SOUTH PLACER MUNICIPAL UTILITY DISTRICT

POLICY HANDBOOK

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SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**1000 - PURPOSE OF BOARD POLICIES**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

Policy Statement
The purpose of this policy is to determine the manner in which matters of District business are to be conducted in a comprehensive Policy Handbook.

Section 1: General

It is the intent of the Board of Directors of the South Placer Municipal Utility District (SPMUD) to maintain a Policy Handbook. Contained therein shall be a comprehensive listing of the Board's current policies, rules and regulations as enacted by the Board from time to time. The Policy Handbook will serve as a resource for Directors, staff and members of the public in determining the manner in which matters of District business are to be conducted.

If any policy or portion of a policy contained within the Policy Handbook is in conflict with rules, regulations or legislation having authority over SPMUD said rules, regulations or legislation shall prevail. This Policy Handbook, on the date of the enacting resolution, shall supersede any policies enacted by the Board prior to that date. Policies may be added, eliminated or modified from time to time and will be enacted by resolution of the Board.

Section 2: Interchangeability

The word “District” and the abbreviation “SPMUD” shall be interchangeable with the term “South Placer Municipal Utility District”, and shall have the same meaning.
The word “Board” shall be interchangeable with the term “Board of Directors of the South Placer Municipal Utility District”, and shall have the same meaning.
The term “Board Member” shall be interchangeable with the term “Director”, and shall have the same meaning.
The term “MUD Act” shall be the Municipal Utility District Act of the State of California (California Public Utilities Code § 11501 et seq.)

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**1010 – ADOPTION OR AMENDMENT OF POLICIES**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No		**Revised:**	

PURPOSE

The purpose of this policy is to establish the process to adopt a new policy or to amend an existing policy as initiated by any Director or the General Manager

POLICY STATEMENT

Section 1: General

Consideration by the Board of Directors to adopt a new policy or to amend an existing policy may be initiated by any Director or the General Manager.

The proposed adoption or amendment shall be initiated by a Director in one of three ways:

1. By submitting a written draft of the proposed new or amended policy to the Board President and the General Manager, requesting that the item be included for consideration on the agenda of the next appropriate regular meeting of the Board of Directors.
2. During the Director's comments at the end of a regularly scheduled meeting of the Board of Directors. The director should indicate the need and content of the desired board policy.
3. During a meeting of a temporary committee established to consider changes or additions to the Board's Manual of Policies.

Regardless of the method of initiation, the General Manager will bring the proposed adoption or amendment to the attention of the temporary committee that may be established to determine Board policies for evaluation. If after consideration by the aforementioned temporary committee, it is decided to have the Board of Directors consider the recommended policy, the General Manager will submit a written draft of the proposed new or amended policy requesting that the item be included for consideration on the agenda of the next appropriate regular meeting of the Board of Directors. If no temporary committee has been established to consider changes or additions to the Board's Manual of Policies, the General Manager can take it upon himself to submit a written draft of the proposed new or amended policy to be included for consideration on the agenda of the next appropriate regular meeting of the Board of Directors.

Adoption of a new policy or amendment of an existing policy shall be accomplished by resolution at a regular meeting of the Board of Directors in accordance with the MUD Act (California Public Utilities Code § 11501 *et seq)*.

Copies of the proposed new or amended policy (ies) shall be included in the agenda-information packet for any meeting in which they are scheduled for consideration (listed on the agenda). A copy of the proposed new or amended policy(ies) shall be made available to each Director for review at least 72 hours prior to any meeting at which the policy(ies) are to be considered.

SOUTH PLACER UTILITY DISTRICT POLICIES

Policy Name:	**1020 – CONFLICT OF INTEREST**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	Aug 7, 2014
Resolution No	14-06, 15-23	**Revised:**	

PURPOSE

The purpose of this policy is to provide reasonable assurance that all foreseeable conflict of interest situations will be disclosed or prevented, to provide to each affected person a clear and specific statement of his duties under the Code, and to adequately differentiate between designated employees with different powers and responsibilities.

POLICY STATEMENT

Section 1. Definitions.

The definitions contained in the Political Reform Act of 1974, regulations of the Fair Political Practices Commission (2 Cal. Code Regs. §18100 et seq), and any amendments to the Act or regulations, are incorporated by reference into this Conflict of Interest Code.

Section 2. Incorporation of State Regulations by Reference.

With the additions noted below, the terms of 2 Cal. Code Regs. §18730 and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference and made a part of this Conflict of Interest Code.

Section 3. Purpose.

It is the purpose of this Code to provide for the disclosure of assets and income of designated employees which may be materially affected by their official actions, and, in appropriate circumstances, to provide that designated employees should be disqualified from acting in order that conflicts of interest may be avoided. Nothing contained herein is intended to modify or abridge the provisions of the Political Reform Act of 1974 (Government Code §81000 et seq.)

Section 4. Designated Employees.

The persons holding positions listed in Appendix A are designated employees. It has been determined that these persons make or participate in the making of decisions which may foreseeably have a material effect on economic interest.

Section 5. Disclosure Categories.

The disclosure categories set forth in the second column of Appendix A specify which kinds of economic interest are reportable. Such a designated employee shall disclose in his or her statement of economic interests those economic interests he or she has which are of the kind described in the disclosure categories to which he or she is assigned in Appendix A. It has been determined that the economic interest set forth in a designated employee's disclosure categories are the kinds of economic interest

which he or she foreseeably can affect materially through the conduct of his or her office.1

Section 6. Statements of Economic Interest: Place of Filing.

All designated employees shall file an original statement of economic interest with the Secretary of the District, who shall in the case of directors and managers of districts make and retain a copy and forward the original to the Clerk of the Board of Supervisors (multi-county districts forward an original to FPPC.) (Government Code §81010 and 2 Cal. Code of Regs. §18115.) Disclosure statement forms will be supplied by the District.

Section 7. Statement of Economic Interest: Time of Filing

(A) Initial Statements. All designated employees employed by the District on the effective date of this Conflict of Interest Code, as originally adopted, promulgated and approved by the code reviewing body, shall file statements within 30 days after the effective date of this Code. Thereafter, each person already in a position when it is designated by an amendment to this Code shall file an initial statement within 30 days after the effective date of the amendment.

(B) Assuming Office Statements. All persons assuming designated positions after the effective date of this Code shall file statements within 30 days after assuming the designated positions, or if subject to State Senate confirmation, 30 days after being nominated or appointed.

(C) Annual Statements. All designated employees shall file statements no later than April 1, disclosing reportable investments, business positions, interest in real property and income held or received at any time during the previous calendar year or since the date the designated employee took office if during the calendar year.

(D) Leaving Office Statements. All persons who leave designated positions shall file statements within 30 days after leaving office.

Section 8. Statements for Persons Who Resign Prior to Assuming Office.

Any person who resigns within 12 months of initial appointment, or within 30 days of the date of notice provided by the filing officer to file an assuming office statement, is not deemed to have assumed office or left office, provided he or she did not make or participate in the making of, or use his or her position to influence any decision and did not receive or become entitled to receive any form of payment as a result of his or her appointment. Such persons shall not file either an assuming or leaving office statement.

(A) Any person who resigns a position within 30 days of the date of a notice from the filing officer shall do both of the following:

1. File a written resignation with the appointing officer; and

2. File a written statement with the filing officer declaring under penalty of perjury that during the period between appointment and resignation he or she did not make, participate in the making, or use the position to influence any decision of the agency or receive, or become entitled to receive, any form of payment by virtue of being appointed to the position.

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[1]The Fair Political Practices Commission does not agree that "public generally" language is permitted with respect to disclosure requirements but does agree that it applies to the disqualifying conflict of interest provisions. If the official can establish that the reasonably foreseeable material financial effect on his or her economic interest is indistinguishable from the effect on the public generally, he or she does not have a conflict of interest within the meaning of the Political Reform Act. If the reasonably foreseeable material financial effect on the public official's economic interest is distinguishable from the effect on the public generally, he or she has a conflict of interest within the meaning of the Political Reform Act. (See 2 Cal. Code Regs. § 18707.)

Section 9. Contents of and Period Covered by Statements of Economic Interest.

(A) Contents of Initial Statements. Initial statements shall disclose any reportable investments, interest in real property and business positions held on the effective date of the Code and income received during the 12 months prior to the effective date of the Code.

(B) Contents of Assuming Office Statements. Assuming office statements shall disclose any reportable investments, interests in real property and business positions held on the date of assuming office or, if subject to State Senate confirmation or appointment, on the date of nomination, and income received during the 12 months prior to the date of assuming office or the date of being appointed or nominated, respectively.

(C) Contents of Annual Statements. Annual statements shall disclose any reportable investments, interests in real property, income and business positions held or received during the previous calendar year provided, however, that the period covered by an employee's first annual statement shall begin on the effective date of the code or the date of assuming office whichever is later, or for a board or commission member subject to Government Code §87302.6, the day after the closing date of the most recent statement filed by the member pursuant to 2 Cal. Code Regs. §18754.

(D) Contents of Leaving Office Statements. Leaving office statements shall disclose reportable investments, interests in real property, income and business positions held or received during the period between the closing date of the last statement filed and the date of leaving office.

Section 9. Manner of Reporting.

Statements of economic interests shall be made on forms prescribed by the Fair Political Practices Commission and supplied by the District, and shall contain the following information:

(A) Investments and Real Property Disclosure. When an investment or an interest in real property[2] is required to be reported,[3] the statement shall contain the following:

1. A statement of the nature of the investment or interest;

2. The name of the business entity in which each investment is held, and a general description of the business activity in which the business entity is engaged;

3. The address or other precise location of the real property;

4. A statement whether the fair market value of the investment or interest in real property equals or exceeds two thousand dollars ($2,000), exceeds ten thousand dollars ($10,000), exceeds one hundred thousand dollars ($100,000), or exceeds one million dollars ($1,000,000).

(B) Personal Income Disclosure. When personal income is required to be reported[4], the statement shall contain:

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[2]For purposes of disclosure only (not disqualification), an interest in real property does not include the principal residence of the filer.

[3] Investments and interests in real property which have a fair market value of less than $2,000 are not investments and interests in real property within the meaning of the Political Reform Act. However, investments or interests in real property of an individual include those held by the individual's spouse and dependent children as well as a pro rata share of any investment or interest in real property of any business entity or trust in which the individual, spouse and dependent children own, in the aggregate, a direct, indirect or beneficial interest of 10 percent or greater.

[4]A designated employee's income includes his or her community property interest in the income of his or her spouse but does not include salary or reimbursement for expenses received from a state, local or federal government agency.

1. The name and address of each source of income aggregating five hundred dollars ($500) or more in value, or fifty dollars ($50) or more in value if the income was a gift, and a general description of the business activity, if any, of each source;

2. A statement whether the aggregate value of income from each source, or in the case of a loan, the highest amount owed to each source, was one thousand dollars ($1,000) or less, greater than one thousand dollars ($1,000), greater than ten thousand dollars ($10,000), or greater than one hundred thousand dollars ($100,000);

3. A description of the consideration, if any, for which the income was received;

4. In the case of a gift, the name, address and business activity of the donor and any intermediary through which the gift was made; a description of the gift; the amount or value of the gift; and the date on which the gift was received;

5. In the case of a loan, the annual interest rate and the security, if any, given for the loan and the term of the loan.

(C) Business Entity Income Disclosure. When income of a business entity, including income of a sole proprietorship, is required to be reported,[5] the statement shall contain:

1. The name, address, and a general description of the business activity of the business entity;

2. The name of every person from whom the business entity received payments if the filer's pro rata share of gross receipts from such person was equal to or greater than ten thousand dollars ($10,000).

(D) Business Position Disclosure. When business positions are required to be reported, a designated employee shall list the name and address of each business entity in which he or she is a director, officer, partner, trustee, employee, or in which he or she holds any position of management, a description of the business activity in which the business entity is engaged, and the designated employee's position with the business entity.

(E) Acquisition or Disposal. During Reporting Period. In the case of an annual or leaving office statement, if an investment or an interest in real property was partially or wholly acquired or disposed of during the period covered by the statement, the statement shall contain the date of acquisition or disposal.

Section 10. Prohibition on Receipt of Honoraria.

No member of a state board or commission, and no Designated Employee shall accept any honorarium from any source, if the member or Designated Employee would be required to report the receipt of income or gifts from that source on his or her statement of economic interests.

Government Code §89501 (a), (b) and (c) shall apply to the prohibitions in this section. This section shall not limit or prohibit payments, advances, or reimbursements for travel and related lodging and subsistence authorized by Government Code §89506.

[5] Income of a business entity is reportable if the direct, indirect or beneficial interest of the filer and the filer's spouse in the business entity aggregates a 10 percent or greater interest. In addition, the disclosure of persons who are clients or customers of a business entity is required only if the clients or customers are within one of the disclosure categories of the filer.

Section 10.1 Prohibition on Receipt of Gifts In Excess of $440.

No Designated Employee shall accept gifts with a total value of more than four hundred and forty dollars ($440) in a calendar year from any single source, if the Designated Employee would be required to report the receipt of income or gifts from that source on his or her statement of economic interests. Government Code §89503(e), (f), and (g) shall apply to the prohibitions in this section.

Section 10.2 Loans to Public Officials.

(A) No elected officer of a state or local government agency shall, from the date of his or her election to office through the date that he or she vacates office, receive a personal loan from any officer, employee, member, or consultant of the state or local government agency in which the elected officer holds office or over which the elected officer's agency has direction and control.

(B) No public official who is exempt from the state civil service system pursuant to subdivisions (C), (D), (E), (F), and (G) of Section 4 of Article VII of the Constitution shall, while he or she holds office, receive a personal loan from any officer, employee, member or consultant of the state or local government agency in which the public official holds office or over which the public official's agency has direction and control. This subdivision shall not apply to loans made to a public official whose duties are solely secretarial, clerical or manual.

(C) No elected officer of a state or local government agency shall, from the date of his or her election to office through the date that he or she vacates office, receive a personal loan from any person who has a contract with the state or local government agency to which that elected officer has been elected or over which that elected officer's agency has direction and control. This subdivision shall not apply to loans made by banks or other financial institutions or to any indebtedness created as part of a retail installment or credit card transaction, if the loan is made or the indebtedness created in the lender's regular course of business on terms available to members of the public without regard to the elected officer's official status.

(D) No public official who is exempt from the state civil service system pursuant to subdivisions (C), (D), (E), (F), and (G) of Section 4 of Article VII of the Constitution shall, while he or she holds office, receive a personal loan from any person who has a contract with the state or local government agency to which that elected officer has been elected or over which that elected officer's agency has direction and control. This subdivision shall not apply to loans made by banks or other financial institutions or to any indebtedness created as part of a retail installment or credit card transaction, if the loan is made or the indebtedness created in the lender's regular course of business on terms available to members of the public without regard to the elected officer's official status. This subdivision shall not apply to loans made to a public official whose duties are solely secretarial, clerical, or manual.

(E) This section shall not apply to the following:

1. Loans made to the campaign committee of an elected officer or candidate for elective office.

2. Loans made by a public official's spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such persons, provided that the person making the loan is not acting as an agent or intermediary for any person not otherwise exempted under this section.

3. Loans from a person which, in the aggregate, do not exceed five hundred dollars ($ 500) at any given time.

4. Loans made, or offered in writing, before January 1, 1998.

Section 10.3 Loan Terms.

(A) Except as set forth in subdivision (B), no elected officer of a state or local government agency shall, from the date of his or her election to office through the date he or she vacates office, receive a personal loan of $ 500 or more, except when the loan is in writing and clearly states the terms of the loan, including the parties to the loan agreement, date of the loan, amount of the loan, term of the loan, date or dates when payments shall be due on the loan and the amount of the payments, and the rate of interest paid on the loan.

(B) This section shall not apply to the following types of loans:

1. Loans made to the campaign committee of the elected officer.

2. Loans made to the elected officer by his or her spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such person, provided that the person making the loan is not acting as an agent or intermediary for any person not otherwise exempted under this section.

3. Loans made, or offered in writing, before January 1, 1998.

(C) Nothing in this section shall exempt any person from any other provision of Title 9 of the Government Code.

Section 10.4 Personal Loans.

(A) Except as set forth in subdivision (b), a personal loan received by any designated employee shall become a gift to the designated employee for the purposes of this section in the following circumstances:

1. If the loan has a defined date or dates for repayment, when the statute of limitations for filing an action for default has expired.

2. If the loan has no defined date or dates for repayment, when one year has elapsed from the later of the following:

a. The date the loan was made.

b. The date the last payment of $ 100 or more was made on the loan.

c. The date upon which the debtor has made payments on the loan aggregating to less than $250 during the previous 12 months.

(B) This section shall not apply to the following types of loans:

1. A loan made to the campaign committee of an elected officer or a candidate for elective office.

2. A loan that would otherwise not be a gift as defined in this title.

3. A loan that would otherwise be a gift as set forth under subdivision A, but on which the creditor has taken reasonable action to collect the balance due.

4. A loan that would otherwise be a gift as set forth under subdivision A, but on which the creditor, based on reasonable business considerations, has not undertaken collection action. Except in a criminal action, a creditor who claims that a loan is not a gift on the basis of this paragraph has the burden of proving that the decision for not taking collection action was based

on reasonable business considerations.

5. A loan made to a debtor who has filed for bankruptcy and the loan is ultimately discharged in bankruptcy.

(C) Nothing in this section shall exempt any person from any other provisions of Title 9 of the Government Code.

Section 11. Disqualification.

No designated employee shall make, participate in making, or in any way attempt to use his or her official position to influence the making of any governmental decision which he or she knows or has reason to know will have a reasonably foreseeable material financial effect, distinguishable from its effect on the public generally, on the official or a member of his or her immediate family or on:

(A) Any business entity in which the designated employee has a direct or indirect investment worth two thousand dollars ($2,000) or more;

(B) Any real property in which the designated employee has a direct or indirect interest worth two thousand dollars ($2,000) or more;

(C) Any source of income, other than gifts and other than loans by a commercial lending institution in the regular course of business on terms available to the public without regard to official status, aggregating five hundred dollars ($500) or more in value provided to, received by or promised to the designated employee within 12 months prior to the time when the decision is made;

(D) Any business entity in which the designated employee is a director, officer, partner, trustee, employee, or holds any position of management; or

(E) Any donor of, or any intermediary or agent for a donor of, a gift or gifts aggregating four hundred and forty dollars ($440) or more provided to, received by, or promised to the designated employee within 12 months prior to the time when the decision is made.

Section 11.1. Legally Required Participation.

No designated employee shall be prevented from making or participating in the making of any decision to the extent his or her participation is legally required for the decision to be made. The fact that the vote of a designated employee who is on a voting body is needed to break a tie does not make his or her participation legally required for purposes of this section.

Section 11.2 Disqualification of State Officers and Employees.

In addition to the general disqualification provisions of section 9, no state administrative official shall make, participate in making, or use his or her official position to influence any governmental decision directly relating to any contract where the state administrative official knows or has reason to know that any party to the contract is a person with whom the state administrative official, or any member of his or her immediate family has, within 12 months prior to the time when the official action is to be taken:

(A) Engaged in a business transaction or transactions on terms not available to members of the public, regarding any investment or interest in real property; or

(B) Engaged in a business transaction or transactions on terms not available to members of the public regarding the rendering of goods or services totaling in value $1,000 or more.

Section 11.3. Disclosure of Disqualifying Interest.

When a designated employee determines that he or she is disqualified under this section, the following

steps shall be taken:

(A) The designated employee should immediately refrain from making or participating in the making of the decision; and

(B) For members of the Board of Directors, the fact that a disqualifying interest exists shall be announced and made a part of the District's official record, and in the case of other designated employees shall be reported in writing to his or her superior.

(C) After disqualification, a designated employee may make an appearance, submit information or express views on the same basis as any other citizen on matters related solely to his or her personal interest, provide that it is done in public and provided that the person clearly indicated he or she is acting in a private capacity.

Section 12. Assistance of the Commission and Counsel.

Any designated employee who is unsure of his or her duties under this code may request assistance from the Fair Political Practices Commission pursuant to Government Code §83114 and 2 Cal. Code Regs. §18329 and §18329.5 or from the attorney for his or her agency, provided that nothing in this section requires the attorney for the agency to issue any formal or informal opinion.

No person who acts in good faith on an opinion issued to him or her by the Commission shall be subject to criminal or civil penalties for so acting, provided that the material facts are as stated in the opinion request.

Section 13. Violations.

This code has the force and effect of law. Designated employees violating any provision of this code are subject to the administrative, criminal and civil sanctions provided in the Political Reform Act, Government Code §81000 – §91014. In addition, a decision in relation to which a violation of the disqualification provisions of this code or of Government Code §87100 or §87450 has occurred may be set aside as void pursuant to Government Code §91003.

Section 13.1. Statute of Limitations.

No action based on a disqualification provision of this Code shall be brought pursuant to Government Code §91003(b) to restrain the execution of or to set aside official action of the District unless the complaint or petition is filed and served upon the District within 90 days following the official action.

Section 14. Revisions to the District's Conflict of Interest Code.

No later than July 1 of each even-numbered year, the code reviewing body shall direct every local agency which has adopted a Conflict of Interest Code in accordance with the Political Reform Act to review its Conflict of Interest Code and, if a change in its code is necessitated by changed circumstances, submit an amended Conflict of Interest Code in accordance with subdivision (a) of §87302 and §87303 of the Government Code to the code reviewing body.

Upon review of its code, if no change in the code is required, the District shall submit a written statement to that effect to the code reviewing body no later than October 1, of the same year.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT

APPENDIX A - RESOLUTION NO. 14-06

APPENDIX A

SECTION 1

PUBLIC OFFICIAL'S FUNCTION/TITLE	**TYPE OF BUSINESS ENTITY, INVESTMENT, SOURCE OF INCOME, OR REAL PROPERTY DISCLOSURE**
General Manager Administrative Services Manager Superintendent Assistant Superintendent Field Services Manager (Sewer Collection) District Engineer	1. Motor vehicles and specialty vehicles and parts therefore 2. Construction and building materials 3. Office equipment and supplies 4. Petroleum products 5. Pipes, valves, fittings, pumps, meters, tanks, lift station and other appurtenances 6. Safety equipment and facilities 7. Sewer collection chemicals 8. Engineering and other Consulting Services 9. Computer hardware and software 10. Contracts 11. Real property
Directors or candidates for Directors Attorney	1. All of the above 2. Insurance companies 3. Public Utilities 4. Audit agreements and contracts

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**1030 - PUBLIC COMPLAINTS**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE

The purpose of this policy is to give stakeholders and customers an avenue to register a complaint against the Board of Directors, employees, actions or policies of the South Placer Municipal Utility District (SPMUD).

POLICY STATEMENT

Section 1: General

The Board of Directors desires that public complaints be resolved at the lowest possible effective administrative level, and that the method for resolution of complaints be logical and systematic.

A public complaint is an allegation by a member of the public of a violation or misinterpretation of a District policy, state, or federal statute of which the individual has been adversely affected. The process for resolving complaints shall be as follows:

1. The individual with a complaint shall first discuss the matter with the Administrative Services Manager with the objective of resolving the matter informally.
2. If the individual registering the complaint is not satisfied with the disposition of the complaint by the Administrative Services Manager, it shall be forwarded to the General Manager. At the option of the General Manager, the General Manager may conduct conferences and take testimony or written documentation in the resolution of the complaint. The General Manager shall memorialize his/her decision in writing, with the individual registering the complaint being provided a copy.
3. If the individual filing the complaint is not satisfied with the disposition of the matter by the General Manager, he/she may request consideration by the Board of Directors by filing said request in writing within twenty (20) calendar days of receiving the General Manager's decision. The Board may consider the matter at its next regular meeting, or call a special meeting. In making a decision, the Board may conduct conferences, hear testimony, and consider transcripts of testimony or documents. The Board's final decision shall be determined by motion and memorialized in writing with a copy of the decision provided to the individual registering the complaint.

This policy is not intended to prohibit or deter a member of the community or staff member from appearing before the Board to verbally present a testimony, complaint, or statement in regard to actions of the Board, District programs and services, or impending considerations of the Board.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**1040 – CLAIMS AGAINST THE DISTRICT**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No	15-23	**Revised:**	

PURPOSE

The purpose of this policy is to provide direction to District staff for processing and resolving (if possible) claims against the District.

POLICY STATEMENT

Section 1: General

The South Placer Municipal Utility District desires to ensure that the District's operations are conducted in a manner that minimizes risk, protects District resources, and promotes the health and safety of staff and the public. Any and all claims against the District shall be presented to and acted upon in accordance with the California Tort Claims Act, Government Code §910 *et seq*., as such may be amended from time to time, Board policy, as well as the District's insurance coverage.

Section 2: Property Damage Claims

In the event sewage enters a building as a result of a failure within the District's facilities or from District maintenance operations and restoration services are required, the District will complete an Incident Report form and take the following steps:

1. The property owner will be provided the District's brochure "Information to Property Owners Regarding Sewer System Responsibilities".
2. District staff will contact restoration services as required, and inform the property owner that they have been contacted.
3. District staff will take photographs of damage(s).
4. The District's insurance representative will determine if hotel accommodations are necessary for the occupants of the affected property.

In the event sewage enters a building as a result of a failure in the privately-owner portion of the system, the District will complete an Incident Report form and take the following steps:

1. The property owner will be informed that the failure is in the privately-owned portion of the system.
2. The property owner will be provided the District's brochure "Information to Property Owners Regarding Sewer System Responsibilities".
3. If the resident/property owner disagrees with the determination, they will have an opportunity to speak with the General Manager during regular business hours, or alternatively, the property owner's information will be provided to the District's insurance representative for follow up.

If the owner of damaged property informs a member of the Board of Directors, the information will be given to the General Manager. Directors shall not independently investigate claims or make any representations or promises to any third party regarding the District's response to a claim or any potential responsibility the District or District staff may have.

At the General Managers direction investigations shall be completed by the department manager in a timely fashion and documented with a written report, including photographs and/or interviews, when appropriate. A copy of the report shall be submitted to the General Manager.

The General Manager shall review the damage claim and the proposed repair work. If he/she determines that the damage is the District's responsibility and that the proposed repair work is appropriate, he/she may authorize the work if the cost of material for the repairs will not exceed $5,000 A report shall be submitted to the Board of Directors describing the damage claim, including a description of the manner in which it was resolved.

If the cost of material for repairs is estimated to exceed $5,000, the claim will be submitted to the Board of Directors where they will receive input from staff and legal counsel in closed session as permitted by the Ralph M. Brown Act, Government Code Section 54950 *et* seq. After reviewing the damage claim, the Board may accept or reject the claim. The claimant shall be notified of the Board's action regarding their claim. Notification that a claim has been rejected shall be accompanied by a proof of service.

Claims in excess of the District's insurance deductible shall be forwarded to the District's insurance company.

Claims for personal injury/wrongful death shall not be investigated by District staff or Directors but shall be immediately forwarded to the District's insurance company.

Section 3: Property (Vehicles and Unsecured Property) Damage Claims

All claims of damage to vehicles or other unsecured property shall be submitted to the General Manager. He/she shall review the damage claim and the requested restitution. If he/she determines that the damage is the District's responsibility, he/she may authorize repairs or reimbursement of expenses in an amount not to exceed $5,000.

Section 4: Property Damage Claims on District Form

Except for damage to land and improvements estimated to cost less than $5,000, all damage claims must be submitted in writing on a District claim form. This will ensure that a claim is valid and protect important rights of the District. A copy of the Claim for Damages form is attached to this policy.

If an individual does not wish to file a claim on the District form, he/she may present the claim by letter to the General Manager if it conforms with §910 and §910.2 of the California Tort Claims Act, Government Code. §910 specifies that a claim needs to show all of the following:

(a) The name and post office address of the claimant.

(b) The post office address to which the person presenting the claim desires notices to be sent.

(c) The date, place, and other circumstances of the occurrence or transaction which gave rise to the claim asserted.

(d) A general description of the indebtedness, obligation, injury, damage or loss incurred so far as it may be known as the time of presentation of the claim.

(e) The name or names of the public employee or employees causing the injury, damage, or loss, if known.

(f) The amount claimed if it totals less than ten thousand dollars ($10,000) as of the date of presentation of the claim, including the estimated amount of any prospective injury, damage, or loss, insofar as it may be known at the time of the presentation of the claim, together with the basis of computation of the amount claimed. If the amount claimed exceeds ten thousand dollars ($10,000), no dollar amount shall be included in the claim. However, it shall indicate whether the claim would be a limited civil case.

District staff shall provide no assistance to the claimant in filling out the claim form. A claimant must fill out the claim form in its entirety and submit it via mail, FAX, or personal delivery to the District office. Upon receipt, administrative staff shall date-stamp the document.

Section 5: Response

Following receipt of the claim, the District has 45 days in which to act on the claim. Otherwise, the claim is deemed to have been automatically rejected as a matter of law. A rejection letter must be sent to the claimant or their representative at the address specified in the claim. The rejection notice must contain the mandatory notification language advising the claimant that they have six (6) months from the date of the Notice of Rejection to file a lawsuit.

If the filed letter/claim does not meet the requirements of the California Government Code §910 and §910.2, then the General Manager may send a notice of insufficiency of claim to the claimant.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT
5807 Springview Drive
Rocklin, CA 95677
(916) 786-8555
(916) 786-8553 (Fax)

CLAIM for DAMAGES AGAINST SOUTH PLACER MUNICIPAL UTILITY DISTRICT

Instructions:

A claim relating to a Cause of Action for death or for injury to person or personal property shall be presented not later than six months after the accrual of the Cause of Action. A claim relating to any other Cause of Action (including injury to real property) shall be presented not later than one year after the accrual of the Cause of Action.

Your claim must actually be on file with the General Manager by the deadline to be timely. Your claim must:

- be submitted on this South Placer Municipal Utility District claim form;
- include all information required; and
- be signed by you or your representative.

Failure to complete the entire claim form may cause your claim to be legally insufficient. Attach additional sheets if necessary.

Identification of Claimant and Claim:

a) Name and Address –

_____

_____

_____

_____

b) Post Office address to which claimant desires notices to be sent –

_____

_____

c) The date, place, and other circumstances of the occurrence or transaction which gave rise to the claim asserted –

_____

_____

_____

_____

d) A general description of the indebtedness, obligation, injury, damage, or loss incurred so far as it may be known at the time of presentation of the claim –

_____

_____

_____

_____

_____

_____

e) The name or names of the public employee or employees causing the injury, damage, or loss, if known –

_____

_____

_____

f) The amount claimed if it totals less than ten thousand dollars ($10,000) as of the date of presentation of the claim, including the estimated amount of any prospective injury, damage, or loss, insofar as it may be known at the time of the presentation of the claim, together with the basis of computation of the amount claimed. If the amount claimed exceeds ten thousand dollars ($10,000), no dollar amount shall be included in the claim. However, it shall indicate whether the claim would be a limited civil case –

_____

_____

_____

_____ _____

Name and address of claimant's representative (if applicable)

_____

Signature (claimant or representative) Date

August 2006

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**1050 – COPYING PUBLIC DOCUMENTS**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No	97-03, 15-23	**Revised:**	

PURPOSE

The purpose of this policy is to establish a process for responding to public records requests for District records in accordance with the California Public Records Act (California Government Code §6250 through §6276.480) and to establish fees and/or deposits for copies of such records.

POLICY STATEMENT

Section 1: General

The California Public Records Act allows inspection and requires disclosure of governmental records to the public upon request, unless exempted by law. This policy does not limit the authority of District officers to furnish documents, with or without charge, which are regularly and customarily provided in the normal course of conducting District business.

Section 2: Public Records Defined

Public records include any writing containing information relating to the conduct of the public's business prepared, owned, used or retained by the District regardless of the manner in which the record has been stored.

"Writing" means handwriting, typewriting, electronic communication, printing, photocopying, transmission by electronic mail or facsimile, photography, and every other means of recording upon any form of communication or representation, including letters, words, pictures, sounds, or symbols or any combination thereof, and all papers, maps, magnetic or paper tapes, photographic films and prints, magnetic or punched cards, discs, drums and other documents.

"Member of the public" means any person except a member, agent, officer, or employee of a federal, state, or local agency acting within the scope of his or her membership, agency, office, or employment.

Items that are not public records:

- Employees' private papers, unless they "relate to the conduct of the public's business [and are] prepared, owned, used, or retained by the agency." (§6252(e))
- Computer software "developed by a state or local agency, including computer mapping systems, computer programs, and computer graphic systems." (§6254.9(a),(b))
- Records not yet in existence: The PRA covers only records that already exist, and an agency cannot be required to create a record, list, or compilation. "Rolling requests" for future-generated records are not permitted.

Section 3: Public Records Request Process

Public records are open to inspection at all times during the office hours of the District and every person has a right to inspect any public record that is not exempt from disclosure.

All requests received by District staff to obtain copies of District records shall be referred to the Secretary as the Custodian of Records. Whenever feasible, all requests for public records should be in writing using the "Request to Review Public Record(s)" form of the District (Attachment A).

Upon receipt of a written request which reasonably describes an identifiable record or information produced therefrom, the requester is entitled to inspect records and/or obtain copies of records upon the payment of the direct cost of duplication, except those records which are exempt under state law.

The Secretary or General Manager of the District, upon receipt of a written request, provides a copy to and confers with District General Counsel as necessary.

The Secretary coordinates with the appropriate District staff to obtain the necessary documents without delay. Requested records are brought to the Secretary or General Manager by the District staff or outside storage facility having possession of such records by the date specified by the Secretary. If retrieval will be delayed, the Secretary or General Manager must be immediately notified. When the documents have been assembled, the Secretary and/or General Manager of the District, legal counsel, and other appropriate staff, review the documents to determine whether the records, or any portions thereof, are exempt from disclosure.

The Secretary or General Manager notifies the requestor in writing within ten (10) business days of receipt of the request whether the District will comply with the request. Any notification of denial shall set forth the reasons therefor and the names and titles or positions of each person responsible for the denial. In unusual circumstances, prescribed by law, notifications may be extended no more than ten (10) business days.

Copying of records is handled by the Secretary. The Secretary or General Manager notifies the requestor when the documents are ready to be picked up and the fee covering the direct cost of duplicating the documents.

If the number of copies is voluminous, then the requestor can arrange to have a third party licensed and bonded copy service copy those records on the District premises. Under no circumstances are District records or files to be taken off of the District premises for copying unless authorized in writing by the Board of Directors.

A "Material Sale" form is completed by the Secretary for the direct cost of duplicating records and appropriate sales tax.

Once payment is received, the copies are released to the requesting party. All funds collected are deposited in the District account.

Requests may be made via fax to 916-786-8553 or mail to: SPMUD, ATTN: Public Records Request, 5807 Springview Drive, Rocklin CA 95677. Requests may also be dropped off in person at SPMUD's Headquarters building, located at 5807 Springview Drive, Rocklin CA 95677.

Section 4: Records Exempt from Disclosure

Certain records are exempt from disclosure in whole or in part. This does not mean they are not public records or that disclosure is prohibited. The District may withhold the records, but can allow greater access. However, if a record is disclosed to one requester, the record is public for all.

Many categories of records are exempt. These include:

- Confidential Attorney-Client discussions and other records concerning agency litigation
- Appointment calendars and phone records,
- Preliminary drafts, notes and memos may be withheld only if they are "not retained...in the ordinary course of business" and "the public interest in withholding clearly outweighs the public interest in disclosure. Where a draft contains both facts and recommendations, only the latter may be withheld. The facts must be disclosed.
- Home Addresses of employees
- Personnel, medical and similar files
- Customer Financial data

Section 5: Fee Schedule

Fees for copies are established and may be updated periodically by resolution.

ATTACHMENT A

South Placer Municipal Utility District
5807 Springview Drive
Rocklin, CA 95677
T: 916-786-8555
F: 916-786-8553

Records Request Form

Request Date: _____/_____/_____

Requestor Identification:

Name: _____

Address: _____

_____

Requestor Contact Information:

Phone: _____ FAX: _____ E-Mail _____

Records Requested – List document titles, or fully describe the records requested, specifying dates or other information that identifies the records:

Document (1) Name: _____

Document (2) Name: _____

Document (3) Name: _____

Document (4) Name: _____

Requestor Signature: _____ Date:_____

Request Received By: _____ Date:_____

Fees Received: _____

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**2010 – CIVIL SERVICE EMPLOYEE MANUAL**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE

This policy mandates that the South Placer Municipal Utility District (SPMUD) will maintain a Civil Service System Employee Manual to provide the guidance for the development and application of personnel policies, and to direct the General Manager to administer our personnel relations accordingly.

POLICY STATEMENT

Section 1: General

It is the Board's policy that its employees shall be selected, retained and promoted on the basis of fitness, merit and ability. The Board expects that its employees shall give their faithful and complete service to the District, and perform in a satisfactory manner the work they are assigned. The SPMUD General Manager shall be empowered to prepare, approve and administrate a Civil Service System Employee Manual consistent with the provisions of the Municipal Utility District Act of the State of California.

Section 2: Classifications and Salary

All employee job classifications, descriptions and salary ranges shall be set and approved by the SPMUD Board of Directors. An individual employee's place within their respective salary range shall be set by the General Manager.

Section 3: Contents

At a minimum, the Civil Service System Employee Manual shall contain;

1. Standard Employment Practices
2. General Policies and Procedures
3. Leave Policies
4. Employee Insurance and Retirement Benefits
5. Disciplinary Procedures and
6. Separation Policies

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	2020 – INJURY AND ILLNESS PREVENTION		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	15-23	Revised:	

PURPOSE

This policy augments and supplements state law and mandates that the South Placer Municipal Utility District (SPMUD) will establish, implement and maintain a written Injury and Illness Prevention Program that includes the preparation of a District Safety Manual.

POLICY STATEMENT

Section 1: General

It is the Board's policy to take all practical steps to safeguard employees and the public from accidents and to provide a safe and healthy work environment. An Injury and Illness Prevention Program, which will conform to the requirements of SB 198 and the Standards promulgated in response thereto by the California Occupational Safety and Health Standards Board, will require more than just the implementation of this policy. Full compliance will require an in-depth and individualized assessment of the District's current workplace conditions, practices and problems. Said assessment must be documented and include a safety and health survey, workplace assessment, evaluation of assessment information, development of an action plan, implementation of said plan, and ongoing maintenance of the program.

Section 2: Program Goal and Outline.

The goal of the District is to provide safe and healthful working conditions for all of its employees. Therefore, the District will maintain a safety and health program conforming to the best practices of agencies of this type. The District's safety and health program will include:

1. Providing mechanical and physical safeguards to the maximum extent possible.
2. Conducting a program of safety and health inspections to find and eliminate unsafe working conditions or practices, to control health hazards, and to comply fully with the safety and health standards and law for every job.
3. Training all employees in good safety and health practices.
4. Providing necessary personal protective equipment, and instructions for use and care.
5. Developing and enforcing safety and health rules, and requiring that employees cooperate with these rules as a condition of employment.
6. Investigating promptly and thoroughly, every accident to determine its cause and correct the problem so it will not happen again.
7. Developing a system of recognition and awards for outstanding safety service and/or performance.

Section 3: Program Responsibility.

Although the District recognizes that the responsibility for safety and health is shared, the General Manager shall be responsible and have full authority for implementing this policy and the District's Injury and Illness Prevention Program.

The District accepts responsibility for leadership of the safety and health program, for its effectiveness and improvements, and for providing the safeguards required to ensure safe conditions.

Supervisory personnel are responsible for developing proper attitudes toward safety and health for themselves and in those they supervise, and for ensuring that all operations are performed with the utmost regard for the safety and health of all personnel involved, including themselves.

No employee will be required to work at a job he/she knows is not safe or healthful. Employees are responsible for wholehearted, genuine operation of all aspects of the safety and health program -including compliance with all rules and regulations - and for continuously practicing safety while performing their duties. Any employee found not practicing safety while performing their duties will be subject to appropriate discipline.

Section 4: Injury and Illness Records.

The District's record keeping system for its Injury and Illness Prevention Program shall conform to Cal/OSHA standards. Records shall be used to measure and evaluate the success of said program.

A report shall be obtained on every injury or illness requiring medical treatment. Each injury or illness shall be recorded on the "Cal/OSHA Log and Summary of Occupational Injuries and Illnesses," Cal/OSHA Form 200, according to its instructions.

A supplementary record of the occupational injuries and illnesses shall be prepared on OSHA Form 5020, "Employer's Report of Injury or Illness."

Annually, the summary Cal/OSHA Form 300 shall be prepared and posted no later than February 1 in a place easily observable by employees. Said form shall remain posted until March 1.

All records specified in this section shall be maintained in the District's files for a minimum of five years after their preparation.

Section 5: Documentation of Activities.

Records shall be maintained of steps taken to establish and maintain the District's Injury and Illness Prevention Program. They shall include:

1. Records of scheduled and periodic inspections as required by Cal/OSHA [*California Code of Regulations, Title 8, Chapter 4*] to identify unsafe conditions and work practices. The documentation must include the name of the person(s) conducting the inspection, the unsafe conditions and work practices identified, and the action taken to correct the unsafe conditions and work practices. The records are to be maintained for at least three (3) years.

2. Documentation of safety and health training required by Cal/OSHA [*California Code of Regulations, Title 8, Chapter 4*] for each employee. The documentation must specifically include employee name or other identifier, training dates, type(s) of training and the name of the training provider. These records must also be kept for at least three years.

Section 6: Program Communication System.

Readily understandable communication shall be maintained with all affected employees on matters relating to occupational safety and health, including provisions designed to encourage employees to inform the District of hazards at the worksite without fear of reprisal. Communications with employees shall include meetings, training programs, posted written information, and a system of anonymous notification by employees about hazards.

Written communications to employees shall be in a language they can understand. If an employee cannot read in any language, said communication shall be made orally in a language he/she can readily understand.

The District's Code of Safe Practices, shall be posted on-line and at a conspicuous location in the District's maintenance office, and shall be provided to each supervisory employee who shall keep it readily available.

Periodic meetings of supervisory employees shall be held under the direction of the General Manager for the discussion of safety problems and accidents that have occurred. Documentation of these meetings shall be maintained for three years.

Supervisory employees shall conduct "toolbox" or "tailgate" safety meetings, or equivalent, with their crew(s) at least every ten working days to emphasize safety. Documentation of these meetings shall be maintained for three years.

General employee meetings shall be conducted (at least one per quarter) at which safety is freely and openly discussed by those present. Such meetings should be regular, scheduled, and announced to all employees so that maximum employee attendance can be achieved. Documentation of these meeting shall be maintained for three years. Discussions at these meetings should concentrate on:

1. Occupational accident and injury history within the District, with possible comparisons to other similar agencies.
2. Feedback from employees.
3. Guest speakers from the District's workers' compensation insurance carrier or other agencies concerned with safety.
4. Brief audio-visual materials that relate to the District's operations.
5. Training programs shall be conducted when new equipment, machinery or tools are purchased.
6. Employees shall be instructed in the safe operation of said equipment, machinery or tools.
7. Documentation of training programs shall be maintained for three years.
    a. New employees shall be trained by their supervisor in the safe operation of the equipment, machinery and tools with which they will be working prior to being allowed to work independently. Documentation of new employee training shall be maintained for three years.

8. Posters and bulletins relating to and encouraging safe and healthy practices shall be posted on a rotational basis at a conspicuous location in the District's maintenance office.
9. News articles and publications devoted to safety shall be distributed to employees. This policy shall also be distributed to all employees upon its adoption, to all new employees at the time of their hiring, and annually thereafter.

Section 7: Hazard Assessment and Control.

Periodic safety inspections shall be conducted to identify existing hazards in the workplace, or conditions, equipment and procedures that could be potentially hazardous. The inspections shall be conducted by personnel who, through experience or training, are able to identify actual and potential hazards and who understand safe work practices.

Safety inspectors will observe if safe work practices are being followed and will ensure that unsafe conditions or procedures are identified and corrected properly.

Safety inspections will be conducted at least annually. The frequency of the inspections will depend on the operations involved, the magnitude of the hazards, the proficiency of employees, changes in equipment or work processes, and the history of workplace injuries and illnesses.

A written assessment shall be prepared after said inspections which will document identified hazards and prescribe procedures for the elimination of same, and measures that can be taken to prevent their recurrence.

The General Manager will review written inspection reports and/or assessments and will assist in prioritizing actions and verify completion of previous corrective actions. He/she shall also review the overall inspection program to determine trends.

Section 8: Accident Investigation.

All accidents shall be thoroughly and properly investigated by the District Superintendent with the primary focus of understanding why the accident or near-miss occurred and what actions can be taken to preclude recurrence. A written report of said investigation shall be prepared which adequately identifies the cause(s) of the accident or near-miss occurrence.

1. The investigation must obtain all the facts surrounding the occurrence: what caused the situation to occur; who was involved; was/were the employee(s) qualified to perform the functions involved in the accident or near-miss; were they properly trained; were proper operating procedures established for the task involved; were procedures followed, and if not, why not; where else this or a similar situation might exist, and how it can be corrected.

2. The accident investigator must determine which aspects of the operation or process require additional attention (what type of constructive action can eliminate the cause(s) of the accident or near-miss).

3. Actions already taken to reduce or eliminate the exposures being investigated should be noted, along with those remaining to be addressed.

4. Any interim or temporary precautions should also be noted. Any pending corrective action and reason for delaying its implementation should be identified.

5. Corrective action should be identified in terms of not only how it will prevent a recurrence of the accident or near-miss, but also how it will improve the overall operation. The solution should be a means of achieving not only accident control, but also total operation control.

Section 9: Code of Safe Practices. Use of Tools, Equipment and Machinery

The District shall adopt a Code of Safe Practices that governs work activities and shall set forth procedures for the use of tools, equipment and machinery in a safe manner.

All employees shall follow safe practices rules, render every possible aid to safe operations, and report all unsafe conditions or practices to the Superintendent or General Manager. Supervising employees shall insist on employees observing and obeying every rule, regulation, and order as is necessary to the safe conduct of the work, and shall take such action as necessary to obtain observance. Workers shall not handle or tamper with any electrical equipment, machinery, or air or water lines in a manner not within the scope of their duties, unless they have received instructions from the District Superintendent.

Only appropriate tools shall be used for the job. All tools and equipment shall be maintained in good condition. Damaged tools or equipment shall be removed from service and tagged "DEFECTIVE."

The appropriate equipment shall be used for the job and in a manner that is safe and in accordance with the manufacturer's recommendations. Only authorized and trained persons shall operate machinery or equipment. Machinery shall not be serviced, repaired or adjusted while in operation, except on equipment that is designed or fitted with safeguards to protect the person performing the work. Where appropriate, lock-out procedures shall be used.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**2025 - EXPENDITURE REIMBURSEMENT**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE

The purpose of this policy is to prescribe the manner in which District employees and directors may be reimbursed for expenditures related to District business.

POLICY STATEMENT

Section 1: General

Government Code §§53232 through 53232.4 requires local agencies to adopt a written policy regarding expense reimbursements paid to elected and appointed officials. The purpose of this policy is to adopt and implement procedures for reimbursing Directors and Employees for actual and necessary expenses incurred by them in the performance of official District duties.

Directors and employees are entitled to reimbursement for actual and necessary expenses incurred in the performance of official District duties, provided that the amount of the expenses does not exceed: (i) the reimbursement rates set forth in this policy; or (ii) the amount budgeted for such expenses. If a Director or Employee has a question regarding this policy, or whether a particular expense is reimbursable, the Director is encouraged to contact the General Manager or Administrative Services Manager, before the expense is incurred.

Section 2: Authorized Expenses

District funds, equipment, supplies (including letterhead), email, and staff time must only be used for authorized District business. Actual and necessary expenses incurred in connection with the following types of activities generally constitute expenses authorized for reimbursement, as long as the other requirements of this policy are met:

1. Attending District meetings of the Board, standing committees meetings of the Board, or temporary committees of members of the Board ("meeting" means any congregation of a majority of a legislative body at the same time and location, including teleconference location as permitted by CA Government Code § 54953, to hear, discuss, deliberate, or take action on any item that is within the subject matter jurisdiction of the legislative body);
2. District Representation on outside meetings of local, regional, and state governing bodies and advisory boards.
3. For each meeting that lists a primary representative and an alternate representative; only the primary representative may be compensated for attending the outside meeting unless the primary representative cannot attend; in which case the alternate representative may be compensated for attendance;
4. Meetings at the invitation of the District Board, Staff, or the Press lasting a minimum of one hour;

5. Other types of events specified for reimbursement and approved by the Board of Directors in advance, such as mandatory training for Board Directors.

Except as set forth above, Directors shall not represent the Board of Directors at any functions or organizations without prior approval of the Board of Directors or General Manager.

Section 3: Expenses Not Eligible for Reimbursement

Expenses that do not adhere to this policy shall not be eligible for reimbursement. Examples of personal expenses that the District will not reimburse include, but are not limited to:

1. The personal portion of any trip;
2. Political or charitable contributions or events;
3. Family expenses, including partner's or children's expenses when accompanying Director on District-related business, as well as pet-related expenses;
4. Entertainment expenses, including theater, movies (either in-room or at the theater), sporting events (including gym and golf-related expenses), or other cultural events;
5. Non-mileage personal automobile expenses, including repairs, traffic citations, insurance or gasoline;
6. Tips greater than 15% (except for gratuities e.g. shuttle drivers, airport skycaps,)
7. Alcohol, laundry service, and personal telephone calls; and
8. Personal losses incurred while on District business.

Expenses that do not adhere to this policy or do not fall within the Internal Revenue Service reimbursable parameters (Publication 463 Travel, Entertainment, Gift, and Car Expenses) shall not be eligible for reimbursement. Questions regarding the propriety of a particular type of expense should be resolved before the expense is incurred.

Section 4: Reimbursement Requirements

To conserve District resources and keep expenses within community standards for public officials, expenditures should adhere to the following guidelines. In the event that expenses are incurred which exceed these guidelines, the cost borne or reimbursed by the District may be limited to the costs that fall within the guidelines.

Receipts must be submitted for all expenses. In the event that receipts are not available, a written explanation of the circumstances as to why this is the case and the reason the expense was incurred must be provided.

All travel expenses, even if otherwise eligible for reimbursement under this policy, must relate to a trip that has been approved in advance by the General Manager.

Unless the Board establishes other permitted reimbursement rates for travel, meals, lodging and other actual and necessary expenses, the District will reimburse actual expenses

1. Conferences/Education

   Reimbursement of expenses for attendance at an authorized conference or organized educational activity shall include any registration, attendance, tuition, materials or other similar charge of the conference organizer or activity provider.

2. Travel

Travel should be arranged through the District Office and charged on a District credit card. When necessary, travel arrangements may be charged on a personal credit card.

Personal credit card purchases will be reimbursed only for the actual fare and only after the trip.

3. Transportation

The most economical mode and class of transportation reasonably consistent with safety, scheduling needs, and cargo space requirements must be taken, utilizing the most direct and time-efficient route. Government and group rates must be used when available.

4. Airfare

Coach or tourist class accommodations must be utilized, along with governmental airfare rates, when available. If no government or group rate is available, all reasonable efforts to obtain the most economical airfares and the most efficient route must be undertaken. The air travel shall be booked as far in advance as possible; so as to receive the lowest fares. In any event, there will be no entitlement to reimbursement for any expenses to the extent they exceed the cost generally available to the public. When traveling by air, reimbursement shall be authorized for reasonable and actual costs and gratuities incurred for baggage handling.

Directors may at their own expense, pay to upgrade their airline accommodations.

5. Taxi and Shuttle Fees

Taxi or shuttle fees may be reimbursed, including a 15% gratuity per fare, when the cost of such fares is equal or less than the cost of car rental, gasoline, and parking combined, or when such transportation is necessary for time-efficiency.

6. Car Rental

Charges for rental vehicles may be reimbursed under this provision if it is determined that the use of a rental vehicle is more economical or efficient than other forms of transportation. In making such determination, the cost of the rental vehicle, parking, and gasoline will be compared to the combined cost of such other forms of transportation.

In the event that car rental is determined to be the most efficient or economical mode of transportation for official duties, all reasonable efforts must be made to obtain the most economical car rental rates. In addition to rental rates, when using a rental car, the following actual and reasonable costs shall be reimbursable: receipted gasoline, parking, tolls and insurance coverage purchased from the rental agency for physical damage to the rental car.

7. Automobile

Automobile mileage is reimbursed at Internal Revenue Service rates in effect at the time the mileage is incurred (see www.irs.gov). These rates are designed to compensate the driver for gasoline, insurance, maintenance, and other expenses associated with operating the vehicle. This amount does not include bridge and road tolls, which are also reimbursable. The Internal Revenue Service mileage rates will not be paid in conjunction with rental vehicles.

8. Lodging

Lodging expenses will be reimbursed or paid for when travel on official District business reasonably requires an overnight stay. Lodging expenses are limited to the cost of the room plus related taxes and will be reimbursed after the stay.

Conference/Training: When conference or training sponsors have made arrangements for lodging, all efforts should be made to stay at one of these facilities and the cost should not exceed the published maximum group rate. In the event that rooms are not available at one these facilities, Directors and employees should stay at a comparable facility at a comparable cost, not to exceed the maximum group rate published by the sponsor. If a comparable facility is not available at the maximum group rate; the cost of lodging may exceed the group rate but may not exceed the GSA maximum lodging rate for the city/state or area of travel. Lodging rates that do not exceed the GSA maximum amount per night are presumed reasonable and hence reimbursable. Other rates must be approved by the Board.

Other Lodging: Government rates must be requested and used when available. Lodging rates that are equal to or less than government rates are presumed to be reasonable and hence reimbursable for purposes of this policy. In the event that government rates are not available at a given time or in a given area, lodging rates equal to or less than the rate shown on the GSA schedule for the city/state or area of travel will be used (see www.gsa.gov). Lodging rates that do not exceed this amount per night are presumed reasonable and hence reimbursable. Other rates must be approved by the Board.

Official overnight travel and other related expenses by Directors must be pre-authorized by the Board of Directors. In unusual circumstances where overnight travel is urgent and necessary to the District, but is unforeseen until after the previous Board meeting, the General Manager may authorize such travel with consent of the Board President.

9. Meals

Meals and associated expenses will be reimbursed based on actual costs. Tips are not included in the per diem limits; however, tips should not exceed 15% of the cost of the meal where reimbursement is requested. No alcoholic beverages will be paid for by the District.

When the meal function is an organized event (for example, conferences and other types of activities that fall within the list of “authorized expenditures”), the Director shall be reimbursed the amount being charged by the event organizer for the meal. The District recognizes that the per-person cost may exceed the above rates due to additional costs associated with organizing the event.

This policy recognizes that it is sometimes in the best interest of the District to provide meals for business guests during the conduct of District business and pre-authorizes Directors to make reasonable and appropriate expenditures for that purpose.

10. Airport Parking

Long-term airport parking must be used for travel exceeding 24-hours.

11. Other

To the extent that actual costs incurred in the performance of official duties are reasonable and necessary but are not otherwise defined above, the Director may be entitled to reimbursement for expenses that meet the guidelines of this policy. In any event, a Director shall not be entitled to reimbursement for any expenses to the extent they exceed the cost generally available to the public.

Section 5: No Shows and Late Cancellations

This is meant to address the failure to attend a conference or general meeting, after expenses have been incurred for that event. Such expenses may include conference fees, prepaid hotel and airline charges. It is the Director's responsibility to ensure that any prepaid fees are fully refunded to the District as a cash refund or vendor credit that can be applied within the next twelve months to future registration fees, travel or lodging. Vendor credits are acceptable only when it can be reasonably assumed that the District will have need to use the particular credit. An exception may be made for emergencies. A written explanation addressing the reason(s) for non-attendance shall be attached to the expense report and submitted for Board approval at a public meeting.

Section 6: Expense Reports

All expenditures, credit card expenses, and expense reimbursement requests must be submitted on an expense report form provided by the District.

Expense reports must document that the expense in question met the requirements of this policy. For example, the Director should explain whose meals were purchased, what issues were discussed and how those relate to the District's adopted policies and priorities.

Directors must submit their expense reports within thirty (30) days of an expense being incurred, accompanied by receipts documenting each expense. Restaurant receipts, in addition to any credit card receipts, are also part of the necessary documentation.

Inability to provide such documentation in a timely fashion may result in the expense being denied for reimbursement.

Section 7: Audits of Expense Reports

All expenses are subject to verification that they comply with this policy.

Section 8: Compliance with Laws

Expenditures may be subject to reporting under the Political Reform Act and other laws. All District expenditures are public records subject to disclosure under the Public Records Act.

Section 9: Violation of this policy

In compliance with Government Code § 53232, the following are the causes of action that may be pursued for violation of this policy:

Use of public resources or falsifying expense reports in violation of this policy may result in any or all of the following: 1) loss of reimbursement privileges, 2) a demand for restitution to the District, 3) the District reporting the expenses as income to the Director to state and federal tax authorities, 4) civil penalties of up to $1,000 per day and three times the value of the resources used, and 5) prosecution for misuse of public resources.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**2046 - DISTRICT VEHICLE USAGE**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE

The purpose of this policy is to define and describe the usage parameters related to the operation of District vehicles by District employees.

POLICY STATEMENT

Section 1. General

To ensure the safety and wellbeing of District employees, along with facilitating the efficient and effective use of District resources, with minimal liability to the District this policy establishes standardized requirements and procedures for all District employees who drive a motor vehicle, including over the road equipment, in the course of District business. In this policy, the term vehicle shall be defined as any motor vehicle including over the road equipment.

Section 2: Authorization

An employee must have written authorization from his/her Department Manager to operate a District vehicle of any type. The Department Manager shall submit copies of the Vehicle Use Policy sign off form for each authorized employee along with current documentation of the employee's driver's license to be included in the employee's personnel file. The Department Manager shall submit current records for commercially licensed employees to keep personnel files current.

Section 3: Required Licenses

To operate a District vehicle, an operator must be an employee of the District and must possess a valid State of California Driver's License. This license must be the appropriate license for the equipment to be operated.

In the event the employee's license is suspended for any reason, that employee shall promptly notify the Department Manager with written notice within one working day and a copy of that notice shall be forwarded to the employee's personnel file. The employee shall not operate a District vehicle during the term of the stipulated suspension.

Section 4: Laws

The Driver and all occupants must wear seat belts at all times when operating any District vehicle. Drivers will not use mobile telephones or other hand-held personal communication devices to talk or text while the vehicle is moving. This does not include 2-way radios installed in District vehicles for use in communicating company business.

The Driver must obey all traffic laws at all times. It is incumbent upon all operators to immediately report to their supervisor any traffic infractions that occur when driving a District vehicle.

Section 5: Vehicles Assigned for Personal use

Other than the foregoing uses, District vehicles will not be used for any personal purposes without prior written approval.

During working hours, trips for personal purposes will be avoided. Occasionally, stopping at a store en-route to a business destination, or going to a restaurant (within close proximity of your work location) for lunch is permitted. While going to or from work, occasionally stopping to buy groceries, pick up laundry, medications, etc., is also permitted.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**2070 – GIFT ACCEPTANCE GUIDELINES**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE

This policy establishes guidelines for acceptance of any gift by District employees or Directors

POLICY STATEMENT

Section 1: General

An employee, Director or his/her immediate family may not accept from, or provide to, individuals or companies doing or seeking to do business with the District, gifts, entertainment, and/or other services or benefits unless the transaction meets all of the following guidelines:

1. Is customary and gives no appearance of impropriety and does not have more than a nominal value;
2. Does not impose any sense of obligation on either the giver or the receiver;
3. Does not result in any kind of special or favored treatment;
4. Cannot be viewed as extravagant, excessive, or too frequent considering all the circumstances including the ability of the recipient to reciprocate at District expense.
5. Is given and received with no effort to conceal the full facts by either the giver or receiver.
6. Does not exceed may monetary limits prescribed by state statute

Section 2: Compliance with State laws and Reporting Requirements

Nothing in this policy is intended to exempt employees or Directors of the District from any state laws or reporting requirements. Further, all Directors and Employees shall comply with all applicable provisions of the District's conflict of interest code then in effect (Policy #1020).

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**2100 – COMMUNICATIONS AND MEDIA GUIDELINES**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE
This policy establishes guidelines for communication with the media and the District's commitment to provide transparent, timely information to the media.

POLICY STATEMENT
Section 1: General

The District General Manager will be responsible for the implementation of this policy. The General Manager shall approve all press releases, media contact, and media content. The General Manager is the primary District spokesperson and point of contact for all media inquiries unless this task is designated to another District employee or outside media consultant. All requests for Board media contact shall be addressed to the Board President who is designated as the media spokesperson for the Board.

Section 2: Press Releases

Press Releases shall be coordinated through the Administrative Services Manager and subject to the approval of the General Manager. Press releases shall be transmitted to all local media outlets whose circulation covers the District boundaries. Media quotes should be arranged through either the General Manager or the Board President, unless either of these spokespersons have designated another District employee or Director to speak on behalf of the District.

Section 3: Interview Requests

If possible, interview requests should be approved by the General Manager. Also, if possible, a list of potential interview questions should be requested prior to the time of the interview to help prepare for the interview. References should be made to explicitly stated Board decisions, the District principles, strategic goals or prior District history on the subject of the interview. Every attempt should be made to incorporate any District-approved messaging or communications plan on the interview subject.

It is the District's goal to respond to any media inquiries the same day they are received, but at least to return phone calls within 24 hours. The District shall also endeavor to respond to media inquiries within a reasonable time, and provide transparent and timely information to the media under the circumstances. To the extent necessary, responses to media requests shall be reviewed by District legal counsel to review employee privacy issues or other matters protected by law from disclosure prior to dissemination to the media.

Section 4: Board of Directors

As contained in Policy 4050 – Guidelines for the Member of the Board of Directors, in their interactions with the public, press or other entities, Board members should recognize the same limitation and the inability of any Board member to speak for the Board or for other Board members except to repeat explicitly stated Board decisions.

Board members shall at all times endeavor to express their individual opinions in a responsible manner, without causing harm to the District, or to other Board members and staff.

Each member of the Board is expected to support the legitimacy and authority of the decisions of the Board concerning any matter, irrespective of the member's personal position.

Board members retain the right to criticize the decisions of the District, but in doing so should make it clear that it is their opinion, and not the opinion of the Board or other Board members, and so long as it complies with the limitations set forth in these policies. Board members are encouraged to notify the General Manager in advance when they plan to speak publicly in opposition to the District's decisions and policies.

Section 5: Message and Communication Plan

All media contacts should be taken as opportunities to state Board decisions, the District principles, Strategic goals and prior District history and should conform to whatever message and communication plan that the District may have on any particular subject.

Section 6: Crisis Response Protocol

In the event of a crisis or emergency, the General Manager or their designee shall immediately contact and apprise the Board of Directors of the situation. This contact should be by telephone. In cases where the Board member is not available, the General Manager or their designee may leave a voice message, but shall next attempt to use email and then finally a text message to the Director's mobile phone.

Prior to contacting the media, the District will proactively develop the framework for a Q&A and press statement, including:

- Acknowledgement of the crisis
- Details about the occurrence
- Photos or videos, if available
- How the District found out
- Who was alerted, when, and how?
- Specific actions taken in response
- Real or potential impacts
- Steps taken to prevent future occurrence
- Contact information for approved, accessible points of contact

This same information will be uploaded as soon as practical to the Districts website. When possible, the General Manager shall work with District Counsel during the crisis response process.

Section 7: Website

The District shall maintain a website containing information that provides service and information to the District's customers, including but not limited to, business services, Board decisions and approvals, major reports and studies, District principles, strategic goals, prior District history and emergency information as needed. Emphasis should be on the message and communication planning regarding protection of the environment, prevention and elimination of sanitary sewer blockages and overflows.

Section 8: Social Media

The District does not currently maintain any social media accounts.

Section 9: Personal social media

Employees and Board members should not comment on behalf of SPMUD through personal social networking channels. Formal statements should follow the same process as traditional interview requests, public speaking opportunities and Board interactions.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**2575 – FUNDING OF OTHER POST RETIREMENT BENEFITS**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	08-02, 15-23	**Revised:**	

PURPOSE

This policy establishes funding for Other Post-Employment Benefits (OPEB) by participation in the California Employees Retiree Benefit Trust Fund (CalPERS Prefunding Plan).

POLICY STATEMENT

General

Chapter 5 of the Municipal Utility District Act provides that the Board of Directors may establish, administer, and fund a retirement system for the District. It is the Policy of the Board of Directors to fund, in full, the unfunded actuarial accrued OPEB liabilities of the District by adopting a retrospective theory of funding.

Section 2. CalPERS Prefunding Plan

The District shall secure a report from a qualified actuary on the District's OPEB actuarial valuation liabilities. The Board of Directors establishes this policy for funding OPEB by participation in the California Employees Retiree Benefit Trust Fund (CalPERS Prefunding Plan). The District's OPEB funding levels shall be reviewed by the Board on an annual basis, or at such other intervals as required or recommended by CALPERS.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**3005 - EMERGENCY PREPAREDNESS**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE

The purpose of this policy is to define and describe active emergency preparedness programs for the District.

POLICY STATEMENT

Section 1. General

It is the policy of South Placer Municipal District to create and maintain an active emergency preparedness program that includes an emergency plan that will help manage the District's critical functions during any emergency and protect the safety of staff. The District will coordinate the emergency plan, function and response with those responders from the public and private entities and organizations charged with emergency duties.

Section 2: Emergency

Emergency means the actual or threatened existence of conditions of disaster or of extreme peril to the provision of critical District functions and the health and safety of staff or the public, caused by such conditions as fire, severe storm, riot, hazardous materials releases, train derailment, plane crash, earthquake, power outages, dam failures, freezes, water supply contamination, and other conditions which may be beyond the capability of the services, personnel, equipment, and facilities of this District, and may require the combined forces of other political subdivisions to help respond.

Section 3: Emergency Preparedness

The Board of Directors authorizes the establishment of an Emergency Preparedness Program, which consists of the nationally-recognized four phases of emergency management: mitigation, preparedness/planning, response, and recovery. District actions will include developing and maintaining a District-wide emergency plan, identifying and training District staff to activate and use the plan, appointing District staff to critical positions identified in the emergency plan, and appointing staff to represent the District in negotiations or consultations with public and private agencies on matters pertaining to response to the emergency and recovery of damaged systems and financial costs incurred during the emergency.

Section 4: Standardized Emergency Management System

The California Office of Emergency Services regulates the Standardized Emergency Management System (SEMS), which was created by Government Code §8607 following the East Bay Hills Firestorm in 1991. To ensure reimbursement for claims filed after a disaster, all District emergency plans, procedures, and training will follow the SEMS regulations, and coordinate with the District-wide emergency plan.

Section 5: District Emergency Declaration

When an emergency condition arises, the General Manager may, in consultation with the Board President, declare a "District Emergency." The Board must ratify the declaration within 14 days at a regular, special or emergency Board meeting.

Section 6: Authorization During District Emergencies

The General Manager's Declaration of a District Emergency is a public acknowledgement of the serious situation the District faces, and that the District's resources may not be adequate to respond to the emergency. The Board of Directors, in consultation with the General Manager, may delegate to the General Manager the authority to suspend competitive bidding and enter into emergency contracts of up to $250,000, as authorized by Public Contract Code §20567 and §22050.

Section 7: Mutual Aid

The California Master Mutual Aid Agreement (Government Code §8561, §8615, and §8617) allows for the implementation of mutual aid during threatened, actual, or declared emergencies. The General Manager, in accordance with the Emergency Plan, may request mutual aid assistance from other local government and public agencies, or commit District resources to other agencies requesting aid. The General Manager may sign appropriate documents to effectuate mutual aid and other emergency response agreements.

Section 8: Continuity of Management

The District's emergency plan will list at least two successors to critical staff identified in the plan, including the General Manager. In the event the primary person is unable to respond to an emergency, each successor, in order, may assume all the duties and powers of the primary staff.

Section 9: Status Reports

The General Manager will provide annual reports to the Board of Directors on the progress of the Emergency Preparedness Program. Additional reports will be given to the Board on the effectiveness of the plan and District response within 60 days of the occurrence of a declared District Emergency.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3006 – EMERGENCY RESPONSE GUIDELINE FOR HOSTILE OR VIOLENT INCIDENTS		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	15-23	Revised:	

PURPOSE
To provide direction for the District Board of Directors and staff regarding responses to hostile or violent incidents including possible armed intruders or related threats on District facilities or properties.

POLICY STATEMENT

Section 1: General
The potential for hostile or violent incidents on District facilities or operational locations always exists. In recent timeframes, incidents involving armed intruders have occurred in increasing frequency involving injuries and deaths at government institutions, offices and educational facilities. Often, an intruder is a person who is an ex-employee, customer or person known to the agency involved. The person often is upset at an event or person who works at the facility. However, armed intruders can be any variety of persons who have an anger situation affecting one or more staff members or other related persons to the District. Often, incidents involving armed intruders escalate to include multiple persons and potentially taking of hostages, including District customers.

Threats of these types and risks are to be considered extreme emergencies and the safety and well-being of employees and/or customers is the highest priority.

Section 2: Response to an Incident
Any evidence of the exposure to a hostile or violent person or situation on District facilities or operating areas should be taken seriously for safety purposes. Any Director or staff employee observing or sensing that a violent or hostile situation is occurring should consider taking precautionary and safety actions:

Any event resulting in awareness of a possible violent act including possible gunfire, explosion, fighting, scuffling could indicate an incident of violent potential. Any staff person observing such potential activities should take steps to protect themselves and others on the District premises including but not limited to:

1. Attempt to communicate the situation to everyone in the facility by means of telephone, paging, email and/or radio system including basic information that a potential incident is occurring. If a perpetrator(s) is seen or known, information on the person(s) should be provided.

2. Since different types and levels of workplace violence may require various responses, establishing basis information on the type of event is essential. Examples are:
A. Gunfire-awareness of gunfire in the facility should result in evacuation to the extent that is possible. If not possible, securing of rooms or offices and notification of others by phone or email is

encouraged. Calling emergency resources via 911 is imperative once safe to call. Remain in the most secure location possible until contacted by public safety personnel or a facility supervisor, etc.

B. Explosion-an explosion could occur naturally or by violent intention. Awareness of an explosion or fire in the facility should result in immediate evacuation in accordance with established procedures for fire. Response to a planned location is important to make known who is out of the facility.

C. Physical or bomb threat-awareness of a telephone or in person threat to facility or staff should be met with action to evacuate and clear staff from the threatened area. Calling 911 as soon as possible is imperative.

D. Situations involving hostages-if a possible hostage incident is known, evacuation of the facility is paramount to safety of persons in the area. Contact 911 immediately.

E. Irate customer/threat at counter or meeting in cases where any person acts to threaten a staff person or customer at a District facility in a manner causing fear for safety, action to summon public safety personnel by 911 should be taken. In no way should steps be taken to challenge or subdue such a person except in defense of life for self or immediate others at the facility.

F. In the event that a volatile situation occurs at a Board of Directors or other public meeting, the person chairing/hosting the meeting should take steps to control the situation or adjourn the meeting to abate the confrontation, if possible. In event of threatening or hostile situation, call 911 immediately and proceed with evacuation or other appropriate actions.

Section 3: Planning for Emergency Incidents

Steps should be taken to plan response capabilities for emergencies in addition to fires, earthquakes, etc. that may involve hostile situations. These include but are not limited to:

A. Preparation of a facility evacuation plan from each room. Post the plan at each doorway and hallway exit. Have a safe area zone for staging established.

B. Lock down procedures to secure the facility in a hostile or violent incident for both exterior and interior doors.

C. Develop an emergency notice code for intercom, email and radio to facility and District staff.

D. Develop a radio communication alert code to notify other District staff so they will not return to the facility during the incident until cleared to do so by public safety personnel.

E. Training of all personnel in dealing with customers, employees and other persons in aggravated situations and how to identify and assess potential threats or volatile situations. All employees assigned or expected to serve at the front desk or counter shall receive such training regularly.

All employees and members of the Board of Directors shall receive training on response to violent or hostile incidents. In the event of a potential incident, notify a supervisor or the General Manager as may be possible or call 911 when an active incident is occurring. If assessment of a possible threat is needed, the General Manager or ranking staff person shall be notified for considering validity of the threat or safety risk. Public safety agency shall be contacted by 911 whenever a perceived threat is considered valid.

Section 4: Actions for Violent or Armed Threat Situation

The existence or potential for an event involving a violent person or armed intruder at a District facility should be considered an emergency condition. Actions could include up to and all of:

A. Notify your supervisor or General Manager and other staff immediately if a threat is received but not actively in process. If validated, contact public safety by calling 911 immediately.

B. The General Manager or ranking staff member shall evaluate the situation and consider appropriate actions including shutting down operations and evacuation and/or locking down the facility until public safety response abates the threat.

C. Initiate notification of other facility staff of active threat by emergency code procedure. Evacuate the facility wherever possible. Secure money or computer equipment if time allows.

D. Activate an alarm for notifying other staff and the alarm company.

E. Upon sighting an armed intruder, an alert to all employees should be made by phone, email or radio.

F. Secure your work area or evacuate if safely possible. If not able to evacuate, find a safe hiding place and stay put until contacted by public safety personnel.

G. Once outdoors after an evacuation, proceed to planned staging area to report in for identification. Inform public safety personnel of any information on the incident.

H. Attempt to remain calm and assist others; wait for instructions from public safety or supervisory personnel.

I. Do not attempt to look around to see what is happening. Evacuate whenever possible and with others in areas you see directly. Do not confront or attempt to apprehend a violent perpetrator unless directly attacked for self-defense. Do not assume someone already called 911, call them immediately.

Section 5: Post Event Actions

Following the clear announcement of the end of a violent or hostile person situation: contact public safety or supervisory personnel for instructions. Report any knowledge or first-hand observations of the incident. Contact your family and immediate friends so they will not take any actions to respond unnecessarily. Await direction as to return to work or other steps dependent on level of the incident. If not able to do so, consult with your supervisor or notify the ranking person on-site.

The Superintendent or his/her designee shall evaluate and debrief any major incident and take needed steps to abate the conditions after the event and prepare as necessary for continued operations. Planning and actions to address conditions are expected and your input is important via your supervisor. There may be the potential to lock-down or close the facility from operating for some time or corrective steps. If deemed needed, seek direction on what actions you should take to assist in the procedure.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3105 – BUDGET PREPARATION		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	15-23	Revised:	

PURPOSE

The Annual Budget is a blueprint of planned operating, public goods and debt service expenses, capital expenditures and multi-year projects for each fiscal year beginning on July 1st and ending on June 30th. For each forthcoming fiscal year, the South Placer Municipal Utility District will adopt an annual budget that provides the Board of Directors with the upcoming fiscal year revenues and expenses for the General and Capital Funds. The Budget's primary use is as a fiscal planning tool to accomplish the District's strategic goals and objectives.

POLICY STATEMENT

Section 1: General

The South Placer Municipal Utility District will adopt an annual budget that provides the Board of Directors with the upcoming fiscal year revenues and expenses for the General and Capital Funds. The annual budget shall conform to all policies previously adopted by the Board of Directors

Section 2; Proposed Annual Budget

An annual budget proposal shall be prepared by the General Manager. The proposed annual budget will be reviewed and amended by the Board of Directors in a budget workshop, held at its regular meeting in June.

Section 2: Adoption of Annual Budget

The proposed annual budget as amended by the Board during its review shall be adopted at its regular meeting in July of each year and shall be used as the funding authorization for the Fiscal Year for which it is adopted.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3115 – FIXED ASSET CAPITALIZATION & ACCOUNTING CONTROL		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	10/27/05
Resolution No.	05-11, 15-23	Revised:	

PURPOSE
The purpose of this policy is to provide criteria for determining when assets and associated costs are to be capitalized and ensure proper accounting control resulting in the maintaining of accurate financial reports of fixed assets. It is the policy of the District that the treatment of capital assets, for accounting purposes, is according to the recommended practices of GAAP (Generally Accepted Accounting Principles) and GASB 34 (Governmental Accounting Standards Board).

POLICY STATEMENT
Section 1: Definitions
Capital Assets are defined as land, improvements to land, buildings, building improvements, vehicles, equipment, furniture and fixtures, infrastructure (sewer system), and all other tangible or intangible assets that are used in operations and that have initial useful lives extending beyond a single reporting period.

Section 2: Capitalization threshold
The capitalization threshold for capital assets will be an original cost of $5,000 or more. Specific capitalization requirements are described as follows:
a) All land will be capitalized regardless of cost.
b) All other assets will be capitalized if the cost equals or exceeds $5,000.
c) The capitalization threshold is applied to individual units of capital assets rather than groups. (For example, five computers purchased for $1,500 each will not be capitalized, even though the total ($7,500) exceeds the threshold of $5,000).
d) For purposes of capitalization, the threshold will generally not be applied to components of capital assets. As an example, the entire computer system for the District will be treated as a single asset, if all component parts are required to make the asset functional.
e) Repairs to existing capital assets will generally not be subject to capitalization unless repair extends the useful life of the asset. In this case the repair represents an improvement and is subject to the requirements in item “f” below.
f) Improvements or replacements to existing capital assets will be presumed by definition to extend the useful life of the related capital assets, and therefore will be subject to capitalization if the cost equals or exceeds $5,000.

Section 3: Record keeping
The District will keep appropriate records in order to monitor and accurately inventory all fixed assets.

Section 4: Acquisition
Fixed assets may be acquired through direct purchase, lease-purchase or capital lease, construction, eminent domain, tax foreclosures, donations and gifts.

Section 5: Recordation of costs
Capital assets are recorded at their "historical cost," which is the original cost of the assets. Donations accepted by the District will be valued at the fair market value at the time of donation. Costs include purchase price (less discounts) and any other reasonable and necessary costs incurred to place the asset in its intended location and prepare it for service. Costs could include the following: Sales tax, freight charges, legal and title fees, closing costs, appraisal and negotiation fees, surveying fees, land-preparation costs, demolition costs, relocation costs, architect and accounting fees, insurance premiums, and interest costs during construction.

According to GASB 34, an estimate of the original costs is allowable in the absence of historical records. Standard costing is one method of estimating historical costs using a known average installed cost for a like unit at the estimated date of acquisition. Another recognized method is normal costing wherein an estimate of historical cost is based on current cost of reproduction new, indexed by a reciprocal factor of the price increase of a specific item or classification from the appraisal date to the estimated date acquired. When necessary the District will use whichever method gives the most reasonable amount based on available information.

Section 6: Enhancement of a Capital Asset
Expenditures and expenses that either enhance a capital asset's functionality or that extend a capital asset's expected useful life are capitalized.

Section 7: Disposal of Property
It is the District's policy that a Resolution will be adopted by the Board of Directors for the disposition of surplus, damaged or inoperative capital assets. Please refer to Policy 3300.

Section 8: Depreciation Expense
The District will record depreciation expense on all capital assets, except for land. The District will use the straight-line method of depreciation. Depreciation will be calculated monthly commencing on the month of acquisition. Depreciation will be calculated over the estimated useful life of the asset.

Section 9: Estimated Useful Life of Capital Assets
The District follows the GFOA's (Government Finance Officers' Association) recommended practices when establishing recommended lives for capital assets. If the life of a particular asset is estimated to be different from these guidelines, it may be changed.
The following is a summary of the estimated useful lives:

Asset Class	Useful Life
Buildings	15-25 Years
Sewer System	75 Years
Equipment	10-20 Years
Office Furniture	5-15 Years
Vehicles	5-15 Years

Section 10: Non- Capitalized tangible capital items
The District will exercise control over the non-capitalized tangible capital-type items by establishing and maintaining adequate control procedures. The District's capitalization threshold of $5,000 meets financial reporting needs.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3120 – INVESTMENT OF DISTRICT FUNDS		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	03/15, 04/08, 09/10, 12/16, 15/23	Revised:	

PURPOSE
This policy provides direction to the Board of Directors, General Manager and Secretary of the District for the prudent and beneficial investment of all funds and monies of the District without regard to source or restrictions.

POLICY STATEMENT
Section 1: This policy provides direction to the Board of Directors, General Manager and Secretary of the District for the prudent and beneficial use of all funds and monies of the District without regard to source or restrictions. Any reference to portfolio shall mean the total of District cash and securities under management by the District.

Section 2: Authority
The Government Code of the State of California, primarily section 53601 and related subsections, authorizes the type of investment vehicles allowed in a California local agency's portfolio. The investment vehicles emphasize preservation of capital and are a conservative set of investments. The authority to invest (as defined in the Government Code) is delegated to the local agency's legislative body. Under no circumstances is the local agency permitted to purchase an investment that is not specifically authorized by law and within the scope of investments designated by the local agency's governing board.

Section 3: Basic Policy and Objectives
The investment policy of the District is a conservative policy guided by three principles of public fund management.

In specific order of importance, the three principles are:

(a) Safety of Principal - Investments shall be undertaken in a manner which first seeks to preserve portfolio principal.

(b) Liquidity - Investments shall be made with maturity dates that are compatible with cash flow requirements and which will permit easy and rapid conversion into cash, at all times, without a substantial loss of value.

(c) Return on Investment - Investments shall be undertaken to produce an acceptable rate of return after first consideration for principal and liquidity.

Section 4: Diversification
The District shall maintain a portfolio of authorized investments with diversified maturities, issuers and security types to avoid the risk inherent in over-investing in any one sector. The District shall evaluate or cause to be evaluated each potential investment, seeking quality of issuer, underlying security or collateral, potential negative effects of market volatility on the investment and shall diversify the portfolio to reduce exposure and assure adherence to the Basic Policy and Objectives of Section 3 of this policy.

Section 5: Prohibited Purchases
The District shall not invest any funds pursuant to Government Code Section 53601.6 such as inverse floaters, range notes, or interest-only strips that are derived from a pool of mortgages. The District shall not invest any funds pursuant to the law in any security that could result in a zero interest accrual if held to maturity. However, the District may hold prohibited instruments until their maturity dates.

Investments in repurchase agreements may be made, on any investment authorized by code, when the term of that agreement does not exceed one year. The market value of securities that underlay a repurchase agreement shall be valued at one hundred two per cent (102%) or greater of the funds borrowed against those securities, and the value shall be adjusted no less than quarterly.

The District, when purchasing any securities as described in Government Code Section 53601, shall require delivery of the securities to the District, including those purchased for the District by financial advisors, consultants, or managers using the District's funds by book entry, physical delivery, or by third-party custodial agreement. The transfer of securities to the counterparty bank's customer book-entry account may be used for book entry delivery. For purposes of this policy, "counterparty" means the other party to the transaction. A counterparty bank's trust department or separate safekeeping department may be used for the physical delivery of the security if the security is held in the name of the District. Purchases of commercial paper may not exceed fifteen percent (15%) of the District's surplus money that may be invested pursuant to the law.

Section 6: Prudent Person Clause
Investments will be made with the same standard of care that persons of prudence, discretion and intelligence exercise when managing their own affairs; not for speculation, but for investment with particular consideration for safety of capital, as well as probable income derived.

Section 7: Reporting Requirements
Each month the Secretary shall prepare and submit a report of investment transactions to the Board of Directors. This report will be sufficiently detailed to provide information for investment evaluation. This report shall also contain a statement of compliance of the portfolio with the statement of investment policy and a statement of the local agency's ability to meet its expenditure requirements for the next six (6) months.

Section 8: Grandfather Clause
Any investment held by the District at the time this policy is adopted shall not be sold to conform to any part of this policy unless its sale is judged to be prudent by the Secretary and with the consent of the Board of Directors.

Section 9: Conflicts
In the event any provision of this Statement of Investment Policy is in conflict with any of the statutes referred to herein or any other state or federal statute, the provisions of each statute shall govern.

Section 10: Annual Review
An annual review and appraisal of the investment portfolio shall be made for the purpose of evaluating the District's investment program and such annual review and appraisal shall be considered by the staff and the Board of Directors for the purpose of recommending or making any changes or amendments to the District's Investment Policy.

Section 11: Permitted Investments
The maximum investment amount permitted in PCTIP will be equal to the maximum amount permitted in the Local Agency Investment Fund (LAIF) currently $40,000,000.00.

Investment Type	Maximum Amount of Portfolio	Maximum Maturity
(1) Local Agency Investment Fund (LAIF)	$40,000,000.00	Liquid Account
(2) Placer County Treasurer's Investment Pool (PCTIP)	$40,000,000.00	Liquid Account
(3) Bank Savings Account	25%	Liquid Account
(4) Federal Agencies	20%	5 years
(5) Commercial Paper	15%	180 days
(6) Negotiable Certificates of Deposits	20%	180 days
(7) Repurchase Agreements	20%	180 days
(8) U.S. Treasury Obligations	Unlimited	5 years

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3130 – RESERVE POLICY		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	15-23	Revised:	

PURPOSE
The purpose of this policy is to ensure that SPMUD will at all times have sufficient funding available to meet its operating and capital needs, anticipate and prepare for future funding requirements as well as plan for disasters and other unforeseen events.

POLICY STATEMENT
Section 1. General

Reserve funds will be accumulated and maintained in a manner that allows the funding of costs and capital investments consistent with the District's Capital and Financial Plans while avoiding significant rate fluctuations due to changes in cash flow requirements. The District will also maintain an emergency reserve position that may be utilized to fund disasters or unanticipated major failures. The classification of these reserve fund balances shall be in conformance with Government Accounting Standards Board (GASB) Statement No. 54, *Fund Balance Reporting and Governmental Fund Type Definitions*.

Section 2. Definitions

Per GASB 54, fund balance will be displayed in the following classifications depicting the relative strength of the spending constraints placed on the purposes for which resources can be used:
• *Non-spendable fund balance*—amounts that are not in a spendable form (such as inventory) or are required to be maintained intact (such as the corpus of an endowment fund).
• *Restricted fund balance*—amounts constrained to specific purposes by their providers (such as grantors, bondholders, and higher levels of government), through constitutional provisions, or by enabling legislation.
• *Committed fund balance*—amounts constrained to specific purposes by a government itself, using its highest level of decision-making authority; to be reported as committed, amounts cannot be used for any other purpose unless the government takes the same highest-level action to remove or change the constraint.
• *Assigned fund balance*—amounts a government intends to use for a specific purpose; intent can be expressed by the governing body or by an official or body to which the governing body delegates the authority.
• *Unassigned fund balance*—amounts that are available for any purpose; these amounts are reported only in the general fund.

Section 3: General Fund

A. Assigned Fund Balance Reserves
   i. Operation and Maintenance Reserve

The purpose of the Operation and Maintenance (O&M) Reserve Fund is to ensure that the district will have sufficient funding available at all times to meet its operating obligations. Operating revenue is flat rate and consistent over the year. Delinquencies are trued up through tax liens which are recoverable twice a year. Operating expenses are generally incurred uniformly over the year, however, work can be planned or deferred during the year to accommodate minor fluctuations in revenue. The source of funding for this reserve shall be from Sewer Service Charges.

The District shall maintain an O&M Reserve Fund equivalent to 6 months O&M expenses.

ii. Rate Stabilization Reserve

The purpose of the Rate Stabilization Reserve Fund[1] is to establish a means to provide more stable sewer service charges to the District's customers. This fund buffers the impacts of unanticipated fluctuations or revenue shortfalls in sewer revenues and should be capable of defraying the need for an immediate rate increase to cover the cost of an unanticipated rise in expenses. Unexpected fluctuations can include, but are not limited to natural disasters, an economic downturn, and unanticipated increases in other utility expenses and/or other extraordinary circumstances. The source of funding for this reserve shall be from Sewer Service Charges.

The District shall maintain a Rate Stabilization Reserve Fund equivalent to 10% of the annual revenue.

iii. Emergency Reserve

The purpose of the Emergency Reserve Fund is to provide funds for emergency response for potential repair or replacement of capital facilities due to damage from a natural disaster or unanticipated failure. The Emergency Reserve would be used when capital improvement funds have otherwise been purposefully spent down to a preset limit on planned projects. The source of funding for this reserve shall be from Sewer Service Charges.

The District shall maintain an Emergency Reserve equivalent $3 Million.

Section 4: Capital Funds

A. Committed Fund Balance Reserves

i. Capital Improvement Fund Reserve

The purpose of the Capital Improvement Reserve is to fund on a pay-as-you-go basis future capital facilities that are expansion or growth related. These capital improvements will be identified in a Wastewater Collection Master Plan, a System Evaluation and Capacity Assurance Plan or other such capital improvement plan designated by the District. These funds are accumulated in an orderly

[1] This Rate Stabilization Reserve fund contemplated by the District should not be confused with the Rate Stabilization Fund (RSF) currently held by the South Placer Wastewater Authority. Bonds sold by SPWA and cash contributed by the SPWA participants funded construction of the Pleasant Grove Treatment Plant. The bond payments are made from the RSF from revenues generated from regional connection fees separate and distinct from the District's Sewer Participation Fee, although they are collected at the same time. SPMUD is liable for 25% of the total annual debt service, which calculates to approximately $2.6 M annually. The District has covenanted to prescribe and collect rates and charges sufficient to yield net revenues at least equivalent to 110% of its share of debt service.

manner in conformance with State law and drawn down as required by growth related projected. The source of funding for the Capital Improvement Reserve shall be the Sewer Participation Fee.

B. Assigned Fund Balance Reserve

i. Capital Replacement Fund (Depreciation Reserve)

The purpose of this fund is to accumulate the probable replacement cost of equipment each year over the life of the asset, so it can be replaced readily when it becomes obsolete, are totally depreciated or are scheduled for replacement. Annual depreciation is calculated as a function of the depreciation schedule maintained within the District's Financial Management Software. The source of funding for this reserve shall be in the form of an annual operating expense (transfer) to the Capital Replacement (Depreciation Reserve) Fund.

The District shall incur an annual expense equivalent to the annual depreciation and accumulate this balance in a Capital Replacement Fund (Depreciation Reserve) to fund replacements of assets that have reached their useful life or are fully depreciated.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3140 – CHECK PROCESSING		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	15-23	Revised:	

PURPOSE
This policy provides direction to the Board of Directors, General Manager and Secretary of the District for the issuance, approval authority and reporting of checks.

POLICY STATEMENT
All creditor obligations of the District or requests for issuance of checks shall be reviewed and approved by the Department Manager or his/her designee and the General Manager. A register for issued checks written during the month will be presented at the first board meeting of the following month for board approval during the consent calendar.

Section 2: Signing Authority & Approvals
A register of issued accounts payable checks, payroll checks and direct deposits will be presented to the Board of Directors at their regular board meetings. The Board of Directors will consider checks drawn for approved invoices. All checks will have been signed with two signatures.
Check signatories are as follows:
All Board Directors
General Manager
Superintendent
Administrative Services Manager

Section 3: Accounts Payable & Payroll processing
The District Administrative Services Manager or his/her designee will process accounts payables and distribute signed checks to the Districts creditors.

The District Administrative Services Manager or his/her designee will process payroll records and distribute signed payroll checks and direct deposits to employees and board directors on a predetermined bi-weekly schedule.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3145 – CREDIT CARD USAGE - CALCARD		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	15-23	Revised:	

PURPOSE
This policy provides direction to card holders of the CAL-Card Purchasing Card program administered by U.S. Bank. CALCards are utilized by Management and Supervisors for miscellaneous expenses.

POLICY STATEMENT
The District participates in the State of California CAL-Card Purchasing Card program administered by U.S. Bank. The Visa CALCard has no fees or interest charges, based upon prompt payment. Incentive payments are made to the District on a quarterly basis. Managers, Supervisors and Lead Workers are authorized to hold CALCards

Section 1: Approved Uses of CALCard
Users who make payments to vendors with a CALCard are tracked and processed quickly leveraging traditional Visa®/MasterCard® methods, which allows the reconciliation of payments with increased authority levels.

Authorized purchases are made by the cardholder on the District's behalf. Cardholders are authorized to use the Purchasing Card to purchase many business related goods and services needed to perform their duties as an employee of the District. Transactions that are placed on the Purchasing Card should not conflict with any of the Districts purchasing policies. Personal purchases may not be made with the card. Personal purchases made with the card may subject the Cardholder to disciplinary action up to and including possible card cancellation, termination of employment and criminal prosecution. All receipts for Purchasing Card purchases must be detailed and itemized. Receipts should show all items purchased not just a total amount. The same would apply for restaurant receipts.

Section 2: Summary & Fiscal Impact
The CAL-Card program is an incentive program, whereby the District receives 1.3% in the form of an incentive check for purchases utilizing the card. The added benefit to move to Payment Plus is to increase expenditures utilizing the card, particularly for utility payments.
Other benefits include:

- Streamlining of business processes
- Elimination of expensive check writing, including postage, printing and labor costs.
- Automation of payment and reconciliation processes
- Enhancement of security and flexibility
- Enhancements for Cash Management with cycle based payments to U.S. Bank
- Precision protection – various levels of authorization and approvals.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3150 – PURCHASING POLICY		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	02/05/15
Resolution No.	15-02, 15-23	Revised:	

PURPOSE
This policy seeks to establish efficient, equitable, and uniform procedures for all District contracting for goods (including, without limitation, materials and equipment), services (professional and other), rentals and leases of personal property, and construction; provide for fair and equitable treatment by the District of all persons involved in the contracting process; maximize the purchasing value of public funds; exercise financial control over the District expenditures it covers; clearly define authority for spending approvals and contracting functions; and provide safeguards for maintaining a high-quality procurement system.

POLICY STATEMENT
The District's General Manager, who shall be the District's Purchasing Agent, will implement and administer standard operating procedures for District contracting in consultation with the District's Office of the General Counsel, to implement the purpose and requirements of these administrative regulations. The District shall conduct all contracting for goods, services, rentals and leases of personal property, and construction in accordance with these administrative regulations and associated standard operating procedures, and under the administration of the Purchasing Agent.

Section 1: Purchases Not Requiring Competitive Bids

The District shall NOT be required to seek competitive bids on the following:

a) Contracts to provide a CONTINUOUS work force through independent contractors for the maintenance, installation and repair of the system;
b) Items from retail stores;
c) Purchase of goods or services for which there is a single source of supply;
d) Purchases for immediate delivery in actual emergencies arising from unforeseen causes;
e) Purchases of real property (permanent, immovable property such as land, buildings and improvements);
f) Purchases from any federal, state or local government unit or agency;
g) Purchases from non-profit corporations whose primary purpose is to provide goods or services to various local governments;
h) Purchases of items for resale;
i) Contracts for professional services.

A single contract or commitment shall not exceed $50,000 without approval by the Board of Directors.

All other contracts or commitments require the following spending approval.

a) Up to and including $50,000 - General Manager or his designee

b) Up to and including $5,000 – Department Manager, Supervisor, or employee who has been pre-approved for such spending approval authority.

Where a single contract or commitment that was originally approved for less than or equal to $50,000, requires a change order that increases it to more than $50,000, the change order shall be submitted to the Board of Directors for approval. The General Manager shall ensure that District procurements are not artificially divided to avoid the approval requirements set forth herein.

Section 2: Purchases Requiring Competitive Bids

All purchases requiring completive bids shall comply with §20190 of the State of California Public Contract Code as well as the Municipal Utility District Act provided for in Division 6 (commencing with §11501) of the Public Utilities Code.

Before the District requests a competitive bid from a vendor, the request must be approved by the General Manager.

The District will request and accept bids in accordance with §12751 of the Public Utilities Code.
Bids may be requested, by any of the following methods:

a) Telephone;
b) Writing;
c) Newspaper advertisement;
d) Fax;
e) E-mail.

The District may choose, as an alternative to open public bids, use of vendors listed with any other agency that has gone through a public bid process and authorized other agencies to use their bid prices.

The District will request at least three bids from qualified contractors/vendors whenever possible. Contractors/Vendors may submit their bids to the District by Email, telephone with a written confirmation or by means of a written bid, at the discretion of the General Manager.

When the District requests bids from vendors, the bids will contain the following:

a) The title of the project and the date issued;
b) Date the bid (whether written confirmation of telephone bids or written bid) was received by the District;
c) The bid amount in words and figures;
d) The bidders information and signature;
e) Notice that all bids must be delivered to the District's office.

Any bids submitted after the deadline shall be rejected by the District. The District reserves the right to reject all bids.

The winner of the bid shall be the lowest qualified and responsible bidder. In determining the lowest qualified and responsible bidder, the District may consider the following factors in addition to the price quoted:

a) Apparent ability to perform;

b) Quality of the company, product or service;
c) Purpose or use of the product or service;
d) Discount for prompt payment provided by the vendor;
e) Freight method and cost;
f) Delivery date;
g) Past performance;
h) Other pertinent factors such as experience in providing products or services to similar utilities, references on similar jobs, and compatibility with existing utility equipment.

The District is not obligated to purchase a product or service from the bidder with the lowest price. When the District accepts a bid, it will notify the vendor in writing of its acceptance.

Section 3: Bid and Performance Bonds

The District may require vendors to submit a bid bond with their bids under the following guidelines:

a) The bid bond must be issued by a surety company licensed to do action in the State of California;
b) Bid bonds submitted by unsuccessful vendors will be returned upon award to contract;
c) Personal or vendor company checks are not acceptable in the place of bid bonds; however, bank cashier's checks will be accepted.

The District may require vendors to submit a performance bond under the following guidelines:

a) A performance bond must be issued by a surety company licensed to do business in the State of California;
b) When required, the amount of the bond will be stated by the District in writing;
c) The vendor must file a performance bond with the District within ten (10) working days after receipt of the request for bid;
d) Personal or vendor company checks are not acceptable in the place of performance bonds; however, bank cashier's checks will be accepted;
e) An irrevocable letter of credit (LOC) or a certificate of deposit (CD) from a state or national bank or a state or federal savings and loan association having its principal office in California may be acceptable in lieu of a performance bond. The terms and conditions of the LOC or CD are subject to the approval of the District, and any CD must be assigned to the District and be accompanied by the issuing bank's agreement to subordinate its claim to the District's claim.

Section 4: The District’s Compliance Requirements

When a purchase requires competitive bidding, the District shall create a file for this purchase transaction which shall include the following:

a) Written requests for bids;
b) Written notation of bid deadlines that the District requests by telephone;
c) Written bids received from vendors;
d) Any vendor's written confirmation of telephone bids;
e) All written contracts that relate to competitive bids;
f) Other related written materials;

g) If a bid is awarded to someone other than the lowest bidder, a memo shall be placed in the file stating the reason the winning vendor was selected over the low bidder. The person responsible for placing this document in the file is the General Manager.

In the absence of specific rules or policies, the disposition of purchasing procedures shall be made by the Board of Directors in accordance with its usual and customary practices.

Section 5: Request for Proposals/Qualifications

The District may use a Request for Proposals (RFP) or Qualification (RFQ) procedure to acquire the services of certain professionals that require extended analysis, the exercise of discretion, independent judgment, and an advanced, specialized type of knowledge, expertise, or training customarily acquired either by a prolonged course of study or equivalent experience in the field. The District may utilize the RFP/RFQ procedure for single procurements, or for establishing an on-call list of professional services providers capable and qualified to conduct certain types of services. In reviewing proposals, the District considers the quality of the proposal to be reflective of the quality of the work the Consultant is able to perform. The ability of the Consultant to clearly and concisely convey information will be considered in the review process. No contract for the services of legal counsel may be awarded without the approval of the District's General Counsel. Procedures for the selection of architect, engineer, and land surveying services shall be in accordance with state law.

Section 6: Protests

The District shall adopt and maintain a protest procedure for protests of the solicitation and award of contracts, and include a description of the protest procedure in solicitation documents. Any actual or prospective bidder, proposer, or contractor who is aggrieved in connection with the solicitation of a bid or proposal, or the award of a contract on which he/she bid or proposed, may file a written protest in the manner prescribed in the solicitation documents.

Section 7: Piggyback Procurements

The General Manager may arrange for the District to enter purchase contracts with a supplier for the purchase of goods or services when the pricing and terms have been previously established by another local, state, or federal, public entity, or an association of public entities, provided:

a) the resulting contract with the supplier of goods or services is the result of competitive bidding or negotiation and is made in compliance with the competitive bid or proposal requirements of the participating entity or association;
b) the purchase is made within the longer of one year of the competitive bid or negotiation, or the original contract term or subsequent extension(s);
c) the purchase conforms to the District's specifications for the goods or services; and
d) the purchase is of equal or better value to the District than if made directly by the District.

Section 8: Purchasing Card Responsibilities – e.g. Cal Card

A credit card or purchasing card is issued to an employee of the District for the purpose of making authorized purchases on the District's behalf. Cardholders are authorized to use the Purchasing Card to purchase many business related goods and services needed to perform their duties as an employee of

the District. Transactions that are placed on the Purchasing Card should not conflict with any of the Districts purchasing policies. Personal purchases may not be made with the card. Personal purchases made with the card subject the Cardholder to disciplinary action up to and including possible card cancellation, termination of employment and criminal prosecution. All receipts for Purchasing Card purchases must be detailed and itemized. Receipts should show all items purchased not just a total amount. The same would apply for restaurant receipts.

Section 9: Petty Cash – Use and reimbursement

The District has established a petty cash fund to purchase minor supplies and improve upon the efficiency of District operations. Disbursements from petty cash funds must be properly documented and for a valid District business purpose. An original receipt must be provided. Petty cash funds may not be used for the following:

- Items/receipts in excess of $100.00.
- Cashing of personal checks or providing personal loans.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3210 – EASEMENT ABANDONMENT		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	15-23	Revised:	

PURPOSE

The purposed of this policy is to establish a mechanism by which the District's interest in a sanitary sewer easement or construction easement may be abandoned and any property interest returned to the underlying fee owner.

POLICY STATEMENT

Section 1: General

Occasionally the District may determine that an easement, originally conveyed to the District for sanitary sewer, access, construction or similar purposes, is no longer necessary for the ongoing operation and maintenance of District facilities.

Section2: Requests for abandonment or release of interest

All such requests for abandonment or release of interest must be made in writing to the General Manager to be heard during a meeting of the Board of Directors. The Board shall hear such request, and after finding that the easement is no longer necessary for the ongoing operation and maintenance of District facilities, shall authorize the General Manager by resolution to execute the appropriate instrument required by law releasing said interest to requestor or underlying fee owner.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3215 – REAL PROPERTY ACCEPTANCE		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	96-07, 15-23	Revised:	

PURPOSE
The purpose of this policy is to provide a mechanism for the acceptance of real property, including all Rights-of-Way, Fee Title and Easements, into District assets.

POLICY STATEMENT
Section 1: General

State of California Government Code §27281 requires that deeds or grants conveying any interest in or easement upon real estate to a political corporation or governmental agency for public purposes shall not be accepted for recordation without the consent of the grantee evidenced by its certificate or resolution of acceptance attached to or printed on the deed or grant, or recorded as a separate instrument specifically incorporating by reference the deed or grant. GC §27281 further states that a governmental agency may authorize one or more officers or agents to accept and consent to such deeds or grants. Per OR 96-026288 recorded in the Official Records of Placer County, the Board of Directors did adopt Board Resolution 96-07, granting such authority to the General Manager.

Section2: Delegation of Authority to the General Manger

The General Manager is authorized to accept all conveyances of real property, including all rights-of-way, fee title and easements and to consent to the recordation thereof.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3250 – SEWER SYSTEM CONTRIBUTIONS AND BILLS OF SALE		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	15-23	Revised:	

PURPOSE
The purpose of this policy is to provide a mechanism for the acceptance of developer installed and contributed sewer assets and capitalization of said assets as part of the District's financial management process.

POLICY STATEMENT
Section 1: General

The District may accept from a Developer any amount of money or other property contributed to the District so long as the purpose of the contribution is to provide for the expansion, improvement, or replacement of the Districts sewer collection system. After acceptance, the contributed assets will be added to the District's fixed assets and depreciated in accordance with Generally Accepted Accounting Principles (GAAP).

Section 2: Bill of Sale

Upon completion of a developer funded, installed and contributed project, the Board will accept a Bill of Sale from said developer for the contributed capital. Staff will present said Bill of Sale for acceptance during a regularly scheduled meeting of the Board of Directors. Said Bill of Sale will recognize the book value of the assets to be contributed. The book value of the assets will be recorded in the financial management system so that it may be depreciated.

Section 3: Acceptance of Irrevocable Offers of Dedication or Easements

Per Policy No. 3215, Real Property Acceptance, the General Manager is authorized by the Board of Directors to accept all the conveyance of real property, including all Rights-of-Way, Fee Title and Easements and to consent to the recordation thereof.

Section 4: Refund, Credit or Reimbursement Agreements

All Refund, Credit or Reimbursement Agreements for the cost of construction of the trunk sewer upgrades and expansion facilities that have been identified by the District as necessary to serve new development within the District's service area boundaries shall be approved by Resolution by the Board of Directors at the time of the Bill of Sale. No Refund, Credit or Reimbursement Agreements will be allowed after the assets have been contributed and a Bill of Sale has been accepted by the Board.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3300 – DISPOSAL OF SURPLUS PROPERTY OR EQUIPMENT		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	15-23	Revised:	

PURPOSE
This purpose of this policy is to provide guidance on the proper disposition of surplus District property.

POLICY STATEMENT
All District property should be properly identified, recorded and disposed of when no longer needed, damaged, or inoperative.

Section 1: Action to declare items surplus
All District property with a unit value greater than $500 will be reported to the Board of Directors to take action declaring the items as surplus. A Resolution will be adopted with a listing of items to be disposed.

Section2: Method of surplus
Items may be disposed of by any method of disposal consistent with applicable laws. Examples of disposal may include, but are not limited to: sale at auction, transfer to another agency, donation to another agency, recycling, salvage, scrap or landfill disposal.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3310 – RECORDS RETENTION POLICY		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	15-23	Revised:	

POLICY STATEMENT
The purpose of this policy is to provide guidelines to staff regarding the retention or disposal of South Placer Municipal Utility District records; provide for the identification, maintenance, safeguarding and disposal of records in the normal course of business; ensure prompt and accurate retrieval of records; and, ensure compliance with legal and regulatory requirements.

Section 1: Authority
The General Manager is authorized by the Board of Directors to interpret and implement this policy, and to cause to be destroyed any or all such records, papers and documents that meet the qualifications governing the retention and disposal of records, specified below.

Pursuant to the provisions of California Government Code §§60200 through 60203, California Water Code §21403, and the guidelines prepared by the State Controller's office and the Controller's Advisory Committee for Special Districts, the following qualifications will govern the retention and disposal of records of the South Placer Municipal Utility District.

Section 2: Duplicate records
Duplicate records, papers and documents may be destroyed at any time without the necessity of Board authorization or copying to photographic or electronic media.

Section 3: Records prepared in manner other than pursuant to State or Federal Statute
Originals of records, papers and documents more than two years old that were prepared or received in any manner other than pursuant to State or Federal statute may be destroyed without the necessity of copying to photographic or electronic media.

Section 4: Destruction
Records, papers or documents which are not expressly required by law to be filed and preserved may be destroyed if all of the following conditions are met:

a) The record, paper or document is photographed, microphotographed, reproduced on film of a type approved for permanent photographic records by the National Bureau of Standard, or copied to an approved electronic media;

b) The device used to reproduce such record, paper or document on film, or retrieves and prints the document from the electronic media, is one which accurately reproduces the original thereof in all details; and,
c) The photographs, microphotographs, or other reproductions on film are placed in conveniently accessible files and provisions are made for preserving, examining, and using the same, together with documents stored via electronic media.

Section 5: Accounting records excluding journals and ledgers
Any accounting record **except the journals and ledgers** which are more than five years old and which were prepared or received in any manner other than pursuant to State statute may be authorized for destruction, provided that:
a) There is no continuing need for said record, i.e., long-term transactions, special projects, pending litigations, etc., and;
b) There exists in a permanent file, an audit report or reports covering the inclusive period of said record, and that;
c) Said audit report or reports were prepared pursuant to procedures outlined in Government Code Section 26909 and other State or Federal audit requirements, and that;
d) Said audit or audits contain the expression of an unqualified opinion.

Section 6: Accounting records
Any accounting record created for a specific event or action may be destroyed upon authorization five years after said event has in all respects terminated. Any source document detailed in a register, journal, ledger or statement may be authorized for destruction five years from the end of the fiscal period to which it applies.

The following may be destroyed at any time:
a) Duplicated (original-subject to aforementioned requirements).
b) Rough drafts, notes or working papers (except audit).
c) Cards, listings, nonpermanent indices, other papers used for controlling work or transitory files.

Section 5: Payroll records
All payroll and personnel records shall be retained indefinitely. Originals may upon authorization be destroyed after seven years retention, provided said records have been microfilmed and qualify for destruction section 4, above.
<u>Payroll and personnel records include the following:</u>
a) Accident reports, injury claims and settlements.
b) Medical histories.
c) Injury frequency charts.
d) Applications, changes and terminations of employees.
e) Insurance records of employees.
f) Time cards.
g) Classification specifications (job descriptions).
h) Performance evaluation forms.
i) Earning records and summaries.
j) Retirements.

Section 6: Assessment Records
All assessing records may upon authorization be destroyed after seven years retention from lien date; however, their records may be destroyed three years after the lien date when said records are microfilmed as provided for section 4, above.

Section 7: Meeting Minutes – Permanent Records
Minutes of the meetings of the Board of Directors are retained indefinitely in their original form. However, they may upon authorization be destroyed if said minutes are microfilmed as provided for in section 4, above.

Section 8: Construction records
Records such as bids, correspondence, change orders, etc., shall not be kept in excess of seven years unless they pertain to a project which includes a guarantee or grant and, in that event, they shall be kept for the life of the guarantee or grant plus seven years. As-built plans for any public facility or works shall be retained as long as said facility is in existence.

Section 9: Contracts
Contract documents should be retained for its life plus seven years. Any unaccepted bid or proposal for the construction or installation of any building, structure or other public work which is more than two years old may be destroyed.

Section 10: Property records, such as documents of title, shall be kept until the property is transferred or otherwise no longer owned by the District.

Appendix A
Definitions for Records Retention and Disposal Policy

1. AUTHORIZATION. Approval from the General Manager, as authorized by the District's Board of Directors.

2. ACCOUNTING RECORDS. Include but are not limited to the following:

   a. SOURCE DOCUMENTS
      (1) Invoices
      (2) Warrants
      (3) Requisitions/Purchase Orders (attached to invoices)
      (4) Cash Receipts
      (5) Claims (attached to warrants in place of invoices)
      (6) Bank Statements
      (7) Bank Deposits
      (8) Checks
      (9) Bills
      (10) Various accounting authorizations taken from Board minutes, resolutions or contracts

   b. JOURNALS
      (1) Cash Receipts
      (2) Accounts Receivable or Payable Register
      (3) Check or Warrant (payables)
      (4) General Journal
      (5) Payroll Journal

   c. LEDGERS
      (1) Expenditure
      (2) Revenue
      (3) Accounts Payable or Receivable Ledger
      (4) Construction
      (5) General Ledger
      (6) Assets/Depreciation

   d. TRIAL BALANCE

   e. STATEMENTS (Interim or Certified - Individual or All Fund)
      (1) Balance Sheet
      (2) Analysis of Changes in Available Fund Balance
      (3) Cash Receipts and Disbursements
      (4) Inventory of Fixed Assets (Purchasing)

   f. JOURNAL ENTRIES

g. PAYROLL and PERSONNEL RECORDS include but are not limited to the following:
   (1) Accident reports, injury claims and settlements
   (2) Applications, changes or terminations of employees
   (3) Earnings records and summaries
   (4) Fidelity Bonds
   (5) Garnishments
   (6) Insurance records of employees
   (7) Job Descriptions
   (8) Medical Histories
   (9) Retirements
   (10) Time Cards

h. OTHER
   (1) Inventory Records (Purchasing)
   (2) Capital Asset Records (Purchasing)
   (3) Depreciation Schedule
   (4) Cost Accounting Records

3. LIFE. The inclusive or operational or valid dates of a document.

4. RECORD. Any paper, bound book or booklet, card, photograph, drawing, chart, blueprint, map, tape, microfilm, or other document, issued by or received in a department, and maintained and used as information in the conduct of its operations.

5. RECORD COPY. The official District copy of a document or file.

6. RECORD SERIES. A group of records, generally filed together, and having the same reference and retention value.

7. RECORDS CENTER. The site selected for storage of inactive records.

8. RECORDS DISPOSAL. The planning for and/or the physical operation involved in the transfer of records to the Records Center, or the authorized destruction of records pursuant to the approved Records Retention Schedule.

9. RECORDS RETENTION SCHEDULE. The consolidated, approved schedule list of all District records which timetables the life and disposal of all records.

10. RETENTION CODE. Abbreviation of retention action which appears on the retention schedule.

11. VITAL RECORDS. Records which, because of the information they contain, are essential to one or all of the following:

a. The resumption and/or continuation of operations;
b. The recreation of legal and financial status of the District, in case of a disaster;
c. The fulfillment of obligations to bondholders, customers, and employees.

Vital records include but are not limited to the following:

(1) Agreements
(2) Annexations and detachments
(3) As-built drawings
(4) Audits
(5) Contract drawings
(6) Customer statements
(7) Deeds
(8) Depreciation schedule
(9) Disposal of surplus & excess property
(10) Disposal of scrap materials
(11) District insurance records
(12) District water rights
(13) Employee accident reports, injury claims & settlements
(14) Employee earning records
(15) Employee fidelity bonds
(16) Employee insurance records
(17) Encroachment permits (by others)
(18) Encroachment permits (by OWID)
(19) Facility improvement plans
(20) Improvement districts
(21) Individual water rights
(22) Individual claims/settlements
(22) Inventory
(24) Journal vouchers
(25) Ledgers
(26) Licenses & permits (to operate)
(27) Loans & grants
(28) Maps
(29) Minutes of Board meetings
(30) Payroll register
(31) Policies, Rules & Regulations
(32) Purchase orders & requisitions
(33) Restricted materials permits
(34) Rights of ways & easements
(35) Spray permits
(36) Statements of Economic Interest
(37) State surplus acquisitions
(38) Warehouse requisitions
(39) Warrant/Voucher register
(40) Warrants (with backup)

Appendix B
Records Retention & Storage Summary

Group No.	Title or Description	Original	Duplicate	Retention Periods		
				Office	Record Center	Retain or Destroy
1	Records affecting title to real property or liens thereof.	X		2 yrs.	OP	ES
2	Records required to be kept permanently by statute.	X		2 yrs.	OP	ES
3	Minutes, ordinances & resolutions of Board.	X		2 yrs.	OP	ES
4	Documents with lasting historical, administrative, legal, fiscal, or research value.	X		2 yrs.	OP	ES
5	Correspondence, operational reports and information upon which District policy has been established.	X		2 yrs.	10 yrs.	12 yrs.
6	Duplicates of 5, above, when retention is necessary for reference.	X		2 yrs.		2 yrs.
7	Records requiring retention for more than five years, but no more than fifteen years by statute or administrative value.	X		2 yrs.	13 yrs.	15 yrs.
8	Duplicates needed for administrative purposes for five to fifteen years.		X	2 yrs.	13 yrs.	15 yrs.
9	All other original District records, or instruments, books or papers that are considered public documents not included in Groups 1 through 8.	X		2 yrs.	1 yr.	3 yrs.
10	Duplicates and other documents not public records required to be maintained for administrative purposes.	X	X	2 yrs.	3 yrs.	5 yrs.

11	Duplicate records requiring retention for administrative purposes such as reference material for making up budgets, planning and programming.		X	3 yrs.		3
12	Reference files (copies of documents which duplicate the record copies filed elsewhere in the District; documents which require no action and are non-record; rough drafts, notes, feeder reports, and similar working papers accumulated in preparation of a communication, study or other document, and cards, listings, indexes and other papers used for controlling work).		X	1 yr.		1 yr.
13	Transitory files, including letters of transmittal (when not a public record), suspense copies when reply has been received, routine requests for information and publication, tracer letters, feeder reports, and other duplicate copies no longer needed.	X	X	3 mos.		3 mos.
14	Original documents disposable upon occurrence of an event or an action (i.e., audit, job completion, completion of contract, etc.) or upon obsolescence, supersession, revocation.	X		2 yrs.	3 yrs.	5 yrs.
15	Policy files and reference sets of publications.		X	I		I
16	Duplicates or non-record documents required for administrative needs but destroyable on occurrence of an event or an action.		X	I		I

OP = Original or photographic copy.
ES = May be destroyed if stored in electronic media.
I = Indefinitely

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3320 – UTILITY BILLING & RECONCILLIATION POLICY		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	02/05/15
Resolution No.	15-03, 15-23	Revised:	

PURPOSE
This policy establishes a uniform procedure for the treatment of utility billing errors, reconciliations and payments made to the District.

POLICY STATEMENT
The Utility Billing and Reconciliation Policy provides guidance for utility billing errors, corrections for participation charges and non-sufficient fund payments.

Section 1: Correction of billing errors for Monthly Service Charges

The District may correct billing errors if not more than three years has elapsed from the bill due date to the date of discovery of the error. If the District has over billed a customer, the District may grant the customer either a refund or a credit to the customer's account for not more than three years of over billed amounts.

If the District has under-billed a customer, the District may back-bill the customer for not more than three years of under billed amounts. In most situations the District will bill for only one year of billed amounts. The General Manager will determine each instance individually.

Section 2: Correction for Participation Charges

If the District has not charged a customer for Participation Charges due at the time of connection to the District's sewer facilities, the District will back-bill the customer for the participation fees, the determination of the fee rate will be made at the discretion of the General Manager. The District reserves the right to offer both residential and commercial customers for whom a participation charge has not been made, a deferred payment plan in accordance with Policy 3350.

Section 3: Non-Sufficient fund payments

In instances when a payment is made to the District and the payment method (checks, electronic payments, automated fund transfers and other similar payment transactions) is returned unpaid or non-sufficient funds, the District may impose a service charge, equivalent to the bank charges incurred upon the District.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3350 – DEFERRED PARTICIPATION CHARGES		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	97-09, 13-08, 15-23	Revised:	

PURPOSE
The purpose of this policy is to establish criteria to accommodate the short term deferral of the payment of Sewer Participation Charges required by the District for the privilege of connecting to the District's wastewater system.

POLICY STATEMENT
Section 1: General

The District requires the payment of Sewer Participation Charges to offset the cost of connecting to the District's wastewater system. In some cases, payment of these charges poses a significant burden on certain residential, commercial or industrial users. To accommodate these users, the District has established a procedure for the short term deferral of the payment of these charges

Section 2: Qualifications

In order to qualify for the Participation Fee Deferral Program, a project must meet one of the following criteria:

1. Existing commercial or industrial businesses relocating within the District, expanding facilities or changing use in a way that additional Participation Fees are due the District, where a hardship can be demonstrated, as determined by the General Manager.

2. New commercial or industrial projects where the public entity having jurisdiction over land-use planning or building has acted to permit deferred payments of any fees, charges or other incentives and found that such commercial or industrial concern will provide an economic community benefit.

3. Single-family residential home where a hardship can be demonstrated, as determined by the General Manager.

Section 3: Payment Plan

The applicant for sewer services for any project(s) that qualify may request that the Participation fees which would be due to the District be paid through a deferred payment plan in accordance with the following conditions:

1. This policy applies to single parcel ownership.

2. The proposed usage shall be known, with no estimates for density or usage.

3. Applicant shall enter into a deferred payment agreement with the District.

4. No deferred payment agreement shall be in excess of five (5) years for commercial and industrial projects and one (1) year for residential projects.

5. Deferred payment agreements are non-transferrable.

6. The District shall charge interest on the amount of Participation fees deferred at one percent (1%) per annum over the current South Placer Wastewater Authority Revenue Bond interest rate.

7. Any such deferment payment agreement shall be recorded and shall contain a provision authorizing the District to impose a lien on the property served in the event of default or non-payment of any installment payment when due.

8. Prior to the approval of any deferred payment agreement in excess of five (5) Equivalent Dwelling Units (EDU's), the General Manager shall submit a written report to the Board of Directors, for approval, citing the justification for the deferral, the terms of the repayment plan, and a listing of the current outstanding obligations due the District under these payment deferral plans.

Section 4: Delegation to the General Manager

The Board of Directors delegates the following authority to the General Manger:

1. to determine whether an applicant meets the qualifications set forth in Section 2, above.
2. to execute deferred payment agreement for connections of five (5) Equivalent Dwelling Units (EDU's) or less, provided that the application meets the requirement of Sections 2 and 3, above. All other requests for deferred payment agreements must be approved by the Board of Directors.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3370 – SEWER SYSTEM MANAGEMENT PLAN (SSMP)		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	
Resolution No.	14-07, 15-23	Revised:	

PURPOSE
The purpose of the Sewer System Management Plan (SSMP) is to reduce sanitary sewer overflows (SSO), protect public health and environment and improve the overall maintenance and management of sewer systems. The SSMP must include provisions to provide proper funding, efficient management, operation, and maintenance of the sanitary sewer system, while taking into consideration risk management and cost benefit analysis.

POLICY STATEMENT
Section 1: General

The District is required to develop and implement an SSMP under the State Water Resources Control Board WDR permit (Order 2006-0003-DWQ). The SSMP documents the District's program to properly operate and maintain the sanitary sewer system.

Section 2: Content

The SSMP provides a summary of the policies, procedures and activities that are used in the planning, management, operation and maintenance of the District's sanitary sewer system. It incorporates, by reference, the District's Strategic Plan, Master Plan, Five Year Financial Plan and Standard Specifications. It also includes, by reference, all other pertinent documents required to carry out the goals of the SSMP.

The SSMP will address the following elements:

1. Goal
2. Organization
3. Legal Authority
4. Operation and Maintenance Program
5. Design and Performance Provisions
6. Overflow Emergency Response Plan
7. Fats, Oils, and Grease (FOG) Control Program
8. System Evaluation and Capacity Assurance Plan
9. Monitoring, Measurement, and Program Modifications
10. SSMP Program Audits
11. Communication Program

Section 3: Audits and Re-Certification

An internal audit of the program's effectiveness shall be performed every two years. The SSMP shall be updated and re-certified by the Board of Directors by Resolution every five (5) years.

SOUTH PLACER MUNICPAL UTILITY DISTRICT POLICIES

Policy Name:	**4010 - CODE OF CONDUCT**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE

The purpose of this policy is to supplement state law and establish a code of conduct applicable to all employees and representatives of the District.

POLICY STATEMENT

Section 1: General

Maintaining the public trust and confidence in the integrity and ethical conduct of the Board and SMPUD employees is a core value. Therefore, to ensure the public interest is paramount in all official conduct, the Board shall adopt and update, as necessary: a Conflict of Interest Code as required by State law. SPMUD shall also maintain and enforce a code of conduct applicable to all employees.

Among other things the code of conduct shall:

a) Require high ethical standards in all aspects of official conduct;

b) Establish clear guidelines for ethical standards and conduct by setting forth those acts that may be incompatible with the best interests of SPMUD and the public;

c) Require disclosure and reporting of potential conflicts of interest; and

d) Provide a process for (i) reporting suspected violations of the code of conduct and policies through multiple channels and (ii) investigating suspected violations.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**4020 - ATTENDANCE AT MEETINGS**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE

The purpose of this policy is to establish a guideline for Board of Director attendance at Board Meetings and Committee Meetings, furthermore this ensures that a quorum of the board is available to determine District business.

POLICY STATEMENT

Section 1: General

Members of the Board of Directors shall attend all regular and special meetings of the Board unless there is good cause for absence. If a member is going to be absent, the Director should contact either the Board President or General Manager in advance of the meeting.

Section 2: Absent with Cause

If a Member of the Board of Directors contact either the Board President or General Manager in advance of the meeting to notify either of them of the impending absence, then that absence is determine to be "with cause".

Section 3: Absent without Cause

If a Member of the Board of Directors fails to contact either the Board President or General Manager in advance of the meeting and the Director is absent, then that absence is determine to be "without cause" unless said Director provides an explanation of their failure to contact the Board President or General Manager that is satisfactory to the Board.

Section 4: Resignation from the Board

If a Director accumulates, more than 6 absences without cause, or 3 consecutive absences without cause in any 12 month period, then it may be determined that that Director has abandoned their position on the Board of Directors and the board may request the resignation of that Board member. Vacancies created by resignation under this policy shall be filled in accordance with the Municipal Utility District Act, Filling of Vacancies on the Board of Directors.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**4030 - BOARD OF DIRECTOR REMUNERATION**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	99-02, 09-11, 13-01, 15-23	**Revised:**	

PURPOSE

The purpose of this policy is to prescribe the manner in which the individual members of the Board of Directors may be compensated for their time conducting District business.

POLICY STATEMENT

Section 1: General

Director's compensation for each meeting attended or day's service rendered during the month will be submitted on a Claim for Compensation sheet at the first Regular Meeting following the month in which compensation is being claimed.

Compensation will be calculated through the regular payroll cycle following the first Regular Meeting of the month.

Compensation will be subject to Federal Income Tax (FIT), Federal Insurance Contributions Act (FICA), Medicare, and California Personal Income Tax (PIT) based on W-2 and DE 4 withholding allowance forms on file.

Section 2: Eligible Meetings

Compensation to Directors will be for attendance at the following occurrences:

1. Attending District meetings of the Board, standing committees meetings of the Board, or temporary committees of members of the Board ("meeting" means any congregation of a majority of a legislative body at the same time and location, including teleconference location as permitted by CA Government Code § 54953, to hear, discuss, deliberate, or take action on any item that is within the subject matter jurisdiction of the legislative body);
2. Any mandatory meeting/training required of a Director;
   District Representation on outside meetings of local, regional, and state governing bodies and advisory boards; where that representation is duly authorized by the Board of Directors.
3. For each meeting that lists a primary representative and an alternate representative; only the primary representative may be compensated for attending the outside meeting unless the primary representative cannot attend; in which case the alternate representative may be compensated for attendance; and
4. Meetings at the invitation of the District Board, Staff, or the Press lasting a minimum of one hour.
5. Other types of events specified for reimbursement and approved by the Board of Directors in advance, such as mandatory training for Board Directors.

Section 3: Meeting Stipends

In accordance with the California Municipal Utilities Act §11908, Directors may receive $100.00 per day as a daily stipend for each day's attendance at regular meetings of the Board and standing or temporary committee meetings or for each day's service rendered as a Director that involves out of town travel, not to exceed 6 days in any one calendar month.

There shall be no compensation for attending meetings or performing other duties for the District on the same day as Board of Director's meetings.

Individual Board members may choose to take a lesser amount or waive compensation entirely.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**4035 - DIRECTOR HEALTH INSURANCE**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	13-17, 15-23	**Revised:**	

PURPOSE
The purpose of this policy is to prescribe the manner in which the individual members of the Board of Directors may participate in the health benefits plan provided by the District.

POLICY STATEMENT

Section 1: General

California Government Code (CGC) §53200 provides that elected and appointed officials of a State/Local Government and political subdivision may be considered employees of the District for the purposes of providing "health and welfare benefits" to its legislative body.

Section 2: Benefit

Elected and appointed officials shall receive $400 per month to be used to pay for health and welfare expenses, and payment will be made via direct deposit through the District Payroll process.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**4040 DUTIES AND RESPONSIBILITIES OF THE BOARD PRESIDENT**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE
The purpose of this policy is to prescribe the duties and responsibilities of the President of the Board.

POLICY STATEMENT

Section 1: General

The President of the Board of Directors shall serve as chairperson at all Board meetings and assure the integrity of the Board's processes and assure Board representation to outside parties. The President 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.

In the absence of the President, the Vice President of the Board of Directors shall serve as chairperson over all meetings of the Board. If the President and Vice President of the Board are both absent, the remaining members present shall select one of themselves to act as chairperson of the meeting.

Section 2: Duties

The president shall preside over and conduct all meetings of the Board of Directors, and shall carry out the resolution and orders of the Board of Directors and shall exercise such other powers and perform such other duties as the Board of Directors shall prescribe including the following:

1. Preside over and facilitate Board meetings. Call the meeting to order at the appointed time;
2. Announce the business to come before the Board in its proper order;
3. Enforce the Board's policies in relation to the order of business and the conduct of meetings;
4. Recognize persons who desire to speak, and protect the speaker who has the floor from disturbance or interference;
5. Ensure that meeting discussion focuses on those issues which, according to Board policy, belong to the Board to decide;
6. Explain what the effect of a motion would be if it is not clear to every member;

7. Restrict discussion to the question when a motion is before the Board;
8. Ensure that the Board behaves consistently within its own rules and policies, and those legitimately imposed on it from outside the organization;
9. Rule on parliamentary procedure; and
10. Put motions to a vote, and state clearly the results of the vote.

Section 3: Responsibilities

The president shall have all the rights to discuss and vote on any issues before the Board. Responsibilities of the President include:

1. Sign all instruments, act, and carry out stated requirements and the will of the Board;
2. Appoint and disband all temporary committees, subject to Board ratification;
3. Call such meetings of the Board as he/she may deem necessary, giving notice as prescribed by law;
4. Coordinate the preparation of meeting agendas with the General Manager;
5. Confer with the General Manager or designee on crucial matters which may occur between Board of Directors meetings;
6. Be responsible for the orderly conduct of all Board meetings;
7. Schedule and coordinate the process of the periodic evaluation of the General Manager;
8. Be the Spokesperson for the Board; and
9. Perform other duties as authorized by the Board.

Section 4: Role of the President

The President of the Board shall assure the integrity of the Board's processes and assure Board representation to outside parties. Specifically:

a) The President shall preside over and facilitate Board meetings.
b) The President shall ensure that meeting discussion focuses on those issues which, according to Board policy, belong to the Board to decide.
c) The President shall ensure that deliberation is fair, open and thorough, but also timely, orderly and kept to the point.
d) The President shall appoint the committees.
e) The President shall schedule and coordinate the periodic process of evaluating the General Manager.
f) The President shall appoint one or more Board members to meet with the external auditor.
g) The President (or Vice President, as appropriate) shall approve expense reimbursement requests of other Board members.
h) The President has no authority to supervise or direct the General Manager, apart from authority expressly granted him or her by the Board.
i) The President may delegate his or her authority, but remains accountable for its use.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**4041 - DELEGATION TO THE GENERAL MANAGER**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No:	15-23	**Revised:**	

PURPOSE

This policy sets forth instructions to the SPMUD General Manager to achieve the results of the organization, and the delegations of authority.

POLICY STATEMENT

The Board will instruct the General Manager through written policies that define the results that the organization is to achieve, and which describe the delegation of authority to the General Manager.

Specifically:

a) The Board shall identify and define those results or conditions of SPMUD that are acceptable and not acceptable to the Board and communicate them in the form of policy.

b) The Board shall develop policies that define the delegation to the General Manager with regard to the General Manager's authority.

c) The General Manager is authorized to establish all further policies, make all decisions, take all actions, establish all practices, and develop all activities related to the operations or business affairs of the District.

d) The General Manager shall use prudent judgment in the exercise of the delegations and in a manner that is operationally and economically sound, serves the best interests of SPMUD's customers and the community, comports with prudent business practices, balances the risks and benefits of the actions, and does not expose SPMUD to unreasonable risk. If the General Manager reasonably determines that an activity related to the delegations presents, regardless of the size of the financial commitment: (i) a unique and significant operational risk to SPMUD; (ii) a significant impact to customers; (iii) a significant impact to community relations; (iv) a significant impact to SPMUD's reputation; or (v) materially compromises the policies and goals established by the Board, the General Manager shall inform the Board and may request the Board to take appropriate actions.

e) The Board may change its delegation to the General Manager at any time, subject to the conditions of the Board's contract with the General Manager, thereby expanding or limiting the authority of the General Manager. But as long as any particular delegation is in place, the Board will abide by the General Manager's decisions in those areas that are delegated to him or her.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**4042 - BOARD-GENERAL MANAGER RELATIONSHIP AND RESPONSIBILITIES**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE

The purpose of this policy is to establish the different responsibilities of the Board of the Directors and the General Manager.

POLICY

Section 1: General

The Board of Directors governs the South Placer Municipal Utility District and is the policy-making body of SPMUD. The Board operates under the provisions of the Municipal Utility District Act of the State of California (the MUD Act) and all other applicable statutes and laws.

Section 2: Board of Director's Responsibilities

1. Identify and define the purpose, values and vision of SPMUD, along with the results that are acceptable and not acceptable for SPMUD to achieve, and communicate them in the form of policy.
2. Make certain operational decisions as are designated by law.
3. Hire, evaluate, and terminate the General Manager.

Section 3: General Manager's Responsibilities

1. Manage all operations and business affairs of SPMUD.
2. Achieve the results established by the Board within the appropriate and ethical standards of business conduct set by the Board.
3. Prepare and submit to the Board for approval each year a budget to achieve the Board's strategic directives.
4. Enforce SPMUD ordinances, administer the civil service system (including hiring and terminating of all employees), attend meetings of the Board and report on the general affairs of SPMUD, and keep the Board advised as to the needs of SPMUD.
5. Establish and enforce a code of ethics applicable to all employees, which provides clear guidelines for ethical standards and conduct.
6. Implement and maintain an integrated enterprise risk management process that identifies, assesses, prudently manages and mitigates a variety of risks facing SPMUD.
7. Ensure the smooth continuous operation of SPMUD in the event of the planned or unplanned absence of the General Manager.
8. Interact with the public and other utilities and government agencies, pursuant to policies adopted by the Board. The General Manager shall assure, in cooperation and consultation with the Board, that SPMUD is appropriately represented in the community it serves.
9. Perform other responsibilities as may be delegated by the Board either by resolution or through the General Manager's contract of employment.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**4045 –BOARD SECRETARY**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-01, 15-23	**Revised:**	

PURPOSE

The purpose of this policy is to establish the duties and responsibilities of the Board Secretary.

POLICY

Section 1: General

The Secretary performs duties including recording of minutes and actions of the Board of Directors and certifying all actions and resolutions of the Board. The position of Board Secretary is required by state law. Section 11931, et seq. of the MUD Act specifies conditions under which the District may appoint a secretary who shall hold office at the pleasure of the board.

Section 2: Designation of the Board Secretary

The Administrative Services Manager is designated as the Board Secretary and in the absence of the Administrative Services Manager, the General Manager will act as the temporary Secretary.

Section 3: Duties of the Secretary

The Board Secretary of the Governing Board shall have the following duties:

1. Certify or attest to actions taken by the Board when required;
2. Sign the minutes of the Board meeting following their approval;
3. Sign the documents as directed by the Board on behalf of the District, and sign all other items which require the signature of the Secretary; and
4. Perform any other duties assigned by the Board.

Section 4: Responsibilities of the Secretary

It is the responsibility of the Secretary with assistance of the General Manager to ensure:

1. Minutes of the Board of Directors meetings are recorded. These recordings are for use by the Secretary only for the purpose of preparing minutes for adoption at the next regularly scheduled meeting of the Board. Upon adoption of these minutes the recording media will be reused after 180 days;
2. Minutes of each Board meeting are prepared and maintained;
3. Board records and other documents & reports are maintained, as required by law; and
4. Board officers receive the correspondence addressed to them.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**4048 – DISTRICT GENERAL COUNSEL AND AUDITOR**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE
The purpose of this policy is to prescribe the manner in which the Board of Directors appoint district General Counsel and District Auditor and the reporting relationships of these appointments.

POLICY STATEMENT

Section 1: General Counsel

The Board of Directors shall appoint a District General Counsel to assist the Board and District in all applicable legal issues and activities.

General Counsel shall be the legal adviser of the District and shall perform such duties as may be prescribed by the Board of Directors. General Counsel is required to review and approve as to form District legal documents, i.e. contracts, agreements, etc. The General Counsel shall present and report on all legal issues and closed session items before the Board. The General Counsel shall serve at the pleasure of the Board, and shall be compensated for services as determined by the Board.

Section 2: General Counsel Reporting Relationship

The General Counsel reports to the Board as a whole but is available to each director for consultation regarding legal matters particular to that Board members participation. No Board member may request a legal opinion of General Counsel without concurrence by the Board except as such requests relate to questions regarding that member's participation. The General Counsel shall be available to the District General Manager for consultation on applicable issues and activities.

The District General Manager shall manage the contract of the District General Counsel at the direction from the Board.

Section 3: District Auditor

The District Auditor shall be appointed by the Board by a majority vote in a public meeting. The Board shall determine the duties and compensation of the Auditor. The Auditor shall serve at the pleasure of the Board. Selection of the Auditor shall be done in a noticed public meeting and at least every five years.

Section 4: District Auditor Reporting Relationship

The District Auditor reports to the Board but the contract is managed by the District General Manager. The General Manager will oversee the work of an independent auditor to conduct an annual audit of the District's

books, records, and financial affairs in accordance with state law. The General Manager and Administrative Services Manager will be responsible to implement an accounting system that will completely and at all times show the financial condition of the District.

SOUTH PLACER UTILITY DISTRICT POLICIES

Policy Name:	**4050 – GUIDELINES FOR MEMBERS OF THE BOARD OF DIRECTORS**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No	15-23	**Revised:**	

PURPOSE

The purpose of this policy is to establish guidelines for the behavior of the individual members of the Board of Directors.

POLICY STATEMENT

The Board and its members should act in an ethical, businesslike, productive, and lawful manner. Board members should avoid even the appearance of impropriety to ensure and maintain public confidence in SPMUD.

Specifically:

a) Board members shall conduct themselves in accordance with all laws.

b) Board members should conduct themselves with civility and respect at all times with one another, with staff, and with members of the public.

c) Board members are expected to demonstrate loyalty to the interests of SPMUD owners and ratepayers. This supersedes any conflicting loyalty such as that to advocacy or interest groups and membership on other Boards or staffs. It also supersedes the personal interest of any Board member acting as a consumer of the organization's activities.

d) Board members may not attempt to exercise individual authority over the organization except as explicitly set forth in Board policies.

i) Board members must recognize the lack of authority vested in them as individuals in their interactions with the General Manager or with staff, except where explicitly Board authorized.

ii) In their interactions with the public, press or other entities, Board members should recognize the same limitation and the inability of any Board member to speak for the Board or for other Board members except to repeat explicitly stated Board decisions.

e) Board members shall at all times endeavor to express their individual opinions in a responsible manner, without causing harm to SPMUD, to SPMUD's owners and customers, or to other Board members and staff.

i) Each member of the Board is expected to support the legitimacy and authority of the decisions of the Board concerning any matter, irrespective of the member's personal position.

ii) Board members retain the right to criticize the decisions of SPMUD, but in doing so should make it clear that it is their opinion, and not the opinion of the Board or other Board members, and so long as it complies with the limitations set forth in these policies. Board members are encouraged to notify the General Manager in advance when they plan to speak publicly in opposition to SPMUD decisions and policies.

f) Members should prepare themselves for Board deliberations.

g) Board members shall discourage former Board members from attempting to influence the Board, individual Board members or staff, on behalf of any third party (other than a governmental entity) from whom the former Board member is receiving compensation, on any matter that the former Board member substantially participated in during his or her tenure with the Board. This provision shall not apply to: (i) communications by a former Board member acting in his or her capacity as an individual or ratepayer and for which the Board member receives no compensation; or (ii) communications with a former Board member who has not been a Board member for more than two years.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**4070 – BASIS OF AUTHORITY**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE
The purpose of this policy is to establish the basis of authority of the Board of Directors of the South Placer Municipal Utility District. Directors must be residents of the District and reside within the ward from which they are nominated.

POLICY STATEMENT
Section 1: General

The Board of Directors of the South Placer Municipal Utility District are elected in accordance with the Municipal Utility Act of the State of California (MUD Act).

Section 2: Basis of Authority

The Board of Directors is the unit of authority within the District. Apart from their normal function as a part of this unit, Directors have no individual authority. As individuals, Directors may not commit the District to any policy, act, or expenditure.

While the individual Director must reside within the Ward from which they are nominated, Directors do not represent any fractional segment of the community, but are, rather, a part of the body that represents and acts for the community as a whole.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**4095 – ETHICS TRAINING**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

PURPOSE
The purpose of this policy is to enforce those regulations under AB1234 mandating training of ethics principals and laws for Directors and employees of the District. This Policy is meant to be a companion to Policy 1060 – Conflicts of Interest.

POLICY STATEMENT
Section 1: General

All directors and designated executive staff of the South Placer Municipal utility District shall receive two hours of training in general ethics principles and ethics laws relevant to public service within one year of election or appointment to the board of directors and at least once every two years thereafter, pursuant to Government Code Sections 53234 through 53235.2.

Section 2: Applicability

This policy shall also apply to all staff members that the board of directors designates and to members of all commissions, committees and other bodies that are subject to the Ralph M. Brown Open Meeting Act.

Section 3: Curricula

All ethics training shall be provided by entities whose curricula have been approved by the California Attorney General and the Fair Political Practices Commission.

District staff shall provide the board of directors with information on available training that meets the requirements of this policy at least once every year. 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.

Section 4: Records

Directors shall obtain proof of participation after completing the ethics training. Applicable costs for attending the training will be reimbursed by the District.

District staff shall maintain records indicating both the dates that directors completed the ethics training and the name of the entity that provided the training. These records shall be maintained for at least five years after directors receive the training, and are public records subject to disclosure under the California Public Records Act.

Section 5: Other Agency Representation

Any director of the South Placer Municipal Utility District that serves on the board of another agency is only required to take the training once every two years.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**5010 – BOARD MEETINGS**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

Purpose

The purpose of this policy is to ensure that Board meetings will be regularly scheduled, adequately noticed and that meeting materials will be made available to the public.

Policy Statement

Section 1: Regular Meetings

Regular meetings of the Board of Directors are hereby fixed and established to be held on the first Thursday of each month at 4:30 PM in the SPMUD District Offices located at 5807 Springview Drive, Rocklin, California, unless otherwise changed to accommodate observed holidays.

Section 2: Special Meetings

Special meetings of the Board of Directors may be called by the Board President or by a majority of the Board. All Directors shall be notified of the special Board meeting and the purpose or purposes for which it is called. Said notification shall be in writing, received by them at least 24 hours prior to the meeting. Newspapers of general circulation in the District, radio stations and television stations, organizations, and property owners who have requested notice of special meetings in accordance with the Ralph M. Brown Act (California Government Code §54950 through §54926) shall be notified by U.S. Mail unless the special meeting is called less than one week in advance, in which case notice, including a description of business to be transacted, will be given by telephone and email (if such has been provided by the party requesting notice) during regular business hours as soon as practicable after the meeting has been scheduled. All meeting notices will be posted at the front door of the business office and on the Districts website.

An agenda shall be prepared as specified for regular Board meetings in Policy #5020 and shall be delivered with the notice of the special meeting to those parties specified above. Only those items of business listed in the call for the special meeting shall be considered by the Board at any special meeting.

Section 3: Emergency Meetings.

In the event of an emergency situation involving matters upon which prompt action is necessary due to the disruption or threatened disruption of public facilities, the Board of Directors may hold an emergency special meeting without complying with the 24-hour notice required above. An emergency

situation means a crippling disaster which severely impairs public health, safety, or both, as determined by a majority of the Board.

Newspapers of general circulation in the District, radio stations and television stations which have requested notice of special meetings in accordance with the Ralph M. Brown Act (California Government Code §54950 et seq) shall be notified by at least one hour prior to the emergency meeting. In the event that telephone services are not functioning, the notice requirement of one hour is waived, but the Board, or its designee, shall notify such newspapers, radio stations, or television stations of the fact of the holding of the emergency special meeting, and of any action taken by the Board, as soon after the meeting as possible.

No closed session may be held during an emergency meeting, and all other rules governing special meetings shall be observed with the exception of the 24-hour notice. The minutes of the emergency meeting, a list of persons the Board or designee notified or attempted to notify, a copy of the roll call vote(s), and any actions taken at such meeting shall be posted for a minimum of ten days in the District office as soon after the meeting as possible.

Section 4: Adjourned Meetings.

A majority vote by the Board of Directors may terminate any Board meeting at any place in the agenda to any time and place specified in the order of adjournment, except that if no Directors are present at any regular or adjourned regular meeting, the General Manager may declare the meeting adjourned to a stated time and place, and he/she shall cause a written notice of adjournment to be given to those specified in 5010.2, above.

Section 5: Annual Organizational Meeting.

The Board of Directors shall hold an annual organizational meeting at its first regular meeting in January during which the Board will elect a President and Vice President from among its members to serve during the coming calendar year.

Section 6: Agenda

The Board President and the General Manager shall determine the order in which agenda items shall be considered for discussion and/or action by the Board and shall ensure that appropriate information is available for the audience at meetings of the Board of Directors, and that physical facilities for said meetings are functional and appropriate, and comply with applicable legal requirements regarding accessibility to disabled persons. The agenda will be posted on-line at least 72 hours prior to any regularly scheduled meeting except as specified above for special and emergency meetings.

Meeting	**Notice Posting Requirement**
Regular Meeting	72 hours
Special Meeting	24 hours
Emergency Meeting	One hour
Public Hearing	Published once a week for two successive weeks

Section 7: Canceling a Meeting

To the extent practicable, all special meetings must be cancelled by delivering a "NOTICE OF CANCELLATION" under the same procedure as for noticing a special meeting. However, for meetings cancelled on short notice or due to a lack of a quorum of the Board, good meeting practice requires that cancellation be announced at the time and place of the noticed meeting.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**5020 – BOARD MEETING AGENDA**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

Purpose

The purpose of this policy is to ensure that agendas for Board meetings will be prepared in accordance with laws of the State of California, adequately noticed and that meeting materials will be made available to the public.

Policy Statement

Section 1: Setting of Agenda

The General Manager, in cooperation with the Board President, shall prepare an agenda for each regular and special meeting of the Board of Directors in accordance with the Ralph M. Brown Act (California Government Code §54950 *et seq*.] and consistent with Chapter 3, Article 5 of the California Municipal Utility District Act, Public Utilities Code §11907 *et seq*. Any Director may contact the General Manager and request any item to be placed on the agenda no later than 5:00 P.M, ten (10) business days prior to the next regularly scheduled Board Meeting.

Section 2: Public Requests for Agenda Items

Any member of the public may request that a matter directly related to District business be placed on the agenda of a regularly scheduled meeting of the Board of Directors, subject to the following conditions:

1. The request must be in writing and be submitted to the General Manager together with supporting documents and information, if any, no later than 5:00 P.M, ten (10) business days prior to the date of the next regularly scheduled meeting;
2. The General Manager shall be the sole judge of whether the public request is or is not a "matter directly related to District business." The public member requesting the agenda item may appeal the General Manager's decision at the next regular meeting of the Board of Directors. Any Director may request that the item be placed on the agenda of the Board's next regular meeting.

Section 3: Time Limits

The President of the Board of Directors, with the concurrence of a majority of the Board may place limitations on the total time to be devoted to a public request issue at any meeting, and may limit the time allowed for any one person to speak on the issue at the meeting.

Section 4: Public Comment

This policy does not prevent the Board from taking testimony at regular and special meetings of the Board on matters which are not on the agenda which a member of the public may wish to bring before the Board. However, the Board shall not discuss or take action on such matters at that meeting.

Section 5: Closed Session Items

No matter, which is legally a proper subject for consideration by the Board in closed session, will be accepted under this policy.

Section 6: Posting of Agenda

At least 72 hours prior to the time of all regular meetings, an agenda, which includes but is not limited to all matters on which there may be discussion and/or action by the Board, shall be posted in a place that is freely accessible to members of the public (California Government Code §54954.2 (a)(1)). The agenda shall be posted on the website for public information at the same time. All information made available to the Board of Directors (except confidential information deemed privileged in accordance with state law as advised by the District's legal counsel) shall be available for public review prior to the Board meeting.

Section 7: Special and Emergency Meeting Agendas

In conformance with Policy 5010, the agenda for a special meeting shall be posted at least 24 hours before the meeting in the same location as for Regular Meeting agendas. The agenda for an emergency meeting will be posted at least one hour before commencement of the emergency meeting.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**5030 – BOARD MEETING CONDUCT**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

Purpose

The purpose of this policy is to establish guidelines for the conduct of Board meetings.

Policy Statement

Section 1:

Meetings of the Board of Directors shall be conducted by the President in a manner consistent with the policies of the District. Policy No. 5070, "Rules of Order for Board and Committee Meetings", shall be used as a general guideline for meeting protocol.

All Board meetings shall commence at the time stated on the agenda and shall be guided by same.

The conduct of meetings shall, to the fullest possible extent, enable Directors to:

1. Consider problems to be solved, weigh evidence related thereto, and make wise impartial decisions intended to solve the problems; and
2. Receive, consider and take any needed action with respect to reports of accomplishment of District operations.

Section 2: Public Testimony

Provisions for permitting any individual or group to address the Board concerning any item on the agenda of a special meeting, or to address the Board at a regular meeting on any subject that lies within the jurisdiction of the Board of Directors, shall be as followed:

1. Three (3) minutes may be allotted to each speaker and a maximum of 20 minutes to each subject matter, subject to the discretion of the Board President to increase the allotted time.
2. No disruptive conduct shall be permitted at any Board meeting. Persistence in disruptive conduct shall be grounds for summary termination, by the Board President, of that person's privilege of address.
3. Willful disruption of any of the meetings of the Board of Directors shall not be permitted. If the President finds that there is in fact willful disruption of any meeting of the Board, he/she may order the disrupting parties out of the room and subsequently conduct the Board's business without them present.
4. After clearing the room of disruptive individuals, the President may permit those persons who, in his/her opinion, were not responsible for the willful disruption to remain in the meeting room.
5. If the disruptive individual(s) refuse to leave the meeting, and in the sole judgment of the Board President, the continued presence of such individuals creates a risk of a breach of the peace, then the Board President may adjourn the meeting and/or direct the General Manager to contact the City of Rocklin Police Department to escort the disruptive person(s) from the premises and otherwise maintain order during the meeting.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**5040 – BOARD ACTIONS AND DECISIONS**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

Purpose

The purpose of this policy is to conform with Chapter 3, Article 5 (Meetings and Legislation) of the California Municipal Utility District Act, regarding the expression of Board Actions and Decisions, including informal direction.

Policy Statement

Section 1: General

Actions by the Board of Directors include, but are not limited to, the following:

A. Adoption or rejection of regulations or policies;
B. Adoption or rejection of a resolution;
C. Adoption or rejection of an ordinance;
D. Approval or rejection of any contract or expenditure;
E. Approval or rejection of any proposal which commits District funds or facilities, including employment and dismissal of personnel; and,
F. Approval or disapproval of matters that require or may require the District or its employees to take action and/or provide services.

Section 2: Majority Votes of the Board

Action can only be taken by the vote of the majority of the Board of Directors. Three (3) Directors represent a quorum for the conduct of business.

A. A member abstaining in a vote is considered as absent for that vote. A member abstaining due to a conflict of interest does not count towards a quorum.
B. If three of five Directors are present at a meeting, a quorum exists and business can be conducted unless the abstention is due to a conflict of interest. However, if one Director abstains on a particular action and the other two cast "aye" votes, no action is taken because a "majority of the Board" did not vote in favor of the action.
C. If an action is proposed requiring a two-thirds vote and two Directors abstain, the proposed action cannot be approved because four of the five Directors would have to vote in favor of the action.
D. If a vacancy exists on the Board and a vote is taken to appoint an individual to fill said vacancy, three Directors must vote in favor of the appointment for it to be approved. If two of the four Directors present abstain, the appointment is not approved.

Section 3: Board Direction

The Board may give directions that are not formal action. Such directions do not require formal procedural process. Such directions include the Board's directives and instructions to the General Manager.

The President shall determine by consensus a Board directive and shall state it for clarification. Should any two Directors challenge the statement of the President, a voice vote may be requested.

A formal motion may be made to place a disputed directive on a future agenda for Board consideration, or to take some other action (such as refer the matter to the General Manager for review and recommendation, etc.).

Informal action by the Board is still Board action and shall only occur regarding matters that appear on the agenda for the Board meeting during which said informal action is taken.

Section 4: Dissenting Opinion

In accordance with Policy No. 4050 – Guidelines for Members of the Board of Directors, Directors are expected to support the legitimacy and authority of the decisions of the Board concerning any matter, irrespective of the Director's personal position. A Director retains the right to criticize the decisions of SPMUD, but in doing so should make it clear that it is their opinion, and not the opinion of the Board or other Directors, and so long as it complies with the limitations set forth in these policies. Directors are encouraged to notify the General Manager in advance when they plan to speak publicly in opposition to SPMUD decisions and policies

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**5060 – Minutes of Board Meetings**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

Purpose

The purpose of this policy is to conform with Chapter 3, Article 5 of the California Municipal Utility District Act expression of Board Actions and Decisions, including informal direction.

Policy Statement

The Secretary of the Board of Directors or his/her alternate shall keep minutes of all regular and special meetings of the Board.

Copies of a meeting's minutes shall be distributed to Directors as part of the information packet for the next regular meeting of the Board, at which time the Board will consider approving the minutes as presented or with modifications. Once approved by the Board, the official minutes shall be kept in a fireproof vault or in a fire-resistant, locked cabinet.

An audio tape or digital recording of regular and special meetings of the Board of Directors will be made and shall be kept in a fireproof vault or in fire-resistant, locked cabinet for a minimum of 180 days. The sole purpose of this recording will serve to facilitate the preparation of the meeting minutes by the Board Secretary. Members of the public may inspect recordings of Board meetings without charge on a playback machine that will be made available by the District. After 180 days, the audio tape or digital recording will be erased.

Motions, resolutions or ordinances shall be recorded in the minutes as having passed or failed and individual votes will be recorded unless the action was unanimous. All resolutions and ordinances adopted by the Board shall be numbered consecutively, starting new at the beginning of each year. In addition to other information that the Board may deem to be of importance, the following information (if relevant) shall be included in each meeting's minutes:

- Date, place and type of each meeting;
- Directors present and absent by name;
- Administrative staff present by name;
- Call to order;
- Time and name of late arriving Directors;
- Time and name of early departing Directors;
- Names of Directors absent during any agenda item upon which action was taken;
- Summary record of staff reports;
- Summary record of public comment regarding matters not on the agenda, including names of commentators;
- Approval of the minutes or amended minutes of preceding meetings;
- Approval of financial reports;
- Record by number (a sequential range is acceptable) of all warrants approved for payment;

- Complete information as to each subject of the Board's deliberation;
- Record of the vote of each Director on every action item for which the vote was not unanimous;
- Resolutions and ordinances described as to their substantive content and sequential numbering;
- Record of all contracts and agreements, and their amendment, approved by the Board;
- Approval of all polices, rules and/or regulations;
- Time of meeting's adjournment.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**5070 - RULES OF ORDER FOR BOARD AND COMMITTEE MEETINGS**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

Purpose
The purpose of this policy is to establish parliamentary procedure for meetings of the Board of Directors or any Standing Committees in order to have smooth, orderly, and fairly conducted meetings.

Policy Statement

Section 1: General.

The Board prefers a flexible form of meeting and, therefore, does not conduct its meetings under formalized rules, such as Robert's Rules of Order. Action items shall be brought before and considered by the Board by motion in accordance with this policy. These rules of order are intended to be informal and applied flexibly.

Consistent with the provisions of the Ralph M. Brown Act, every regular meeting agenda must provide an opportunity for the public to address the Board on items of public interest within the Board's jurisdiction prior to or during Board consideration of the item. The notice for special meetings must provide an opportunity for members of the public to directly address the board concerning that item prior to action on the item.

If a Director believes order is not being maintained or procedures are not adequate, then he/she should raise a point of order - not requiring a second - to the President. If the ruling of the President is not satisfactory to the Director, then it may be appealed to the Board. A majority of the Board will govern and determine the point of order.

Section 2: Public Hearings

In general, all public hearing items must allow for thorough discussion prior to rendering a decision. It is the intent of this policy to give general guidance on a workable order of procedure. The suggested order is as follows:

1. Opening of the public hearing of the item by the Board President
2. Staff presentation of the subject matter including a description of the matter, any staff or consultant's report and a staff recommendation. If any written communication is received that is not already included in the record, such written communication should be given to the Board.
3. If individual Directors require clarifying information, they should be allowed to ask questions of staff.
4. If there is a project proponent or sponsor of the agenda item, they should be allowed to address the Board.

5. If there is a project opponent or organized group opposing the agenda item, they should be allowed to address the Board.
6. Any additional public comment should be solicited.
7. All remarks must be directed to the Board President. Remarks must be courteous in language and deportment, avoiding all personalities, never alluding to others by name or to motives. Remarks should be respectful and pertinent to the item of discussion. At no time should there be a dialogue between members of the public and staff.
8. During Board discussion of the item, it may be appropriate for Directors to ask additional questions of staff or the project proponent.
9. The hearing may be continued or closed for further public input.
10. If the hearing has been closed to the public, it is ready for consideration of action by the Board.

Section 3: Obtaining the Floor.

Any Director desiring to speak should address the President and, upon recognition by the President, may address the subject under discussion. Once the floor is granted, all remarks must be directed to the President unless they are questions to staff. Remarks should be respectful and pertinent to the item of discussion.

Section 4: Motions.

Any Director, including the President, may make or second a motion. A motion shall be brought and considered as follows:

1. A Director makes a motion; another Director seconds the motion; and the President states the motion.
2. Once the motion has been stated by the President, it is open to discussion and debate. After the matter has been fully debated, and after the public in attendance has had an opportunity to comment, the President will call for the vote.
3. If the public in attendance has had an opportunity to comment on the proposed action, any Director may move to immediately bring the question being debated to a vote, suspending any further debate. The motion must be made, seconded, and approved by a majority vote of the Board.

Section 5: Secondary Motions.

Ordinarily, only one motion can be considered at a time and a motion must be disposed of before any other motions or business are considered. There are a few exceptions to this general rule, though, where a secondary motion concerning the main motion may be made and considered before voting on the main motion.

1. Motion to Amend. A main motion may be amended before it is voted on, either by the consent of the Directors who moved and seconded, or by a new motion and second.
2. Motion to Table. A main motion may be indefinitely tabled before it is voted on by motion made to table, which is then seconded and approved by a majority vote of the Board.
3. Motion to Postpone. A main motion may be postponed to a certain time by a motion to postpone, which is then seconded and approved by a majority vote of the Board.

4. Motion to Refer to Committee. A main motion may be referred to a Board committee for further study and recommendation by a motion to refer to committee, which is then seconded and approved by a majority vote of the Board.
5. Motion to Close Debate and Vote Immediately. As provided above, any Director may move to close debate and immediately vote on a main motion.
6. Motion to Adjourn. A meeting may be adjourned by motion made, seconded, and approved by a majority vote of the Board before voting on a main motion.

In the event that any of the aforementioned motions are made, then they must be voted on prior to the original motion. Approval of an amended motion renders the original motion moot. No further action is necessary

Section 6: Decorum.

The President shall take whatever actions are necessary and appropriate to preserve order and decorum during Board meetings, including public hearings. The President may eject or cause to be ejected, any person or persons making personal, impertinent or slanderous remarks, refusing to abide by a request from the President, or otherwise disrupting the meeting or hearing.

The President may also declare a short recess during any meeting.

Section 7: Amendment of Rules of Order.

By motion made, seconded and approved by a majority vote, the Board may, at its discretion and at any meeting: a) temporarily suspend these rules in whole or in part; b) amend these rules in whole or in part; or, c) both.

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	**5080 – CLOSED SESSION**		
Approval Authority:	SPMUD BOARD OF DIRECTORS	**Adopted:**	
Resolution No.	15-23	**Revised:**	

Purpose

The purpose of this policy is to reflect the Board's intent to comply with the Ralph M. Brown Act, Government Code §54950, *et seq*. specifically those sections pertaining to permissible closed sessions.

Policy Statement

Section 1: General.

As a general rule, all meetings and hearings are open to the public except those items identified to be discussed in closed session. Any closed session of the Board of Directors shall comply with all applicable state laws, most notably the Ralph M. Brown Act. Closed session is a term for any block within an otherwise public meeting in which publicly available minutes are not taken, outsiders are not present, and the contents of the discussion are treated as confidential.

Section 2: Notice

At least 72 hours before a regular meeting, the Board Secretary shall post an agenda containing a brief general description of each item of business to be transacted or discussed at the meeting, including items to be discussed in closed session, which will be described in accordance with Government Code §54954.5. A brief general description of an item generally should not exceed 20 words.

Section 3: Designation of Clerk

Pursuant to provisions of §54957.2 of the Government Code, the Board of Directors may designate the District General Counsel, the General Manager and/or Board Secretary to attend each closed session of the Board of Directors and keep and enter in a minute book a record of topics discussed and decisions made at each closed session. However, if the General Manager, General Counsel or Secretary is the subject of the closed session, the Board of Directors, upon motion, may exclude said person from attending the closed session unless that person has the legal right to be present.

Section 4. Public Comment

In accordance with GC §54954.3, the Board shall allow for members of the public to directly address the Board before discussion of the Closed Session item(s). This public comment must occur before the Board recesses into closed session.

Section 5: Disclosure

Following any closed session, General Counsel shall report in public session any action taken in closed session and the vote or abstention on that action of every member present. In the event no action is taken during closed session, General Counsel shall disclose such. If General Counsel is not present, then the report shall be made by the Board President, General Manager or Secretary, as determined by the Board President.