urban Water Institute
M. Water Education Foundation
N. Western Coalition of Arid States (WESTCAS)
Directors’ attendance at educational or legally required training functions of the following organizations shall be approved by the Board as agendized actions:

A. Association of California Water Agencies (ACWA)
B. Association of California Water Agencies – Joint Power Insurance Authority (ACWA/JPIA)
C. Best Best & Krieger (BBK) Legal Updates
D. California Special Districts Association (CSDA) both state and San Diego Chapter
E. Council of Water Utilities (COWU)
F. Local Government Commission
G. National Water Resources Association (NWRA) and Municipal Caucus
H. San Diego County Water Authority (SDCWA)
I. Urban Water Institute (UWI)
J. Water Education Foundation (WEF)
K. Western Coalition of Arid States (WESTCAS)

Attendance at events organized by agencies and/or entities other than the Authority involving tours of, or visits to, local water reclamation, major projects related to water quality and distribution, or other engineering projects during construction or after completion of the project, or attendance at community outreach functions, may also be occasions which constitute the performance of official duties, so long as attendance is approved by the Board as agendized action, either prior to the visit/event or at the next regular Board meeting following the visit/event. Directors may be compensated for attendance and travel for the purpose of visiting such projects or attending such events as approved by the Board. Completion of legally required training functions may be conducted online with an approved vendor of the State of California provided the Director submits a certificate of completion.

The compensation paid to Board members of the Authority for sitting on the Board or acting under its orders shall be as approved by Resolution of the Board and set forth in Policy 510.
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POLICY 512 – DIRECTORS’ TRAVEL

POLICY

It is important that the members of the Governing Board (Board) avoid unnecessary risk to Sweetwater Authority (Authority) operations that could result if several members were traveling together in a form of transportation (airplane, bus, automobile, or train) and were involved in an accident.

PROCEDURE

Whenever it is necessary for more than three (3) members of the Board to travel in the same form of transportation to the same destination on Authority business, every reasonable effort shall be made to arrange transportation and schedules to assure that not more than three (3) Directors travel in the same airplane, train, automobile, or bus.

Example: It may be necessary for three (3) Directors to travel on one (1) flight and one (1) or more Directors to utilize a different airline or flight to the same destination to avoid traveling together. In the same fashion, traveling to local meetings in automobiles should be limited to no more than three (3) Directors in the same automobile, as practicable.

It is recognized that there may be circumstances under which separate travel arrangements are not practical, but unnecessary risk that could result in the Authority losing the services of more than three (3) members of the Board is to be avoided.
POLICY 513 – FIELD TRIPS BY DIRECTORS

POLICY

To establish the appropriate manner of conducting field trips to inspect facilities and engage in discussions outside the boundaries of the Sweetwater Authority (Authority), which involve more than a quorum of the Governing Board (Board).

PROCEDURE

Field trips should be noticed as “Meetings” either by adjourning a Regular Meeting to the date of the field trip or by noticing a “Special Meeting.” The description of the field trip should be included in the Notice of Adjournment or Notice of Special Meeting.

The Board may conduct meetings outside of the Authority’s boundaries to comply with state or federal law or court order, or attend a judicial or administrative proceeding to which the Authority is a party; inspect real property; participate in meetings or discussions of multi-agency significance; or meet with elected or appointed officials of the United States or the State. (Government Code § 54954[b])

Reviewed and Approved on 3/27/2019
POLICY 514 – EMAIL, SOCIAL MEDIA, AND OTHER ELECTRONIC COMMUNICATION METHODS

POLICY

To establish guidelines ensuring compliance with the Ralph M. Brown Act (Brown Act) when using email, social media, and other electronic communication methods. The Brown Act prohibits serial, rotating or seriatim meetings which may occur when a majority of members of the Governing Board (Board) or a Committee subject to the Brown Act use a series of communications of any kind outside of a properly noticed meeting, directly or through intermediaries, to hear, discuss, deliberate, or take action on any item of business that is within the subject matter jurisdiction of the Board.

PROCEDURE

A. Board Members and members of any Committee subject to the Brown Act should not use email, social media, or any other means of electronic communication in the following ways:

1. to exchange facts, hear, discuss, deliberate, develop a consensus, or take action among a majority of members of the Board or Committee on any item of business within the subject matter jurisdiction of the Board or Committee; and

2. to communicate with Sweetwater Authority (Authority) staff or any third party to request that such person aid in developing a collective concurrence on an item of business within the subject matter jurisdiction of the Board or Committee.

B. Authority staff should not communicate with a majority of members of the Board or any Committee subject to the Brown Act, to hear, discuss, deliberate, or take any action on any item of business that is within the subject matter jurisdiction of the Board or Committee.

C. Board Members and members of any Committee subject to the Brown Act should use caution to avoid communicating with or to a majority of members while commenting on social media posts, blogging, replying to emails with multiple recipients, texting, linking among social media users, or otherwise communicating about any item of business within the Authority’s subject matter jurisdiction.

For additional information concerning communicating with members of the Board, refer to Policy 507, Committees of the Governing Board and Interagency Committees.

Revised and Approved on 3/27/2019
POLICY 515 – MASS MAILINGS

POLICY

The Governing Board (Board) must abide by the Political Reform Act and rules of the Fair Political Practices Commission, which set restrictions concerning mass mailings sent at the public’s expense.

PROCEDURE

As provided for in California Government Code Section 89002, Subdivision (a), except as provided in Subdivision (b), below, a mailing is prohibited by Government Code Section 89001 if all of the following criteria are met:

1. Any item sent is delivered, by any means, to the recipient at his or her residence, place of employment or business, or post office box. For the purposes of this criterion, the item delivered to the recipient must be a tangible item, such as a videotape, record, or button, or a written document.

2. The item sent either: (a) Features an elected or appointed officer affiliated with the agency which produces or sends the mailing; or (b) Includes the name, office, photograph, or other reference to an elected or appointed officer affiliated with the agency which produces or sends the mailing, and is prepared or sent in cooperation, consultation, coordination, or concert with the elected or appointed officer.

3. Any of the costs of distribution is paid for with public moneys, or costs of design, production, and printing exceeding $50 are paid with public moneys, and the design, production, or printing is done with the intent of sending the item other than as permitted by this policy.

4. More than two hundred substantially similar items are sent in a single calendar month, excluding any item sent in response to an unsolicited request and any item described in Subdivision (b), below.

Subdivision (b): Notwithstanding Subdivision (a), above, mass mailing of the following items is not prohibited by Government Code Section 89001:

1. Any item in which the elected or appointed officer’s name appears only in the letterhead or logotype of the stationery, forms (including “For Your Information” or “Compliments of” cards or stamps), and envelopes of the agency sending the mailing, or of a committee of the agency, or of the elected or appointed officer, or in a roster listing containing the names of all elected or appointed officers of the agency. In any such item, the names of all elected or appointed officers must appear in the same type size, typeface, type color, and location. Such item may not include the elected or appointed officer’s photograph, signature, or any other reference to the elected or appointed officer, except as specifically permitted in this paragraph or elsewhere in this policy.
(2) A press release sent to members of the media.

(3) Any item sent in the normal course of business from one governmental entity or officer to another governmental entity or officer.

(4) Any intra-agency communication sent in the normal course of business to employees, officers, deputies, or other staff.

(5) Any item sent in connection with the payment or collection of funds by the agency sending the mailing, including tax bills, checks, and similar documents, in any instance where use of the elected or appointed officer’s name, office, title, or signature is necessary for the payment or collection of the funds. Such item may not include the elected or appointed officer’s photograph, signature, or any other reference to the elected or appointed officer except as specifically permitted in this paragraph or elsewhere in this policy.

(6) Any item sent by an agency responsible for administering a government program, to persons subject to that program, in any instance where the mailing of such item is essential to the functioning of the program, where the item does not include the elected or appointed officer’s photograph; and where use of the elected or appointed officer’s name, office, title, or signature is necessary to the functioning of the program.

(7) Any legal notice or other item sent as required by law, court order, or order adopted by an administrative agency pursuant to the Administrative Procedure Act, and in which use of the elected or appointed officer’s name, office, title, or signature is necessary in the notice or other mailing. For purposes of this paragraph, inclusion of an elected or appointed officer’s name on a ballot as a candidate for elective office, and inclusion of an elected officer’s name and signature on a ballot argument, shall be considered necessary to such a notice or other item.

(8) A telephone directory, organization chart, or similar listing or roster which includes the names of elected or appointed officers, as well as other individuals in the agency sending the mailing, where the name of each elected or appointed officer and individual listed appears in the same type size, typeface, and type color. Such item may not include an elected or appointed officer’s photograph, name, signature, or any other reference to an elected or appointed officer, except as specifically permitted in this paragraph or elsewhere in this policy.

(9) An announcement of any meeting or event of the type listed in following sub-paragraphs (i) and (ii), provided however that the announcement does not include the elected or appointed officer’s photograph or signature and may include only a single mention of the elected or appointed officer’s name except as permitted elsewhere in this policy:

   (i) An announcement sent to an elected or appointed officer’s constituents
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concerning a public meeting which is directly related to the elected or appointed officer’s incumbent governmental duties, which is to be held by the elected or appointed officer, and which the elected or appointed officer intends to attend.

(ii) An announcement of any official agency event or events for which the agency is providing the use of its facilities or staff or other financial support.

(10) An agenda or other writing that is required to be made available pursuant to Sections 11125.1 and 54957.5 of the Government Code, or a bill, file, history, journal, committee analysis, floor analysis, agenda of an interim or special hearing of a committee of the Legislature, or index of legislation, published by the Legislature.

(11) A business card which does not contain the elected or appointed officer’s photograph or more than one mention of the elected or appointed officer’s name.

Notwithstanding Subdivision (b) above, a mass mailing meeting the criteria in Subdivision (a) may not be sent within the 60 days preceding an election by or on behalf of a candidate whose name will appear on the ballot at that election, except as provided in paragraphs (2) to (8), inclusive, and paragraph (10) of Subdivision (b). (California Government Code Section 89003.)

Definitions: The following definitions shall govern the interpretation of this policy:

(1) “Elected or appointed officer affiliated with the agency”: an elected officer who is a member, officer, or employee of the agency, or of a subunit thereof such as a committee, or who has supervisory control over the agency, or who appoints one or more members of the agency. For purposes of this policy, this term includes all Authority Board members, whether elected to, or appointed by, a member agency of the Authority.

(2) “Features an elected or appointed officer”: the item mailed includes the elected officer’s photograph or signature, or singles out the elected or appointed officer by the manner of display of his or her name or office in the layout of the document, such as by headlines, captions, type size, typeface, or type color.

(3) “Substantially similar” – two items are “substantially similar” if any of the following applies: (i) the items are identical, except for changes necessary to identify the recipient and his or her address; (ii) the items are intended to honor, commend, congratulate, or recognize an individual or group, or individuals or groups, for the same event or occasion, are intended to celebrate or recognize the same holiday; or are intended to congratulate an individual or group, or individuals or groups, on the same type of event, such as birthdays or anniversaries; (iii) both of the following apply to the items mailed: most of the bills, legislation, governmental action, activities, events, or issues of public concern mentioned in one item are mentioned in the other; and most of the information contained in one item is contained in the other. Enclosure of the same informational materials in two items mailed, such as copies of the same bill, public document, or report, shall not, by itself, mean that the two items
are “substantially similar.” Such informational materials may not include the elected or appointed officer’s name, photograph, signature, or any other reference to the elected or appointed officer except as permitted elsewhere in this policy.

An item is only considered substantially similar to other items sent by the same official, not to items sent by other officials in the same agency.

(4) “Unsolicited request” is defined as follows:

(i) A written or oral communication (including a petition) which specifically requests a response and which is not requested or induced by the recipient elected or appointed officer or by any third person acting at his or her behest. However, an unsolicited oral or written communication (including a petition) which contains no specific request for a response, will be deemed to constitute an unsolicited request for a single written response.

(ii) An unsolicited request for continuing information on a subject shall be considered an unsolicited request for multiple responses directly related to that subject for a period of time not to exceed 24 months. An unsolicited request to receive a regularly published agency newsletter shall be deemed an unsolicited request for each issue of that newsletter.

(iii) A previously unsolicited request to receive an agency newsletter or mass mailing on an ongoing basis shall not be deemed to have become solicited by the sole fact that the requestor responds to an agency notice indicating that, in the absence of a response, his or her name will be purged from the mailing list for that newsletter or mass mailing. A notice in the following language shall be deemed to meet this standard: “The law does not permit this office to use public funds to keep you updated on items of interest unless you specifically request that it do so.” Inclusion of a similar notice in other items shall not constitute a solicitation under this policy.

(iv) A communication sent in response to an elected or appointed officer’s participation at a public forum or press conference, or to his or her issuance of a press release, shall be considered an unsolicited request.

(v) A person who subscribes to newspapers or other periodicals published by persons other than elected or appointed officers shall be deemed to have made unsolicited requests for materials published in those subscription publications.
POLICY 516 – MANDATORY TRAINING

POLICY

Members of the Governing Board (Board) and employees who are designated by the Board, shall receive at least two (2) hours of ethics training every two (2) years, pursuant to the provisions of Government Code Section 53234, et seq. (Government Code § 53235) and at least two (2) hours of sexual harassment prevention training and education every two (2) years pursuant to the provisions of Government Code Section 53237, et seq. (Government Code § 53237.1.)

PROCEDURE

Ethics Training.

Ethics training shall be provided by an agency, an association of local agencies, or other entity, in accordance with criteria approved by the Fair Political Practices Commission and the Attorney General. Ethics training may consist of either a training course or a set of self-study materials with tests, and may be taken at home, in person, or online. (Government Code § 53235.)

The Board Secretary shall provide members of the Board and the designated employees information on the training available to meet these requirements at least once annually. (Government Code § 53235.)

The employees who are designated by the Board to receive ethics training in accordance with this policy are the General Manager, Assistant General Manager, Board Secretary, and all Department Heads. (Government Code § 53235.)

Each Director and designated employee who commences service with Sweetwater Authority (Authority) after January 1, 2006 shall receive the required training within one (1) year from the first date of service with the Authority. Thereafter, said Directors and designated employees shall receive training at least once every two (2) years. (Government Code § 53235.1.)

Directors who serve a local agency other than the Authority are only required to satisfy the requirements of this policy once every two (2) years regardless of the number of agencies they serve. (Government Code § 53235.1.)

All Directors and designated employees shall provide a certificate to the Board Secretary indicating the dates upon which they attended ethics training sessions to satisfy requirements. Said certificate shall also include the entity which provided the training. The Board Secretary shall maintain the records indicating the dates that each of the members of the Governing Board and designated employees satisfied their requirements and the entity which provided the training. These records shall be maintained for at least five (5) years.
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after the training and are subject to disclosure under the Public Records Act. (Government Code § 53235.2.)

**Sexual Harassment Prevention Training.**
Sexual harassment prevention training shall be provided by an agency, an association of local agencies, or other entity, in accordance with the requirements of applicable law. Harassment training may include training courses, or sets of self-study materials with tests, to meet the requirements of applicable law. These courses may be taken at home, in person, or online. (Government Code § 53237.1.)

The Board Secretary shall provide members of the Board information on the training available to meet these requirements in writing before assuming office and every two (2) years thereafter. (Government Code § 53237.1.)

Each Director shall receive at least two (2) hours of sexual harassment prevention training and education within the first six (6) months of taking office, and every two (2) years thereafter. (Government Code § 53237.1.)

Directors who serve a local agency other than the Authority are only required to satisfy the requirements of this policy once every two (2) years regardless of the number of agencies they serve. (Government Code § 53237.1.)

All Directors shall provide the training certificate, which providers of training courses are required to provide to participants, to the Board Secretary indicating the dates upon which they attended harassment prevention training sessions to satisfy these requirements. Said certificate shall also include the entity which provided the training. The Board Secretary shall maintain the records indicating the dates that each of the members of the Governing Board satisfied their requirements and the entity which provided the training. These records shall be maintained for at least five (5) years after the training and are subject to disclosure under the Public Records Act. (Government Code § 53237.2.)
POLICY 518 – GENERAL MANAGER PERFORMANCE MANAGEMENT

POLICY

The Board recognizes the importance of managing and monitoring performance of the General Manager (Manager) to ensure the organization is successful and well managed.

In consultation with the Manager, the Board will establish performance expectations which are in alignment with the organization’s Strategic Plan.

Performance expectations may include managerial behaviors and competencies, goals the Board expects to be accomplished, and professional development goals for the Manager.

The Board will establish the rating period, format, and process by which performance expectations will be established and evaluated.

PROCEDURE

Developing the Performance Plan: At the beginning of the Manager’s rating period, the Board will review performance expectations with the Manager to ensure that expectations are clear, unambiguous, and clearly documented. A Performance Plan will be created in a format established by the Board and may include:

- Managerial Competencies and Behaviors,
- Work Plan Goals which are typically annual goals but can be longer term, and
- Professional Development Plan activities or goals for improvement or growth.

While the Managerial Competencies and Behaviors may remain unchanged from year to year, the Work Plan Goals and the Professional Development Goals are created each year and may be annual or longer term as established by the Board.

The Board will ask the Manager to develop and present proposed goals consistent with the Strategic Plan for the upcoming rating period for discussion and concurrence or modification by the Board. The Board may also ask the Manager to present professional development goals for the coming year.

Monitoring Performance: Performance feedback and documentation is important throughout the entire evaluation period. Regular conversations between the Board and the Manager, such as monthly or quarterly, regarding performance should occur as necessary. The Manager, with the Board’s concurrence, should develop a reporting system sufficient to provide the Board with information related to performance goals and expectations.
**Performance Evaluation Discussion:** The Board will conduct a formal written review of the Manager annually to summarize and document performance and accomplishments. The Board, in its discretion, may conduct a mid-year performance review at a time determined by the Board to enhance communication and review progress to-date on goals and action plans as needed.

The Board will ask the Manager to prepare and submit a self-review prior to the Board conducting its assessment. The Board may engage in an interactive discussion with the Manager regarding accomplishments completed and challenges encountered. The Board and the Manager may also begin the discussion of the next year’s Work Plan Goals and professional development goals.

**Performance Evaluation Document:** The Board will finalize the Performance Evaluation in the format established by the Board, provide a copy of the evaluation to the Manager, and maintain a copy in the Manager’s personnel file. The Performance Review/Evaluation process should be completed within thirty (30) days after the close of the rating period or as close to that schedule as practical.

**Establish Next Rating Period Goals:** The Board will establish a date by which the Manager should develop and submit proposed work plan goals and professional development goals for the next rating period for review and concurrence or modification by the Board.

Attachments:

- Performance Management Plan/Evaluation and Self Review
- Guide for Managing Employee Performance
GUIDE FOR MANAGING EMPLOYEE PERFORMANCE

This Guide is intended to assist Directors in implementing the Performance Management Plan for the General Manager (Manager).

A. PERFORMANCE PLANNING - CREATING THE PERFORMANCE PLAN

It is important to focus on performance management at the beginning of the Manager’s rating period so that expectations for performance are clear, unambiguous, and clearly documented. The Board should convene a meeting with the Manager to discuss the Performance Plan for the coming rating period.

The Performance Plan has three (3) elements which make up the Board’s expectations related to performance. These include:

1. Managerial Competencies and Behaviors;
2. Work Plan Goals, which are typically annual goals but can be longer term, and
3. Professional Development Plan activities or goals for improvement or growth.

While the Managerial Competencies and Behaviors may remain unchanged from year to year, the Work Plan Goals and the Professional Development Goals are created each year.

1. Managerial Competencies and Behaviors

The Board has established Managerial Competencies and Behaviors for the Manager position. During the Performance Plan meeting, the Board should review these competencies and behaviors with the Manager and discuss the relevance to SWA’s mission, goals, and values.

2. Writing SMART Goals/Objectives

Goal setting is an important element of the performance management plan. The Board and the Manager should actively participate in the process of goal-setting so that meaningful and relevant goals are developed for the subsequent appraisal period. Goals should be specific, measurable, achievable, relevant to SWA’s Strategic Plan, and be time-bound (have deadlines for achieving).

Performance goals/objectives are the basis from which employee performance is measured. The written performance review at the end of the rating period should reflect how well the employee performed against the previously established goals and objectives.
GUIDE FOR MANAGING EMPLOYEE PERFORMANCE

Following are guidelines the Board and the Manager may use in establishing goals:

- **Specific**: Objective and precise language is essential when developing performance goals and objectives. Use terms and descriptions that have clear, mutually understandable meaning. Detailed points rather than vague descriptions are important for clear understanding and documentation.

- **Measurable**: Goals and objectives should be written so that accomplishment, non-accomplishment or degrees of accomplishment can be objectively measured.

- **Achievable**: Goals and objectives which are too high or too rigid may actually inhibit an employee’s performance. Individuals may become discouraged and give up if they perceive expectations to be unattainable. Goals and objectives should be given reasonable time frames, circumstances, and departmental/unit expectations.

- **Relevant**: Goals and objectives should be based on important and meaningful responsibilities of the job; be results/action oriented. Goals or objectives should link the employee’s goals to SWA’s Strategic Plan.

- **Time-bound**: A specific period of time for accomplishment should be identified with each goal and objective.

3. **Identify Professional Development Plans**

   Continued professional growth and development is a desirable element of an effective performance management plan. The Board and the Manager have a mutual interest and obligation to engage in performance development discussions. Highly motivated and competent employees contribute to the success of SWA, as well as to the professional and personal satisfaction of the individual employee. The Board should use the initial Performance Planning meeting to ask the Manager about his/her career development goals and interests. The Board and Manager should mutually agree on a plan of action, which may include both development activities offered by the agency, as well as those the Manager will pursue as a personal commitment to his/her professional growth.

B. **ON-GOING MONITORING AND FEEDBACK**

   Performance feedback and documentation is important throughout the entire evaluation period. Regular conversations between the Board and the Manager, such as monthly or quarterly, regarding performance should occur as necessary. The Manager, with the Board’s concurrence, should develop a reporting system sufficient for the Board to be able to monitor progress toward performance goals and expectations.

C. **THE PERFORMANCE REVIEW/EVALUATION PROCESS**

   1. **Frequency and Schedule**

      An annual, formal written review is generally sufficient to summarize and document the informal discussions regarding performance that (hopefully) have occurred over the evaluation period. The Board, in its discretion, may want to engage in a mid-year performance review to enhance communication and review progress to-date on goals and action plans as needed. This would also afford the Board and the Manager to
discuss course change due to unanticipated events or circumstances and/or changes in priorities.

The Performance Review/Evaluation process should be completed within thirty (30) days after the close of the rating period or as close to that schedule as is practical.

Assuming a Performance Plan is in place with established Goals, the following is a recommended Review Process. At the beginning of the process, the Chair should establish a schedule for completing each step in the process.

2. **Self Review**

At the end of the rating period, the Board Chair should request that the Manager independently prepare his/her own Self Review for that rating period, and provide it directly to the Chair, within the time period specified by the Chair.

3. **Director's Individual Draft Evaluations**

The Self Review should be distributed confidentially to Board members, along with a Performance Evaluation Form for each Board member to complete independently and submit to the Chair. The Chair should compile the individual forms and distribute a complete set to all Board members.

4. **Closed Session Meeting for Board Members Only to Develop Consensus**

The Board should convene a closed session for discussion and to develop a consensus Performance Evaluation.

The Board may wish to consider whether it might be prudent to ask Legal Counsel to assist with the process of consolidating the Directors performance assessments into a single consensus evaluation.

The consensus Performance Evaluation should be considered a "draft" intended to create an interactive, participatory, constructive discussion with the Manager about the performance, including accomplishments, challenges, and obstacles incurred over the course of the rating period, as well as progress on any professional development goals.

5. **Closed Session Meeting among the Board and Manager**

The consensus draft Performance Evaluation should be provided to the Manager indicating it is a draft confidential document for discussion with the Board in closed session, with ample time prior to the Closed Session for Manager to review it.

The aim of the Performance Review Meeting is to have a frank, interactive, constructive discussion of the Manager performance for the prior evaluation period, as well as to establish the foundation for future performance expectations. This is also an opportunity for the Manager to give the Board feedback as to what other support might foster more effective job performance.

Following a few simple guidelines will help facilitate constructive discussions during the actual appraisal meeting.
GUIDE FOR MANAGING EMPLOYEE PERFORMANCE

- Begin the meeting by clearly describing the purpose of the meeting and the proposed format.
- Focus the meeting and discussions on objective job-related behavior and performance.
- Give and encourage constructive feedback.
- Actively listen to each other.
- Acknowledge and respect other’s opinions and perspectives.
- Do not argue.
- Ask open-ended questions to stimulate discussion.
- Close the session on a positive note if at all possible.

Begin the Performance Review meeting by asking the Manager to discuss his/her Self Review.

Next, discuss the Board’s consensus assessment, and offer the Manager an opportunity to address any discrepancies or variances from his/her Self Review.

Once the dialogue and discussion has concluded, the Board should excuse the Manager from the Closed Session and then determine whether any changes should be made and finalize the Performance Evaluation. The Chair should determine a time/place to present the final Performance Evaluation to the Manager.

D. DEVELOPING THE NEXT YEAR PERFORMANCE GOALS

During the performance review discussion with the Manager, the Board may want to include a discussion about how and when the Board and Manager will establish goals for the coming year, including both performance goals as well as self-improvement goals; or the Board may initiate that discussion separately.

E. AVOIDING COMMON RATING ERRORS

When rating performance, the Board should strive to ensure fairness and objectivity. The Board should guard against anything that could inappropriately distort evaluation results such as bias, prejudice, personality traits, too much emphasis on one or two aspects, reliance on perceptions and not facts, and holding employees accountable for factors beyond their control.

Errors to be avoided include:

- **Leniency** - a tendency to evaluate employees at the high end of the rating scale for all or most factors without appropriate justification.
- **Halo effect** - a tendency to allow the influence of a particularly positive employee trait or characteristic to inappropriately affect performance measures.
- **Central tendency** - a tendency to rate all individuals OR all performance factors at the middle of the evaluation scale.
- **Harshness** - a tendency to evaluate employees with an inappropriate and/or unjustified level of criticism.
- **Recency error** - a tendency to allow “recent” performance to inappropriately influence the entire evaluation period.
- **Similarity error** - a tendency to favor those employees who are perceived to have similar beliefs or characteristics as those of the supervisor.
POLICY 519 – EVENT ENDORSEMENT AND SPONSORSHIP

POLICY

The Governing Board (Board) may endorse or sponsor certain events as requested by nonprofit, government, and educational organizations, to support community events held within the Authority’s service area. The Board’s endorsement or sponsorship is intended to increase the quality of the event and demonstrate the Board’s commitment to the requested activities that support and celebrate the community.

PROCEDURE

Nonprofit, government, and educational organizations seeking a decision from the Board on endorsement or financial sponsorship of activities within the Authority’s service area will submit a written request for an endorsement to the General Manager at least one (1) month prior to the actual date of the event to allow for consideration. The request will undergo a review by the Board to verify the merits of the requested endorsement or financial sponsorship. The Board reserves the right to reject or condition its involvement at its sole discretion, subject to applicable local, state, and federal laws.

The General Manager may also consider and approve event endorsement and sponsorship requests on a case-by-case basis, when deemed in the best interests of the Authority and within the funds allowable by the budget and General Manager authorization levels.

Only events that are in the Authority service area, are open to the general public, and do not charge an entrance fee will be considered.

If approved, the endorsed or sponsored activities may use the Authority’s name and logo in its promotions.

Requests for written information, reports, data, or photos that are related to the request for endorsement or sponsorship can be provided subject to a standard public records request submitted to the Authority’s Board Secretary.

The General Manager shall provide periodic reports to the Board on events endorsed and sponsored.
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TO: Governing Board (Finance & Personnel Committee)
FROM: Management
DATE: January 10, 2020
SUBJECT: Strategic Plan Reporting – Bi-annual Detailed Work Plan Status Report

SUMMARY
On June 12, 2019, the Board adopted the FY 2019-20 Strategic Plan Detailed Work Plan in conjunction with the annual budget. Each year, staff provides two status updates on the Detailed Work Plan – at the mid-point of the fiscal year, and the end of the year. This item is the mid-year report.

The Work Plan addresses the seven goal areas of the Strategic Plan and how those goals are to be implemented. Goals are broken down into objectives and objectives are further refined into specific tasks. Tasks are identified as short-term (within the next two years), mid-term (2-5 years), or long-term (beyond 5 years) items.

A brief status update has been provided for each task. Overall, the Authority is 93% on target with all stated objectives. Where there are delays an explanation is provided in the comments section of the attached Detailed Work Plan Status Report.

For purposes of Committee review, the Operations Committee reviews objectives pertaining to Water Quality, System and Water Supply Reliability and Environmental Stewardship. The Finance and Personnel Committee reviews objectives and performance measures pertaining to Financial Viability, Customer Service, Workforce Development, and Administrative Effectiveness as summarized in the following table:

<table>
<thead>
<tr>
<th>Goal Areas</th>
<th>Operations Committee</th>
<th>Finance and Personnel Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Water Quality</td>
<td>X</td>
<td></td>
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<tr>
<td>System and Water Supply Reliability</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Financial Viability</td>
<td></td>
<td>X</td>
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<tr>
<td>Customer Service</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Workforce Development</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Administrative Effectiveness</td>
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<td>X</td>
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<tr>
<td>Environmental Stewardship</td>
<td></td>
<td>X</td>
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</tbody>
</table>
Each Committee will only review its specifically assigned areas, and the full Board will consider all goal areas at its January 22, 2020 meeting.

**FISCAL IMPACT**

Staff expects to implement the reporting component of the Strategic Plan with current resources. Therefore, there is no additional cost for this work product.

**ATTACHMENT**

<table>
<thead>
<tr>
<th>Department/Topic</th>
<th>GOAL #3 Financial Viability (FV)</th>
<th>Action Steps</th>
<th>Short Term (0-2 Years)</th>
<th>Mid Term (2-5 Years)</th>
<th>Long Term (+5 Years)</th>
<th>Completion Date</th>
<th>% Complete</th>
<th>Status</th>
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</thead>
<tbody>
<tr>
<td><strong>All - Budget</strong></td>
<td><strong>Objective FV1:</strong> Develop an annual budget that determines yearly expenditures, incorporates a five-year projection to track fiscal stability, and guides rate-setting decision-making</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually - January</td>
<td>100%</td>
<td>FY 2020-21 Budget calendar was approved by the Board in January 2020.</td>
</tr>
<tr>
<td>001.00</td>
<td>Develop initial budget calendar and identify key budget issues for the upcoming fiscal year</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually - March/April</td>
<td>In process</td>
<td>Staff to begin budget process in February 2020 as planned.</td>
</tr>
<tr>
<td>002.00</td>
<td>Develop department expense and capital budget detail for upcoming year</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually - April</td>
<td>In process</td>
<td>On track to meet task deadline.</td>
</tr>
<tr>
<td>003.00</td>
<td>Review draft Budget, Five-year Projection, Financial Policies and Water Rates with the Board and public and incorporate comments</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually - April</td>
<td>In process</td>
<td>On track to meet task deadline.</td>
</tr>
<tr>
<td>003.01</td>
<td>Explore the feasibility of not funding, or funding at a reduced rate, the Rate Stabilization Reserve as adopted at the 2018 Proposition 218 Public Hearing, and bring back a review of the 2018 Five-year Water Rate Study based on current conditions and trends in association with the FY 2019-20 Budget (per Board action on April 24, 2019)</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td><strong>January 2020-September 2019</strong></td>
<td>100%</td>
<td>Staff presented a report to the Board on alternatives for funding the Rate Stabilization Reserve Fund (Fund); the Board approved to decrease funding by reducing the Wholesale Water Purchase Rate by 25 percent.</td>
</tr>
<tr>
<td>004.00</td>
<td>Adopt final budget and establish water rates based on current Board policy and legal requirements</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually - June</td>
<td>In process</td>
<td>On track to meet task deadline.</td>
</tr>
<tr>
<td>005.00</td>
<td>Review Rates and Rules for any needed changes and present to the Board of Directors for approval</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually - Sep./Dec.</td>
<td>100%</td>
<td>The revised Rate and Rules for 2020 was adopted by the Board on January 8, 2020.</td>
</tr>
<tr>
<td>Department/Topic</td>
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<tr>
<td><strong>GOAL #3 Financial Viability (FV)</strong></td>
<td><strong>Objective FV2</strong>: Identify and pursue grant funds for high priority projects and programs including, but not limited to, legislative advocacy, Integrated Regional Water Management, BuRec Title XVI, and Proposition 50</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>On target.</strong></td>
<td></td>
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<tr>
<td></td>
<td>001.00 Management to work with federal lobbyist to develop annual legislative strategy</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually - Oct./Nov.</td>
<td>10%</td>
<td>Awaiting input from Board briefings to be held January 20-21, 2020.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>002.00 Provide local community governmental and non-governmental leaders with opportunities to educate, promote, and build relationships (tours, presentations, etc.)</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually</td>
<td>100%</td>
<td>In the first half of the fiscal year, the Authority has provided leadership tours to Congresswoman Susan Davis (Hydro Station, Desal Facility), City of Chula Vista Sustainability Team (Perdue Water Treatment Plant), Women in Water (Perdue Water Treatment Plant), and the Regional Water Quality Control Board staff (Flushing Program).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>003.00 Apply for a grant through the FEMA Hazard Mitigation Fund for funding of the Sweetwater Reservoir Dam improvements; seek letters of support from congressional delegation</td>
<td>X</td>
<td></td>
<td></td>
<td>October 2019</td>
<td>100%</td>
<td>The Authority has applied for two grant through FEMA for improvements to Sweetwater Dam. Staff is awaiting to hear outcome.</td>
<td></td>
</tr>
<tr>
<td>Administrative Services - Meters</td>
<td><strong>Objective FV3</strong>: Conduct a program to replace water meters at the point a meter becomes operationally inefficient based on industry standards. (Source: AWWA M6 Manual: Water Meters — Selection, Installation, Testing, and Maintenance)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>Some delays.</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>001.00 Replace meters that have reached or will reach operational inefficiency to focus on replacement of 15-years of age or older</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually - June</td>
<td>40%</td>
<td>567 meters were replaced for age.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>002.00 - Develop a meter testing program in accordance with AWWA Manual M6 to evaluate cost-effectiveness of Authority's current meter replacement criteria</td>
<td>X</td>
<td></td>
<td></td>
<td>June 2020</td>
<td>10%</td>
<td>Delayed due to staffing turnover and SB998 implementation.</td>
<td></td>
</tr>
<tr>
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</tbody>
</table>
| **GOAL #3 Financial Viability (FV)**  
*Ensure long-term financial viability of the agency through best practices, operational efficiency, and maximizing assets.* | **Objective FV4:** Implement nonrevenue water program to maximize beneficial and authorized use of water and minimize wasteful and unauthorized loss (Source: California Water Audits and Water Loss Control Reporting regulations)  
001.00 Conduct an annual "Top Down" water loss audit as identified in AWWA M36 and the associated AWWA Free Water Audit Software | X X X | Annually - October | 100% | On target.  
Water loss audit for FY2018-19 was compiled, third party validated and submitted to the State. |
<p>| | 002.00 Implement recommendations of the Authority staff Nonrevenue Water Work Group and third party validator where feasible and cost effective and report on outcomes annually | X X X | Annually - October | 100% | Staff has implemented recommendations of third party auditor where feasible and cost effective to do so. |
| Administration - Nonrevenue Water | 003.00 Conduct a Real Loss Component Analysis as identified in the Water Research Foundation Project 4372 | X | October 2022 | 0% | Consultant provided a ball park estimate of $15K for a LCA. Will add to the multi-year budget forecast. |
| | 004.00 Implement the recommendations of ME Simpson’s meter testing report for the clearwell effluent meters at the Richard A. Reynolds Groundwater Desalination Facility and the Robert A. Perdue Treatment Plant (Source: Report titled &quot;Meter Testing Report - Master Meters at Two Production Facilities&quot;, ME Simpson Co., Inc., September 21, 2018) | X | June 2022 | N/A | Master meter replacements have been programmed in the budget and are on target to be completed by the stated deadline. |</p>
<table>
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<tr>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>GOAL #3 Financial Viability (FV)</strong></td>
<td><strong>Objective FVS:</strong> Explore innovative opportunities for leveraging Authority assets (e.g., reservoirs, property) to reduce financial burden on Authority ratepayers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>On target.</strong></td>
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<tr>
<td></td>
<td>001.00 Conduct a feasibility study, including cost/benefit analyses and an evaluation of environmental impacts, for maximizing the Loveland and Sweetwater Reservoirs including but not limited to consideration of a pipeline between the two reservoirs and reducing the emergency storage requirement at Loveland Reservoir. (see also SR11.003.00)</td>
<td>X</td>
<td></td>
<td></td>
<td>August 2020</td>
<td>10%</td>
<td>On December 11, 2019, the Board approved a Draft Scope of Work and directed staff to execute a contract. Work is currently underway.</td>
</tr>
<tr>
<td>Management/ Engineering - Leverage Assets</td>
<td>001.01 Form a Working Group with Otay Water District</td>
<td>X</td>
<td></td>
<td></td>
<td>June 2020</td>
<td>100%</td>
<td>A working group has been established to collaborate on interagency/regional projects. On January 8, 2020 the Board will consider the scope of work, meetings, and transparency.</td>
</tr>
<tr>
<td></td>
<td>002.00 Conduct an exploratory market analysis to determine the feasibility and interest in material dredging/sand mining opportunities in and around Authority reservoirs</td>
<td>X</td>
<td></td>
<td></td>
<td>June 2020</td>
<td>50%</td>
<td>Currently underway. See Tasks 002.01 - 002.03 below.</td>
</tr>
<tr>
<td></td>
<td>002.01 Bring draft Request for Letters of Interest (LOI) for material dredging/sand mining in and around Authority reservoirs to the Operations Committee and Board for consideration and input</td>
<td>X</td>
<td></td>
<td></td>
<td>October 2019</td>
<td>100%</td>
<td>Staff provided a draft Request for LOI to the Operations Committee and Board in October 2019.</td>
</tr>
<tr>
<td></td>
<td>002.02 Send Request for Letters of Interest to potential firms and conduct full day industry forums for interested parties at each reservoir</td>
<td>X</td>
<td></td>
<td></td>
<td>November 2019</td>
<td>100%</td>
<td>Staff issued the Request for LOI in October and held an Industry Forum on November 20, 2020.</td>
</tr>
<tr>
<td></td>
<td>002.03 Conduct a Board Special Meeting to review submittals received in response to the Letter of Interest</td>
<td>X</td>
<td></td>
<td></td>
<td>1st Quarter 2020</td>
<td>0%</td>
<td>Letters of Interest are due January 9, 2020 and Special Board Meeting is scheduled for January 20, 2020.</td>
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<tr>
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<td>Coordinate and participate in community events, which may include a booth</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually</td>
<td>100%</td>
<td>The Authority has been</td>
<td></td>
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<td>and/or water tanker</td>
<td></td>
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<td></td>
<td></td>
<td>participating in community</td>
<td></td>
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<tr>
<td>Distributions Customer Newsletter &quot;On Tap&quot; (bill insert-distribution</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Quarterly</td>
<td>100%</td>
<td>The Authority has distributed</td>
<td></td>
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<td>for approximately 33,000 accounts) quarterly. May also further Objective</td>
<td></td>
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<td>the On Tap Newsletter.</td>
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<td>ES2</td>
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<tr>
<td>Maintain partnerships with Olivewood Gardens and the Chula Vista Elementary</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually</td>
<td>100%</td>
<td>The Authority continues to</td>
<td></td>
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<tr>
<td>School District for outreach and educational opportunities</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td>work with Olivewood Gardens</td>
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<td>for outreach and educational opportunities</td>
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<td>on educational and</td>
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<td>for outreach and educational opportunities</td>
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<td></td>
<td></td>
<td>outreach opportunities.</td>
<td></td>
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<tr>
<td>Complete and begin implementing Five-year Strategic Communications Plan</td>
<td>X</td>
<td></td>
<td></td>
<td>June 2019</td>
<td>Ongoing</td>
<td>The plan was completed in</td>
<td></td>
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<td>(see also AE2.005.00)</td>
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<td>June of 2019 and staff is</td>
<td></td>
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<td>for outreach and educational opportunities</td>
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<td></td>
<td></td>
<td>working through plan</td>
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<tr>
<td>for outreach and educational opportunities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>implementation.</td>
<td></td>
</tr>
<tr>
<td>Continue with website maintenance and e-notification and report on number</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Monthly</td>
<td>100%</td>
<td>Staff continues to work on</td>
<td></td>
</tr>
<tr>
<td>of visitors monthly (via Management Dashboard); other pertinent stats will</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>website updates. Updates on</td>
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<tr>
<td>be provided semi-annually</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>communications metrics will</td>
<td></td>
</tr>
<tr>
<td>Post and update the Authority’s Facebook and Twitter accounts and report</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Semi-annually</td>
<td>100%</td>
<td>Updates on communications</td>
<td></td>
</tr>
<tr>
<td>on stats semi-annually</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>metrics will be provided</td>
<td></td>
</tr>
<tr>
<td>Develop a Customer Bill of Rights</td>
<td>X</td>
<td></td>
<td></td>
<td>June 2020</td>
<td>80%</td>
<td>Approved by the Board in</td>
<td></td>
</tr>
<tr>
<td>Provide resources to schools in the Authority’s service area through the</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually</td>
<td>100%</td>
<td>and a display for the lobby.</td>
<td></td>
</tr>
<tr>
<td>Mini Grant program to fund water based education programs</td>
<td></td>
<td></td>
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<tr>
<td>Develop a pilot program to help fund installation of water bottle filling</td>
<td>X</td>
<td></td>
<td></td>
<td>June 2020</td>
<td>50%</td>
<td>Staff is working on the</td>
<td></td>
</tr>
<tr>
<td>stations in schools in the Authority’s service area</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>pilot program and will</td>
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<tr>
<td>Develop and disseminate notifications and educational information regarding</td>
<td>X</td>
<td></td>
<td></td>
<td>As needed</td>
<td>50%</td>
<td>Letters and support</td>
<td></td>
</tr>
<tr>
<td>the system-wide flushing program</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>materials were produced</td>
<td></td>
</tr>
<tr>
<td>Launch the Hydrostation at the Desalination Facility in partnership with the</td>
<td>X</td>
<td></td>
<td></td>
<td>September 2019</td>
<td>100%</td>
<td>The Hydro Station launched</td>
<td></td>
</tr>
<tr>
<td>Chula Vista Elementary School District and Otay Water District</td>
<td></td>
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<td></td>
<td></td>
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<td>in July of 2019 and is</td>
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<td></td>
<td></td>
<td>booked for the 2019-20 school</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>year.</td>
<td></td>
</tr>
<tr>
<td>Department/Topic</td>
<td>Action Steps</td>
<td>Short Term (0-2 Years)</td>
<td>MID Term (2-5 Years)</td>
<td>Long Term (+5 Years)</td>
<td>Completion Date</td>
<td>% Complete</td>
<td>Status</td>
</tr>
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</tr>
<tr>
<td><strong>Administration</strong>&lt;br&gt;AMI</td>
<td><strong>Objective CS2</strong>: Continue to evaluate implementation of automated meter reading and new tools for customer access to water use data, considering advancements in technology and financial feasibility</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>On target.</td>
</tr>
<tr>
<td>001.00</td>
<td>Develop a funding strategy</td>
<td>X</td>
<td>TBD</td>
<td>N/A</td>
<td>Staff continues to explore innovative and cost-effective ways to finance and implement an AMR program.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>002.00</td>
<td>Select a vendor and implement</td>
<td>X</td>
<td>TBD</td>
<td>N/A</td>
<td>Selection of a vendor is on hold until the Authority determines desired technology and means of the funding the project.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>003.00</td>
<td>Implement a rebate program for smart meter devices</td>
<td>X</td>
<td>September 2019</td>
<td>100%</td>
<td>A rebate program for smart meter devices was implemented and is funded by a grant through MET/SDCWA.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>004.00</td>
<td>Conduct a no-cost feasibility assessment to explore potential nonrevenue water recapture to fund an automated meter reading program.</td>
<td>X</td>
<td>October 2019</td>
<td>100%</td>
<td>Feasibility assessment was conducted and presented to Management.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department/Topic</td>
<td>Action Steps</td>
<td>Short Term (0-2 Years)</td>
<td>Mid Term (2-5 Years)</td>
<td>Long Term (+5 Years)</td>
<td>% Complete</td>
<td>Status</td>
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<td></td>
</tr>
<tr>
<td>Administration - Developer Customers</td>
<td><strong>Objective CS3:</strong> Explore and implement process improvements to better serve developer customers</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually</td>
<td>0%</td>
<td>A Developer’s Forum is tentatively scheduled to take place in the Spring of 2020. Staff will work with the Governing Board and the upcoming Developer’s Workshop on the format.</td>
</tr>
<tr>
<td></td>
<td>001.00 Facilitate a developer’s forum once per year to educate developer customers on water service processes and receive feedback/input on process improvements</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Annually</td>
<td>0%</td>
<td>A Developer’s Forum is tentatively scheduled to take place in the Spring of 2020. Staff will work with the Governing Board and the upcoming Developer’s Workshop on the format.</td>
</tr>
<tr>
<td></td>
<td>002.00 Clarify language on developer correspondence regarding fee estimates</td>
<td></td>
<td></td>
<td></td>
<td>June 2019</td>
<td>100%</td>
<td>Complete.</td>
</tr>
<tr>
<td></td>
<td>003.00 Develop a policy outlining specific practices and procedures for communication with developers with regard to range of project costs and overruns</td>
<td>X</td>
<td></td>
<td></td>
<td>June 2020</td>
<td>10%</td>
<td>Staff is currently working on a draft policy and will present it to the Board on February 11, 2020 during the Special Workshop to discuss development related issues.</td>
</tr>
<tr>
<td></td>
<td>004.00 Research and provide information on insurance requirements for developers and Authority contractors; research comparable data for other agencies; and present information to the Operations Committee</td>
<td>X</td>
<td></td>
<td></td>
<td>December 2019</td>
<td>100%</td>
<td>Insurance requirements and check lists provided during staff training in December. Files saved to SWAnet.</td>
</tr>
<tr>
<td></td>
<td>005.00 Develop a cost analysis of providing payment plans to developers.</td>
<td>X</td>
<td></td>
<td></td>
<td>June 2020</td>
<td>100%</td>
<td>The Board approved an approach at its January 8, 2020 Board Meeting.</td>
</tr>
<tr>
<td>Finance - Community Relations</td>
<td><strong>Objective CS4:</strong> Support local and disadvantaged businesses in the community.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>On target.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>001.00 Update the Purchasing Policy to promote local and disadvantaged businesses in the community, as allowable by law and combability with cost effective procurement (See also AE3)</td>
<td>X</td>
<td></td>
<td></td>
<td>June 2020</td>
<td>20%</td>
<td>Staff is working with Legal to identify ways to modify the Purchasing Policy to promote local and disadvantaged businesses in the community.</td>
</tr>
</tbody>
</table>
## GOAL #4 Customer Service, Citizen Engagement and Community Relations (CS)

*Provide high-quality customer service based on customer feedback and serve the community through education, outreach, and partnerships.*

<table>
<thead>
<tr>
<th>Administration Citizen Engagement</th>
<th>Action Steps</th>
<th>Short Term (0-2 Years)</th>
<th>Mid Term (2-5 Years)</th>
<th>Long Term (&gt;5 Years)</th>
<th>Completion Date</th>
<th>% Complete</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective CS5:</td>
<td>Establish a Citizens Advisory Committee to advise the Authority in accordance with parameters set by the Board</td>
<td>X</td>
<td></td>
<td></td>
<td>November 2019</td>
<td>100%</td>
<td>On target.</td>
</tr>
<tr>
<td>001.00 Board appoints members to a Citizen's Advisory Committee (CAC)</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>November 2019</td>
<td>100%</td>
<td>All seven Board members have appointed a member/and or alternate to the CAC.</td>
</tr>
<tr>
<td>002.00 CAC will meet on a regular basis for a period of one year</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>December 2019</td>
<td>100%</td>
<td>Meetings have been scheduled for 2020.</td>
</tr>
<tr>
<td>003.00 CAC will provide recommendations to the Board on operational efficiency and improvements associates with one Strategic Plan goal area</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>December 2020</td>
<td>20%</td>
<td>Dependent upon CAC input.</td>
</tr>
<tr>
<td>004.00 Staff will integrate recommendations into the Strategic Plan Workplan as directed by the Board</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>May 2020</td>
<td>20%</td>
<td>Dependent upon CAC input.</td>
</tr>
<tr>
<td>Department/Topic</td>
<td>Action Steps</td>
<td>Completion Date</td>
<td>% Complete</td>
<td>Status</td>
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</tr>
<tr>
<td>GOAL #5 Workforce Development and Constructive Labor Relations (WD)</td>
<td><strong>Objective WD1:</strong> Achieve professional and regulatory certifications as required by job classifications to perform assigned duties (Source: OSHA, Division of Drinking Water, DMV, and others depending on certification)</td>
<td>X X X Quarterly</td>
<td>100%</td>
<td>On target.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Services - Certifications</td>
<td>001.00 Report to Board the number of professional certifications held by staff, and compliance with certification requirements</td>
<td>X X X Quarterly</td>
<td>100%</td>
<td>158 professional certifications held. All required certifications met. A comprehensive list of all employee certifications is presented in the quarterly performance reports.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Services - Workforce Development</td>
<td>002.00 Provide appropriate continuing education opportunities to maintain certifications and meet safety training requirements. Report to the Board the number of employee sessions and training hours</td>
<td>X X X Quarterly</td>
<td>100%</td>
<td>Employees attended 2,664 hours in Q1 and Q2. Training data is presented in the quarterly performance reports.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Services - Workforce Development</td>
<td><strong>Objective WD2:</strong> Implement a Leadership Development Program that engages eligible staff in Authority’s needs for leadership capacity</td>
<td></td>
<td></td>
<td>On target.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Services - Workforce Development</td>
<td>001.00 Ensure all new employees are provided with DISC training, and provide opportunities for refresher training to existing employees</td>
<td>X X X Annually</td>
<td>100%</td>
<td>DISC training held in September 2019 was offered to new and existing employees.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Services - Workforce Development</td>
<td>002.00 Provide all managers and supervisors with Effective Manager Tools training, and provide Authority staff leaders with management and executive leader training opportunities</td>
<td>X X X Annually</td>
<td>100%</td>
<td>1 Department Head attended Leadership Essentials for the Water Industry Academy and 2 Department Heads, 2 Managers attended the Certified Public Management Academy in Fall 2019.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Services - Workforce Development</td>
<td>003.00 Ensure all new supervisory staff attend leadership academies appropriate for their level in the organization</td>
<td>X X X Annually</td>
<td>100%</td>
<td>3 Managers attended the Supervisors Academy in fall 2019.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Services - Performance</td>
<td><strong>Objective WD3:</strong> Implement an employee performance monitoring and reporting program to: ensure individual employee work goals are aligned with the organization's strategic goals and work plan; provide performance feedback to employees; correct deficiencies in performance; and promote career development (Source: Memoranda of Understanding between Authority and Labor Groups)</td>
<td>X X X Semi-annually</td>
<td>68%</td>
<td>82 due; 55 completed, 22 in process, 5 pending</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Services - Performance</td>
<td>001.00 Develop performance goals and conduct a performance review for each employee on an annual basis; report to Board on success rate as defined by number of reviews due/processed</td>
<td></td>
<td></td>
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</tbody>
</table>
## GOAL #5 Workforce Development and Constructive Labor Relations (WD)

Attract, retain and develop a highly-skilled, adaptable workforce; Equip employees to effectively and safely perform their jobs and prepare for career advancement; Promote constructive labor relations.

### Objective WD4:
Identify and implement expanded risk management and safety protocols to reduce experience modification and incident rates at or below industry standards (Source: Joint Powers Insurance Agency; OSHA)

<table>
<thead>
<tr>
<th>Administrative Services - Risk Management</th>
<th>Action Steps</th>
<th>Short Term (0-2 Years)</th>
<th>Mid Term (2-5 Years)</th>
<th>Long Term (+5 Years)</th>
<th>Completion Date</th>
<th>% Complete</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>001.00 Evaluate training needs and develop a schedule to address identified needs</td>
<td>X X X</td>
<td>Annually (August)</td>
<td>100%</td>
<td>On target.</td>
<td>Training schedule for FY 2019-20 developed, and updated in January 2020 to confirm all completed to date.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>002.00 Report on the accident/injury rate quarterly (as measured by incidents reported to the Safety Committee)</td>
<td>X X X</td>
<td>Quarterly</td>
<td>100%</td>
<td>Reported monthly and quarterly to the Board.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>003.00 Report on the selected ACWA-JPIA Commitment to Excellence program Best Management Practices</td>
<td>X X X</td>
<td>Annually (June)</td>
<td>0%</td>
<td>On track to meet task deadline.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>004.00 Implement Safety Incentive Program, with a benchmark goal of 90 percent of eligible employees annually qualifying for award.</td>
<td>X X X</td>
<td>Annually (October)</td>
<td>100%</td>
<td>93% of eligible employees qualified to receive a Safety Award as of the October recognition event.</td>
<td></td>
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<tr>
<td>Department/Topic</td>
<td>Action Steps</td>
<td>IMPLEMENTATION</td>
<td>% Complete</td>
<td>Status</td>
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<tr>
<td>GOAL #5 Workforce Development and Constructive Labor Relations (WD)</td>
<td>Attract, retain and develop a highly-skilled, adaptable workforce; Equip employees to effectively and safely perform their jobs and prepare for career advancement; Promote constructive labor relations.</td>
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<tr>
<td><strong>Objective WDS:</strong> Properly equip staff to effectively, efficiently, and safely perform their assigned duties (Source: OSHA; Cal-OSHA)</td>
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<td></td>
<td>On target.</td>
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</tr>
<tr>
<td>001.00 Perform or validate a minimum of four job hazard analyses to determine if hazards are present, or are likely to be present, which necessitate the use of personal protective equipment (PPE) and/or engineering or administrative controls</td>
<td>X X X</td>
<td>Annually (June)</td>
<td>50%</td>
<td>Two job hazards completed, on track to meet task deadline.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>002.00 Replace outdated laboratory instruments</td>
<td>X X X</td>
<td>Annually (June)</td>
<td>100%</td>
<td>New WQ Laboratory benchtop turbidimeter and microscope purchased and installed.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>003.00 Implement drone program for photography, including trained and certified remote operators from multiple departments</td>
<td>X</td>
<td>June 2020</td>
<td>75%</td>
<td>Certification and piloting training underway for 7 staff from across agency.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>004.00 Upgrade existing telephone system to use modern technology</td>
<td>X</td>
<td>June 2020</td>
<td>25%</td>
<td>System programming underway. Hardware for upgrades received 12/2019.</td>
<td></td>
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<tr>
<td>005.00 Inspect, upgrade or replace personal protective equipment (such as Level A chemical suits, respiratory protection, ergonomic equipment, safety footwear etc.) per manufacturer's specifications, or when the level of protection is compromised</td>
<td>X X X</td>
<td>Annually</td>
<td>100%</td>
<td>Replaced In-House HAZMAT Team's radio communication system October 2019.</td>
<td></td>
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</tr>
<tr>
<td>006.00 Replace outdated calibration devices, testing equipment, and life safety supplies</td>
<td>X X X</td>
<td>Annually</td>
<td>50%</td>
<td>Equipment replaced as necessary and budgeted.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>007.00 Purchase a scissor lift for the desalination facility to provide safe access to equipment.</td>
<td>X</td>
<td>June 2020</td>
<td>10%</td>
<td>Staff is in the process of obtaining quotes. On track to meet task deadline.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>008.00 Replace seismic monitoring equipment for Sweetwater Reservoir main dam</td>
<td>X</td>
<td>June 2020</td>
<td>10%</td>
<td>Two quotes received; one pending. Purchase and installation to occur in second half of FY 2019-20.</td>
<td></td>
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</tr>
<tr>
<td>009.00 Purchase trailer-mounted burrow filling equipment to maintain the URDS and protect roads at Sweetwater Reservoir</td>
<td>X</td>
<td>June 2020</td>
<td>90%</td>
<td>Equipment received; verifying compliance with specifications.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>010.00 Improve access to and protect an existing 4&quot; compound meter at the Naples Court Apartments by installing a vault with a traffic rated lid</td>
<td>X</td>
<td>June 2020</td>
<td>0%</td>
<td>Design to be completed in third quarter of FY 2019-20, with construction in spring 2020. On track to meet task deadline.</td>
<td></td>
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</tr>
<tr>
<td>011.00 Purchase two (2) electromagnetic locators to improve accuracy and efficiency in locating underground infrastructure</td>
<td>X</td>
<td>June 2020</td>
<td>0%</td>
<td>Locators to be purchased in second half of FY 2019-20. On track to meet task deadline.</td>
<td></td>
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</tbody>
</table>
### GOAL #5 Workforce Development and Constructive Labor Relations (WD)

**Attract, retain and develop a highly-skilled, adaptable workforce; Equip employees to effectively and safely perform their jobs and prepare for career advancement; Promote constructive labor relations.**

| Objective WD6: Cultivate employee performance and boost employee loyalty, morale, and productivity by implementing employee recognition and wellness programs. |
|---|---|---|---|
| 001.00 Hold an Employee Recognition Event to recognize safety, health, wellness, teamwork, and other achievements | X | November 2019 | 100% |
| Event held October 11, 2019. |
| 002.00 Host an on-boarding lunch for all new employees within one-year of employment to enhance the new employee experience and to further strengthen the employees’ understanding of their role in the organization and how it relates to the mission of the Authority | X | X | X | Annually | 100% |
| An on-boarding luncheon for new employees was held October 3, 2019. |
| 003.00 Host semi-annual service awards luncheon to recognize various lengths of employee service (in 5 year increments) | X | X | X | Semi-annually | 100% |
| A service awards luncheon was held on October 17, 2019. |

<p>| Objective WD7: Promote constructive labor relations |
|---|---|---|---|
| 001.00 Direct Management representatives to meet with all three labor groups on a monthly basis to discuss labor related issues of concern to either party (Source: Memoranda of Understanding) | X | X | X | Monthly | 100% |
| Management representatives have met with all three labor groups on a monthly basis to discuss labor related issues. |
| 002.00 Negotiate terms of Memoranda of Understanding with each of the three labor groups. | X | | | June 2020 | 10% |
| On August 15, 2019, the Board selected a labor negotiator. Labor negotiations are currently underway. Current MOUs expire June 30, 2020. |
| 003.00 Conduct a Classification and Compensation Study in accordance with the Memorandum of Understanding | X | | | Jan. 2020 | 90% |
| On October 23, 2019, the Board approved a contract to conduct a salary survey in accordance with the MOU. The salary survey is currently underway. |</p>
<table>
<thead>
<tr>
<th>Department/Topic</th>
<th>Action Steps</th>
<th>IMPLEMENTATION</th>
</tr>
</thead>
</table>
| **GOAL #6 Administrative Effectiveness (AE)**  
*Provide efficient and effective administrative systems and procedures in accordance with best management practices.* |  |  |
| **Objective AE1**: Maintain a ready state of Emergency preparedness, response, and recovery, capable of effectively responding to emergencies as they arise (Source: America’s Water Infrastructure Act of 2018) |  |  |
| |  |  |
|  |  |  |
| **Administrative Services - Emergency Preparedness** |  |  |
| 001.00 Develop an emergency preparedness/response/recovery exercise schedule, and report activities semi-annually to the Board | **X** | Annually (June 2020) | **50%** | On track to meet task deadline. |
| 002.00 Conduct a risk and resiliency assessment pursuant to the American Water Infrastructure Act | **X** | March 2020 and every 5 years thereafter | **25%** | RFP sent and contract awarded to AARC, LLC. Kick-off meeting held with AARC and SWA teams in December. On track to meet task deadline. |
| 002.01 Perform a comprehensive review and overhaul of the Emergency Response and Recovery Plan (ERRP) that incorporates the findings of the risk and resiliency assessment | **X** | September 2020 and every 5 years thereafter | **10%** | Will update ERRP based upon completed risk resilience assessment to be completed by March 31, 2020. |
| 003.00 Review and update hazardous materials emergency response plans, Dam Emergency Action Plans, and other interagency emergency response and recovery plans | **X** | Annually | **100%** | The Dam Emergency Action Plans with updated inundation maps were submitted to Cal OES Dam Safety Planning Division in December. |
| 003.01 Update inundation maps in accordance with dam safety regulations | **X** | June 2020 | **100%** | Updated inundation maps approval received from state DWR in November and December 2019. |
| 004.00 Add a fire suppression system at the Admin server room (Year 3 of 3) and construct Information Systems work space improvements | **X** | June 2020 | **25%** | Project currently under design. On track to meet task deadline. |
## GOAL #6 Administrative Effectiveness (AE)

Provide efficient and effective administrative systems and procedures in accordance with best management practices.

<table>
<thead>
<tr>
<th>Action Steps</th>
<th>Short Term (0-2 years)</th>
<th>Mid Term (2-5 years)</th>
<th>Long Term (+5 Years)</th>
<th>Completion Date</th>
<th>% Complete</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>001.00 Update the Water Distribution System Master Plan, to include the incorporation of asset management tools and practices</td>
<td>X</td>
<td>X</td>
<td></td>
<td>June 2021 and every five-years thereafter</td>
<td>0%</td>
<td>Consultant to be selected in summer of 2020.</td>
</tr>
<tr>
<td>002.00 Update the Water Resources Master Plan</td>
<td>X</td>
<td>X</td>
<td></td>
<td>June 2021 and every five-years thereafter</td>
<td>0%</td>
<td>Consultant to be selected in summer of 2020.</td>
</tr>
<tr>
<td>003.00 Update the Urban Water Management Plan</td>
<td>X</td>
<td>X</td>
<td></td>
<td>July 2021 and every five years thereafter</td>
<td>0%</td>
<td>Consultant to be selected in summer of 2020.</td>
</tr>
<tr>
<td>004.00 Develop the Strategic Communications Plan (see also CS1.004.00)</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>June 2019 and every five years thereafter</td>
<td>N/A</td>
<td>--</td>
</tr>
<tr>
<td>005.00 Update Authority Strategic Plan to include public, employee and Board input</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>June 2022 and every five years thereafter</td>
<td>N/A</td>
<td>--</td>
</tr>
</tbody>
</table>

### Finance - Purchasing

**Objective AE3**: Update the Authority’s Purchasing Policy to reflect Board policy and current best practices (See also CS4.001.00)

<table>
<thead>
<tr>
<th>Action Steps</th>
<th>Short Term (0-2 years)</th>
<th>Mid Term (2-5 years)</th>
<th>Long Term (+5 Years)</th>
<th>Completion Date</th>
<th>% Complete</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>June 2020</td>
<td>20%</td>
<td>On target.</td>
</tr>
</tbody>
</table>

(See also CS4 001.00) Staff is currently reviewing legal issues around promoting local business within a purchasing policy.

### Management - Governance

**Objective AE4**: Seek District of Distinction accreditation through the California Special District Association

<table>
<thead>
<tr>
<th>Action Steps</th>
<th>Short Term (0-2 years)</th>
<th>Mid Term (2-5 years)</th>
<th>Long Term (+5 Years)</th>
<th>Completion Date</th>
<th>% Complete</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>June 2020</td>
<td>95%</td>
<td>On target.</td>
</tr>
</tbody>
</table>

The Authority has completed all requirements and is preparing to send all documentation to CSDA.
<table>
<thead>
<tr>
<th>Department/Topic</th>
<th>Action Steps</th>
<th>Short Term</th>
<th>Mid Term</th>
<th>Long Term</th>
<th>Completion Date</th>
<th>% Complete</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>GOAL #6</td>
<td>Provide efficient and effective administrative systems and procedures in accordance with best management practices.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Management -</td>
<td><strong>Objective AES</strong>: Update the Authority Records Retention Policy and Retention</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Records</td>
<td>Schedule in accordance with legal requirements and best management practices</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management</td>
<td>001.00 Update Records Retention Policy in consultation with legal counsel</td>
<td>X</td>
<td>June 2020</td>
<td></td>
<td></td>
<td>50%</td>
<td>The policy has been updated and draft is scheduled to go to the Board in February 2020</td>
</tr>
<tr>
<td></td>
<td>and present to Board for adoption</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>002.00 Develop a records retention schedule and present to Board for</td>
<td>X</td>
<td>June 2020</td>
<td></td>
<td></td>
<td>50%</td>
<td>A records retention schedule has been developed and is scheduled to go to the Board in February 2020</td>
</tr>
<tr>
<td></td>
<td>adoption</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
FINANCE AND PERSONNEL COMMITTEE

MEDIA INDEX BY AGENDA ITEM

AGENDA

DATE: Wednesday, January 15, 2020       TIME: 4:00 p.m.

1. CALL MEETING TO ORDER AND ROLL CALL. (00:07)

2. ITEMS TO BE ADDED, WITHDRAWN, OR REORDERED IN THE AGENDA. (00:16)

3. PUBLIC COMMENT. (00:34)
   Opportunity for members of the public to address the Committee. (Government Code Section 54954.3).

4. ACTION AGENDA.
   The following items on the Action Agenda call for discussion and action by the Committee. All items are placed on the Agenda so that the Committee may discuss and take action on the item if the Committee is so inclined, including items listed for information.
   
   A. Presentation by Certified Public Manager® Program Graduates (00:47)
   C. Review of Board Policies and Procedures (510-516, 518-519) - First Review (01:08:30)
   D. Strategic Plan Reporting – Bi-annual Detailed Work Plan Status Report (40:56)

5. CLOSED SESSION. (01:38:41)
   At any time during the regular session, the Committee may adjourn to closed session to discuss real property matters within the attorney-client privilege, subject to the appropriate disclosures. (Government Code Section 54956.8).

6. NEXT MEETING DATE: Wednesday, February 5, 2020 at 4:00 p.m. (01:38:43)

7. ADJOURNMENT. (01:38:49)