



## **Agenda**

### **EXECUTIVE COMMITTEE**

**Wednesday February 5, 2014**

**4:00 p.m.**

Conference Room

128 Sun Street, Suite 101, Salinas, California

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#### **CALL TO ORDER**

#### **ROLL CALL**

President	Elizabeth Silva (City of Gonzales)
Vice President	Jyl Lutes (City of Salinas)
Alternate Vice President	<i>vacant</i>
Immediate Past President	Fernando Armenta (County of Monterey)

#### **GENERAL MANAGER COMMENTS**

#### **DEPARTMENT MANAGER COMMENTS**

#### **COMMITTEE MEMBER COMMENTS**

#### **PUBLIC COMMENTS**

Receive public communications from audience on items which are not on the agenda. Speakers are limited to three minutes.

#### **CONSIDERATION ITEMS**

1. [Minutes of January 8, 2014 Meeting](#)
  - A. Committee Discussion
  - B. Public Comment
  - C. Recommended Committee Action – Approval
2. [2014 Employee Handbook](#)
  - A. Receive a report from HR/Organizational Development Manager Rose Gill
  - B. Committee Discussion
  - C. Public Comment
  - D. Recommended Committee Action – Approval
3. [December 2013 Claims and Financial Reports](#)
  - A. Receive a report from Finance Manager Roberto Moreno
  - B. Committee Discussion
  - C. Public Comment
  - D. Recommended Committee Action – Forward to the Board for Approval
4. [Fiscal Year 2013-14 Mid-Year Budget Adjustments](#)
  - A. Receive a report from Finance Manager Roberto Moreno
  - B. Committee Discussion
  - C. Public Comment
  - D. Recommended Committee Action – Forward to the Board for Approval

**5. Fiscal Year 2014-15 Preliminary Budget**

- A. Receive a report from Finance Manager Roberto Moreno
- B. Committee Discussion
- C. Public Comment
- D. Recommended Committee Action – Forward to the Board for Approval

**FUTURE AGENDA ITEMS**

**6. Agenda Items – View Ahead**

**CLOSED SESSION**

7. Pursuant to Government Code Section 54957 (b) to consider the Performance Evaluation of the General Manager/Chief Administrative Officer.

**RECONVENE**

**ADJOURNMENT**

This meeting agenda was posted at the Salinas Valley Solid Waste Authority office at 128 Sun Street, Suite 101, Salinas, on **Friday, January 31, 2014**. The Executive Committee will next meet on regular session on **Wednesday, March 5, 2014, at 4:00 p.m.** Staff reports for the Authority Executive Committee meetings are available for review at 128 Sun Street, Suite 101, Salinas, California 93901, Phone 831-775-3000 and at [www.salinasvalleyrecycles.org](http://www.salinasvalleyrecycles.org).

In compliance with the Americans with Disabilities Act, if you need special assistance to participate in the meeting, please contact Elia Zavala, Clerk of the Board, at 831-775-3000. Notification 48 hours prior to the meeting will enable the Authority to make reasonable arrangements to ensure accessibility to this meeting (28 CFR 35.102-35.104 ADA Title II)



## Orden Del Dia COMITÉ EJECUTIVO

Miercoles 5 de Febrero del 2014  
4:00 p.m.

Sala de Conferencias  
128 Sun Street, Ste 101, Salinas, California

(Agencia gubernamental de residuos solidos del Valle de Salinas)

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### **LLAMADA A EL ORDEN**

#### **LISTA DE PRESENTES**

Presidente	Elizabeth Silva (Ciudad de Gonzales)
Vice Presidente	Jyl Lutes (Ciudad de Salinas)
Vice Presidente Alterno	vacante
Ex Presidente Inmediato	Fernando Armenta (Condado de Monterey)

### **COMENTARIOS DEL GERENTE GENERAL/JEFE DE ADMINISTRACIÓN**

### **COMENTARIOS DE GERENTES DEPARTAMENTALES**

### **COMENTARIOS DEL COMITÉ**

#### **COMENTARIOS PÚBLICOS**

Recibir comentarios públicos de la audiencia sobre cuestiones que no están en el Orden Del Dia. Las personas están limitadas a tres minutos a discreción del Presidente.

### **TEMAS DE CONSIDERACIÓN**

- 1. Acta de la Sesión del 8 de Enero del 2014**
  - A. Discusión del Comité
  - B. Comentarios Públicos
  - C. Acción Recomendada – Aprobación
- 2. Manual de Empleados 2014**
  - A. Recibir Informe de Rose Gill, Gerente de Recursos Humanos y Desarrollo Organizacional
  - B. Comentarios Públicos
  - C. Discusión del Comité
  - D. Acción Recomendada – Remitir al Consejo para Aprobación
- 3. Informe Financiero y Pagos Emitidos del Mes de Diciembre del 2013**
  - A. Recibir Informe de Roberto Moreno, Gerente de Finanzas
  - B. Comentarios Públicos
  - C. Discusión del Comité
  - D. Acción Recomendada – Remitir al Consejo para Aprobación
- 4. Ajustes presupuestarios de Medio Año Fiscal 2013-14**
  - A. Recibir Informe de Roberto Moreno, Gerente de Finanzas
  - B. Comentarios Públicos
  - C. Discusión del Comité

D. Acción Recomendada – Remitir al Consejo para Aprobación

**5. Presupuesto Preliminar del Año Fiscal 2014-15**

- A. Recibir Informe de Roberto Moreno, Gerente de Finanzas
- B. Comentarios Públicos
- C. Discusión del Comité
- D. Acción Recomendada – Remitir al Consejo para Aprobación

**TEMAS FUTUROS**

**6. Agenda de Temas Futuros – Vista Adelante**

**SESIÓN A PUERTA CERRADA**

- 7. Conforme a la Sección 54957 (b) del Código de Gobierno para considerar la evaluación de desempeño del Gerente General/Jefe de Administración.

**RECONVOCAR**

**CLAUSURA DE SESIÓN**

Este Orden del Día fue posteoado en la oficina de Salinas Valley Solid Waste Authority en el 128 Sun Street, Suite 101, Salinas el **viernes 31 de enero del 2014**. El Comité Ejecutivo de Salinas Valley Solid Waste Authority se reunirá de nuevo en sesión regular el **miércoles 5 de marzo del 2013**, a las 4:00 p.m. Los informes administrativos de las sesiones del Comité Ejecutivo están disponibles para su consulta en oficina de Salinas Valley Solid Waste Authority en el 128 Sun Street, Suite 101, Salinas, CA 93901, Tel.: 831-775-3000 y en el sitio web [www.salinasvalleyrecycles.org](http://www.salinasvalleyrecycles.org).

En cumplimiento de la Ley Americans with Disabilities Act (Estadounidenses con Discapacidades) si usted necesita asistencia especial para participar en la sesión, favor de ponerse en contacto con Elia Zavala, Secretaria del Consejo, al 831-775-3000. Notificación de 48 horas antes de la sesión permitirá que la Agencia tome las medidas razonables para garantizar la accesibilidad a esta sesión (28 CFR 35.102-35.104 ADA Título II).

.....  
Descargo de responsabilidad: SVSWA ha adoptado medidas bilingües de alcance mas alla de las normas minimas estatales y federales para ayudar a la comunidad de habla Español a comprender los temas a ser considerados en las reuniones del Consejo Directivo. Esto incluye la provision de interpretes a Español en cada reunion del Consejo y la traduccion de Ordenes del dia del Consejo y del Comite Ejecutivo y destacados de las reuniones del Consejo. Todos los otros materiales de las reuniones se proporcionan en Ingles solamente.

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**MINUTES OF MEETING  
SALINAS VALLEY SOLID WASTE AUTHORITY  
EXECUTIVE COMMITTEE MEETING  
January 8, 2014**

draft

**CALL TO ORDER**

President Armenta called the meeting to order at 4:00 p.m.

**Committee Members Present**

Fernando Armenta      President  
Elizabeth Silva        Vice President  
Jyl Lutes                Alternate Vice President

**Staff Members Present**

Patrick Mathews, General Manager/CAO  
Roberto Morneo, Finance Manager  
Cesar Zuniga, Operations Manager

Rose Gill, HR/Organizational Development Manager  
Elia Zavala, Clerk of the Board  
Thomas Bruen, General Counsel (via telephone)

**ITEM NO. 1**

Agenda Item

**T. Bruen by ez**

General Counsel Approval

  
General Manager

**GENERAL MANAGER COMMENTS**

None

**DEPARTMENT MANAGER COMMENTS**

None

**COMMITTEE MEMBER COMMENTS**

None

**PUBLIC COMMENT**

None

**CONSIDERATION ITEMS**

**1. Minutes of November 6, 2013, Meeting**

*Public Comment:*            None

*Committee Action:*        Approved by consensus

**2. November 2013 Claims and Financial Reports**

Finance Manager Moreno provided a report on the month-end finances.

*Public Comment:*            None

*Committee Discussion:*    The Committee received the report.

*Committee Action:*        Forwarded to the Board for approval

**3. Fund Balance/Reserves Allocation**

Finance Manager Moreno provided a report and noted that due to the budget constraints in the recent years, reserves have not been set aside as per Board policy. He recommended that those policies be revisited and consideration be given to fund those reserves.

*Public Comment:*            None

**Committee Discussion:** The Committee discussed the report and recommended that staff prepare a proposal and present it to the Board at the February strategic planning retreat.

**FUTURE AGENDA ITEMS**

**4. Agenda Items – View Ahead**

The Committee reviewed the future agenda items.

**CLOSED SESSION**

General Manager/CAO Mathews announced that there was nothing to discuss in closed session.

**RECONVENE**

President Armenta reconvened the meeting to open session with no reportable action taken in closed session.

**ADJOURNMENT**

President Armenta adjourned the meeting.

APPROVED: \_\_\_\_\_  
Elizabeth Silva, President

ATTEST: \_\_\_\_\_  
Elia Zavala, Clerk of the Board



**SalinasValleyRecycles.org**

SALINAS VALLEY SOLID WASTE AUTHORITY

## Report to the Executive Committee

**Date:** February 5, 2014  
**From:** Rose Gill, HR/Organizational Development Manager  
**Title:** 2014 Employee Handbook

### ITEM NO. 2

N/A

Finance Manager/Controller-Treasurer

N/A

Legal Counsel

*Ratnil Mathur*

General Manager/CAO

### RECOMMENDATION

Staff recommends that the Executive Committee review the revised Employee and recommend Board approval.

### STRATEGIC PLAN RELATIONSHIP

This item was part of the previous strategic plan goals and objectives, to develop an administrative procedures manual. However, due to budgeting constraints, the legal review was postponed until this fiscal year. The Employee Handbook is the first of two parts to complete the manual. A more detailed procedures manual will be presented at a later time.

### FISCAL IMPACT

Legal review for this document was included in current fiscal budget.

### DISCUSSION & ANALYSIS

The updated version of the Employee Handbook was analyzed by Liebert, Cassidy and Whitmore (LCW). LCW reviewed the entire handbook and made corrections, additions and deletions to make sure the Employee Handbook was updated according to state and federal laws.

### BACKGROUND

The original Employee Handbook was developed in 2004 and required updates for compliance purposes.

### ATTACHMENT(S)

1. Resolution
2. Exhibit A – Employee Handbook

**RESOLUTION NO. 2014 -**

**A RESOLUTION OF THE SALINAS VALLEY SOLID WASTE AUTHORITY  
APPROVING THE 2014 EMPLOYEE HANDBOOK**

**BE IT RESOLVED BY THE BOARD OF DIRECTORS OF THE SALINAS VALLEY SOLID WASTE AUTHORITY**, that the Employee Handbook, attached hereto and marked "Exhibit A" is hereby approved.

**PASSED AND ADOPTED** by the Board of Directors of the Salinas Valley Solid Waste Authority at its regular meeting duly held on the 5th day of February 2014, by the following vote:

AYES: BOARD MEMBERS:

NOES: BOARD MEMBERS:

ABSENT: BOARD MEMBERS:

ABSTAIN: BOARD MEMBERS:

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Elizabeth Silva, President

ATTEST:

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Elia Zavala, Clerk of the Board





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## EMPLOYEE HANDBOOK

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January 2014

## TABLE OF CONTENTS

<b>CHAPTER 1</b>	<b>ABOUT THE SALINAS VALLEY SOLID WASTE AUTHORITY</b>	<b>5</b>
1.01	OUR MISSION STATEMENT	5
1.02	OUR HISTORY	5
1.03	INTRODUCTION	5
1.04	PUBLIC SERVICE POLICY	6
1.05	DISCUSSING AUTHORITY BUSINESS	6
<b>CHAPTER 2</b>	<b>EMPLOYMENT POLICIES</b>	<b>7</b>
2.01	NATURE OF EMPLOYMENT	7
2.02	EQUAL EMPLOYMENT OPPORTUNITY	7
2.03	REASONABLE ACCOMODATIONS OF DISABILITIES	7
2.04	HARASSMENT AND DISCRIMINATION	8
2.04.01	SEXUAL HARASSMENT DEFINED	8
2.04.02	OTHER TYPES OF HARASSMENT PROHIBITED	9
2.04.03	COMPLAINT PROCEDURE	9
2.04.04	ADDITIONAL ENFORCEMENT INFORMATION	10
2.05	IMMIGRATION LAW COMPLIANCE	10
2.06	EMPLOYEE RELATIONS	10
2.07	APPLICATION FOR EMPLOYMENT	10
2.08	EMPLOYMENT CATEGORIES	11
2.08.01	PROBATIONARY	11
2.08.02	REGULAR FULL-TIME	11
2.08.03	REGULAR PART-TIME	11
2.08.04	TEMPORARY	11
2.09	PROBATIONARY PERIOD	12
2.10	PERFORMANCE EVALUATIONS	12
2.11	WORK SCHEDULES	12
2.12	ACCESS TO PERSONNEL FILES	13
2.13	INFORMATION CHANGES	13
2.14	SECURITY INSPECTIONS	13
2.15	EMPLOYMENT SEPARATION	13
2.15.01	RESIGNATION	13
2.15.02	TERMINATION	14
2.15.03	LAYOFF/REDUCTION IN WORKFORCE	14
2.15.04	RETIREMENT	15
2.16	REHIRING PAST EMPLOYEES	15
2.17	EMPLOYMENT REFERENCE CHECKS	15
2.18	PARKING	15
2.19	BULLETIN BOARDS AND POSTING REQUIREMENTS	15
2.20	MEDIA RELATIONS	16
<b>CHAPTER 3</b>	<b>EMPLOYEE CONDUCT AND WORK RULES</b>	<b>17</b>
3.01	CODE OF CONDUCT	17
3.02	CORRECTIVE ACTION	17
3.03	ATTENDANCE AND PUNCTUALITY	17
3.04	PERSONAL APPEARANCE	18
3.05	USE OF AUTHORITY EQUIPMENT	18
3.06	AUTHORITY PROPERTY	18
3.07	SMOKING	19
3.08	DRUG AND ALCOHOL USE	19
3.08.01	REASONABLE SUSPICION/POST ACCIDENT DRUG AND ALCOHOL TESTING	19
3.09	USE OF AUTHORITY VEHICLES	19
3.10	TRAVEL AUTHORIZATION	19

3.11	INFORMATION/COMMUNICATION SYSTEMS .....	2019
3.11.01	CELL PHONE USE .....	20
3.11.02	INFORMATION AND COMMUNICATIONS SYSTEMS SECURITY POLICY .....	20
3.11.03	PERSONAL CELL PHONES AND PAGERS .....	20
3.11.04	MAIL AND POSTAGE USE .....	20
3.12	SUPPLEMENTAL EMPLOYMENT .....	20
3.13	PROBLEM SOLVING .....	2120
<b>STEP I – SUPERVISOR .....</b>		<b>22</b>
<b>STEP II - DEPARTMENT MANAGER .....</b>		<b>22</b>
<b>STEP III - CAO .....</b>		<b>2322</b>
<b>STEP IV - DECISION .....</b>		<b>23</b>
<b>NON-RETALIATION .....</b>		<b>23</b>
<b>CHAPTER 4</b>	<b>EMPLOYEE BENEFITS .....</b>	<b>2425</b>
4.01	GENERAL .....	2425
4.02	HEALTH INSURANCE .....	2425
4.03	LIFE INSURANCE .....	2425
4.04	CAFETERIA PLAN .....	25
4.05	PAID TIME OFF (PTO) .....	2526
4.06	PAID TIME OFF DONATION PROGRAM .....	2627
4.07	HOLIDAYS .....	2627
4.08	SECTION 457 DEFERRED COMPENSATION PLAN .....	2728
4.09	CALPERS RETIREMENT PLAN .....	2728
4.10	SOCIAL SECURITY .....	2829
4.11	MEDICARE .....	2829
4.12	PHYSICAL FITNESS/WEELNESS PROGRAM .....	2829
4.13	TUITION REIMBURSEMENT .....	2829
4.14	WAGE REPLACEMENT INSURANCES .....	2829
4.14.01	STATE DISABILITY INSURANCE FOR ILLNESS/INJURY .....	2930
4.14.02	PAID FAMILY LEAVE BENEFITS .....	2930
4.14.03	LONG-TERM DISABILITY INSURANCE .....	2930
4.14.04	UNEMPLOYMENT INSURANCE .....	2930
4.14.05	WORKERS' COMPENSATION INSURANCE .....	2930
4.15	BIENNIAL PHYSICAL EXAMINATIONS .....	3031
4.16	EMPLOYEE ASSISTANCE PROGRAM (EAP) .....	3031
4.17	FLEXIBLE TIME LEAVE .....	3031
4.18	VEHICLE ALLOWANCE .....	31
<b>CHAPTER 5</b>	<b>LEAVES OF ABSENCE .....</b>	<b>3240</b>
5.01	GENERAL .....	3240
5.02	FAMILY/MEDICAL LEAVES OF ABSENCE .....	3240
5.02.01	FAMILY AND MEDICAL LEAVE ACT (FMLA/CFRA) .....	3240
5.02.02	WORKERS' COMPENSATION DISABILITY LEAVE .....	4048
5.02.03	PREGNANCY DISABILITY LEAVE (PDL) .....	4148
5.02.04	LACTATION ACCOMMODATION .....	4250
5.02.05	EXTENDED MEDICAL LEAVE OF ABSENCE .....	4350
5.02.06	TEMPORARY TRANSFERS .....	4350
5.02.07	HEALTH INSURANCE PREMIUMS FOR EMPLOYEES ON DISABILITY LEAVE .....	4350
5.03	NON-FAMILY/MEDICAL LEAVES OF ABSENCE .....	4350
5.03.01	PERSONAL LEAVE .....	4350
5.03.02	MILITARY LEAVE OF ABSENCE .....	4451
5.03.03	PARENT/GUARDIAN SCHOOL LEAVE .....	4552
5.03.04	SCHOOL DISCIPLINE LEAVE .....	4552

5.03.05	DOMESTIC VIOLENCE/SEXUAL ASSAULT/STALKING LEAVE.....	<del>4653</del>
5.03.06	EMERGENCY DUTY LEAVE.....	<del>4653</del>
5.03.07	VOLUNTEER FIREFIGHTER/RESERVE PEACE OFFICER/EMERGENCY RESCUE PERSONNEL TRAINING LEAVE .....	<del>4653</del>
5.03.08	COMMUNITY SERVICE LEAVE .....	<del>4753</del>
5.03.09	BEREAVEMENT LEAVE.....	<del>4754</del>
5.03.10	JURY DUTY.....	<del>4754</del>
5.03.11	VOTING LEAVE.....	<del>4754</del>

## CHAPTER 6 COMPENSATION ..... ~~4855~~

6.01	COMPENSATION STRUCTURE.....	<del>4855</del>
6.02	MERIT INCREASES.....	<del>4855</del>
6.03	INCENTIVE PAY PROGRAM .....	<del>4855</del>
6.04	SPECIAL ASSIGNMENT PAY .....	<del>4856</del>
6.05	EMERGENCY RESPONSE PAY .....	<del>4956</del>
6.06	SEVERANCE PAY .....	<del>4956</del>
6.07	REST AND MEAL PERIODS (NON-EXEMPT POSITIONS) .....	<del>4956</del>
6.08	TIMEKEEPING (NON-EXEMPT POSITIONS) .....	<del>4956</del>
6.09	OVERTIME (NON-EXEMPT POSITIONS) .....	<del>5057</del>
6.10	WORK WEEK.....	<del>5057</del>
6.11	MAKE-UP TIME (NON-EXEMPT POSITIONS) .....	<del>5057</del>
6.12	FLEXIBLE WORK SCHEDULE .....	<del>5158</del>
6.13	TELECOMMUTING.....	<del>5158</del>
6.14	ON-CALL PAY .....	<del>5158</del>
6.15	BILINGUAL PAY .....	<del>5158</del>
6.16	FLEXIBLE COMPENSATION LEAVE .....	<del>5158</del>
6.17	PAYDAYS .....	<del>5259</del>
6.18	PAY DEDUCTIONS .....	<del>5259</del>
6.19	MANAGEMENT LEAVE.....	<del>5259</del>

## CHAPTER 7 HEALTH AND SAFETY ..... ~~5360~~

7.01	WORKPLACE VIOLENCE .....	<del>5360</del>
7.02	SAFETY RULES.....	<del>5360</del>
7.03	PERSONAL PROTECTIVE EQUIPMENT.....	<del>5461</del>
7.04	INJURY AND ILLNESS PREVENTION PROGRAM.....	<del>5461</del>
7.05	SECURITY.....	<del>5561</del>
7.06	EMERGENCY PROCEDURES .....	<del>5562</del>
7.07	OPEN FLAME .....	<del>5662</del>

## **CHAPTER 1      ABOUT THE SALINAS VALLEY SOLID WASTE AUTHORITY**

It is our pleasure to welcome you as an employee to the Salinas Valley Solid Waste Authority (Authority). We feel a very strong commitment to you as an employee. We want you to feel good about a job well done and we will try our best to give you the tools, direction and support necessary to enable you to be successful. The Authority is not a large or formal entity. The Authority is a great place to work and we hope you will always feel like a member of a team here. If there is anything you need as we all strive to please the public, just speak with any of the management staff.

Congratulations on being part of our team!

### **1.01      OUR MISSION STATEMENT**

To manage Salinas Valley solid waste as a resource, promoting sustainable, environmentally sound and cost effective practices through an integrated system of waste reduction, reuse, recycling, innovative technology, customer service and education.

### **1.02      OUR HISTORY**

The Salinas Valley Solid Waste Authority is a joint powers agency formed on January 1, 1997. The Authority operates under a Board of Directors comprised of representatives from its member agencies, including the cities of Gonzales, Greenfield, King City, Salinas, Soledad and Monterey County. The overall responsibility of the Authority is to provide solid waste transfer and disposal services to its member agencies through the operation of a system of transfer stations and landfills.

### **1.03      INTRODUCTION**

One of our objectives is to provide a work environment that is conducive to both personal and professional growth. This handbook is designed to acquaint you with the Authority and to provide you with information about working conditions, your benefits and some of the policies affecting your employment.

You should read, seek necessary clarification, and comply with all provisions of the handbook. It describes many of your responsibilities as an employee and outlines the programs developed to benefit you.

No employee handbook can anticipate every circumstance or question about policy. As we continue to grow, the need may arise to change policies described in the handbook. The Authority therefore reserves the right to revise, supplement, or rescind any policies or portion of the handbook, from time to time as is deemed appropriate. Employees will be notified of any written revisions/updates to these policies. No oral statements or representations can in any way alter the provisions of this handbook.

Understandably, you will have questions throughout the course of your employment. We encourage you to first ask these questions of your supervisor. If your supervisor is unable to answer your questions, or you do not feel it is appropriate to ask such questions of him/her, you should then speak with the HR/Organizational Development Manager or the Chief Administrative Officer.

#### **1.04 PUBLIC SERVICE POLICY**

At the Authority our goal is to leave a positive, lasting impression with the members of the public who choose to do business with us. We accomplish this through caring and professional employees who strive to provide exceptional Public service by not only meeting, but exceeding the Public's expectations in every way possible and by providing exceptional service. We serve the individuals and businesses that utilize the Authority's landfills and transfer stations and the member agencies of Salinas, Gonzales, Soledad, Greenfield, King City and Monterey County.

*What* we say to the Public and *how* we say it are the basic building blocks to exceptional Public service internally and externally. All of us should constantly look for opportunities to enhance the satisfaction of the Public. This requires a committed, team approach. We are all expected to accommodate Public requests and needs as they arise. The primary tools in accomplishing this are *knowledge* of your job, the products and services we provide the Public, and your *attitude* when delivering that knowledge or service. Remember to always interact with the Public in the most pleasant and efficient manner.

#### **1.05 DISCUSSING AUTHORITY BUSINESS**

All of us depend on the goodwill of the public who utilize our facilities and our services. Negatively portraying the Authority to the public will make all of our jobs more difficult and less secure. Understandably, both our internal and external customers are interested in courteous and prompt service; not excuses or complaints from any of us. Our primary concern at all times should be public satisfaction. If problems or difficulties arise, communicate directly with management who will work with you to resolve them.

## **CHAPTER 2      EMPLOYMENT POLICIES**

### **2.01      NATURE OF EMPLOYMENT**

Employees are held to a high expectation of service and are not employed for any specific term of employment. The Authority intends to recruit and retain employees who are proficient, productive, enterprising, and dedicated. Employees whose performance becomes unsatisfactory or who engage in misconduct or other behavior that disrupts the operations of the Authority or that discredits the Authority will be terminated consistent with the procedures in this Employee Handbook. Employees are also subject to layoff as a result of reorganization, change in business direction for the Authority, lack of funding or reduction of work.

Additionally, other terms and conditions of employment such as compensation, benefits, title, duties and corrective action may be modified at the sole discretion of the Authority.

### **2.02      EQUAL EMPLOYMENT OPPORTUNITY**

In order to provide equal employment and advancement opportunities to all individuals, employment decisions at the Authority will be based on merit, qualifications and abilities. Employment practices will not be influenced or affected by an applicant's or employee's race, color, creed, national origin, ancestry, citizenship, sex, gender, sexual orientation, religion, age, mental or physical disability, military/veteran's status, political affiliation, medical condition including genetic characteristics or information, marital status, pregnancy or any other characteristic protected by federal, state or local law. In addition, the Authority also prohibits any form of unlawful employment discrimination based on these characteristics, the perception that anyone has any of those characteristics, or is associated with a person who has or is perceived as having any of those characteristics. All such discrimination is unlawful.

This promise governs all aspects of employment including selection, job assignment, compensation, corrective action, termination and access to benefits and training. All employment-related decisions will be based on objective/job-related standards.

If you have questions or concerns about any type of discrimination in the workplace, you are encouraged to bring these issues to the attention of your immediate supervisor, the HR/Organizational Development Manager or the Chief Administrative Officer. Your complaint should be specific and should include the names of the individuals involved and the names of any witnesses. You can raise concerns and make reports without fear of reprisal. Anyone found to be engaging in any type of unlawful discrimination will be subject to corrective action, up to and including termination of employment.

### **2.03      REASONABLE ACCOMMODATIONS OF DISABILITIES**

It is the Authority's intent to comply with the provisions of disability anti-discrimination requirements. The Authority will make reasonable accommodations for qualified applicants and employees with known disabilities if the person is otherwise qualified to safely perform all the essential functions of the position and if the accommodation does not constitute an undue hardship on the Authority. Therefore, if you feel you need reasonable accommodation to perform the essential functions of your job, contact your supervisor or the HR/Organizational Development Manager to begin an interactive process in determining the appropriateness of accommodation.

Because anti-discrimination laws require accommodations for disabled individuals, and because these accommodations must be determined on an individual, case-by-case basis, the provisions of this handbook may be disregarded in order for the Authority to avoid discrimination relative to hiring, promotion, transfer, layoff, reassignment, termination, rehire, rates of pay, leaves, fringe benefits, training opportunities, hours of work or other terms and privileges of employment. The Authority has the legal obligation to meet with the individual employee to be accommodated before any adjustment is made in working conditions.

## **2.04 HARASSMENT AND DISCRIMINATION**

The Authority is committed to providing all of its employees with a workplace free of unlawful or prohibited harassment and discrimination. The Authority maintains a strict policy prohibiting sexual harassment and harassment on the basis of race, color, creed, national origin, ancestry, citizenship, sex, gender, sexual orientation, religion, age, mental or physical disability, military/veteran's status, political affiliation, medical condition including genetic characteristics or information, marital status, pregnancy or any other characteristic protected by federal, state or local law. It also prohibits unlawful harassment based on the perception that anyone has any of those characteristics, or is associated with a person who has or is perceived as having any of those characteristics. All such harassment is unlawful.

This prohibition applies to all persons involved in the operation of the Authority, including Authority employees, supervisors and managers, as well as vendors, independent contractors and the public. No employee is expected to tolerate any conduct prohibited by this policy from anyone while at work or engaged in Authority business.

### **2.04.01 SEXUAL HARASSMENT DEFINED**

Sexual harassment prohibited by this policy includes any unwanted sexual advances, requests for sexual favors or visual, verbal or physical conduct of a sexual nature when:

- A.** Submission to such conduct is made a term or condition of employment; or submission to or rejection of such conduct is used as a basis for employment decisions affecting the individual; or
- B.** Such conduct has the purpose or effect of unreasonably interfering with an employee's work performance or creating an intimidating, hostile or offensive working environment.
- C.** The following is a partial list of conduct that would be considered sexual harassment:
  - 1. Unwanted sexual advances.
  - 2. Offering employment benefits in exchange for sexual favors.
  - 3. Making or threatening retaliation after a negative response to sexual advances.
  - 4. Visual conduct such as leering, making sexual gestures, displaying offensive, derogatory, obscene or sexually suggestive objects, e-mails, computer graphics or images, unwelcome notes or letters, photographs, cards, drawings, gestures, pictures, cartoons, calendars or posters placed on walls, bulletin boards, or elsewhere on Authority premises or circulated in the workplace.
  - 5. Verbal conduct such as making or using derogatory comments, epithets, slurs, sexually explicit jokes, negative stereotyping, comments about an employee's body or dress.
  - 6. Written communications of a sexual nature distributed in hard copy or via a computer network.
  - 7. Verbal sexual advances or propositions.
  - 8. Verbal abuse of a sexual nature, graphic verbal commentary about an individual's body, sexually degrading words to describe an individual, suggestive or obscene letters, notes or invitations.
  - 9. Physical conducts such as touching, assault, impeding or blocking movements, unwelcome physical contact or staring at a person's body.
  - 10. Retaliation for making harassment reports or threatening to report harassment.

Sexual harassment can occur between employees of the same sex. It is unlawful for males to sexually harass females or other males, and for females to sexually harass males or other females.



## **2.04.02 OTHER TYPES OF HARASSMENT PROHIBITED**

The Authority also prohibits all other forms of harassment based on the characteristics protected by federal, state or local law, as outlined in Section 2.04. Such prohibited harassment includes, but is not limited to, the following examples of offensive conduct:

- A.** Verbal conduct such as threats, epithets, derogatory comments or slurs.
- B.** Visual conduct such as derogatory posters, photographs, cartoons, drawings or gestures.
- C.** Written communications containing statements that may be offensive to individuals in a particular protected group, such as racial or ethnic stereotypes or caricatures.
- D.** Physical conduct such as assault, unwanted touching or blocking normal movement.
- E.** Retaliation for making or threatening to make harassment reports to the Authority, or for participating in an investigation into harassment allegations.

## **2.04.03 COMPLAINT PROCEDURE**

If you believe that you have been subjected to harassment prohibited by this policy, you should immediately tell the harasser to stop his/her unwanted behavior. You are required to immediately report the offensive behavior, preferably in writing, to your own supervisor, the HR/Organizational Development Manager or the Chief Administrative Officer.

If you become aware of harassing conduct engaged in or suffered by another Authority employee, regardless of whether such harassment directly affects you, you should immediately report that information, preferably in writing, to your own supervisor, the HR/Organizational Development Manager or the Chief Administrative Officer.

Complaints should include details of the incident(s), names of individuals involved, and the names of any witnesses. No adverse action will be taken against an employee who makes a report or cooperates in the investigation of a report of harassment. Supervisors, managers and the HR/Organizational Development Manager must immediately refer all harassment complaints to the Chief Administrative Officer.

The Authority's policy is to conduct an immediate, thorough and objective investigation of any harassment claims.

The Authority will protect the confidentiality of the harassment allegations to the extent possible. However, the Authority cannot guarantee complete confidentiality, since we cannot conduct an investigation without revealing certain information to the alleged harasser and potential witnesses. If, at the conclusion of the investigation, the Authority determines that unlawful harassment has occurred, effective remedial action will be taken in accordance with the circumstances involved. Any employee determined by the Authority to be responsible for unlawful harassment will be subject to appropriate discipline, up to, and including termination. Steps will be taken, as necessary, to prevent any further harassment. An Authority representative will advise all parties concerned of the results of the investigation.

The Authority strictly prohibits retaliation against any person by another employee or by the Authority for using this complaint procedure, reporting harassment, or for filing, testifying, assisting or participating in any manner in any investigation, proceeding or hearing conducted by the Authority or a governmental enforcement agency.

The Authority specifically prohibits conduct in violation of this policy, considers such conduct to be outside the course and scope of employment, and neither condones nor ratifies such conduct on the part of any employee, including management employees.

## **2.04.04          ADDITIONAL ENFORCEMENT INFORMATION**

The Authority encourages all employees to report any instances of harassment forbidden by this policy immediately so that complaints can be quickly resolved. In addition to the Authority's internal complaint procedure, employees should also be aware that the federal Equal Employment Opportunity Commission (EEOC) and the California Department of Fair Employment & Housing (DFEH) investigate and prosecute complaints of unlawful discrimination and harassment in employment. Employees who believe that they have been harassed may file a complaint with the Department of Fair Employment and Housing within one year of the last date of unlawful harassment, or with the Equal Employment Opportunity Commission within 180 days of the alleged discriminatory act.

For more information, contact the HR/Organizational Development Manager, the Chief Administrative Officer or his/her designee, or the nearest office of the EEOC or DFEH. The address and telephone number of the local offices of the EEOC and DFEH are located in the telephone directory.

## **2.05          IMMIGRATION LAW COMPLIANCE**

We are committed to full compliance with federal immigration laws and will not unlawfully discriminate on the basis of citizenship or national origin.

In compliance with the Immigration Reform and Control Act of 1986, each new employee, as a condition of employment, must complete the Employment Eligibility Verification Form I-9 and present documentation establishing identity and employment eligibility. Required documentation must be presented within 72 hours of a new employee's first report to work. Failure to present documentation within 72 hours will preclude the employee from returning to work without the required documentation. Former employees who are rehired must also complete the form if they have not completed an I-9 with the Authority within the past three (3) years, or if their previous I-9 is no longer retained or valid. Employees may raise questions or complaints about immigration law compliance without fear of reprisal by the Authority.

## **2.06          EMPLOYEE RELATIONS**

The Employee Handbook outlines the Authority's expectations of its employees consistent with those procedures in the Authority's Administrative Procedures Manual. The Authority strives to provide competitive working conditions, wages and benefits with those offered by other employers in this industry. If employees have concerns about working conditions or compensation, they are encouraged to voice these concerns openly and directly with their supervisor or manager, the HR/Organizational Development Manager, or the Chief Administrative Officer or his/her designee.

Our experience has shown that when employees deal openly and directly with one another, the work environment can be productive, communications can be clear, and attitudes can be positive. Open communication is a "two-way street," so speak with us if you have any questions or concerns.

## **2.07          APPLICATION FOR EMPLOYMENT**

All employees are required to fully complete the Authority's Application for Employment. We rely upon the accuracy of information contained in the employment application, as well as the accuracy of other data presented throughout the hiring process and employment. Any misrepresentations, falsifications or material omissions in any of this information or data may result in the exclusion of the individual from further consideration for employment or termination from employment if the person has been hired.

## **2.08 EMPLOYMENT CATEGORIES**

There are employment classifications that determine your employment status and benefits eligibility. However, these classifications do not necessarily guarantee employment for any specified period of time. Your position is designated as either non-exempt or exempt. Employees in non-exempt positions are paid hourly and entitled to overtime pay as specified by federal law and other provisions of federal wage and hour laws. Employees in exempt positions are paid by salary and excluded from overtime and other specific provisions of federal wage and hour laws. You will be informed of the exempt or nonexempt status of your position upon hire.

In addition to the above classifications, each employee will belong to one of the following employment categories:

### **2.08.01 PROBATIONARY**

A newly hired, promoted or transferred employee is considered to be a probationary employee for the initial six (6) months of actual and continuous service in that job position. During this time, management and the new employee closely evaluate the compatibility, abilities, and interest in the position. See Section 2.09 Probationary Period for more detailed information.

### **2.08.02 REGULAR FULL-TIME**

Regular full-time employees are those who are not in a part-time, temporary or probationary status and who are regularly scheduled to work at least 40 hours per week. These employees are entitled to receive all legally mandated benefits (Workers' Compensation, State Disability, Unemployment, Medicare Insurances, and similar benefits), and are also eligible for Authority-provided benefits (retirement, health insurance, Paid Time Off (PTO), paid holidays, and similar benefits).

### **2.08.03 REGULAR PART-TIME**

Regular part-time employees are those who are not assigned to a full-time, temporary or probationary status and who are regularly scheduled between 20 hours per week but less than 40 hours per week. These employees are not (per Administrative Procedures) eligible for Authority-provided benefits (retirement, health insurance, PTO, paid holidays, and similar benefits) except to the extent required by law.

### **2.08.04 TEMPORARY**

Temporary employees are hired as at-will employees, on a part-time or full-time basis and for a specific period of time. Temporary employees may be hired as interim replacements to temporarily supplement the work force (i.e. peak season) or to assist in the completion of a specific project. Employment assignments in this category are for a limited duration. Although a temporary position has a defined duration, there is no guarantee that the temporary employee will be retained throughout the entire period of the assignment. The Authority also reserves the right to extend the duration of a temporary employee's appointment. Therefore, employment beyond any initially stated period does not in any way imply a change in employment status. Temporary employees retain that status unless and until notified of a change. These employees are not eligible for Authority-provided benefits (health insurance, PTO, paid holidays, and similar benefits) except to the extent required by law.

## **2.09 PROBATIONARY PERIOD**

All new or rehired employees work on a probationary status for a period of 6 months of actual and continuous service following their initial employment. The probationary period is intended to give you, as a new employee, the opportunity to demonstrate your ability to achieve a satisfactory level of performance and to determine whether the new position meets your expectations. This period is used to evaluate your capabilities, work habits, and overall performance.

Employees who are promoted or transferred must also complete a new probationary period of six (6) months of actual and continuous service with each reassignment to a new position. Benefits, eligibility and employment status do not change during the secondary probationary period that result from a promotion or transfer within the Authority.

Any significant absence (30 days or more) will extend the probationary period by the length of the absence. Periods of time on paid or unpaid leave of one work week or more shall automatically extend the probationary period until the successful completion of the probationary period. If the Authority determines that the designated probationary period does not allow sufficient time to thoroughly evaluate your performance, the probationary period may be extended for an additional six (6) month period at the Chief Administrative Officer's discretion. Upon satisfactory completion of the initial probationary period, employees enter the "regular" employment classification.

## **2.10 PERFORMANCE EVALUATIONS**

We all strive for a common goal of excellence; therefore the informal evaluation (and possible discussion) of your performance is an ongoing process. In addition, formal performance reviews are conducted on a regular basis. The purpose of these appraisals, or evaluations, is to let you know those areas in which you have performed well, in addition to areas where improvement is needed to meet the established standards.

We will endeavor to conduct a written appraisal of your performance on or about the completion of your probationary period. Subsequent performance evaluations will be conducted on or about the anniversary date of your classification as a regular employee. Performance reviews may also be conducted at other times during your employment. It is important to note that while merit increases based on performance may occur, satisfactory performance reviews do not guarantee increases in salary, promotions or continued employment. Salary increases, promotions, and continued employment will be determined by other factors, in addition to performance.

Evaluations will be reviewed in a private meeting between you and your supervisor. You will see the evaluation, have the opportunity to add written comments, sign the evaluation, and receive a copy. You are welcome to discuss your evaluation further, if you wish.

This formal review is not necessarily the only time job performance is discussed. If you have any questions about how you are doing, or what you can do to improve your performance, please ask us to discuss this with your supervisor in private.

## **2.11 WORK SCHEDULES**

Administrative office hours are from 8:00 a.m. to noon and 1:00 p.m. to 5:00 p.m. Monday through Friday, however, work schedules for employees vary throughout our organization. Field operations hours will vary depending on assignment, season, etc. Staffing needs and operational demands may necessitate variations in starting and ending times, as well as changes in the total hours that may be scheduled each day and week. Your supervisor will notify you of your work schedule.

## **2.12 ACCESS TO PERSONNEL FILES**

Personnel files are the property of the Authority and access to the information they contain is restricted. Generally only members of management staff of the Authority, who have a legitimate reason to review information in a personnel file, are allowed to do so. If you wish to review your own personnel file, you may do so with reasonable advance notice, and in the presence of authorized management personnel.

## **2.13 INFORMATION CHANGES**

It is your responsibility to promptly notify us of any changes in important information such as name, address, telephone number and person(s) to be notified in case of an emergency. Other information such as changes in marital status or dependents may affect the number of exemptions claimed for income tax withholding purposes and/or benefits.

## **2.14 SECURITY INSPECTIONS**

It is our policy to maintain a work environment that is free of illegal drugs, alcohol, firearms, explosives, or other improper materials. To this end, the possession, transfer, sale, or use of such materials on its premises or within Authority vehicles or equipment is strictly prohibited. We ask for the cooperation of all employees in administering this policy. Vehicles, lockers, desks, furniture and other storage areas or devices may be provided for the convenience of employees, but remain the sole property of the Authority. Accordingly, they, as well as any articles found within them, can be inspected by any agent or authorized representative of the Authority at any time with or without prior notice.

## **2.15 EMPLOYMENT SEPARATION**

We hope you find your employment relationship with the Authority rewarding and satisfying. However, separation of employment is an inevitable part of the personnel activity within any organization. Upon separation, all Authority property, including keys, pagers, uniforms, handbooks, manuals, cell phones, safety equipment and other Authority items and documents, must be returned. Management may schedule an exit interview as part of your separation from the Authority. This interview will allow you to communicate your views on the work experience with the Authority including the job requirements, general operations, and training needs.

Below are examples of the more common circumstances under which employment is separated:

### **2.15.01 RESIGNATION**

Resignation is defined as employment separation initiated by an employee who chooses to leave the Authority voluntarily. Resigning employees must submit a written Notice of Resignation (available from your supervisor) and are asked to give no less than two (2) weeks' notice. Supervisors and employees in key positions are expected to provide four (4) weeks written notice of their intention to resign employment. This advance notice does not include PTO or any other compensated or non-compensated working time.

Circumstances may exist where the Authority, in its sole and absolute discretion, may exercise its right to accept a resignation immediately or to accelerate the final date of employment. Whether the date designated by the employee or a date selected by the Authority becomes the employee's last day of work, the employee's personnel records will normally indicate voluntary resignation.

Employees who fail to report to work for three (3) consecutive work shifts without proper notification will be considered to have abandoned their job and to have voluntarily resigned from the Authority.

## **2.15.02            TERMINATION**

Employment separation initiated by the Authority either during or after the probationary status. The Authority has high expectations concerning the conduct and performance of its employees—our customers and members of the public deserve no less. In the event your performance does not satisfy our expectations, or should your actions violate our Code of Conduct (Section 3.01), the Authority may initiate termination proceedings.

Probationary and Temporary Employees are employed at-will. They may be released at -will, with or without cause and with or without notice at any time during the probationary period.

Employees (except Temporary Employees) who have successfully completed their probationary period are considered Regular Employees. Regular Employees may be released from employment according to the procedures outlined in Section 5.7 of the Authority's Administrative Procedures as adopted by the Board of Directors and summarized in this Handbook.

Prior to reaching a final administrative determination as to whether to terminate a regular employee's employment, the employee will be given a written statement concerning the grounds for the proposed termination. The employee will be given an opportunity to meet with the immediate supervisor and the Chief Administrative Officer to discuss allegations against him or her. Alternatively, the employee may choose to respond to the allegations by preparing a written response. The Chief Administrative Officer must receive any such written response within five (5) days of when the employee received the notice of proposed termination. Upon review of the allegations and the employee's response, should the Chief Administrative Officer determine that there is an insufficient basis for terminating the employee's employment; the Chief Administrative Officer shall notify the employee in writing that the proposed termination is being withdrawn. Should the Chief Administrative Officer determine that there are sufficient grounds for terminating the employment of the employee, the Chief Administrative Officer shall notify the employee in writing of the reasons and effective date for the termination.

Regular employees who disagree with the decision to terminate their employment may appeal that decision to the Authority's Board of Directors. Any such appeals must be in writing and received by the Authority's Chief Administrative Officer on behalf of the Board of Directors no less than ten (10) days following the date on which the employee received the Notice of Termination. All timely appeals should be referred to the Board of Directors which will conduct a hearing. The hearing shall be scheduled within thirty days of the date the employee's written appeal was received by the Chief Administrative Officer.

The administration of the Authority shall retain the burden of proof that sufficient grounds exist to justify the employee's termination, although technical rules of evidence shall not apply. The inquiry of the Board of Directors shall be whether the greater weight of the evidence supports the determination of the administration that the employee's employment should be terminated.

Should the Board of Directors determine that there was an insufficient basis for terminating the employee's employment, the employee shall be immediately reinstated with back pay, less any income the employee earned in mitigation. Should the Board of Directors determine that there was a sufficient basis for terminating the employee's employment, the Board of Directors shall so inform the employee in writing of its decision within thirty days of the date of the determination.

## **2.15.03            LAYOFF/REDUCTION IN WORKFORCE**

Layoff/reduction in workforce is defined as involuntary employment separation initiated by the Authority. Under some circumstances, the Authority may need to restructure or reduce its workforce. If it becomes necessary to restructure our operations or reduce the number of employees, we will attempt to provide advance notice, if possible, so as to minimize the impact on those affected. If possible, employees subject to restructure or reductions will be informed of the

nature and the foreseeable duration of the restructure or reduction, whether short-term, long-term or permanent.

In determining which employees will be subject to a restructure or reduction, the Authority will take into account, among other things, operational requirements, the skills, productivity, ability and past performance of those involved and also, where feasible, the employee's length of service.

#### **2.15.04 RETIREMENT**

Retirement is defined as employee initiated voluntary retirement from active employment. Employees who would like to discuss retirement are encouraged to do so with management. Retiring employees are asked to provide the same notification required of employees who voluntarily resign.

#### **2.16 REHIRING PAST EMPLOYEES**

If you voluntarily leave the employment of the Authority in good standing, and after having provided proper notice, your personnel records will indicate that you are eligible for rehire if you should seek employment with us in the future. Employees who are involuntarily terminated, whose work record is unsatisfactory, or who do not provide proper notice will generally not be considered eligible for rehire for any position within the Authority.

#### **2.17 EMPLOYMENT REFERENCE CHECKS**

The Authority is extremely concerned about the accuracy of information provided to individuals outside the Authority regarding current or former employees. Any inquiries, which are received either by telephone or in writing regarding a present or past employee, are to be referred to the HR/Organizational Development Manager, or his/her designee, for proper handling. No other employees of the Authority may provide (either on- or off-the-record) any information regarding current or former employees.

#### **2.18 PARKING**

Each employee is to park in an approved space near the office or work site. It may be necessary for certain employees to park at public or street parking. You are responsible to find appropriate locations for your personal vehicles. Your supervisor can assist in directing you to the closest parking areas. Please keep in mind that if you are given a parking citation for illegal or overtime parking, you will be responsible for any fines, towing or other related expenses. Lock your car at all times. The Authority cannot be responsible for anything that happens to your car or belongings while you are at work.

Employees provided with a parking permit must comply with the provisions of the policy associated with the permit or parking lot regulations.

#### **2.19 BULLETIN BOARDS AND POSTING REQUIREMENTS**

The Authority posts certain required notices in each primary work location in a conspicuous location frequented by employees and where employees may easily read the notices during the workday. Please contact your immediate supervisor if you have questions about where to locate these postings.

## **2.20 MEDIA RELATIONS**

It is the Authority's policy to cooperate with news media inquiries and communicate truthfully with the media regarding Authority-related matters that are appropriate for public knowledge. The Chief Administrative Officer is responsible for all releases to and inquiries from communication media (press, radio, television, etc.). All inquiries shall be referred to her/his office. No statement that involves the Authority, its policies or employees is to be released verbally or in writing without clearance by the CAO or her/his designee.

Courtesy and common sense should always be used in dealing with reporters. If a reporter seeks information or requests an interview, politely refer her/him to the CAO. If appropriate, ask the reporter's name, the name of the publication or television or radio station, a telephone number, and the topic that they wish to discuss. This information will help the CAO effectively respond to the request for interview.

Inquiries regarding the Authority or department matters are to be referred to a Management Staff member.



## **CHAPTER 3      EMPLOYEE CONDUCT AND WORK RULES**

### **3.01      CODE OF CONDUCT**

To assure orderly operations and provide the best possible work environment, we expect all employees to follow the rules of conduct listed below, that will protect the interests and safety of you, your co-workers, members of the public and the Authority. It is, of course, not possible to list all the forms of behavior that are considered unacceptable in the workplace. Accordingly, conduct that is unacceptable in the Authority's opinion, whether specifically listed below or not, may result in corrective action up to and including termination.

- A. Theft or inappropriate removal or possession of property
- B. Dishonesty or unlawful conduct
- C. Falsification of timekeeping records
- D. Working under the influence of alcohol or illegal drugs
- E. Possession, distribution, sale, transfer, or use of alcohol or illegal drugs in the workplace, while on duty, or while operating employer-owned vehicles or equipment
- F. Fighting or threatening violence in the workplace
- G. Boisterous or disruptive activity in the workplace
- H. Negligence or improper conduct leading to damage of Authority-owned or public property
- I. Insubordination or other disrespectful conduct
- J. Violation of safety or health rules
- K. Sexual or other unlawful harassment or discrimination
- L. Possession of dangerous or unauthorized materials, such as explosives, firearms, or weapons, in the workplace
- M. Excessive absenteeism or absence without notice
- N. Unauthorized absence from work station during the workday
- O. Unauthorized use of telephones, fax machines, mail system, copiers, computers, or other Authority-owned equipment
- P. Unauthorized disclosure of business "secrets" or confidential information
- Q. Violation of personnel policies or unsatisfactory performance or conduct

### **3.02      CORRECTIVE ACTION**

The Authority will ordinarily give notice of problems with conduct or performance in order to provide an opportunity to correct those problems. This may include verbal counseling, written counseling, or suspension as appropriate for the specific situation. Certain conduct or performance problems may result in termination even for the first offense.

### **3.03      ATTENDANCE AND PUNCTUALITY**

To maintain a safe and productive work environment, the Authority expects all employees to be reliable and to be punctual in reporting for scheduled work. Absenteeism and tardiness place a burden on other employees and on working operations. In the event that you become aware of an anticipated tardiness or absence please notify your supervisor or the HR/Organizational Development Manager as soon as possible, and no later than one (1) hour prior to the beginning of your scheduled shift. If it is before or after normal working hours, you should notify your supervisor by leaving a message with a return number.

Excessive absenteeism (*excused or not*), including early departures, will not be tolerated and may result in counseling or corrective action, up to and including termination of employment. Each situation of excessive absenteeism or tardiness shall be evaluated on a case-by-case basis. Employees who fail to report for work without any notification to management for a period of three (3) consecutive work-shifts, will be considered to have abandoned his/her employment and have voluntarily resigned.

### **3.04 PERSONAL APPEARANCE**

Dress, grooming, and personal cleanliness standards contribute to the morale of all employees and affect the business image the Authority presents to Board members, regulatory agency representatives, clients and visitors. Work attire and grooming standards should complement an environment that reflects an efficient, orderly, and professionally operated business.

You are to dress conservatively, in good taste, and in accordance with the requirements of your position, including any health and safety equipment. Appropriate dress and grooming includes neat, clean, professional office attire. Extreme styles that are non-professional, overly casual, or distracting and do not conform to traditional business dress codes are not acceptable.

The Authority does not permit employees to wear visible body piercings, with the exception of conventional piercings in each earlobe. Any non-conforming piercing shall be removed, covered with a bandage, or replaced with a clear, plastic spacer. The Authority shall make additional exceptions, which may be required as a result of a legitimate religious accommodation.

If you have any questions as to what constitutes proper attire and grooming, ask your supervisor or division manager. Employees who appear for work inappropriately dressed, or wearing clothing that constitutes a safety hazard, will be sent home and directed to return to work in proper attire. Under such circumstances, employees will not be compensated for the time away from work.

### **3.05 USE OF AUTHORITY EQUIPMENT**

Equipment essential in accomplishing job duties is often expensive and may be difficult to replace. When using Authority property, employees are expected to exercise care, perform required maintenance, and follow all operating instructions, safety standards, and guidelines.

Please notify your Supervisor if any equipment, machines, or tools appear to be damaged, defective, or in need of repair. Prompt reporting of damages, defects, and the need for repairs can prevent deterioration of equipment and possible injury to employees or others. Your supervisor can answer any questions about an employee's responsibility for maintenance and care of equipment used on the job.

The improper, careless, negligent, destructive, or unsafe use or operation of equipment can result in corrective action, up to and including termination of employment.

### **3.06 AUTHORITY PROPERTY**

Employees are responsible for all property, materials, or written information issued to them or in their possession or control. All Authority property, including keys, desks, storage areas, work areas, lockers, file cabinets, desk or portable computer systems, office and cellular telephones, modems, facsimile machines, copy machines and Authority vehicles and equipment must be kept clean, neat and maintained in good working order. All Authority property may be used only for business purposes. Employees who lose, misuse or misappropriate Authority property may be subject to corrective action up to and including termination of employment. You must return all Authority property immediately upon request or upon separation of employment. The Authority may take all action deemed appropriate to recover or protect its property.

The Authority reserves the right to inspect all Authority property to ensure compliance with its rules and regulations, without notice to the employee and at any time, not necessarily in the employee's presence. Prior authorization must be obtained before any Authority property may be removed from the premises.

### **3.07 SMOKING**

For health, safety, and business considerations, employees are discouraged from smoking. Secondhand smoke can be harmful to nonsmokers as well as smokers. Smoking is not permitted on Authority premises or in Authority vehicles. Employees who wish to smoke may do so in designated areas only.

### **3.08 DRUG AND ALCOHOL USE**

The Authority is committed to providing a drug-free, healthy, and safe workplace. To promote this goal, all employees are required to report to work fit to perform their jobs in a satisfactory manner. While on Authority premises and while conducting business-related activities off the Authority premises, no employee may use, possess, distribute, sell, or be under the influence of alcohol or engage in the unlawful manufacture, sale, purchase, distribution, possession or use of illegal drugs.

Violations of this policy may lead to corrective action, up to and including immediate termination of employment, and/or referral to a substance abuse rehabilitation or treatment program.

The legal use of prescribed drugs is permitted on the job only if it does not impair the employee's ability to perform the essential functions of his/her job effectively and in a safe manner that does not endanger other individuals in the workplace.

#### **3.08.01 REASONABLE SUSPICION/POST ACCIDENT DRUG AND ALCOHOL TESTING**

When there is reasonable evidence to suspect any employee has reported to work in an impaired condition, or is working under the influence, the employee may be subject to drug and alcohol screening. This type of drug or alcohol screening is called "reasonable suspicion" testing. In addition, "post-accident" testing may be required following accidents involving property damages estimated at more than \$100, fatalities, or personal injuries that require medical treatment. Refusal to submit to such screening will be considered an act of insubordination with disciplinary consequences. Further information on the Authority's drug and alcohol testing policies and procedures are available in the Authority's Administrative Procedures Section 5.3 – "Drugs and Alcohol".

Employees with any questions on this policy, or issues related to substance abuse in the workplace are encouraged to talk with their supervisor, the HR/Organizational Development Manager, or the Chief Administrative Officer.

### **3.09 USE OF AUTHORITY VEHICLES**

Use of Authority vehicles for personal transportation or unapproved use is prohibited unless authorized in writing by the Chief Administrative Officer. On call employees shall have use of an authorized vehicle during the entire on call period. Only authorized passengers shall be transported in Authority vehicles. Employees not allowed to operate motor vehicles within the State of California due to suspension or termination of driving privileges are prohibited from using Authority vehicles.

### **3.10 TRAVEL AUTHORIZATION**

All business-related travel outside of the County of Monterey must receive advance written authorization. A request for travel should specify all relevant information concerning, as appropriate, including destination, mileage, event registration, lodging reservation, and travel reservation(s). Attendance at conferences or events outside the state will be considered only if the function was requested and included in the fiscal year budget. The Authority may not reimburse expenses for travel which has not been preauthorized.

### **3.11 INFORMATION/COMMUNICATION SYSTEMS**

#### **3.11.01 CELL PHONE USE**

If provided with an Authority cell phone, employees are required to reimburse all costs determined to be for personal use.

#### **3.11.02 INFORMATION AND COMMUNICATIONS SYSTEMS SECURITY POLICY**

The Authority's computer, phone, and other electronic systems are important assets and have been installed to facilitate business communications. All electronic information created by any employee using any means of Electronic Communications Resources is the property of the Authority and remains the property of Authority. Personal passwords may be used for purposes of security, but the use of a personal password does not affect the Authority's ownership of the electronic information. The Authority will override all personal passwords if necessary for any reason.

In keeping with this intention, the Board of Directors adopted Resolution No. 2006-49 which approves the Information and Communications Systems Security Policy. The Policy describes the standards for security, administration, and appropriate usage of computers, networks, workstations, and associated peripherals, software, telephones, cellular phones, PDAs and voice mail and messaging systems owned or leased by the Authority. The Authority reserves the right to access and review electronic files, messages, mail, and other digital archives, and to monitor the use of electronic communications as necessary to ensure that no misuse or violation of Authority policy or any law occurs. Therefore, employees should not assume that such information is confidential or that access by the Authority or its designated representatives will not occur.

Employees are not permitted to access the electronic communications of other employees or third parties unless directed to do so by Authority management. No employee may install or use anonymous e-mail transmission programs or encryption of e-mail communications, except as specifically authorized by the Finance Manager.

#### **3.11.03 PERSONAL CELL PHONES AND PAGERS**

The use of personal cellular phones and pagers can be a problem while working. The use of these devices is distracting and can portray a negative image to any individual (management, coworkers, members of the public, vendors and guests) who may see employees using such devices while at work. You are asked to not use such devices while working and are encouraged to instead give out the Authority's main phone number to be used in emergencies.

#### **3.11.04 MAIL AND POSTAGE USE**

Please do not have any personal mail sent to the Authority. The use of Authority paid postage, Federal Express or UPS accounts for personal mail or deliveries is not permitted.

### **3.12 SUPPLEMENTAL EMPLOYMENT**

We have no objection to you holding another job, provided you can effectively meet the performance standards for your position with the Authority, that such employment does not result in overtime obligations, and that the additional position does not conflict with the interests of the Authority or reflect adversely upon it. If you have/desire supplemental employment, we ask that you inform management to discuss the appropriateness and to avoid potential conflicts of interest of such employment. All employees will be held to the same standards of performance and scheduling demands. Exceptions cannot be made for employees who choose to maintain supplemental employment.

### **3.13 PROBLEM SOLVING**

It is the desire of the Authority to provide a method for employees to register complaints or problems concerning working conditions, and the interpretation or application of policies and procedures. Efforts will be made to provide employees an opportunity to raise their questions or problems in confidence.

Through the following procedure, the Authority will make diligent efforts to investigate and settle an employee's problem on a fair and equitable basis. This problem solving procedure in no way changes the fact that, for management staff, employment is at will and may be terminated at any time, by the employee or the Authority. Further, the Authority retains the sole discretion to deviate from or disregard, in whole or in part, any provision(s) of this policy.

For purpose of this policy, a "problem" shall be defined as any dispute between the Authority and an employee concerning and term or condition of employment or the employee's termination of employment. Written policies or regulations are conditions of employment and are not themselves subject to challenge. Any matter not resolved under this policy shall be submitted to binding arbitration in accordance with the terms and provisions of the Authority's Alternate Dispute Resolution Policy.

There are several important goals to the Authority's problem solving procedures, including:

- To ensure all employees are treated with consideration and fairness.
- To ensure all employees understand they have been treated with consideration and fairness.
- To enable the Authority to handle employees' problems and complaints in a timely manner.

It is the responsibility of the Manager/Supervisor to listen and resolve employee problems. The following guidelines should be considered:

- Be alert to the usual causes of employee problems and complaints.
- Do not knowingly violate any the Authority personnel policies and procedures in the Employee Handbook or this Manual.
- Let employees know how they are performing on a regular basis.
- Correct minor problems promptly.
- Encourage constructive suggestions.
- Assign work and schedule employees impartially.
- Provide an explanation for your directives.
- Be consistent.
- Explain change.
- Act as soon as possible on requests.
- Avoid showing favoritism.
- If corrective action is to be taken, do so privately.

All current regular and probationary employees, and any regular employee involuntarily terminated, may utilize the problem solving procedure. No problem will be considered which is presented later than thirty (30) calendar days after such incident has occurred. Exceptions in the form of extensions to this policy will be considered on a case-by-case basis. There are four (4) steps in the problem solving procedure. These steps will be taken in order until the complaint is resolved.

The Authority encourages that all complaints and problems be handled at the department level.

However, the following exceptions are recognized as instances in which an employee may file a written complaint with the CAO without first meeting with the supervisor or Department Manager:

1. If the employee reasonably suspects or has proof that a federal or state law is being violated or is about to be violated.
2. If the problem directly involves either the Supervisor or Manager and the employee can reasonably demonstrate that their Supervisor or Manager may not be able to deal objectively with the situation.

The employee and each management level designated in the following steps should be present in problem solving meetings unless the complaint or problem pertains to unlawful harassment and directly involves a Manager/Supervisor. Most problems should be resolved in Steps I or II.

If the problem directly involves the CAO, the employee and the CAO shall first attempt to resolve the matter informally. This shall include the use of a neutral third party mediator. If the matter cannot be resolved informally, the employee may submit a request for arbitration according to the provisions of the Alternate Dispute Resolution Procedure, policy # 235.

#### **STEP I – Supervisor**

An employee having a complaint concerning his or her employment, should discuss the matter with his/her supervisor first. The employee and supervisor should try to effect a settlement at this stage. It is of the utmost importance that in all instances the supervisor verbally notify the employee of the action to be taken to correct the situation. If the supervisor believes no action is warranted or possible, the employee should receive a verbal explanation as to the reasoning of such decision. The supervisor must document the complaint and action taken for the employee's file. Generally the supervisor should provide a verbal reply to the employee within three (3) to five (5) working days.

If, after discussion, the problem is not resolved, and the employee wishes further review, the employee will be provided a PROBLEM SOLVING SUBMISSION FORM (see ATTACHMENT) and advised by the supervisor to submit the form to the appropriate Department Manager within ten (10) working days. The supervisor should advise the employee that assistance in filling out the Problem Solving Submission Form is available, and arrange for such assistance through the Human Resources Department, if the employee desires.

Meanwhile, the supervisor will fully inform the Management Staff member of all details (including written documentation) of Step I. If the supervisor is a Management Staff member at Step I, Step III is to be followed. The supervisor should document their understanding of the circumstances and note the content of the discussion in the Step I meeting.

#### **STEP II - Department Manager**

The Department Manager will fully inform the CAO of all details (including written documentation) of Step I and discuss the most appropriate method(s) of responding to the Problem Solving Submission Form. Within five (5) working days (or as soon as reasonably possible) of receipt of the Problem Solving Submission Form, the Department Manager will arrange a meeting with the employee and the supervisor to discuss the problem. The meeting should be documented carefully.

After assessing the problem and formulating a solution, the Department Manager will orally communicate it to the employee, generally within three (3) to five (5) working days following the meeting. This will ordinarily end the problem solving procedure.

If the employee is not satisfied with the proposed solution, the Department Manager will then advise the

employee of the next step available in the process. The Department Manager will refer the problem to the CAO, as described in Step III.

### **STEP III - CAO**

Within five (5) working days of formal notification of the Step III problem, the CAO will arrange for a meeting with the employee and involved parties. The arranged meeting should be scheduled to take place within 15 working days unless it is determined that additional time is required under the circumstances.

Prior to the meeting with the employee, the CAO will meet with the Department Manager and Supervisor and review the written problem submitted including documented results of Steps I and II. The CAO may interview other employees, and involved parties as indicated. After completing his/her review and investigation of the problem, the CAO will prepare a written decision to be presented at the previously arranged meeting with the employee and involved parties.

### **STEP IV - Decision**

If the employee chooses to appeal the CAO's decision, he/she is required to resolve the matter in final and binding arbitration in accordance with the terms and provisions of the Authority's Alternate Dispute Resolution policy #235

### **NON-RETALIATION**

It is the intention of the Authority to be as fair and as impartial as possible in the application of this procedure. No employee will be discriminated or retaliated against, or in any way penalized for using this procedure. Moreover, appropriate disciplinary action will be taken against any individual who violates the understanding of Non-Retaliation.

## **CHAPTER 4      EMPLOYEE BENEFITS**

### **4.01      GENERAL**

Eligible employees at the Authority are provided a wide range of benefits. A number of the programs (such as Workers' Compensation, State Disability, and Unemployment Insurance) cover all employees in the manner prescribed by law.

In addition, the following benefit programs are also available to eligible employees: Paid Time Off (PTO), Paid Holidays, Flex Leave Compensation Plan, a Section 457 Defined Compensation Plan, Medical Insurance, and Short and Long-Term Disability Insurance.

The HR/Organizational Development Manager can assist you in determining which benefits you are eligible for, and can also provide further information regarding these benefits.

### **4.02      HEALTH INSURANCE**

The Authority will provide employees with health and welfare benefits consistent with the Authority's economic resources and the Board's desire to fairly compensate as well as attract and retain quality employees and in accordance with any applicable state or federal laws.

Regular or probationary employees regularly scheduled for 20 or more hours each week in non-temporary positions are provided with a plan that includes medical, vision, dental, long-term disability and life insurance coverage. Eligibility begins on the first day of the month following the date the completed Health Benefits Enrollment is received by human resources. Part-Time Employees working more than 20 hours per week but less than full time shall contribute a portion of the premiums per month at an amount established by the Board of Directors or a Memorandum of Understanding.

Temporary Employees are not eligible for health insurance benefits except to the extent required under state or federal law

A plan booklet will be forwarded to employees as they become eligible for coverage under these plans. These benefits and the portion of the premium paid for dependent coverage are subject to change periodically at the Authority Board's discretion. Additional information can also be requested from the HR/Organizational Development Manager.

### **4.03      LIFE INSURANCE**

The Authority also provides eligible regular and probationary employees with life insurance benefits. Non-management employees are eligible for a \$50,000 life insurance policy. Management employees are eligible for a policy equal to their annual salary, up to policy maximum. Employees must work a full month after the date of hire before they are eligible for this benefit. Additional details about these life insurance benefits are available from the HR/Organizational Development Manager.



#### 4.04 CAFETERIA PLAN

Eligible employees can opt, through a payroll deduction, to set aside pre-tax monies for expected benefit options (example: employer sponsored but employee paid health insurance premiums, such as the partial employee premium for less than full time employees and the full dependent premium), out-of-pocket medical expenses, and dependent care costs, such as childcare, and supplemental insurance premiums. Employees who 1) are a minimum of 18 years of age, 2) have completed 30 consecutive days of employment, and 3) continue to work at least 20 hours per week are eligible to enroll in the program on January 1 of each year. Employees must work a full 30 days before the January 1 enrollment date to be eligible. Additional information will be provided to you and information is available from the HR/Organizational Development Manager.

#### 4.05 PAID TIME OFF (PTO)

The Authority provides PTO benefits to regular employees who regularly work 20 or more hours per week. Part-time employees working less than 20 hours per week and all temporary employees are not eligible for PTO.

PTO can be used for such things as vacation, sick leave, family leave, etc. Employees begin PTO accrual upon hire, and the employee may request PTO upon successful completion of their probationary period.

Eligible employees with regular work schedules of less than 40 hours per week, receive PTO on a pro-rata basis based on the percentage of full-time they are actually assigned to work. PTO is earned at a rate equivalent to the actual number of hours the employee is regularly assigned to work per day up to a maximum of forty (40) hours per week. The amount of PTO earned by employees increases each year with the length of their employment as shown below. Requests for time off more than 180 days in the future will not be considered.

<i>Employment Year</i>	<i>Days accrued per year</i>	<i>Hours accrued per biweekly pay period</i>
1 <sup>st</sup> year	22	6.77 hours/pay period
2 <sup>nd</sup> year	23	7.08 hours/pay period
3 <sup>rd</sup> year	24	7.39 hours/pay period
4 <sup>th</sup> year	25	7.70 hours/pay period
5 <sup>th</sup> year	26	8.01 hours/pay period
6 <sup>th</sup> through 10 <sup>th</sup> year	27	8.31 hours/pay period
11 <sup>th</sup> through 15 <sup>th</sup> year	29	8.92 hours/pay period
16 <sup>th</sup> through 17 <sup>th</sup> year	30	9.23 hours/pay period
18 <sup>th</sup> through 19 <sup>th</sup> year	31	9.54 hours/pay period
20 <sup>th</sup> through 24 <sup>th</sup> year	32	9.85 hours/pay period
25 <sup>th</sup> through retirement	33	10.15 hours/pay period

\*The above PTO accrual reflects an employee who regularly works 40 hours per week. Part-time employees who work 20 hours per week would earn ½ of the above schedule.

The length of eligible service is calculated on the basis of an anniversary year. This is the 12-month period that begins when the employee completes his/her probationary period. An employee's benefit year may be extended for any significant leave of absence at the Authority's discretion.

Individuals who were City of Salinas employees assigned to the Authority prior to July 1, 2004, shall accrue PTO commencing at their initial date of employment.

PTO can be used in minimum increments of one (1) hour for non-exempt employees and full days for exempt employees. To take PTO, employees should request approval from their supervisor. Requests will be reviewed based on a number of factors, including business needs and staffing requirements. PTO is paid at the employee's adjusted hourly pay rate at the time it is taken. It does not include overtime or any special forms of compensation such as incentives or bonuses.

An employee may request payment of accrued PTO hours. The maximum annual PTO cash payment in a calendar year is 10 days (80 hours) for employees with less than 20 years of service and 15 days (120 hours) for over 20 years of service. Employees requesting a cash out must have taken at least 10 days (80 hours) of leave during the preceding 12-month period to receive a cash payment of PTO.

Accrued PTO hours shall be limited to the maximum established in the Memorandum of Understanding. An employee who exceeds the maximum hours will receive a payment equal to forty (40) hours of the employee's current base hourly rate in the regular pay check following the date when the maximum was exceeded, regardless of previous PTO used or taken in the preceding calendar year. In lieu of payment, an employee may submit a leave request for forty (40) hours of PTO or may elect to donate forty (40) hours to the Paid Time Off Donation Program.

If PTO is used for illness or injury, the following provisions apply:

- A. Failure to follow reporting procedures outlined in the Section 3.03 Attendance and Punctuality may result in an unexcused absence;
- B. A doctor's certificate may be required as proof of need for absence of three or more days and to medically release you to return to work;
- C. Up to one-half of the current year's PTO accrual can be used for the injury or illness of the employee's child, parent, spouse, domestic partner or domestic partner's child.

#### **4.06 PAID TIME OFF DONATION PROGRAM**

In the unfortunate event that an employee is required to take an extended period of time off for either his/her own serious illness or family emergency, other employees may opt to donate or transfer accrued PTO that she/he has in excess of forty (40) hours. Donations can be made by filling out a PTO Request Form and forwarding it to the HR/Organizational Development Manager. Payroll will confirm your hours and make the transfer to the PTO Leave Bank.

To qualify for reception of donated PTO, the employee must have a need in excess of their current PTO balance. If you would like to apply for a PTO transfer under this program, contact the HR/Organizational Development Manager.

#### **4.07 HOLIDAYS**

The Authority recognizes the following holidays. The landfill and transfer stations will be closed on those holidays marked with a (\*):

New Year's Day *	January 1st
Martin Luther King Jr. Day	Third Monday in January
Lincoln's Birthday	February 12
Presidents' Day	Third Monday in February
Memorial Day	Last Monday in May
Independence Day *	July 4th
Labor Day	First Monday in September
Veteran's Day	November 11th
Thanksgiving Day *	Fourth Thursday in November
Day after Thanksgiving	Fourth Friday in November
Christmas Eve Day	December 24th
Christmas Day *	December 25th

Employees are also granted one Floating Holiday to be used at employee's discretion subject to approval. The first time an employee uses a full day of eight (8) PTO hours will be considered an employee's election to use his/her Floating Holiday.

Easter Sunday will be recognized as a holiday for any employee whose regular work schedule includes Sundays.

All holidays listed above will be observed on the day designated by federal proclamation, subject to applicable restrictions. If a holiday falls on a Saturday, it is observed on the previous Friday. If a holiday falls on a Sunday, it is observed on the following Monday. The above schedule may be modified in years in which an obvious opportunity exists to optimize or group holidays with weekends.

All regular full and part-time, non-exempt employees who **work** on a designated holiday will receive holiday pay at their regular rate of pay (as of the date of the holiday), for the number of hours worked, *in addition* to receiving their holiday pay.

All regular full and part-time, non-exempt employees who **do not work** on a designated holiday, will receive holiday pay at their regular rate of pay (as of the date of the holiday) times the number of hours that employee is scheduled to work.

Employees must work the last scheduled day before a holiday and the first scheduled working day following the holiday to be eligible for pay. If an employee has a preapproved and/or excused absence on a holiday, the supervisor may authorize providing holiday pay in lieu of reducing an employee's paid absence (e.g., PTO).

PTO for holidays will not be counted as hours worked for the purposes of determining overtime.

#### **4.08 SECTION 457 DEFERRED COMPENSATION PLAN**

The Authority currently provides a 457(k) Plan to all eligible employees. This plan allows employees to have pre-tax salary deductions placed into a tax-deferred account. Saving money through the plan can reduce your tax burden now even as you set aside income for retirement. Upon eligibility, you will be provided further details.

#### **4.09 CalPERS RETIREMENT PLAN**

**Retirement for Current Members** - For employees hired after 1/1/2013 who are CURRENT MEMBERS of CalPERS or a reciprocal agency as of 12/31/12 and have not been separated from service from such agency for six months or more, the retirement benefit shall be 2 % @ age 55; 1 year final compensation. The Authority pays the employee's full contribution portion of 7%, which is subject to change based on the current MOU. The Authority does not participate in Social Security; thus, employees do not bear this additional 6.2% expense.

**Retirement for New Members** - For employees hired 1/1/2013 or later and who ARE NOT a member of CalPERS or a reciprocal agency as of 12/31/12, or those who have been separated from a public agency which contracts with CalPERS or a reciprocal agency for six months or more, the retirement benefit shall be 2% at age 62; 3 year final compensation. The Authority pays the employee's full contribution portion of 6.25% until the expiration of the current MOU on 07/01/14. The Authority does not participate in Social Security; thus, employees do not bear this additional 6.2% expense.

This summary is for general information purposes only. If you have prior service credit with another agency or within agencies, please contact CalPERS at (888) 225-7377 to determine which retirement Tier you would be eligible. CalPERS is governed by the Public Employee's Retirement Law and the Alternate

Retirement Program provision in the Government Code, together referred to as the Retirement Law. The Retirement Law is complex and subject to change. If there's any conflict between this summary and the law, the law will prevail over this summary.

#### **4.10 SOCIAL SECURITY**

The Authority does not participate in Social Security.

#### **4.11 MEDICARE**

The Authority and employee each contribute a percentage of earnings for Medicare as required by law.

#### **4.12 PHYSICAL FITNESS/WEELLNESS PROGRAM**

Regular employees are eligible for reimbursement of up to \$500 per year for actual costs of individual participation in a health or fitness club, subject to the following conditions:

- A. Reimbursement shall not exceed \$500 per calendar year, per employee.
- B. Reimbursement shall only be for employee health club costs.
- C. Reimbursement requires the submission of actual receipts by December 16 for that reimbursement year; to be payable on the last payroll of the calendar year.

Misuse of the physical fitness reimbursement can result in immediate termination of the benefit.

#### **4.13 TUITION REIMBURSEMENT**

If qualified and interested, regular, full-time employees are encouraged to advance job-related skills and education through the Authority's tuition reimbursement program. Reimbursement is limited to not more than \$500 per person per fiscal year. Courses of instruction must be job-related and approved in advance of registration by management. You must be employed by the Authority during the entire length of the educational course or program to be eligible for reimbursement. Requests for continuing education should be submitted in writing to management and include the following information:

- A. Description of the course and its relevance to the employee's work performance or career development
- B. Dates of enrollment
- C. Costs of tuition, materials, books and parking

Within 30 days of completion of the approved course or program, you must submit proof of completion in the form of an official transcript with the final grade and receipts for the actual costs as pre-approved. A minimum grade of "C" or equivalent is required for reimbursement. Incomplete courses or grades lower than this will not be eligible for reimbursement.

While educational assistance is expected to enhance the employee's performance and professional abilities, the Authority cannot guarantee that participation in formal education will entitle the employee to automatic advancement, a different job assignment, or pay increases.

#### **4.14 WAGE REPLACEMENT INSURANCES**

A pamphlet is provided to all new employees describing how to apply, how benefits are paid, and how your benefit rate is determined. To be eligible, you are responsible for filing your claim and other forms promptly and accurately. These insurances address the payment of monies during time away from work, but do not guarantee that a leave of absence will be provided. Please review the leave of absences policies in this handbook for procedures on requesting a leave.

#### **4.14.01 STATE DISABILITY INSURANCE FOR ILLNESS/INJURY**

To help provide compensation for employees who miss work due to a non-work related accident or illness, the law requires that a small percentage of your wages be deducted each pay period for State Disability Insurance (SDI), as administered by the California Employment Development Department (EDD).

#### **4.14.02 PAID FAMILY LEAVE BENEFITS**

To help provide compensation for time taken off to care for a new child or to care for a family member's serious health condition, the law requires that a small percentage of your wages be deducted each pay period to fund the state's Paid Family Leave program (PFL), as administered by the California Employment Development Department (EDD). Employer will continue health care premiums in the manner prior to the leave commencement. Employee assumes full cost for leave beyond 30 days.

#### **4.14.03 LONG-TERM DISABILITY INSURANCE**

The Authority provides an employer-paid long-term disability insurance policy that provides a certain level of benefit to eligible employees. Additional information on these benefits is available from the HR/Organizational Development Manager.

#### **4.14.04 UNEMPLOYMENT INSURANCE**

If your employment separates with the Authority, you may be eligible to receive Unemployment Insurance Benefits. This insurance is fully paid by the Authority and is administered by the state. In most cases, you must file a claim in order to collect this benefit. Benefits are generally available to employees who are out of work through no fault of their own (including a reduction in regular workweek). Eligibility for benefits is determined by the Employment Development Department.

#### **4.14.05 WORKERS' COMPENSATION INSURANCE**

A comprehensive Workers' Compensation Insurance program is provided at no cost to you. This program covers any injury or illness sustained in the course of employment that requires medical, surgical, or hospital treatment. Subject to applicable legal requirements, Workers' Compensation Insurance provides benefits after a short waiting period or, if you are hospitalized, immediately. All employees are given a pamphlet explaining their benefits upon hire.

#### **Employees Who Sustain Work Related Injuries Or Illnesses Must Immediately Inform A Supervisor.**

No matter how minor an on-the-job injury may appear, it is important that it is immediately reported. This will enable an eligible employee to qualify for coverage as quickly as possible. You will be furnished an "Employee's Claim Form" within one (1) business day of reporting the injury, which you must complete and return to your supervisor as soon as possible.

In the case of a one-time treatment of **minor** scratches, cuts, burns, splinters or other minor injuries, as long as there is no lost work time beyond the date of the injury, it will be treated as a "first aid" case. If additional care and treatment is needed, or if time is lost from work after the date of the injury, the claim will no longer be considered a "first aid" claim, but will be processed as a regular claim under Workers' Compensation Insurance.

If treatment is required, management will send you (or arrange transportation, if necessary) to the medical facility noted on the Workers' Compensation poster. You must receive medical attention from this facility unless you have notified the Authority in writing of your

personal physician before the injury. A written notice by the physician is required to authorize a return to work. Should the physician indicate physical limitations upon return to work, such limitations must be discussed with and approved by management.

Neither the Authority nor the insurance carrier will be liable for the payment of Workers' Compensation benefits for injuries that occur during your voluntary participation in any off-duty recreational, social or athletic activity sponsored by the Authority. All employees should be aware that California anti-fraud laws require the Authority to notify the workers' compensation insurance carrier of any concern of false or fraudulent claims.

Any person who makes or causes to be made any knowingly false or fraudulent material statement or material misrepresentation for the purpose of obtaining or denying workers' compensation benefits or payments is guilty of a felony. A violation of this law is punishable by imprisonment for 1-5 years or by a fine not to exceed \$50,000.00 or double the value of the fraud, whichever is greater or both. Additional civil penalties may also be assessed. Acceptance of employment with a different employer that requires the performance of activities that you have stated that you cannot perform because of the injury for which you are receiving temporary disability benefits could constitute fraud and could result in criminal prosecution. If convicted, you could lose your rights to workers' compensation benefits and face imprisonment for up to five (5) years and a fine of up to fifty thousand dollars (\$50,000.00) or double the amount of the fraud, whichever is greater.

#### **4.15 BIENNIAL PHYSICAL EXAMINATIONS**

The Authority provides regular employees with a physical examination for preventative health measures. Employees shall be eligible for the first such physical 24 months from the date of hire and every 24 months thereafter while employed.

Regular employees who are age 40 and over are eligible for the Authority-paid physical exam after 18 months from date of hire and every 18 months thereafter while employed.

#### **4.16 EMPLOYEE ASSISTANCE PROGRAM (EAP)**

All regular employees enrolled in the medical plan are eligible to use the Authority-paid EAP which provides counseling visits and referrals for issues such as drug and alcohol dependence, child, marital relationship, or stress management.

#### **4.17 FLEXIBLE TIME LEAVE**

The flexible leave benefit allows an employee to take time off with approval of his or her supervisor, or to cash out all or part of a flexible leave balance. Any employee who has an accumulated balance as of the final pay date of any calendar year will receive payment of accrued hours at their then current rate of hourly pay. Should the employee separate employment any advanced flex leave used or paid out would be withheld from the employee's final paycheck.

Non-management employees shall receive 60 Flex Leave hours per calendar year. Management employees will annually receive 120 Leave hours each calendar year. Individuals not employed as of January 1 of any calendar year shall receive a prorated leave amount based on the number of pay periods remaining in the calendar year. Hours are subject to change based on MOUs.

#### **4.18 VEHICLE ALLOWANCE**

Management employees may elect to receive either a \$500 per month Vehicle Allowance or the use of an Authority-owned vehicle. Employees may indicate their selection on the Auto Allowance Selection Form. Both benefits qualify as taxable income.

Neither the Vehicle Allowance nor the Use of an Authority Vehicle is CalPERS reportable compensation. By selecting the Vehicle Allowance, employees acknowledge that they will use their vehicle for Authority business and will not submit mileage reimbursement for any official travel.

## **CHAPTER 5 LEAVES OF ABSENCE**

### **5.01 GENERAL**

The Authority may grant leaves of absence to employees in certain circumstances. Request any leave in writing as far in advance as possible, keep in touch with your supervisor or the HR Organizational Development Manager during your leave, and give prompt notice of any change in your anticipated return date. If your leave expires and you fail to return to work without contacting your supervisor or the Human Resources Department, the Authority will assume that you do not plan to return and that you have terminated your employment. Upon return from a leave of absence, you will generally resume all aspects of your employment status that existed prior to the start of your leave.

Any leave taken under this provision that qualifies as leave under the state and/or federal Family and Medical Leave Acts will be counted as family/medical leave and charged to your entitlement of 12 or 26 workweeks of family/medical leave in a 12-month period.

Unless stated otherwise in this handbook, an employee who is granted a leave of absence must utilize any unused PTO benefits during the period of the employee's leave of absence. Employees on Family and Medical Leave Act/California Family Rights Act (FMLA/CFRA) leave will not continue PTO benefits during an unpaid leave of absence. Employees returning from an unpaid leave of absence during the course of a calendar year will receive only a prorated portion of accrued PTO benefits for the duration of that year. If you take a leave of absence under this provision that qualifies you for payments for Paid Family Leave (PFL), you will be required to use any accrued and unused PTO, up to a maximum of two weeks.

The Authority does not continue to pay premiums for health insurance coverage for employees on non-medical unpaid leaves of absence. However, you may self-pay the premiums under the COBRA provisions. The Human Resources Department can provide you with additional information regarding this issue.

### **5.02 FAMILY/MEDICAL LEAVES OF ABSENCE**

#### **5.02.01 FAMILY AND MEDICAL LEAVE ACT (FMLA/CFRA)**

The Authority will provide unpaid family and medical care leave for eligible employees as required by state and federal law. The following provisions set forth certain of the rights and obligations with respect to such leave. Rights and obligations which are not specifically set forth below are set forth in the Department of Labor regulations implementing the Federal Family and Medical Leave Act of 1993 ("FMLA"), and the regulations of the California Family Rights Act ("CFRA"). Unless otherwise provided by this policy, "leave" under this policy shall mean leave pursuant to the FMLA and CFRA.

#### **Definitions**

- A) "12-Month Period" means a rolling 12-month period measured backward from the date leave is taken and continuous with each additional leave day taken.
- B) "Single 12-month period" means a 12-month period which begins on the first day the eligible employee takes FMLA leave to take care of a covered service member and ends 12 months after that date.
- C) "Child" means a child under the age of 18 years of age, or 18 years of age or older who is incapable of self care because of a mental or physical disability. An employee's child is one for whom the employee has actual day-to-day responsibility for care and includes, a biological, adopted, foster or step-child.



A child is "incapable of self care" if he/she requires active assistance or supervision to provide daily self care in three or more of the activities of daily living or instrumental activities of daily living—such as, caring for grooming and hygiene, bathing, dressing and eating, cooking, cleaning, shopping, taking public transportation, paying bills, maintaining a residence, using telephones and directories, etc.

- D) "Parent" means the biological, adoptive, step or foster parent of an employee, or an individual who stands or stood in loco parentis (in place of a parent) to an employee when the employee was a child. This term does not include parents-in-law.
- E) "Spouse" means a husband or wife as defined or recognized under California State law for purposes of marriage.
- F) "Domestic Partner," as defined by Family Code §§ 297 and 299.2, shall have the same meaning as "Spouse" for purposes of CFRA Leave.
- G) "Serious health condition" means an illness, injury impairment, or physical or mental condition that involves:
  - (1) Inpatient Care (i.e., an overnight stay) in a hospital, hospice, or residential medical care facility, including any period of incapacity (i.e., inability to work, or perform other regular daily activities due to the serious health condition, treatment involved, or recovery therefrom); or
  - (2) Continuing treatment by a health care provider: A serious health condition involving continuing treatment by a health care provider includes any one or more of the following:
    - a. A period of incapacity (i.e., inability to work, or perform other regular daily activities) due to serious health condition of more than three full consecutive calendar days, and any subsequent treatment or period of incapacity relating to the same condition, that also involves:
      - i. Treatment two or more times within 30 days of the first day of incapacity, unless extenuating circumstances exist by a health care provider, by a nurse, or by a provider of health care services (e.g., a physical therapist) under orders of, or on referral by a health care provider. The first in-person treatment visit must take place within seven days of the first day of incapacity; or
      - ii. Treatment by a health care provider on at least one occasion which must take place within seven days of the first day of incapacity and results in a regimen of continuing treatment under the supervision of the health care provider. This includes for example, a course of prescription medication or therapy requiring special equipment to resolve or alleviate the health condition. If the medication is over the counter, and can be initiated without a visit to a health care provider, it does not constitute a regimen of continuing treatment.
    - b. Any period of incapacity due to pregnancy or for prenatal care. This entitles the employee to FMLA leave, but not CFRA leave. Under California law, an employee disabled by pregnancy is

- entitled to pregnancy disability leave. (See Procedure #9.2.)
- c. Any period of incapacity or treatment for such incapacity due to a chronic serious health condition. A chronic serious health condition is one which:
    - i) Requires periodic visits (defined as at least twice a year) for treatment by a health care provider or by a nurse;
    - ii) Continues over an extended period of time (including recurring episodes of a single underlying condition); and
    - iii) May cause episodic rather than a continuing period of incapacity (e.g., asthma, diabetes, epilepsy, etc.). Absences for such incapacity qualify for leave even if the absence lasts only one day.
  - d. A period of incapacity which is permanent or long term due to a condition for which treatment may not be effective. The employee or family member must be under the continuing supervision of, but need not be receiving active treatment by, a health care provider.
  - e. Any period of absence to receive multiple treatments (including any period of recovery therefrom) by a health care provider or by a provider of health care services under orders of, or on referral by, a health care provider, either for restorative surgery after an accident or other injury, or for a condition that would likely result in a period of incapacity of more than three consecutive calendar days in the absence of medical intervention or treatment.

H) "Health Care Provider" means:

1. A doctor of medicine or osteopathy who is authorized to practice medicine or surgery by the State of California;
2. Individuals duly licensed as a physician, surgeon, or osteopathic physician or surgeon in another state or jurisdiction, including another country, who directly treat or supervise treatment of a serious health condition;
3. Podiatrists, dentists, clinical psychologists, optometrists, and chiropractors (limited to treatment consisting of manual manipulation of the spine to correct a subluxation as demonstrated by X-ray to exist) authorized to practice in California and performing within the scope of their practice as defined under California State law;
4. Nurse practitioners and nurse-midwives, clinical social workers, and physician assistants who are authorized to practice under California State law and who are performing within the scope of their practice as defined under California State law;
5. Christian Science practitioners listed with the First Church of Christ, Scientist in Boston, Massachusetts; and
6. Any health care provider from whom an employer or group health plan's benefits manager will accept certification of the existence of a serious health condition to substantiate a claim for benefits.

- I) "Covered active duty" means: (1) in the case of a member of a regular component of the Armed Forces, duty during the deployment of the member with the Armed Forces to a foreign country, or (2) in the case of a member of a reserve component of the Armed Forces, duty during the deployment of member of the Armed Forces to a foreign country under a call or order to active duty under certain specified provisions.
- J) "Covered Servicemember" means (1) a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness; or (2) a veteran who is undergoing medical treatment, recuperation, or therapy, for a serious injury or illness and who was a member of the Armed Forces, including a member of the National Guard or Reserves, at any time during the period of five years preceding the date on which the veteran undergoes that medical treatment, recuperation, or therapy.
- K) "Outpatient Status" means, with respect to a covered servicemember, the status of a member of the Armed Forces assigned to either: (1) a military medical treatment facility as an outpatient; or (2) a unit established for the purpose of providing command and control of members of the Armed Forces receiving medical care as outpatients.
- L) "Next of Kin of a Covered Servicemember" means the nearest blood relative other than the covered servicemember's spouse, parent, son, or daughter, in the following order of priority: Blood relatives who have been granted legal custody of the covered servicemember by court decree or statutory provisions, brothers and sisters, grandparents, aunts and uncles, and first cousins, unless the covered servicemember has specifically designated in writing another blood relative as his or her nearest blood relative for purposes of military caregiver leave under the FMLA.
- M) "Serious Injury or Illness ": (1) in the case of a member of the Armed Forces, including a member of the National Guard or Reserves, means an injury or illness that was incurred by the member in the line of duty on active duty in the Armed Forces (or existed before the beginning of the member's active duty and was aggravated by service in the line of duty on active duty in the Armed Forces) and that may render the member medically unfit to perform the duties of the member's office, grade, rank, or rating; or (2) in the case of a veteran who was a member of the Armed Forces, including a member of the National Guard or Reserves, at any time during the period of five years preceding the date on which the veteran undergoes that medical treatment, recuperation, or therapy, means a qualifying injury or illness that was incurred by the member in the line of duty on active duty in the Armed Forces (or existed before the beginning of the member's active duty and was aggravated by service in the line of duty on active duty in the Armed Forces) and that manifested itself before or after the member became a veteran.

### **Employee Eligibility**

State and federal family medical leave laws (FMLA/CFRA) provide up to 12 workweeks (26 workweeks to care for an injured servicemember) of unpaid family medical leave within a 12-month period, under the following conditions:

1. The employee has more than 12 months of service to the Authority that need not be consecutive. If the leave only qualifies under FMLA, the 12 months of nonconsecutive service must have accumulated within the previous seven years. There is no such time limitation under CFRA;
2. The employee has worked at least 1,250 hours during the previous 12 -month period before the need for leave; and
3. The employee is employed at a work site where there are 50 or more employees within a 75-mile radius.

### **Reasons for Leave**

Leave is only permitted for one or more of the following reasons:

1. The birth of the employee's child, or placement of a child with the employee for adoption or foster care (FMLA/CFRA);
2. To care for the employee's spouse, registered domestic partner, child, or parent who has a serious health condition (FMLA/CFRA);
3. To care for the employee's registered domestic partner with a serious health condition (CFRA only);
4. For a serious health condition that makes the employee unable to perform his or her job (FMLA/CFRA);
5. Any period of incapacity or treatment due to pregnancy or prenatal care (FMLA only);
6. For any "qualifying exigency" (as defined by FMLA regulation) because an employee's spouse, son, daughter, or parent is on active military duty or has been notified of an impending call or order to active duty in a foreign country or in support of a contingency operation involving the United States Armed Forces (FMLA only); or
7. To care for a spouse, son, daughter, parent, or "next of kin" servicemember or veteran who was in the United States Armed Forces at some time during the preceding five years and who has a serious injury or illness incurred in the line of duty while on active military duty or existed before the beginning of the member's active duty and was aggravated by service in the line of duty on active duty in the Armed Forces (this leave can run up to 26 weeks of unpaid leave during a single 12 -month period) (FMLA only).

### **Amount of Leave**

Eligible employees are entitled to a total of 12 workweeks of unpaid leave during any 12-month period. Under most circumstances, leave under federal and state law will run at the same time and the eligible employee will be limited to a total of 12 weeks of family and medical leave.

For leave to care for an injured servicemember, the eligible employee will receive 26 workweeks of unpaid leave during a single 12-month period.

Generally, there is no minimum amount of leave that may be taken. However, the notice and medical certification provisions of this policy must be complied with.

#### **A. Leave for Pregnancy, Childbirth, or Related Medical Condition**

Leave because of an employee's disability for pregnancy, childbirth, or related medical conditions is not counted as time used under CFRA, but is counted under the federal FMLA. Employees taking time off for pregnancy disability and who are eligible for family and medical leave will be placed on FMLA that runs at the same time as their pregnancy disability leave (PDL). Once the pregnant employee is no longer disabled, she may apply for leave under CFRA, for purposes of baby bonding.

If leave is requested for the birth, adoption or foster care placement of a child of the employee, leave must be concluded within one year of the birth or placement of the child. In addition, the basic minimum duration of such leave is two weeks. However, an employee is entitled to leave for one of these purposes (e.g., bonding with a newborn) for at least one day, but less than two weeks duration on any two occasions.

#### **B. Parents Both Employed by the Authority**

When both parents are employed by Authority, and request simultaneous leave for the birth or placement for adoption or foster care of a child or to care for a child who is an injured servicemember, the Authority will not grant more than an aggregate total of 12 workweeks (26 workweeks to care for an injured servicemember) of family/medical leave for this reason.

### **Employee Benefits While on Leave**

A. While on leave, employees will be allowed to continue participating in any health and welfare benefit plan in which he/she was enrolled before the first day of the leave for a maximum of 12 workweeks (26 workweeks for injured servicemember leave) at the level and conditions of coverage as if the employee had continued in employment for the duration of such leave.

B. Employees may make the appropriate contributions for continued coverage under the preceding non-health benefit plans by payroll deductions or direct payments made to these plans. Depending on the particular plan, the Authority will inform you whether the premiums should be paid to the carrier or to the Authority. An Employee's coverage may be dropped if he/she is more than 30 days late in making a premium payment. The Employee will receive 15 days' notice before coverage ceases, advising him/her to make a premium payment by a particular date. Employee contribution rates are subject to change while the employee is on leave.

- C. The Authority may recover from an employee premiums paid to maintain health coverage if the employee fails to return to work after his/her entitlement has been exhausted or expires, unless the employee does not return because of the continuation, recurrence, or onset of a serious health condition of the employee or his/her family member which would entitle the employee to leave, or because of circumstances beyond the employee's control.
- D. During any period of an FMLA/CFRA leave, an employee will not accrue service hours for the purposes of merit increases. Because discretionary merit increases are guided by performance reviews conducted after 12 months of completed service with the Authority, the evaluation period will be delayed by the amount of unpaid FMLA/CFRA leave an employee takes during the 12-month period.
- E. During any period of an FMLA/CFRA leave, an employee will discontinue any special pay compensation. Any substitution of paid leave will be based solely on base pay.

#### **Substitution of Paid Accrued Leaves**

Paid leave will be substituted for unpaid leave in the following circumstances:

- A. Accrued Paid Time Off (PTO) is required to be used during FMLA/CFRA leave for the employee's own serious health condition, or, up to the limit of that which is accrued over six months of the work year, to attend to the illness of a child, parent, or spouse of the employee, except leave that is also pregnancy disability leave.
- B. An employee will not accrue PTO during any leave of absence without pay. If substitution is in coordination with unpaid leave, the employee can accrue PTO on a pro-rated basis.

#### **Required Procedures for Requesting FMLA/CFRA Leave**

The following procedures shall apply when an employee requests family leave:

- A. Please contact the Human Resources Department as soon as you realize the need for family/medical leave.
- B. If the leave is based on the expected birth, placement for adoption or foster care, or planned medical treatment for a serious health condition of the employee or a family member, the employee must notify the Authority at least 30 days before leave is to begin. The employee must consult with his or her supervisor regarding scheduling of any planned medical treatment or supervision in order to minimize disruption to Authority operations. Any such scheduling is subject to the approval of the health care provider of the employee or the health care provider of the employee's child, parent, or spouse.
- C. If the employee cannot provide 30 days' notice, the Authority must be informed as soon as is practical.
- D. If the FMLA/CFRA request is made because of the employee's own serious health condition, Authority may require, at its expense, a second opinion from a health care provider that the Authority chooses. The health care provider designated to give a second opinion will not be one who is employed on a regular basis by the Authority.

- E. If the second opinion differs from the first opinion, Authority may require, at its expense, the employee to obtain the opinion of a third health care provider designated or approved jointly by the employer and the employee. The opinion of the third health care provider shall be considered final and binding on Authority and the employee.
- F. Authority requires the employee to provide certification within 15 days of any request for family and medical leave under state and federal law, unless it is not practicable to do so. Authority may require recertification from the health care provider if additional leave is required.

If the leave is needed to care for a sick child, spouse, or parent, the employee must provide a certification from the health care provider stating:

- A. Date of commencement of the serious health condition;
- B. Probable duration of the condition;
- C. Estimated amount of time for care by the health care provider; and
- D. Confirmation that the serious health condition warrants the participation of the employee.

Employees who request leave to care for an injured servicemember who is a child, spouse, parent, or "next of kin" of the employee must provide written certification from a health care provider regarding the injured servicemember's serious injury or illness.

Employees who request leave due to a "qualifying exigency" related to military service must be supported by a certification of its necessity.

If an employee cites his/her own serious health condition as a reason for leave, the employee must provide a certification from the health care provider stating:

- A. Date of commencement of the serious health condition;
- B. Probable duration of the condition; and
- C. Inability of the employee to work at all or perform any one or more of the essential functions of his/her position because of the serious health condition.

Company will require certification by the employee's health care provider that the employee is fit to return to his or her job.

Failure to provide certification by the health care provider of the employee's fitness to return to work will result in denial of reinstatement for the employee until the certificate is obtained.

### **Job Reinstatement Following FMLA/CFRA Leave**

Under most circumstances, upon return from family/medical leave, an employee will be reinstated to his or her original job or to an equivalent job with equivalent pay, benefits, and other employment terms and conditions. However, an employee has no greater right to reinstatement than if he or she had been continuously employed rather than on leave. For example, if an employee on family/medical leave would have been laid off had he or she not gone on leave, or if the employee's job is eliminated during the leave and no equivalent or comparable job is available, then the employee would not be entitled to reinstatement. In addition, an employee's use of family/medical leave will not result in the loss of any employment benefit that the employee earned before using family/medical leave.

Reinstatement after family/medical leave may be denied to certain salaried "key" employees under the following conditions:

- A. An employee requesting reinstatement was among the highest-paid 10 percent of salaried employees employed within 75 miles of the work site at which the employee worked at the time of the leave request;
- B. The refusal to reinstate is necessary because reinstatement would cause substantial and grievous economic injury to the Authority's operations;
- C. The employee is notified of the Authority's intent to refuse reinstatement at the time the Authority determines the refusal is necessary; and
- D. If leave has already begun, the Authority gives the employee a reasonable opportunity to return to work following the notice described previously.

### **Intermittent Leave**

Employees may take Family and Medical Leave Act/California Family Rights Act leave intermittently in blocks of time, or by reducing their normal weekly or daily work schedule if the leave is for the serious health condition of the employee's child, parent, spouse, next of kin (injured servicemember leave only), or of the employee, and the reduced leave schedule is medically necessary as determined by the health care provider of the person with the serious health condition.

### **Required Forms**

Employees must fill out the following applicable forms in connection with leave under this policy:

- 1. "Request for Family or Medical Leave Form" prepared by the Authority to be eligible for leave.
- 2. Medical certification— either for the employee's own serious health condition or for the serious health condition of a child, parent, spouse or domestic partner.
- 3. Authorization for payroll deductions for benefit plan coverage continuation.
- 4. Fitness- for -duty to return from leave form.

Please see your Human Resources Department to obtain proper documentation.

## **5.02.02 WORKERS' COMPENSATION DISABILITY LEAVE**

The Authority will grant a workers' compensation disability leave of absence in accordance with other state and federal leave of absence laws such as the federal Family Medical Leave Act (FMLA) and/or California Family Rights Act (CFRA). In addition, the Authority will engage in a disability interactive process to determine if it can reasonably accommodate any work restrictions resulting from an occupational illness or injury as it would for any such disability or medical condition as required the Americans with Disabilities Act (ADA) and the California Fair Employment Housing Act (FEHA). As an alternative, the Authority may also offer you modified work in accordance with state and federal law.



Subject to the terms, conditions, and limitations of the applicable plans, health insurance premiums will continue to be paid by the Authority to the same degree it was provided before the leave began (for up to 12 weeks) in which the approved leave begins. After those 12 weeks, you will become responsible for the full costs of these benefits if you wish coverage to continue pursuant to any applicable state and federal COBRA health insurance continuation rights. When you return from the leave, benefits will again be provided by the Authority according to the applicable plans.

Benefits accrual such as PTO, Flex Leave and holiday benefits will be suspended during the leave and will resume upon return to active employment.

Upon submission of a medical certification that you are able to return to work, you will be reinstated in accordance with applicable law. Should the physician indicate physical limitations upon return to work, such limitations must be discussed with you and approved by the Chief Administrative Officer or his/her designee.

### **Worker's Compensation Light-Duty Program**

When practicable, the Authority may assist injured workers to continue a productive career by providing them with a temporary modified position designed to meet their physical limitations until they can return to their full-unlimited duties. The Authority will not provide accommodation(s) that would pose an undue hardship upon the Authority's existing operational conditions or finances, or that would endanger the health or safety of the employee or others. These modified positions are transitional in nature and are to provide an injured employee the opportunity to continue working while recovering from their injury. All modified positions will be within the physical limitations of the injured employee. All light duty jobs will be compensated at minimum wage or at 2/3 their regular wage whichever is higher. PTO may be used for the other 1/3 portion of regular wages.

## **5.02.03 PREGNANCY DISABILITY LEAVE (PDL)**

### **Entitlement to Leave**

The Authority provides and grants to pregnant employees the right to take an unpaid Pregnancy Disability Leave (PDL) during the period of time that a health care provider determines the employee is actually disabled by pregnancy or a related medical condition and is unable to perform the essential functions of her job or perform her duties without undue risk to herself or other persons for **up to** four (4) months. Pregnancy disability leave may be taken intermittently, or on a reduced hours schedule, as medically advisable. Part-time employees are entitled to leave on a pro rata basis.

A pregnant employee may temporarily transfer to a less strenuous or hazardous position or to less strenuous or hazardous duties if she so requests, provided the transfer request is supported by proper medical certification and the transfer can be reasonably accommodated. An employee taking PDL may use any accrued and unused PTO for her leave.

### **Certification**

Any request for a PDL must be supported by medical certification from a health care provider, which shall provide the following information: (a) the date on which the employee became disabled due to pregnancy; (b) the probable duration of the period or periods of disability; and (c) an explanatory statement that, due to the disability, the employee is unable to work at all or is unable to perform any one or more of the essential functions of her position without undue risk to herself, her pregnancy, or to other persons.

In the case of a Pregnancy-Disability transfer, the medical certification shall provide the following information: (a) the date on which the need to transfer became medically

advisable; (b) the probable duration of the period or periods of the need to transfer; and (c) an explanatory statement that, due to the employee's pregnancy, the transfer is medically advisable. Upon expiration of the time period for the leave or transfer estimated by the health care provider, the Authority may require the employee to provide another medical certification if additional time is requested for leave or transfer.

#### **Notification**

Except for circumstances involving medical emergencies, the employee must provide 30 days' notice in advance of the date the leave is to begin and the estimated date upon which the employee will return to work. If it is not practicable to give 30 days' advance notice of the need for leave or transfer, the employee must notify the Authority as soon as practicable after she learns of the need for the pregnancy disability leave or transfer.

#### **Benefits During Leave**

Subject to the terms, conditions, and limitations of the applicable plans, health insurance will continue to be paid by the Authority to the same degree it was provided before the leave began until the end of the month in which a sixteen (16) week (4 month) period ends and during the time that an employee is using accrued Paid Time Off or is in no-pay status. At that time you will become responsible for the full costs of these benefits if you wish coverage to continue. When you return from the leave benefits will again be provided by the Authority according to the applicable plans. If you do not return to work from an unpaid Paid Disability Leave (PDL), or return for less than 30 days and then resign, the Authority requires you to reimburse the Authority the amount it paid for your health insurance premium during the leave period. Benefits accrual such as PTO, Flex Leave or holiday benefits will be suspended during the leave and will resume upon return to active employment.

#### **Return to Duty**

An employee who has taken a PDL must notify the Authority at least five (5) days before her scheduled return to work or, as applicable, transfer back to her former position. An employee who timely returns to work at the expiration of her PDL will be reinstated to her former position, or an available comparable position consistent with applicable laws. Employees returning from PDL have no greater right to reinstatement than if the employee had been continuously employed.

Upon completion of the leave, a written notice by the health care provider is required to authorize a return to work. Should the health care provider indicate physical limitations upon return to work, such limitations must be discussed with and approved by management.

### **5.02.04 LACTATION ACCOMMODATION**

The Authority will provide reasonable lactation accommodation for employees who wish to express breast milk for their infant when they return to work. Employees may use paid rest break times provided by the Authority. The Authority will provide a private place to express milk in close proximity to the employee's work area, or the employee's normal work area may be used if it allows privacy.

#### **5.02.05 EXTENDED MEDICAL LEAVE OF ABSENCE**

A medical leave of absence may be granted for non-work-related temporary medical disabilities (other than pregnancy, childbirth, and related medical conditions) not covered under FMLA/CFRA for up to as required for a reasonable accommodation under state and federal law with a doctor's written certificate of disability. Employees should request any leave in writing as far in advance as possible. If you are granted a medical leave, The Authority will pay you for the period of time equivalent to your accumulated PTO available to use during such medical leave.

A medical leave begins on the first day your doctor certifies that you are unable to work, and ends when your doctor certifies that you are able to return to work per the terms of this policy. Your supervisor will supply you with a form for your doctor to complete, showing the date you were disabled and the estimated date you will be able to return to work. An employee returning from a medical disability leave must present a doctor's certificate declaring fitness to return to work.

If returning from a non-work-related medical leave, you will be offered the same position you held at the time your leave began, if available. If your former position is not available, a comparable position will be offered. If neither the same nor a comparable position is available, your return to work will depend on job openings existing at the time of your scheduled return. The Authority makes no guarantees of reinstatement, and your return will depend on your qualifications for existing openings.

#### **5.02.06 TEMPORARY TRANSFERS**

Employees who request a temporary transfer for medical and/or family medical leave reasons will be considered for that transfer if a position exists at the time the transfer is requested and the employee is qualified to perform the job. The employee will be paid in accordance with the responsibilities and duties of the temporary job.

#### **5.02.07 HEALTH INSURANCE PREMIUMS FOR EMPLOYEES ON DISABILITY LEAVE**

The Authority shall pay the employer's portion of the health insurance premium for up to one (1) year for the employee only who is on approved medical leave without pay status for either work-related or personal injury or illness provided that the employee continues to pay the employee's portion, if any (prior to injury or illness) of the health insurance premium.

### **5.03 NON-FAMILY/MEDICAL LEAVES OF ABSENCE**

#### **5.03.01 PERSONAL LEAVE**

The Authority may provide a leave of absence without pay to employees who wish to take time off from work duties to fulfill personal obligations. Requests for personal leave should be limited to unusual circumstances requiring an absence of longer than two weeks. Regular full-time employees, who have completed 365 calendar days of service are eligible to request personal leave as described in this policy. As soon as you become aware of the need for a personal leave of absence, you should submit a written request for leave to your supervisor.

Requests for personal leave will be evaluated based on a number of factors, including anticipated workload requirements and staffing considerations during the proposed period of absence and may or may not be granted based on these considerations. Personal leave may be granted for a period of up to 30 calendar days in any 12-month period. An employee who is granted a non-medical personal leave of absence must first utilize any unused accrued PTO during the personal leave. The use of accrued PTO during a non-medical personal leave of absence does not extend the maximum time period approved by the Authority for leave.

Subject to the terms, conditions, and limitations of the applicable plans, the Authority will continue to pay for health insurance premiums as was done prior to the leave for a period not to exceed one (1) month. At that time, you will become responsible for the full cost of these benefits if you wish coverage to continue. When you return from a Personal Leave benefits will again be provided by the Authority according to the applicable plans.

If you do not return to work from an unpaid Personal Leave, or return for less than 30 days and then resign, you will be required to reimburse the Authority the amount it paid for your health insurance premium during the leave period.

Benefits accrual such as PTO or holiday benefits will be suspended during the leave and will resume upon return from leave. When a personal leave ends, every reasonable effort will be made to return you to the same position, if it is available, or to a similar available position for which you are qualified. However, the Authority cannot guarantee reinstatement.

Employees who accept other employment during the approved leave and/or employees who fail to report to work promptly at the expiration of the approved leave period will be considered to have resigned from employment with the Authority.

### **5.03.02        MILITARY LEAVE OF ABSENCE**

The Authority provides military leaves of absence to employees who serve in the uniformed military services as required by the Uniformed Services Employment and Reemployment Rights Act of 1994 and applicable state laws. Leave is available for active duty, active duty for training, and initial active duty for training, inactive duty training, full-time National Guard duty, and for examinations to determine fitness for duty.

#### **Duration**

Total military leave time may not exceed five (5) years during employment, except under specified circumstances required by law. Advance notice of leave is required. Employees must inform their manager of anticipated military leave time as far in advance as possible and submit copies of military orders, training notices, or induction information as soon as received.

#### **Pay and Benefits**

In accordance with state and federal law, the Authority will ascertain the exact status of an employee's call to military leave. The Authority's obligation to continue an employee's salary and health benefits shall be determined by the type of military duty taken, the employee's military branch, and length of military and Authority service. Please contact the HR/Organizational Development Manager for information about your rights before and after taking military leave.

#### **Return From Leave**

Employees who have honorably completed their military service are eligible for reinstatement. Employees returning from military leave must report for work or submit applications for reemployment within specified time limits, except in limited circumstances required by law:

- A. Employees returning from a leave of fewer than 31 days must report to work at the beginning of the first full regularly scheduled work period on the first full calendar day following completion of service.
- B. Employees returning from a military leave of more than 30 but fewer than 181 days must submit an application for reemployment within 14 days of completion of service and must provide documentation that establishes the timeliness of their application for reemployment, as well as the length and character of their military service.
- C. Employees returning from a military leave of more than 180 days must submit an application for reemployment within 90 days of completion of service and must provide documentation that establishes the timeliness of their application for reemployment, as well as the length and character of their military service.
- D. Temporary employees may not be eligible for reinstatement following military leave and reinstatement may not be required for other employees in some circumstances. Employees should contact the Human Resources Department for information specific to their situation.

As with other leaves of absence, failure to return to work or to reapply within applicable time limits may result in termination of employment.

#### **5.03.03 PARENT/GUARDIAN SCHOOL LEAVE**

Any employee who is a parent, guardian, or grandparent of a child having custody of one or more children in kindergarten through twelfth (12<sup>th</sup>) grade, or whose child or grandchild is attending a licensed day care facility, may take up to 40 hours each calendar year, not exceeding eight (8) hours in any calendar month of the calendar year, regardless of the number of children the employee has, to participate in activities of the school or licensed day care facility of any child or grandchild if the employee, prior to taking the time off, gives reasonable notice to the Authority.

The employee does not have to be residing with the child in order to be entitled to parent's leave. However, the employee must have custody of the grandchild in order to be eligible for grandparent's leave. The employee may use parent's/guardian's leave for any type of school or licensed day care facility function. Employees must use PTO time during parent's/guardian's leave. If an employee does not have PTO time available, the employee may take unpaid leave.

#### **5.03.04 SCHOOL DISCIPLINE LEAVE**

Any employee who is the parent or guardian of a child and is actually living with the child, or grandparent who has custody of the grandchild, is eligible for school discipline leave. If an employee is the parent, guardian, or grandparent of a child facing suspension from school is summoned to the school to discuss the matter, the employee should alert his or her supervisor as soon as possible before leaving work. In accordance with California Labor Code Section 230.7, the Authority will not take any discriminatory action against an employee who takes time off for this purpose.

The Authority may require the employee to provide a copy of the notice received from the school, prior to granting school-discipline leave, and may require documentation from the school as proof that the visit took place. The Authority may ask the employee to reschedule the conference if the employee's attendance at work is essential at the time originally scheduled. There is no limit to how frequently employees may be provided school-discipline leave. Employees must use PTO time during school-discipline leave. If an employee does not have any PTO time available, the employee may take unpaid leave.

### **5.03.05 DOMESTIC VIOLENCE/SEXUAL ASSAULT/STALKING LEAVE**

If an employee is the victim of domestic violence, sexual assault, or stalking, time off may be necessary to seek judicial relief to help ensure the health, safety or welfare of the employee or a child. An employee may use available PTO or unpaid leave to obtain a temporary restraining order, a restraining order, or other injunctive relief from a court, to serve on a jury or to appear in court. PTO or unpaid leave may also be granted to allow a victim-employee of domestic violence, sexual assault, or stalking to seek medical attention, to obtain services from a support program, shelter or rape crisis center, to obtain psychological counseling, or to participate in safety planning.

If an employee needs time off from work for this purpose, reasonable advance notice must be provided to your supervisor in writing, if possible. If an unscheduled absence or emergency court appearance is required for the health, safety or welfare of the employee or a child, the employee must provide certification of the absence within a reasonable time after the court appearance. Certification shall be any of the following:

- A. A police report indicating that the employee was a victim of domestic violence or sexual assault;
- B. A court order protecting or separating the employee from the perpetrator of an act of domestic violence or sexual assault, or other evidence from the court or prosecuting attorney that the employee appeared in court;
- C. Documentation from a medical professional, domestic violence or sexual assault advocate, health care provider, or counselor that the employee was undergoing treatment for injuries resulting from an act of domestic violence or sexual assault.

In addition, an employee who is a victim of domestic violence, sexual assault, or stalking may be provided a reasonable accommodation in the workplace to address any safety concerns as can be accommodated by the Authority without creating an undue hardship. An employee requesting such a reasonable accommodation should contact the Human Resources Department for more information.

The Authority will, to the extent allowed by law, make reasonable efforts to maintain the confidentiality of an employee who requests Domestic Violence or Sexual Assault Leave.

### **5.03.06 EMERGENCY DUTY LEAVE**

The Authority will provide unpaid leave to volunteer firefighters, reserve peace officers, and emergency rescue personnel when they are required to perform emergency duty. You are expected to notify your supervisor as soon as you are aware of the need to perform emergency duty. "Emergency rescue personnel" is defined as any person who is an officer, employee, or member of a fire department or fire protection or firefighting agency of the federal government, the State of California, a city, county, city and county, district, or other public or municipal corporation or political subdivision of California, or of a sheriff's department, police department, or a private fire department, whether that person is a volunteer or partly paid or fully paid, while he or she is actually engaged in providing emergency services.

### **5.03.07 VOLUNTEER FIREFIGHTER/RESERVE PEACE OFFICER/EMERGENCY RESCUE PERSONNEL TRAINING LEAVE**

The Authority allows for an employee who is a volunteer firefighter, reserve peace officer or emergency rescue personnel to take temporary leaves of absence, up to a total of fourteen (14) days per calendar year, to engage in training. You are expected to notify your supervisor as soon as you are aware of the dates you will be on leave for training.

#### **5.03.08 COMMUNITY SERVICE LEAVE**

In recognition of the value of community service, the Authority allows up to twenty-four (24) hours of PTO during a calendar year to employees who participate in events or activities sponsored by valid nonprofit organizations. Leave requests should be submitted to your supervisor as far in advance as possible and should be for a minimum period of four (4) hours.

Community Service PTO is non-transferrable, cannot be accrued or banked, and will not be paid out in the event that the employment relationship is terminated. It cannot be applied to the Authority's PTO Cash Out or Donation programs. Employees must use the leave during the calendar period in which it is available or forfeit the benefit for that period.

#### **5.03.09 BEREAVEMENT LEAVE**

A leave of absence with pay for up to three (3) days (in state) and five (5) days (out of state) will be granted in the event of death of an immediate family member of an employee (immediate family members are defined as current spouse, registered domestic partner, child, parent, legal guardian, brother, sister, grandparent, grandchild, all "step" or "in-law" variations of the preceding list, or the same relatives of a domestic partner). At the discretion of your supervisor, this leave may be extended with or without pay in cases of great distance or severe emotional hardship.

With prior approval, time off without pay may be arranged for an employee who wishes to attend the funeral of other relatives or close friends.

#### **5.03.10 JURY DUTY**

The Authority encourages you to fulfill your civic responsibilities by serving on a jury or as a witness when required and allows all employees time off for these purposes. Jury duty and witness leave is provided on a paid basis for regular full-time employees for the duration of the service. No deductions will be made from exempt employee's salaries for absences caused by jury or witness duty. If you receive notice to report for jury duty, please notify your supervisor immediately so arrangements can be made to accommodate your absence. You must present the Summons for Jury Duty to your supervisor prior to the beginning date of such duty. Of course, you are expected to report for work whenever the court schedule permits.

The Authority will pay the difference between the jury duty per diem rate and the employee's regular pay for each day she/he is required to be absent from regularly scheduled work for jury duty. Jury leave pay will be calculated based on the employee's straight-time pay rate (as of the date of the jury leave). A signed statement from the clerk of the court in which the employee served as a juror is required. The statement needs to indicate the amount of fees received as a juror to be eligible for pay as outlined above. In addition, the employee will be required to sign an Authorization to Deduct Jury Fees.

The Authority encourages you to fulfill your civic responsibilities by serving on a jury or as a witness when required and allows all employees time off for these purposes.

#### **5.03.11 VOTING LEAVE**

If a non-exempt employee does not have sufficient time to vote outside of working hours to vote in a statewide election, the employee may take up to two hours off without the loss of pay at the beginning or the end of his/her work schedule, whichever provides sufficient time to vote. Prior notice to and approval by the employee's supervisor 48 hours before the leave for this time off is required.

## **CHAPTER 6            COMPENSATION**

### **6.01      COMPENSATION STRUCTURE**

The Authority strives to establish equitable wage rates and benefits so that every employee is paid according to the working conditions, responsibilities, and requirements of the job. We try to keep our rates equal to or better than competitors in our industry, and with employers in our area who draw from the same labor market.

In addition, the Authority believes in rewarding employees based on their individual performance. Changes to an employee pay range or step shall be effective with the pay period inclusive of the effective date of the change.

### **6.02      MERIT INCREASES**

Merit increases are based on a number of factors, including job performance, the Authority's financial resources, and other economic influences. Employee performance is measured against standards of performance for their particular job, as well as their department's performance standards and organizational goals and objectives in general. Newly promoted employees are not eligible for a merit increase following completion of their probationary period. Regular employees are eligible for, but not guaranteed, a merit increase upon their annual performance evaluations thereafter.

Merit increases awarded at the end of a probationary period will not exceed one step (2.5%). The Performance Evaluation includes a numerical scale to correspond with a level of performance. Meets standard = 2.5%, Exceeds standard = 5%, Outstanding = 7.5%.

The Authority's financial resources and other economic factors are used in the development of the wage and salary budget. There is no guarantee that merit increases will be made annually or otherwise. The amount of a merit increase is based on the current annual Compensation Plan and Salary Schedule adopted by the Authority Board.

### **6.03      INCENTIVE PAY PROGRAM**

All non-exempt employees will be eligible for an incentive pay program, which can be earned as a result of exceptional performance on a specific project or achievement. This incentive pay, up to 2.5% of the employee's base salary per year, may be approved by the Chief Administrative Officer based upon recommendations submitted by the Division Managers.

Division Managers will be eligible for an annual performance incentive of up to 10% of their base pay, which may be paid in cash or taken in paid time-off.

Exceptional performance does not guarantee receipt of incentive pay, the availability of which is discretionary and influenced by a variety of economic factors. Incentive pay is subject to the criteria and annual budget established by the Board of Directors.

### **6.04      SPECIAL ASSIGNMENT PAY**

The Authority has established two categories of special assignment pay which may be paid for special assignments of not less than two (2) weeks or more than six (6) months duration.

- A.**      Special Assignment Pay While Working Out of Class. An employee who is assigned by a Division Manager with approval from the Chief Administrative Officer to perform a majority of the duties of a higher classification shall receive a ten percent (10%) Special Assignment Pay while performing



those duties. Such pay shall start on the first day of assignment and be based on the employee's established salary. Request for special assignment, out of class pay must be submitted within the pay period in which the special assignment pay was worked.

- B. Special Assignment Pay While Performing Additional Responsibilities.** An employee who is assigned by a Division Manager with approval from the Chief Administrative Officer a significant increase in duties and responsibility in his/her classification may receive ten percent (10%) special assignment pay.

The Chief Administrative Officer may approve additional special assignment pay beyond six (6) months for exceptionally difficult long-range assignments or until the conclusion of a recruitment to fill a vacancy

#### **6.05 EMERGENCY RESPONSE PAY**

Any exempt employee who is called to work other than on a scheduled basis, shall be compensated for actual hours worked with a minimum of two (2) hours at time and one-half (1½) the employee's current hourly rate of pay commencing at the time the employee reaches the place where she/he is directed to report and continues until she/he is released or the work is completed, whichever is earlier.

#### **6.06 SEVERANCE PAY**

As "at-will" employees, Division Managers will be entitled to a severance package that provides one month's base salary per year of service up to a maximum severance pay of six (6) months. The severance pay will apply only in the case of involuntary termination of employment without cause.

#### **6.07 REST AND MEAL PERIODS (*Non-exempt positions*)**

Employees are authorized and permitted to take one ten-minute rest period during each four (4) hour work period. Rest periods are not provided if the total daily work schedule is less than 3-1/2 hours. To the extent possible, rest periods are to be taken in the middle of work periods. Rest periods may not be combined or added to meal periods. Employees are not required to clock in and out for rest periods. Since this time is counted and paid as time worked, you must not be absent from your workstation beyond the allotted time.

Employees in non-exempt positions who are scheduled for shifts in excess of five (5) hours will be provided with one unpaid meal period of 30 minutes in length. Meal periods are determined by individual flexible schedules or management will schedule meal periods to accommodate operation requirements and will relieve the employee of all active responsibilities and restrictions during meal periods. Meal periods are unpaid and employees are required to document in and out for meal periods. If your work shift is six (6) hours, you may waive your unpaid meal period in writing – please see your supervisor to obtain the meal period waiver form.

#### **6.08 TIMEKEEPING (*Non-exempt positions*)**

Accurately recording time worked is the responsibility of every non-exempt employee. Federal laws require the Authority to keep an accurate record of time worked in order to calculate pay and benefits. Time worked is all the time actually spent on the job performing assigned duties. Please accurately record the time work begins and ends (round time to the closest quarter hour), as well as the beginning and ending time of each meal period. Also record the beginning and ending time of any split shift or departure from work for any reason other than Authority business. Overtime work must always have prior approval. Any errors on an employee's timecard should be reported immediately to their supervisor. Altering, falsifying, tampering with time records, or recording time on another employee's time record may result in corrective action, up to and including termination of employment.

You should not start work more than seven (7) minutes prior to your scheduled starting time or work more than seven (7) minutes after your scheduled stop time without reporting to your supervisor.

It is each employee's responsibility to sign the time record to certify the accuracy of all time recorded. In addition, if corrections or modifications are made to the time record, both the employee and management must verify the accuracy of the changes by initialing the time record.

Employees who report to a duty station at a location or time other than their normal schedule shall record their time performing assigned duties or attending educational or training events. Travel time to/from worksite locations is not considered time worked.

#### **6.09 OVERTIME (*Non-exempt positions*)**

When operating requirements or other needs cannot be met during regular working hours, employees in non-exempt positions will be assigned or given the opportunity to volunteer for overtime work assignments. All overtime work must receive management's prior authorization. Overtime assignments will be distributed as equitably as practical to all employees in non-exempt positions who are qualified to perform the required work.

As required by law, overtime pay is based on actual hours worked. Time on PTO leave or any leave of absence will not be considered hours worked for purposes of performing overtime calculations. Failure to work scheduled overtime or overtime worked without prior authorization (written or verbal) from management may result in corrective action, up to and including termination of employment.

Overtime is paid to employees in non-exempt positions according to federal and/or state regulations, which are subject to change. The current overtime rate is posted and can be requested from your supervisor. Currently, overtime is computed as outlined below:

**Weekly:** Up to 40 hours – straight time  
Over 40 hours – time & one-half

Overtime may be compensated at time-and-a-half in pay or in hours. Accrued compensatory time shall not exceed 80 hours.

In case of disaster, state of emergency or peril, exempt employees shall be paid time and one half of the employee's hourly rate for hours worked in excess of 60 hours in one work week.

In the event of a sustained state of emergency declared by the Authority Board, a federal or state agency, overtime procedures shall not be in effect and compensation procedures shall be determined at the time such conditions exist by the Executive Committee to be ratified by the Authority Board.

#### **6.10 WORK WEEK**

The workweek at the Authority begins at 12:00 a.m. on Monday and ends seven (7) consecutive days later on Sunday at 11:59 p.m.

#### **6.11 MAKE-UP TIME (*Non-exempt positions*)**

With prior approval from your Supervisor, you may request time off for personal obligations (such as child care or doctors appointments) and make-up that time in the same workweek only if all of the following five (5) points are met:

- A. You must give your supervisor a signed written request for each time you want to take *make-up time*. Your supervisor and the HR/Organizational Development Manager have *Make-up Time Forms*.

- B. Management *must approve* your request in writing prior to using the make-up time. (Requests will be evaluated based on a variety of factors including staffing needs, frequency of requests, and overtime obligations)
- C. The time can only be made-up in the same workweek the time was lost. (For example, if you request to leave early on a Friday and would like to make-up that time on the next Monday, your request will be denied because the make-up time is not within the same workweek.)
- D. The total hours worked for the workweek must not exceed 40 hours due to make-up time. (Or overtime will be incurred.)
- E. If you take time off and are unable to make-up the time for any reason the hours missed will be unpaid. Conversely, if you work make-up time before you actually take the time off, you must take that time off, even if you no longer need to take the time off.

#### **6.12 FLEXIBLE WORK SCHEDULE**

The Authority maintains a flex-time program in which non-exempt and exempt employees can alter their regular work schedule. Individual participation in the program will be subject to the review and written approval of the Chief Administrative Officer or his/her designee. The flextime program may include flexing hours or days within each Monday through Sunday workweek. Flextime agreements may be altered no more than two (2) times annually.

#### **6.13 TELECOMMUTING**

Based upon the scope and nature of a specific assignment or employee situation, employees may request to work from the employee's residence or another suitable location. Authorization to work offsite is subject to Board approval, provisions and the agreed terms.

#### **6.14 ON-CALL PAY**

Employees assigned to on-call status shall be compensated \$250 per two-week assignment. The on-call period will be the same as the established biweekly pay period and will rotate between eligible employees as established by the Chief Administrative Officer or his/her designee. Additionally, an employee who responds to a site when called out will be compensated for a minimum of two (2) hours of pay or for the actual hours worked, whichever is greater. An employee who is on call and fails to respond to a call shall forfeit \$50 of on-call pay per occurrence, not to exceed \$250 per pay period.

#### **6.15 BILINGUAL PAY**

The Authority shall designate certain job classifications which require the ability to speak Spanish and English. If an employee assigned to one of these classifications successfully demonstrates the ability to fluently speak, read and write both Spanish and English, she/he shall be eligible for bilingual pay equal to 5% of the employee's base pay.

#### **6.16 FLEXIBLE COMPENSATION LEAVE**

Authority employees may receive a flexible compensation subject to the current Memorandum of Understanding for non-exempt employees. Flexible Leave must be depleted by December 31 of each year. Flex Leave cannot be requested for a period more than 180 days in the future.

The Flexible Compensation Plan is subject to IRS rules and regulations.

#### **6.17 PAYDAYS**

All employees are paid every other Friday for the two (2) week period ending the previous Sunday. Your paycheck will include earnings for all work performed through the end of the previous payroll period. If a regularly scheduled holiday falls on, or is observed on, that payday Friday, paychecks will be available on the workday preceding the holiday.

#### **6.18 PAY DEDUCTIONS**

The Authority is required by law to make certain deductions from your paycheck. Among these are applicable federal and state taxes. If you have questions concerning why deductions were made from your paycheck or how they were calculated, management can assist in having your questions answered.

#### **6.19 MANAGEMENT LEAVE**

Exempt employees may receive Management Leave annually subject to the terms of the current Memorandum of Understanding for exempt employees.

## CHAPTER 7 HEALTH AND SAFETY

### 7.01 WORKPLACE VIOLENCE

The Authority is committed to providing a safe, violence-free workplace and strictly prohibits employees, members, visitors or anyone else on the Authority premises or engaging in Authority-related activity from behaving in a violent or threatening manner. As part of this policy, the Authority seeks to prevent workplace violence before it begins and reserves the right to deal with behavior that suggests a propensity towards violence even prior to any violent behavior occurring.

The Authority's policy provides "zero tolerance" for actual or threatened violence against co-workers, visitors, or any other persons on the Authority premises or attending the Authority business-related activities. Employees are required to immediately report to their supervisor any incident involving a threat of violence or act of violence, or any violation of this policy.

Workplace violence includes:

- A. Threats of any kind (*including those that are meant as "humorous" or a "joke"*);
- B. Threatening or violent behavior, such as intimidation of or attempts to instill fear in others;
- C. Other behavior that suggests a propensity toward violence. This can include belligerent speech, excessive arguing or swearing, theft or sabotage of Authority property, or a demonstrated pattern of refusal to follow the Authority policies and procedures;
- D. Defacing Authority property or effecting physical damage to the facilities or;
- E. Bringing weapons or firearms of any kind on Authority premises, in Authority vehicles, parking lots, or while conducting Authority business.

If any employee observes or becomes aware of such actions or behavior by an employee, member, visitor, or anyone else, they are required to notify their supervisor immediately, and/or call the police or 911 as appropriate. Further, an employee should notify the HR/Organizational Development Manager if any restraining order is in effect, or if a potentially violent non work-related situation exists which could result in violence in the workplace.

All reports of workplace violence will be taken seriously and will be investigated promptly and thoroughly. In appropriate circumstances, the Authority will inform the reporting individual of the results of the investigation. To the extent possible, the Authority will maintain the confidentiality of the reporting employee and of the investigation, but may need to disclose results in appropriate circumstances in order to protect individual safety. The Authority will not tolerate retaliation against any employee who reports workplace violence.

If the Authority determines that workplace violence has occurred, the Authority will take appropriate corrective action. The appropriate corrective action will depend on the particular facts but may include written or oral warnings, probation, and re-assignment of responsibilities, suspension, or termination. If the violent behavior is that of a non-employee, the Authority will take appropriate corrective action in an attempt to ensure that such behavior is not repeated.

### 7.02 SAFETY RULES

The Authority is concerned with the health and safety of every employee and member of the public using facilities owned and/or operated by the Authority. SAFETY IS EVERYONE'S RESPONSIBILITY! All employees are required to be alert to potential hazards, be well informed about specific safety requirements of their job, and to adhere to the established Safety Rules.

For our safety program to be successful, every employee must participate and comply fully with the standards and practices of the Authority to promote safety in the workplace. Any failure to participate or comply with the Authority's standards, policies and practices may result in immediate discipline.

If injuries occur on the job, no matter how slight, immediately report it to your supervisor. If you see unsafe conditions in any Authority location, please immediately report them to management so they can be corrected. Employees who report unsafe work conditions or practices may do so without fear of reprisal. In addition, these safety guidelines, which are based on the experience and suggestions of past and current employees in many industries, can be of benefit:

- A. Whether anyone is hurt or not, immediately report all accidents to management. In case of injury, seek first aid at once.
- B. A good worker is a safe worker. Be sure to know the safe way to perform any job given to you. If you have any doubt about the safety of a practice or procedure, talk to management.
- C. Horseplay and practical jokes are dangerous and against the rules at the Authority.
- D. Lift properly, keep your back straight, and then squat down at the knees to reach the object being lifted. Do not twist your body when lifting. If it is necessary to turn, shift your feet. Do not attempt to lift heavy objects alone. Get help!
- E. Prevent slips and falls. Watch for spills or loose objects on floors. Clean up spills and immediately pick up debris.
- F. Electrical cords are hazards. Do not allow cords to extend across doorways, aisles or other walkways. When removing plugs from an electrical outlet, employees should grasp the plugs, not the cords.
- G. Use special safety equipment wherever provided. Do not take a chance "just this once." That is usually when an accident happens.

### **7.03 PERSONAL PROTECTIVE EQUIPMENT**

Personal Protective Equipment (PPE) will be provided for employees as appropriate. Employees will be trained in the care and use of equipment and will be responsible for wearing/using equipment when work duties or conditions warrant. Employee will also be responsible for the upkeep of PPE and informing management of any defects or deteriorating conditions, as necessary. Failure to use PPE may result in disciplinary action up to and including termination. Purchase of safety boots will be reimbursed.

### **7.04 INJURY AND ILLNESS PREVENTION PROGRAM**

The Injury and Illness Prevention Program is provided under separate cover.

## **7.05 SECURITY**

As an employee of the Authority, one of your primary responsibilities is the protection of members of the public, their property, and the assets of the Authority. This effort requires each employee's full dedication.

The following information provides a number of ideas about what you can do to assist in the security of our grounds and buildings. While no one expects you to be an expert in security, your awareness and assistance will be a tremendous asset to this effort.

### **What You Should Do**

- A.** If you notice anyone that appears to be acting suspiciously, report him or her to management immediately. Suspicious activity includes someone waiting or loitering in an area not designed for that purpose (i.e. a visitor area, parking lot, or other public or restricted area). If you come upon an individual who looks surprised or nervous to see you, report them. Also, if you see a non-employee in an area designed for employees only, they should be reported.
- B.** If you hear any loud or unusual noises, report them. This would include mechanical noises, alarms, loud yelling, etc.
- C.** If you are ever confronted by a thief, don't try to be a hero! Give that person everything he/she wants. You and your safety are more important to us than anything the thief may get away with.

## **7.06 EMERGENCY PROCEDURES**

### **A. Fire**

In case of a fire, the employees should follow this procedure:

- 1. Relocate visitors in immediate danger to safety.
- 2. **CALL 911.**
- 3. Close all windows and doors shut off all fans, etc., to prevent drafts and to keep the fire from spreading. Keep fire doors closed.
- 4. Station people at the entrance to the area or building to guide the fire department to the fire's location.
- 5. Check the door to the room in which the fire is burning. If the door is warm, **DO NOT OPEN THE DOOR.** Wait for the fire department to deal with the fire.
- 6. Follow instructions as calmly as possible.

### **B. Earthquake**

In the event an earthquake strikes and affects any of Authority property, the safety of visitors and employees is of paramount importance. The following guidelines should be followed:

#### **During an Earthquake**

- 1. If you're indoors, get under a table or desk, or brace yourself in a doorframe. Hang on! Watch out for falling, flying, and sliding objects. Stay away from windows.
- 2. If you're outdoors, move to an open area away from buildings, power poles, and brick or block walls that could fall.
- 3. If you're in an automobile, stop and stay in it until the shaking stops. Avoid stopping near trees and power lines, on or under overpasses.
- 4. Do not use elevators; use stairs. Wait for instructions from building authorities.
- 5. Do not dash for the exit. Choose your exit carefully.

### **After an Earthquake**

1. Put on heavy shoes immediately to avoid injury from stepping on glass and other debris. Look out for falling or ready-to-fall objects.
2. Check for injuries and give first aid, as you feel qualified.
3. Check emergency supplies.
4. Check for fires and fire hazards. Sniff for gas leaks. If you smell gas or suspect a leak, open windows and carefully leave the area. Do not turn lights on or off or light matches or do anything that makes a spark.
5. Go to your designated area and report on injuries and conditions. Wait for instructions.
6. Do not touch downed power lines or objects touched by downed wires.
7. Stay in undamaged areas.
8. Do not use the phone.
9. Do not go sightseeing.
10. Cooperate with public safety officials. Be prepared to evacuate when necessary.

Employees should inform their supervisors if they require assistance or accommodation in complying with the Emergency Procedures or any aspect of the Authority's safety plan. If you have any questions regarding any of these procedures, please seek clarification from Authority Management.

### **7.07 OPEN FLAME**

For safety reasons, no form of open flame (i.e. candles or incense) shall be allowed on Authority premises or in Authority owned vehicles.



## Salinas Valley Solid Waste Authority

### ACKNOWLEDGMENT OF RECEIPT OF EMPLOYEE HANDBOOK

Effective December 2013

This is to acknowledge that I have received a copy of the Employee Handbook and understand that it contains important information on the Authority's general personnel policies and on my privileges and obligations as an employee. The policies contained in this Employee Handbook apply to all employees and supersede and replace all previously communicated policies both in written and verbal form. I acknowledge that I am expected to read, understand, and adhere to these policies and will familiarize myself with the material in the Handbook. Additionally, I agree to abide by any new or revised policy.

I have been given an opportunity to ask questions about policies I do not understand. If I am unable to understand any part of the Handbook, I will arrange to have it translated or explained to me. I further understand that if I am unable to arrange such help, I will immediately notify my supervisor or HR/Organizational Development Manager who will make arrangements for needed assistance.

I understand that I am governed by the contents of the Handbook. I acknowledge and agree that this Handbook exclusively sets forth Authority's employment policies and procedures and represents and expresses their complete agreement regarding the terms and conditions of employment. I also acknowledge and agree that the Authority may change, rescind or add to any policies, benefits or practices described in the Handbook from time to time and in its sole and absolute discretion with or without prior notice. The Authority will advise employees of material changes within a reasonable time. I understand that none of these policies and procedures can be amended, modified or altered in any way by oral statements or in any other way, but can only be altered by written amendment signed by the Chief Administrative Officer of the Authority and stating that it is a modification to this Handbook. I also understand that, because the Authority cannot anticipate every issue that may arise during my employment, if I have any questions regarding any of the Authority's policies or procedures, I should contact my supervisor or the HR/Organizational Development Manager

I hereby acknowledge receipt of the Employee Handbook for the Authority. I have thoroughly read and understand the Company policy and rules set forth in the Employee Handbook of the Authority and agree to abide by them. This Acknowledgement supersedes all prior or contemporaneous oral or written statements to the contrary. The terms of this Acknowledgment may not be modified or superseded except by a written agreement signed by the Chief Administrative Officer with a statement that it is a modification to this Acknowledgment.

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Employee Signature

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Date

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Print or Type Name



**SalinasValleyRecycles.org**

SALINAS VALLEY SOLID WASTE AUTHORITY

## Report to the Executive Committee

**ITEM NO. 3**

Finance Manager/Controller-Treasurer

N/A

Legal Counsel

General Manager/CAO

**Date:** February 5, 2014  
**From:** Roberto Moreno, Finance Manager  
**Title:** December 2013 Claims and Financial Reports

### RECOMMENDATION

Staff recommends acceptance of the December 2013 Claims and Financial Reports.

### DISCUSSION & ANALYSIS

Please refer to the attached financial reports and checks issued report for the month of December for a discussion of the Authority's financial position as of December 31, 2013. Following are highlights of the Authority's financial activity for the month of December.

#### Results of Operations

For the month of December 2013, FY 2013-14 operating revenue exceeded expenditures by \$459,652. Year to Date operating revenues exceeded expenditures by \$1,606,796.

#### Revenues

Revenues for the month of December totaled \$1,387,966. The monthly Tipping Fees totaled \$857,650 and year to date totaled \$5,766,193 or 51.75% of the forecasted total of \$11,141,800. As of December 31, after six months of the fiscal year (50.0% of the fiscal year) revenues total \$9,139,040 or 50.69% of the total annual revenues forecast of \$18,029,847.

#### Operating Expenditures

As of December 31 (50.0% of the fiscal year) year-to-date operating expenditures total \$7,532,244. This is 46.37% of the operating budget of \$16,242,955.

#### Capital Project Expenditures

For the month of December 2013, capital project expenditures totaled \$46,216. \$37,600 of the total was for Johnson Canyon LFG Equipment.

#### Claims Checks Issued Report

The Authority's Checks Issued Report for the month of December 2013 is attached for review and acceptance. The December checks issued total \$895,112.16 of which \$257,582.60 was paid from the payroll checking account for payroll and payroll related benefits. Selected major payments to vendors are listed below.

Vendor	Service	Amount
COAST OIL COMPANY LLC	BIODIESEL FUEL 11-12/13	\$ 35,371.28
SWRCB	JR/SS SWRCB ANNUAL PERMIT FEES	3,582.00
	CH ANNUAL PERMIT FEES FY 13-14	64,817.00
	LR ANNUAL PERMIT FEES FY 13-14	22,438.00
VISION RECYCLING INC	C & D OUTSIDE GRINDING 11/13	4,427.50
	MISC SERVICES 11/13	250.00
	JC/SS ORGANICS PROGRAM 11/13	42,846.89
AMERESCO	PER EPC AGREEMENT ATTACHMENT	37,600.00
RECOLOGY WASTE SOLUTIONS INC	JC DIV ASST & MATERIAL FEES 11/13	9,869.22
	JC LANDFILL OPS & EXTENDED 12/13	165,740.00
	JC MOVE GAS PIPE LINES	395.47
WASTE MANAGEMENT INC	BFI WASTE DELIVERED TO MADISON 11/13	13,154.81
	JOLON ROAD OPERATIONS 11/13	57,779.10
MOCO HEALTH DEPARTMENT	MO CO REGIONAL FEES 7-9/13	28,442.21
	MO CO REGIONAL FEES 7-9/13	13,009.83

#### Cash Balances

The Authority's cash position increased \$500,282.13 during December to \$14,508,119.87 primarily due to normal business activity for this time of the year. Most of the cash balance is restricted as shown below:

#### Restricted by Legal Agreements:

Crazy Horse Closure Fund	\$ (4,609.00)
Johnson Canyon Closure Fund	2,908,886.67
Bond Debt Service Reserve	2,820,700.00
State & Federal Grants	155,572.69

#### Restricted by Board policy:

Expansion Fund (South Valley Revenues)	7,044,190.92
Salinas Transportation Surcharge	216,777.33
Salinas Rate Stabilization Fund	47,415.03

#### Funds Held in Trust:

Central Coast Media Recycling Coalition	117,677.59
Employee Unreimbursed Medical Claims	2,200.72

#### Unrestricted - Assigned:

Operations and Capital Projects	1,199,307.92
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	\$ <u>14,508,119.87</u>
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**ATTACHMENTS**

1. December 2013 Consolidated Statement of Revenues and Expenditures
2. December 2013 Consolidated CIP Expenditures Report
3. December 2013 Checks Issued Report



**Salinas Valley Solid Waste Authority**  
**Consolidated Statement of Revenues and Expenditure**  
**For Period Ending December 31, 2013**

	<b>CURRENT BUDGET</b>	<b>M-T-D REV/EXP</b>	<b>Y-T-DREV/EXP REV/EXP</b>	<b>% OF BUDGET</b>	<b>REMAINING BALANCE</b>	<b>Y-T-D ENCUMBRANCES</b>	<b>UNENCUMBERED BALANCE</b>
<b>Revenue Summary</b>							
Tipping Fees - Solid Waste	11,141,800	857,650	5,766,193	51.75%	5,375,607	0.00	5,375,607
Tipping Fees - Surcharge	1,034,000	77,372	521,334	50.42%	512,666	0.00	512,666
Tipping Fees - Diverted Materials	956,800	78,304	561,860	58.72%	394,940	0.00	394,940
AB939 Service Fee	1,732,000	144,332	865,992	50.00%	866,008	0.00	866,008
Tipping Fees - South Valley	2,318,800	203,375	1,220,252	52.62%	1,098,548	0.00	1,098,548
Charges for Services	117,000	7,684	7,684	6.57%	109,316	0.00	109,316
Sales of Materials	572,500	17,243	181,335	31.67%	391,165	0.00	391,165
Investment Earnings	80,200	1,307	11,062	13.79%	69,138	0.00	69,138
Grants/Contributions	76,747	0	0	0.00%	76,747	0.00	76,747
Other Non-Operating Revenue	0	698	3,327	0.00%	(3,327)	0.00	(3,327)
<b>Total Revenue</b>	<b>18,029,847</b>	<b>1,387,966</b>	<b>9,139,040</b>	<b>50.69%</b>	<b>8,890,807</b>	<b>0.00</b>	<b>8,890,807</b>
<b>Expense Summary</b>							
Administration	2,175,500	168,914	1,067,812	49.08%	1,107,688	88,527	1,019,161
Resource Recovery	2,564,055	147,815	951,563	37.11%	1,612,492	705,697	906,795
Scalehouses Operations	371,930	26,396	176,556	47.47%	195,374	2,533	192,842
Transfer Stations Operations	2,625,740	206,392	1,227,607	46.75%	1,398,133	613,840	784,292
Landfills Operations	3,715,350	243,824	1,356,269	36.50%	2,359,081	1,525,929	833,152
Postclosure Maintenance	939,670	104,304	388,318	41.32%	551,352	160,929	390,424
Environmental Control Systems	431,910	8,891	120,023	27.79%	311,887	124,867	187,020
Debt Service - Interest	1,979,200	0	1,002,696	50.66%	976,504	976,419	85
Debt Service - Principal	1,162,600	0	1,097,517	94.40%	65,083	64,989	94
Closure Set-Aside	277,000	21,777	143,883	51.94%	133,117	0	133,117
<b>Total Expense</b>	<b>16,242,955</b>	<b>928,313</b>	<b>7,532,244</b>	<b>46.37%</b>	<b>8,710,711</b>	<b>4,263,730</b>	<b>4,446,981</b>
<b>Revenue Over/(Under) Expenses</b>	<b>1,786,892</b>	<b>459,652</b>	<b>1,606,796</b>	<b>89.92%</b>	<b>180,097</b>	<b>(4,263,730)</b>	<b>4,443,826</b>



**Salinas Valley Solid Waste Authority**  
**Consolidated Statement of Revenues and Expenditure**  
**For Period Ending December 31, 2013**

	<b>CURRENT BUDGET</b>	<b>M-T-D REV/EXP</b>	<b>Y-T-DREV/EXP REV/EXP</b>	<b>% OF BUDGET</b>	<b>REMAINING BALANCE</b>	<b>Y-T-D ENCUMBRANCES</b>	<b>UNENCUMBERED BALANCE</b>
<b>Expense Summary</b>							
Executive Administration	376,550	38,613	169,577	45.03%	206,973	795.00	206,178
Administrative Support	397,680	23,790	195,400	49.13%	202,280	69,544.09	132,736
Human Resources Administration	326,910	20,855	143,439	43.88%	183,471	1,679.95	181,791
Clerk of the Board	165,450	10,577	70,881	42.84%	94,569	5,404.62	89,164
Finance Administration	657,000	47,329	316,487	48.17%	340,513	2,949.17	337,563
Operations Administration	251,910	27,750	172,028	68.29%	79,882	8,153.96	71,728
Resource Recovery	682,610	47,210	292,928	42.91%	389,682	24,683.77	364,999
Marketing	75,000	0	22,041	29.39%	52,959	48,208.86	4,750
Public Education	167,700	12,104	43,426	25.90%	124,274	30,619.58	93,654
Household Hazardous Waste	669,510	27,537	228,352	34.11%	441,158	135,480.58	305,677
C & D Diversion	30,000	4,678	19,045	63.48%	10,955	10,955.00	0
Organics Diversion	587,530	43,166	260,068	44.26%	327,462	327,462.38	0
Diversion Services	144,750	9,655	51,955	35.89%	92,795	88,866.89	3,928
Tire Amnesty Grant	76,747	2,915	14,567	18.98%	62,180	35,569.66	26,611
DOC Grant	130,208	550	19,181	14.73%	111,027	3,850.00	107,177
Scalehouse Operations	371,930	26,396	176,556	47.47%	195,374	2,532.69	192,842
JR Transfer Station	723,060	57,779	310,100	42.89%	412,960	406,674.60	6,286
ML Transfer Station	150,000	13,155	90,810	60.54%	59,190	58,952.21	238
SS Disposal Operations	671,591	53,021	329,152	49.01%	342,439	37,781.53	304,657
SS Transfer Operations	891,999	79,598	444,982	49.89%	447,017	69,237.56	377,780
SS Recycling Operations	189,090	2,839	52,564	27.80%	136,526	41,194.46	95,332
JC Landfill Operations	3,715,350	243,824	1,356,269	36.50%	2,359,081	1,525,928.99	833,152
Crazy Horse Postclosure Maintenance	546,630	73,741	223,107	40.82%	323,523	115,484.04	208,039
Lewis Road Postclosure Maintenance	219,360	27,512	102,109	46.55%	117,251	39,087.07	78,163
Johnson Canyon ECS	322,540	4,671	73,302	22.73%	249,238	75,684.13	173,554
Jolon Road Postclosure Maintenance	173,680	3,051	63,101	36.33%	110,579	6,357.69	104,221
Sun Street ECS	109,370	4,221	46,721	42.72%	62,649	49,183.10	13,466
Debt Service - Interest	1,979,200	0	1,002,696	50.66%	976,504	976,418.73	85
Debt Service - Principal	1,162,600	0	1,097,517	94.40%	65,083	64,989.22	94
Closure Set-Aside	277,000	21,777	143,883	51.94%	133,117	0.00	133,117
<b>Total Expense</b>	<b>16,242,955</b>	<b>928,313</b>	<b>7,532,244</b>	<b>46.37%</b>	<b>8,710,711</b>	<b>4,263,729.53</b>	<b>4,446,981</b>
<b>Revenue Over/(Under) Expenses</b>	<b>1,786,892</b>	<b>459,652</b>	<b>1,606,796</b>	<b>89.92%</b>	<b>180,097</b>	<b>(4,263,729.53)</b>	<b>4,443,826</b>



# Salinas Valley Solid Waste Authority

## Consolidated CIP Expenditure Report

For Period Ending December 31, 2013

	CURRENT BUDGET	M-T-D REV/EXP	Y-T-D REV/EXP	% OF BUDGET	REMAINING BALANCE	Y-T-D ENCUMBRANCES	UNENCUMBERED BALANCE
<b><u>Fund 131 - Crazy Horse Closure Fund</u></b>							
131 9301 CH Closure Preparation	5,793	0	0	0.0 %	5,793	0	5,793
131 9306 CH PH 1E Liner Placement	22,960	0	22,957	100.0 %	3	0	3
131 9307 CH PH 1F Winterization	1,245	0	0	0.0 %	1,245	0	1,245
131 9312 CH PH 2E Complete Liner Work	8,942	0	0	0.0 %	8,942	0	8,942
131 9314 CH Closure Quality Assurance	16,105	0	2,430	15.1 %	13,675	0	13,675
131 9315 CH Closure Contingency	101,656	0	12,518	12.3 %	89,138	0	89,138
131 9316 CH Corrective Action Program	174,720	5,090	5,090	2.9 %	169,630	0	169,630
<b>Total Fund 131 - Crazy Horse Closure Fund</b>	<b>331,421</b>	<b>5,090</b>	<b>42,994</b>	<b>13.0 %</b>	<b>288,427</b>	<b>0</b>	<b>288,427</b>
<b><u>Fund 180 - Expansion Fund</u></b>							
180 9003 USDA Autoclave Studies	124,315	304	30,964	24.9 %	93,351	843	92,508
180 9021 Autoclave CEQA	576,564	0	5,171	0.9 %	571,393	165,060	406,334
180 9801 Ameresco JCL LFG Equipment	37,600	37,600	37,600	100.0 %	0	0	0
<b>Total Fund 180 - Expansion Fund</b>	<b>738,479</b>	<b>37,904</b>	<b>73,734</b>	<b>10.0 %</b>	<b>664,745</b>	<b>165,903</b>	<b>498,842</b>
<b><u>Fund 211 - State Grants</u></b>							
211 9201 HHW - HD20 Cycle Grant	63,444	126	994	1.6 %	62,450	0	62,450
<b>Total Fund 211 - State Grants</b>	<b>63,444</b>	<b>126</b>	<b>994</b>	<b>1.6 %</b>	<b>62,450</b>	<b>0</b>	<b>62,450</b>
<b><u>Fund 800 - Capital Improvement Projects Fl</u></b>							
800 9010 JC Roadway Improvements	1,510,214	1,133	16,632	1.1 %	1,493,582	14	1,493,569
800 9012 Work St Transfer Station	27,130	1,124	6,491	23.9 %	20,639	0	20,639
800 9101 Equipment Replacement	49,400	0	49,333	99.9 %	67	0	67
800 9317 CH SCADA System	30,000	0	0	0.0 %	30,000	29,572	428
800 9318 CH 401/404 Improvements	150,000	0	63,149	42.1 %	86,851	0	86,851
800 9501 JC LFG System Improvements	75,000	0	57,703	76.9 %	17,297	0	17,297
800 9502 JC Flare Station Improvements	200,000	0	1,503	0.8 %	198,497	0	198,497
800 9503 JC Module 1 Horizontal Wells	310,000	0	0	0.0 %	310,000	0	310,000



# Salinas Valley Solid Waste Authority

## Consolidated CIP Expenditure Report

For Period Ending December 31, 2013

	CURRENT BUDGET	M-T-D REV/EXP	Y-T-D REV/EXP	% OF BUDGET	REMAINING BALANCE	Y-T-D ENCUMBRANCES	UNENCUMBERED BALANCE
800 9504 JC Module 456B Liner Improvemen	30,000	0	0	0.0 %	30,000	0	30,000
800 9701 SSTS Equipment Replacement	110,000	0	110,439	100.4 %	(439)	0	(439)
800 9702 SSTS NPDES Improvements	48,100	0	0	0.0 %	48,100	0	48,100
800 9703 SSTS Improvements	55,000	0	0	0.0 %	55,000	0	55,000
800 9704 SSTS Equipment Retrofit	0	840	840	0.0 %	(840)	0	(840)
800 9913 CH LFG to Energy Project	5,295	0	0	0.0 %	5,295	0	5,295
<b>Total Fund 800 - Capital Improvement Proje</b>	<b>2,600,139</b>	<b>3,097</b>	<b>306,089</b>	<b>11.8 %</b>	<b>2,294,050</b>	<b>29,586</b>	<b>2,264,464</b>
<b>Total CIP Expenditures</b>	<b>3,733,483</b>	<b>46,216</b>	<b>423,812</b>	<b>11.4 %</b>	<b>3,309,671</b>	<b>195,489</b>	<b>3,114,182</b>





**Salinas Valley Solid Waste Authority**  
**Checks Issued Report for 12/1/2013 to 1/31/2014**

Check #	Name	Check Date	Amount	Check Total
12126	ALEXANDRA BRISTOW RecycleRama Nov. 2013	12/4/2013	200.17	200.17
12127	AT&T SERVICES INC JC TELEPHONE SERVICES 11/19/2013 JC TELEPHONE SERVICES 11/20/2013	12/4/2013	296.84 16.10	312.94
12128	BRANDY ELLEN ACEVEDO RecycleRama No. 2013	12/4/2013	960.52	960.52
12129	COAST COUNTIES TRUCK & EQUIPMENT CO. Spacers Assembly 2 Sets of Wiper Blades	12/4/2013	27.39 51.30	78.69
12130	COAST OIL COMPANY, LLC SS TS EQUIPMENT BIODIESEL FUEL 11.21.13 SS TS VEHICLE BIO-DIESEL FUEL VEH 132	12/4/2013	1,519.90 11,309.96	12,829.86
12131	EMILY MELISSA MOLINAR RecycleRama Nov. 2013	12/4/2013	132.50	132.50
12132	FEDEX Overnight Shipments	12/4/2013	57.51	57.51
12133	GOLDEN STATE TRUCK & TRAILER REPAIR 16094 FRT LEFT TIRE REPAIRED 950G BUCKET & HARNESS RECONNECTED 950K HYDRAULIC HOSE REPLACED DRIP PANS FOR RO001, WATER TRUCK 950G & 210LE FORD RANGER - SERVICED TRLR 002 BOTTOM BEARING 10 BOLTS/NUTS ON DOOR TRLR 003 REPLACED X4 LEFT SIDE WITH NEW	12/4/2013	44.69 90.00 185.00 1,111.64 90.00 281.47 449.03	2,251.83
12134	GRAINGER 1 PK OF 100 EA DISPOSABLE GLOVES	12/4/2013	26.29	26.29
12135	IVY CONTRERAS RecycleRama Nov. 2013	12/4/2013	1,125.00	1,125.00
12136	JOHN DAVID ACEVEDO II RecycleRama Nov. 2013	12/4/2013	200.00	200.00
12137	MONTEREY COUNTY TREASURER/TAX COLLECTOR JR 420-081-015-000 12/10/2013 CH 125-271-058-000 12/10/2013 CH 125-271-063-000 12/10/2013 CH 125-491-012-000 12/10/2013 JC 223-042-017-000 12/10/2013 JC 223-042-018-000 JR 420-081-016-000 12/10/2013 LR 412-102-006-000 12/10/2013	12/4/2013	17.25 11.68 810.42 6.99 2,591.18 7,844.72 17.25 1,104.20	

**Salinas Valley Solid Waste Authority**  
**Checks Issued Report for 12/1/2013 to 1/31/2014**

Check #	Name	Check Date	Amount	Check Total
	SS 003-051-086-000 12/10/2013		326.21	
	SS 003-051-087-000 12/10/2013		332.00	
				13,061.90
12138	MONTEREY SANITARY SUPPLY, INC. Janitorial Supplies - SS 11.19.13	12/4/2013	649.66	
				649.66
12139	OFFICE DEPOT Batteries & Tissue Divider Tabs Pushpins	12/4/2013	106.24 29.16 4.31	
				139.71
12140	PLASTICS SOLUTIONS INC kitchen Compost caddies	12/4/2013	4,140.00	
				4,140.00
12141	PURE WATER BOTTLING ADM BOTTLED WATER DELIVERIES 12.1.13 JC BOTTLED WATER DELIVERIES 12.1.13 SS TS BOTTLED WATER DELIVERIES 12.01.13	12/4/2013	49.75 27.00 56.25	
				133.00
12142	ROBERT B GOMEZ RecycleRama Nov. 2013	12/4/2013	160.52	
				160.52
12143	SHARPS SOLUTIONS, LLC 38 Gall. Regulated Waste	12/4/2013	80.00	
				80.00
12144	STURDY OIL COMPANY 55 GAL DRUM DIESEL/EXHAUST FLUID SS TS 1 WASH/2 STEAMS	12/4/2013	177.60 130.00	
				307.60
12145	UNITED RENTALS (NORTHWEST), INC LOADER LANDSCAPER RENTAL 11.18.13 - 11.20.13	12/4/2013	606.78	
				606.78
12146	A-1 SWEEPING SS TS SWEEP YARD & EXT ST NOV 2013	12/11/2013	900.00	
				900.00
12147	ALEXANDRA BRISTOW RecycleRama NOV 11-22,2013	12/11/2013	306.14	
				306.14
12148	ASSURED AGGREGATES CO., INC SS TS 20.77 TONS ENTRY LOCK	12/11/2013	628.08	
				628.08
12149	AT&T SERVICES INC HHW & SS SCALE HOUSE INTERNET SERVICE NOV 2013 HHW & SS SCALE HOUSE INTERNET SERVICE NOV 2013	12/11/2013	291.36 271.86	
				563.22
12150	BRANDY ELLEN ACEVEDO RecycleRama NOV 11-22,2013	12/11/2013	1,204.75	
				1,204.75
12151	CALIFORNIA HIGHWAY ADOPTION CO. HIGHWAY 101 LITTER ABATEMENT NOVEMBER 2013	12/11/2013	550.00	
				550.00

**Salinas Valley Solid Waste Authority**  
**Checks Issued Report for 12/1/2013 to 1/31/2014**

Check #	Name	Check Date	Amount	Check Total
12152	COAST COUNTIES TRUCK & EQUIPMENT CO. 16096 APRING AIR BAG & AIRBAG STUD TRK002 FUEL/WATER, OIL/LUBE, FUEL, BREATHER FILTER	12/11/2013	147.05 105.38	252.43
12153	COAST OIL COMPANY, LLC SS TS VEHICLE DIESEL FUEL USAGE NOV 2013	12/11/2013	8,263.47	8,263.47
12154	Comcast Interenet Services	12/11/2013	136.36	136.36
12155	CSC OF SALINAS/YUMA 2-WIRE HYD HOSES, HOSE ENDS, JIC MALE TO FEMALE	12/11/2013	57.46	57.46
12156	FERGUSON ENTERPRISES INC #795 JC 20EA 1 5/8 X 1 5/8 X 10 12 GALV STRUTS	12/11/2013	41.58	41.58
12157	GEOLOGIC ASSOCIATES, INC. ALL SITES GROUND WATER MONITORING OCT 2013 CH NR SERVICES SEPTEMBER/OCTOBER 2013 ALL SITES GROUND WATER MONITORING OCT 2013 ALL SITES GROUND WATER MONITORING OCT 2013 ALL SITES GROUND WATER MONITORING OCT 2013	12/11/2013	1,535.00 4,794.00 630.00 696.25 3,265.75	10,921.00
12158	GOLDEN STATE TRUCK & TRAILER REPAIR SS TS 24 FT DRAIN COVER HINGES WELDED Trailer 17235 - Replaced Hubcab Gasket and Lense. Trailer 17236 - Replaced Marker Lights Trailer# 17236 - Replaced Air Valve TRL 0001 - Replacement Tire Truck 003 - Replaced Hydraulic Hose	12/11/2013	301.00 117.51 95.00 305.31 75.00 190.00	1,083.82
12159	GRAINGER CH PH CALIBRATION RINSE, PH ELECTRODE SOLUTION	12/11/2013	59.59	59.59
12160	GREENWASTE RECOVERY INC. MRF CARPET COLLECTION 12.02.13	12/11/2013	500.00	500.00
12161	GUERITO JC & SS PORTABLE TOILET SERVICE NOV 2013 JC & SS PORTABLE TOILET SERVICE NOV 2013	12/11/2013	170.00 340.00	510.00
12162	HD SUPPLY CONSTRUCTION SUPPLY, LTD BRANCH #6186 CH 1 ROLL 140NC 12.5' X 360' 4500 SF MIRAFILM	12/11/2013	388.80	388.80
12163	HOME DEPOT 12'X400' .7MIL CLEAR PLASTIC, PADLOCK, 60 PK BLADE 3 EA 12'X400' .7MIL CLEAR PLASTIC	12/11/2013	93.25 176.48	269.73
12164	INFINITY STAFFING SERVICES, INC. SS TS CONTRACT DRIVERS WK ENDING 11.24.13	12/11/2013	1,221.75	

**Salinas Valley Solid Waste Authority**  
**Checks Issued Report for 12/1/2013 to 1/31/2014**

Check #	Name	Check Date	Amount	Check Total
				1,221.75
12165	IVY CONTRERAS RecycleRama 11.18.13 - 11.22.13	12/11/2013	1,406.25	1,406.25
12166	JOCELIN SNOW Truck Wrap for back of Transfer Truck	12/11/2013	1,228.00	1,228.00
12167	JOHN DAVID ACEVEDO II RecycleRama 11.18.13 - 11.22.13	12/11/2013	250.00	250.00
12168	JOSE RAMIRO URIBE 16094 F/R TIRE REPAIR TRK 002 RT OUTER TIRE REPAIR	12/11/2013	109.55 109.55	219.10
12169	JUAN C. RUIZ CH PICK UP 210JD SCRAPER DELIVER TO SS TS	12/11/2013	200.00	200.00
12170	LIEBERT CASSIDY WHITMORE PROFESSIONAL SERVICES THROU 10.31.13	12/11/2013	2,016.00	2,016.00
12171	MONTEREY AUTO SUPPLY INC SS TS VEHICLE SUPPLIES - 5 GAL TIRE SEALANT	12/11/2013	741.54	741.54
12172	ORCHARD SUPPLY HARDWARE LLC 2 EA LENOX BLADES 3 EA MAX EXPAND SEALANTS SS TS 2 EA TYING TWINE 6500' VARIOUS STRAPS, TARPS, COILS	12/11/2013	43.18 25.88 75.58 228.42	373.06
12173	PACIFIC MUNICIPAL CONSULTANTS CH CEQA CONTINUATION OF ENVIRON SERVICES	12/11/2013	295.64	295.64
12174	PACIFIC TRUCK PARTS, INC Truck Upgrade - Particulate Filter Truck Upgrade - Particulate Filter	12/11/2013	540.00 300.00	840.00
12175	PLACEMENT PROS CONTRACT LABORERS WK ENDING 11.17.13 CONTRACT LABORERS WK ENDING 11.24.13 CONTRACT LABORERS WK ENDING 11.24.13	12/11/2013	119.92 464.70 607.60	1,192.22
12176	QUINN COMPANY 950G SWITCH A MASTER 950K FUEL CAP C15 ACTUATOR KIT & CORE CHARGE	12/11/2013	72.45 79.71 653.60	805.76
12177	ROBERT B GOMEZ RecycleRama 11.18-13 - 11.22.13	12/11/2013	281.94	281.94
12178	STATE WATER RESOURCES CONTROL BOARD JR SWRCB ANNUAL PERMIT FEE	12/11/2013	1,791.00	

**Salinas Valley Solid Waste Authority**  
**Checks Issued Report for 12/1/2013 to 1/31/2014**

Check #	Name	Check Date	Amount	Check Total
	SS TS SWRCB ANNUAL PERMIT FEE		1,791.00	
				3,582.00
12179	US BANK CORPORATE PAYMENT SYSTEM	12/11/2013		
	The Salinas Californian Newspaper		159.05	
	BuildaSign.com: Safety Signs for SS		160.25	
	Jossey-Bass An imprint of Wiley		118.80	
	SALINAS BUILDING MATERIALS		258.77	
	NEW PIG FEDERAL - SS Spill Prevention		133.69	
	ELECTRICAL DISTRIBUTORS		120.50	
	SALINAS/MONTEREY KOA		303.85	
	AMAZON		3.88	
	SAFETEQUIP		779.62	
	APPLE I-TUNES		33.99	
	OFFICE STAR		265.50	
	Amazon.com: Board Meeting Supplies		49.97	
	CHEVRON		62.69	
	INTERMEDIA EXCHANGE SERVICE FY 2012-13		209.81	
	HUGHESNET.NET		91.54	
	MONTEREY COAST BREWING		90.78	
	NAPA VALLEY MARRIOTT - CSDA Leadership Academy		11.82	
	MARRIOTT AUTOCAD CIVIL 3D TRAINING, DM 11.03-11.07		467.16	
	MARRIOTT AUTOCAD CIVIL 3D TRAINING, DM 11.03-11.07		82.81	
	Marriott Hotel - Calpers Educational Forum 2013		460.16	
	Walmart		81.00	
	OIL CAN HENRY'S - 2005 F150 VEHICLE MAINTENANCE		198.70	
	Organizational Development Network		115.00	
	Smart & Final		15.65	
	Sharefile.com: FTP Site - FY 2013-14		32.95	
	Smart & Final		21.59	
	Ready To Manage		14.95	
	BATTERIES PLUS RAINFALL LOGGERS		45.40	
	Smart & Final: EC Mtg Refreshments 11/6/13		17.68	
	Smart & Final: Office Supplies		5.69	
	KELLY-MOORE PAINTS - Maintenance Supply Paint		161.43	
	GEOTECHNICAL SERVICES		163.06	
	Safeway		21.10	
	Walmart		19.20	
	Walmart		31.01	
	WP - MIND TOOLS LTD		27.00	
				4,836.05
12180	**Void**	12/11/2013	0.00	
				0.00
12181	**Void**	12/11/2013	0.00	
				0.00
12182	**Void**	12/11/2013	0.00	
				0.00
12183	VISION RECYCLING INC	12/11/2013		
	C & D OUTSIDE GRINDING NOV 2013		4,427.50	

**Salinas Valley Solid Waste Authority**  
**Checks Issued Report for 12/1/2013 to 1/31/2014**

Check #	Name	Check Date	Amount	Check Total
	MISC SERVICES NOV 2013		250.00	
				4,677.50
12184	WEST COAST RUBBER RECYCLING, INC Tire Amnesty Trailers for Tire Recycling 11.22.13	12/11/2013	1,100.00	
				1,100.00
12185	STATE WATER RESOURCES CONTROL BOARD CH Annual Permit Fees FY 2013-14 LR Annual Permit Fees FY 2013-14	12/11/2013	64,817.00 22,438.00	
				87,255.00
12186	AMERESCO PER EPC AGREEMENT ATTACHMENT E CONTRACT COST	12/19/2013	37,600.00	
				37,600.00
12187	CESAR ZUÑIGA EDUCATION ASSISTANCE	12/19/2013	500.00	
				500.00
12188	CITY OF GONZALES GONZALES HOSTING FEES NOV 2013	12/19/2013	20,833.33	
				20,833.33
12189	CITY OF SALINAS (ENVIRONMENTAL COMPLIANCE BUREAU) SS TS INDUSTRIAL STORM WATER PERMIT	12/19/2013	236.20	
				236.20
12190	COAST COUNTIES TRUCK & EQUIPMENT CO. SS TS 15 OUTER HINGES 16094 6 COOLANTS, 5 HEATER HOSES, 4 GROMMET SEALS	12/19/2013	60.91 126.12	
				187.03
12191	COAST OIL COMPANY, LLC EQUIPMENT BIODIESEL FUEL 12.02.13 EQUIPMENT BIODIESEL FUEL 12.13.13 SS TS VEHICLE BIO-DIESEL FUEL 12.12.13	12/19/2013	1,457.43 1,473.46 11,347.06	
				14,277.95
12192	COSTCO WHOLESALE OFFICE SUPPLIES Office Supplies	12/19/2013	36.57 19.42	
				55.99
12193	CSC OF SALINAS/YUMA 17 2-WIRE HYD HOSES, 2 HOSE ENDS, 2 CRIMP CHGS HOSE ENDS, AIR BRAKE CLOTH COVER, CRIMP CHARGES	12/19/2013	230.04 65.97	
				296.01
12194	CUTTING EDGE SUPPLY ROLL OF CABLE 3/4 X 35' WIRE ROPE ROLL	12/19/2013	129.82	
				129.82
12195	DAVE J. DEERING Administrative Office 12.06.13 Sun Street Transfer Station 12.06.13	12/19/2013	1,040.00 790.00	
				1,830.00
12196	EDWARDS TRUCK CENTER, INC 2 SETS OF WIPER BLADES	12/19/2013	22.68	
				22.68

**Salinas Valley Solid Waste Authority**  
**Checks Issued Report for 12/1/2013 to 1/31/2014**

Check #	Name	Check Date	Amount	Check Total
12197	FIRST ALARM	12/19/2013		
	BLDG ALARM SERVICES 01.01.14 - 03.31.14		101.07	
	BLDG ALARM SERVICES 01.01.14 - 03.31.14		106.08	
	BLDG ALARM SERVICES 01.01.14 - 03.31.14		149.76	
	BLDG ALARM SERVICES 01.01.14 - 03.31.14		101.07	
	BLDG ALARM SERVICES 01.01.14 - 03.31.14		300.66	
				758.64
12198	GOLDEN STATE TRUCK & TRAILER REPAIR	12/19/2013		
	16094 REPLACED FUEL FILTER		156.68	
	16096 X2 LEFT SIDE AIR BAG REPLACED/ADJ ALL BRAKES		320.00	
	17236 REPLACED X5 R & L SIDE TORQUE ARMS, 12 SLABS		3,023.41	
	17236 TRAILER BOLTS REPLACED		290.40	
	210 JOHN DEER REPAIRED X1 RT SIDE TIRE		126.15	
	210LE FUEL PUMP AND ECM REPLACED		4,190.04	
	210LE SWAPPED OUT SOLID TIRES TO RENTAL & BACK		263.23	
	210LE TIRE REPAIRED		41.23	
	CAT950K RT SIDE HYD CYLINDER CLAW ON BUCKET CHGD		185.00	
	SS TS VEHICLE MAINTENANCE SUPPLIES		149.62	
	SS TS REINSTALL CLAMPS ON BACK OF FENCE		147.00	
	SS TS VEHICLE MAINTENANCE SUPPLIES		993.16	
	SS TS VEHICLE MAINTENANCE SUPPLIES		216.00	
	SS TS VEHICLE MAINTENANCE SUPPLIES		225.72	
	TRK 002 SERVICED, ADDED 2 GALS OF COOLANT		307.85	
	TRK 003 TIGHTENED UP LUG NUTS ON X3 RT SIDE		75.00	
	TRK001 1, 2, 5 & 6 ACTUATORS, HARNESS REPLACED		691.00	
	TRK002 CLAMP TO HOSE GOING TO HEATER REPLACED		145.00	
				11,546.49
12199	**Void**	12/19/2013		
			0.00	
				0.00
12200	GREEN RUBBER - KENNEDY AG, LP	12/19/2013		
	7 4X2 RED BUSH, 4 4" TEES, 8 4" 90 ELLBOWS		320.36	
	JC WELD-ON GLUE, VARIOUS COUPLING SLIPS & CAPS		409.47	
				729.83
12201	HUDDLE	12/19/2013		
	HUDDLE 10 ANNUAL LICENSES		3,600.00	
				3,600.00
12202	INFINITY STAFFING SERVICES, INC.	12/19/2013		
	SS TS CONTRACT DRIVER WK ENDING 12.01.13		1,188.00	
				1,188.00
12203	IVY CONTRERAS	12/19/2013		
	Reimbursement for RecycleRama Shirts and Props		109.23	
				109.23
12204	LAMAR BROS TIRE SERVICE, INC.	12/19/2013		
	2005 FORD F 150 L/R TIRE REPAIR		81.58	
				81.58
12205	MALLORY CO. INC	12/19/2013		
	2 CASES MICROMAX MEDIUM CVRALLS		90.15	



**Salinas Valley Solid Waste Authority**  
**Checks Issued Report for 12/1/2013 to 1/31/2014**

Check #	Name	Check Date	Amount	Check Total
	2 LG CVRL 1 S7100 XL CVRALL, 3 BX GLOVES		302.28	
	23 EA XL MICROMAX CVRALLS, 1 BOX DISP GLOVES		210.46	
				602.89
12206	MONTEREY BAY OFFICE PRODUCTS	12/19/2013		
	Office Equipment Maintenance 12.17.13 - 03.16.14		247.97	
				247.97
12207	MONTEREY COUNTY AGRICULTURAL COMMISSIONER	12/19/2013		
	JC 2014 COMMERCIAL DEVICE REGISTRATION		624.00	
	SS TS 2014 COMMERCIAL DEVICE REGISTRATION		520.00	
				1,144.00
12208	NEXIS PARTNERS, LLC	12/19/2013		
	RENT & COMMON AREAS ADM BLDG JAN 2014		1,515.00	
	RENT & COMMON AREAS ADM BLDG JAN 2014		7,194.00	
				8,709.00
12209	NEXTEL OF CALIFORNIA, INC	12/19/2013		
	Cell Phone Service NOV 2013		45.00	
	Cell Phone Service NOV 2013		53.32	
	Cell Phone Service NOV 2013		207.31	
	Cell Phone Service NOV 2013		124.50	
				430.13
12210	OFFICE DEPOT	12/19/2013		
	1 BELIN 6' COVER CORD, CALCULATOR, 2 BX BATTERIES		71.32	
				71.32
12211	PACIFIC GAS AND ELECTRIC COMPANY	12/19/2013		
	ELECTRICAL SERVICES FY 2013-14		2,718.62	
				2,718.62
12212	PLACEMENT PROS	12/19/2013		
	CONTRACT LABORERS ENDFING 12.08.13		1,034.82	
	SS TS CONTRACT LABORERS WK ENDING 12.01.13		862.34	
				1,897.16
12213	QUINN COMPANY	12/19/2013		
	Slider Returned		(585.49)	
	SS TS EQUIP MAIN & SUPPLIES		517.96	
	SS TS EQUIP MAIN & SUPPLIES		867.14	
				799.61
12214	RECOLOGY WASTE SOLUTIONS, INC	12/19/2013		
	JC DIV ASST FEE & MATERIAL FEES NOV 2013		8,154.00	
	JC LANDFILL OPS & EXTENDED DEC 2013		2,706.00	
	JC LANDFILL OPS & EXTENDED DEC 2013		163,034.00	
	JC DIV ASST FEE & MATERIAL FEES NOV 2013		1,001.11	
	JC DIV ASST FEE & MATERIAL FEES NOV 2013		318.64	
	JC OUT OF SCOPE MOVE OLD GAS PVC PIPE LINES TO TRA		395.47	
				175,609.22
12215	REPUBLIC SERVICES #471	12/19/2013		
	96 GALLON GARBAGE CART SERVICE DEC 2013		64.87	
				64.87
12216	SOUTH COUNTY NEWSPAPER	12/19/2013		
	Newspapers In Education Ad in So Co Papers		399.00	
				399.00
12217	STURDY OIL COMPANY	12/19/2013		

**Salinas Valley Solid Waste Authority**  
**Checks Issued Report for 12/1/2013 to 1/31/2014**

Check #	Name	Check Date	Amount	Check Total
	55 GAL 15-40 GRDOL CJ-4 ECT		723.58	
				723.58
12218	THOMAS M BRUEN	12/19/2013		
	LEGAL SERVICES RENDERED NOV 2013		12,925.00	
	LEGAL SERVICES RENDERED NOV 2013		687.50	
				13,612.50
12219	URS CORPORATION	12/19/2013		
	JC ROADWAY PROJECT ENGINEERING ENDING 11.15.13		1,133.25	
				1,133.25
12220	VALLEY PACIFIC PETROLEUM SERVICES, INC.	12/19/2013		
	DIESEL FUEL USAGE THRU 12.15.13		269.10	
				269.10
12221	VERIZON WIRELESS SERVICES, LLC	12/19/2013		
	Cell Phone Service NOV 2013		119.03	
				119.03
12222	VISION RECYCLING INC	12/19/2013		
	JC ORGANICS PROGRAM NOV 2013		35,378.82	
	SS ORGANICS PROGRAM NOV 2013		7,468.07	
				42,846.89
12223	WASTE MANAGEMENT INC	12/19/2013		
	BFI WASTE DELIVERED TO MADISON NOV 2013		13,154.81	
	JOLON ROAD OPERATIONS NOV 2013		57,779.10	
				70,933.91
12224	WEST COAST RUBBER RECYCLING, INC	12/19/2013		
	Tire Amnesty Trailers for Tire Recycling 12.09.13		1,100.00	
				1,100.00
12225	WESTERN EXTERMINATOR COMPANY	12/19/2013		
	JC SHOP RODENT CONTROL NOV 2013		53.00	
	JC STORAGE CONTAINER RODENT CONTROL NOV 2013		55.00	
	SSTS RODENT CONTROL NOV 2013		228.00	
				336.00
12226	WRIGHT EXPRESS FINANCIAL SERVICES CORPORATION	12/19/2013		
	Vehicle Fuel 2013-14		1,190.21	
	Vehicle Fuel 2013-14		113.55	
	Vehicle Fuel 2013-14		159.49	
	Vehicle Fuel 2013-14		200.72	
				1,663.97
12227	MONTEREY COUNTY HEALTH DEPARTMENT	12/20/2013		
	MO CO REGIONAL FEES JUL - SEPT 2013		28,442.21	
	MO CO REGIONAL FEES JUL - SEPT 2013		13,009.83	
				41,452.04
DFT2014471	WAGEWORKS	12/16/2013		
	FSA MONTHLY ADMIN FEES NOVEMBER 2013		12.00	
	FSA MONTHLY ADMIN FEES NOVEMBER 2013		6.00	
	FSA MONTHLY ADMIN FEES NOVEMBER 2013		8.00	
	FSA MONTHLY ADMIN FEES NOVEMBER 2013		6.00	
	FSA MONTHLY ADMIN FEES NOVEMBER 2013		6.00	
	FSA MONTHLY ADMIN FEES NOVEMBER 2013		12.00	
				50.00
<b>Total</b>				<b>637,529.56</b>

**Salinas Valley Solid Waste Authority**  
**Checks Issued Report for 12/1/2013 to 1/31/2014**

<b>Check #</b>	<b>Name</b>	<b>Check Date</b>	<b>Amount</b>	<b>Check Total</b>
	<b>Payroll Disbursements</b>			257,582.60
	<b>Grand Total</b>			<u>895,112.16</u>



**SalinasValleyRecycles.org**  
SALINAS VALLEY SOLID WASTE AUTHORITY

## Report to the Executive Committee

### ITEM NO. 4

Finance Manager/Controller-Treasurer

N/A

Legal Counsel

General Manager/CAO

**Date:** February 5, 2014  
**From:** Roberto Moreno, Finance Manager  
**Title:** FY 2013-14 Mid-Year Budget Adjustments

### RECOMMENDATION

Staff recommends that the Executive Committee support this item.

The budget adjustments will ensure that the budget reflects current activity.

### STRATEGIC PLAN RELATIONSHIP

The recommended action helps support Goal A – Fund and Implement 75% Diversion, by ensuring that the budget is balanced.

### FISCAL IMPACT

The net fiscal impact of the recommended budget adjustments is a net increase to fund balance of \$2,500 for the fiscal year.

### DISCUSSION & ANALYSIS

Based on activity during the first six months staff recommends the following budget adjustments.

- Decrease estimated investment revenues by \$50,000
- Decrease operating appropriations by \$172,500
- Increase Capital Improvements appropriations by \$120,000

#### Decrease estimated investment earnings by \$50,000

With the continued Federal Reserve support of the economy investment earnings continue to be minimal.

#### Decrease operating appropriations by \$172,500

The following appropriation adjustments are recommended:

\$+ 20,000	Retrofit of Transfer Trailer to meet AB32 requirements
\$-192,500	3/01/14 Crazy Horse IPA payment included in bond refunding
\$-172,500	Total Appropriation Increases

#### Increase capital improvements appropriations by \$120,000

The Johnson Canyon Flare Station Project No. 9502 requires an additional \$120,000 for additional gas handling capacity. The current budget of \$200,000 is for modernizing the current flare which is 15 years old. Due to increased methane gas generation the

capacity of the flare has to be increased. This is a regulatory issue so that methane gas does not migrate away from the landfill.

## **BACKGROUND**

The FY 2013-14 budget is doing quite fine due to constant monitoring by management staff. However some minor adjustments are required as stated above.

## **ATTACHMENT(S)**

1. FY 2013-14 Mid-Year Budget Adjustments



**Salinas Valley Solid Waste Authority**  
**Mid Year Budget Adjustments**  
**Based on December 31, 2013**

	<b>CURRENT BUDGET</b>	<b>Y-T-D REV/EXP</b>	<b>% OF BUDGET</b>	<b>REMAINING BALANCE</b>	<b>BUDGET ADJUSTMENTS</b>	<b>ADJUSTED BUDGET</b>
<b>Revenue Summary</b>						
Tippling Fees - Solid Waste	11,141,800	5,766,193	51.75%	5,375,607		11,141,800
Tippling Fees - Surcharge	1,034,000	521,334	50.42%	512,666		1,034,000
Tippling Fees - Diverted Materials	956,800	561,860	58.72%	394,940		956,800
AB939 Service Fee	1,732,000	865,992	50.00%	866,008		1,732,000
Tippling Fees - South Valley	2,318,800	1,220,252	52.62%	1,098,548		2,318,800
Charges for Services	117,000	7,684	6.57%	109,316		117,000
Sales of Materials	572,500	181,335	31.67%	391,165		572,500
Investment Earnings	80,200	11,062	13.79%	69,138	(50,000)	30,200
Grants/Contributions	76,747	0	0.00%	76,747		76,747
Other Non-Operating Revenue	0	3,327	0.00%	(3,327)		0
<b>Total Revenue</b>	<b>18,029,847</b>	<b>9,139,040</b>	<b>50.69%</b>	<b>8,890,807</b>	<b>(50,000)</b>	<b>17,979,847</b>
<b>Expense Summary</b>						
Administration	2,175,500	1,067,812	49.08%	1,107,688		2,175,500
Resource Recovery	2,564,055	951,563	37.11%	1,612,492		2,564,055
Scalehouses Operations	371,930	176,556	47.47%	195,374		371,930
Transfer Stations Operations	2,625,740	1,227,607	46.75%	1,398,133	20,000	2,645,740
Landfills Operations	3,715,350	1,356,269	36.50%	2,359,081		3,715,350
Postclosure Maintenance	939,670	388,318	41.32%	551,352		939,670
Environmental Control Systems	431,910	120,023	27.79%	311,887		431,910
Debt Service - Interest	1,979,200	1,002,696	50.66%	976,504	(192,500)	1,786,700
Debt Service - Principal	1,162,600	1,097,517	94.40%	65,083		1,162,600
Closure Set-Aside	277,000	143,883	51.94%	133,117		277,000
<b>Total Expense</b>	<b>16,242,955</b>	<b>7,532,244</b>	<b>46.37%</b>	<b>8,710,711</b>	<b>(172,500)</b>	<b>16,070,455</b>
<b>Revenue Over/(Under) Expenses</b>	<b>1,786,892</b>	<b>1,606,796</b>	<b>89.92%</b>	<b>180,097</b>	<b>122,500</b>	<b>1,909,392</b>





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SALINAS VALLEY SOLID WASTE AUTHORITY

## Report to the Executive Committee

### ITEM NO. 5

Finance Manager/Controller-Treasurer

N/A

Legal Counsel

General Manager/CAO

**Date:** February 5, 2014  
**From:** Roberto Moreno, Finance Manager  
**Title:** FY 2014-15 Preliminary Budget

### RECOMMENDATION

Staff recommends that the Executive Committee support this item and provide any additional direction desired.

### STRATEGIC PLAN RELATIONSHIP

The recommended action helps support Goal A - Fund and Implement 75% Diversion, by ensuring that the budget is balanced and sustainable.

### FISCAL IMPACT

The preliminary \$14,838,000 Operating Budget represents a decrease of 8.2% over the current operating budget. It is financed with \$15,570,800 in revenues, a decrease of 13.3% over the current operating budget. The Preliminary Operating Budget will generate a surplus of \$732,800 which will be used for capital projects and to fund some of the Authority's reserves.

### DISCUSSION & ANALYSIS

The preliminary budget is presented to the Executive Committee as a high level presentation in order to receive direction. Based on the Executive Committee's direction staff will prepare a full budget document with all the details to be presented at the February 20, Board meeting.

#### \$2,382,300 decrease in revenues

In order to end reliance on importing outside waste, the Board directed staff to terminate the Recology South Valley (RSV) contract. The RSV contract will come to an end no later than December 31, 2014. This represents a future and permanent reduction of \$2,318,800 in revenues from imported waste.

Staff is estimating a 3.0% decrease in landfilled tonnage which will reduce estimated revenues by \$334,500. This will be partially offset by a \$3.00 per ton increase (\$228,800) in the Salinas Transportation Surcharge charged to Republic Services of Salinas. This means that during FY 2014-15 Republic Services will be paying the Authority \$14.00 per ton to transport their waste to Johnson Canyon Landfill. This is still a favorable rate in comparison to the \$19.89 per ton the Authority pays Waste Management to transport overflow waste out of Madison Lane Transfer Station. At the October 2012 Board Retreat, the Board agreed to raise the Salinas Transportation Surcharge \$3.00 per ton annually until Republic is paying the full cost of transporting their waste to Johnson Canyon landfill.



In accordance with the agreement with the County, staff is not recommending any rate increases. Other changes in estimated revenues can be seen in the attached PowerPoint presentation.

\$1,328,000 decrease in operating expenses

The major reason for the decrease is the \$1,220,800 decrease in debt service due to the refunding of the 2002 revenue bonds and the Crazy Horse IPA.

The \$263,490 decrease in Johnson Canyon Landfill (JCL) Operations is due to lowered fees due to the ending of imported waste from Recology South Valley. The JCL operations is the one part of the budget that is truly preliminary. The Authority went out to bid for a new operations contract. Bids were received on January 24, 2014. Staff is still evaluating the results and will be making a recommendation to the Board on February 20. For now the JCL operations contract is budgeted as a status quo item, though staff believes that additional savings will be achieved through restructuring the operations at JCL.

Capital Improvement Projects Budget

The following Projects need to be budgeted in FY 2014-15

\$450,000 Sun Street Transfer Station Pavement Replacement  
\$ 80,000 Sun Street Transfer Station Equipment Replacement (Transfer Trailer)  
\$ 50,000 Johnson Canyon Landfill Litter Control Barrier  
\$ 35,000 Johnson Canyon Landfill Methane Extraction Wells  
\$ 35,000 Pick-up Truck Replacement  
\$650,000 Total

For FY 2014-15 the tipping pad and a large pavement area at Sun Street Transfer Station will have to be replaced at an estimated cost of \$450,000. Sun Street started operation in January 2005 to operate at 100 tons per day while a larger facility was developed. The transfer station currently handles close to 400 tons per day. Initially, the facility was designed for a lot fewer trucks. After 10 years, the pavement and concrete pad is showing significant distress and needs to be replaced.

Litter control is an important part of the JCLF operation especially with the winds in the Salinas Valley. It will be beneficial to the Authority to install a large perimeter litter barrier.

In order to meet the State Minimum Standards, additional methane extraction wells are also needed along the Southern boundary.

The F250 pickup truck is 10 years old and in need of replacement.

**BACKGROUND**

Due to the Board's commitment to not increase rates in FY 2014-15 this budget is a status quo budget with minimal increases except where absolutely necessary.

**ATTACHMENT(S)**

1. FY 2014-15 Preliminary Operating Budget PowerPoint Presentation



**Fiscal Year 2014-15**

**Preliminary Budget**

**February 5, 2014**

**Executive Committee Meeting**

# Budget Assumptions

- No increase in tipping fees
- 3% decrease in landfilled tonnage
- Increase Republic transfer costs by \$3 per ton
- Use Operating Surplus to fund
  - Capital improvements
  - Reserves

# SVSWA Tonnage

	2010-11	2011-12	2012-13	2013-14	2014-15
	Actual	Actual	Actual	Budget	Budget
Republic Services	89,358	91,753	93,236	94,000	90,200
Rural Dispose-All	26,379	25,660	24,298	24,800	24,300
Jolon Road	15,267	14,326	14,170	14,200	13,500
City of Soledad	6,275	6,147	6,294	6,200	6,200
City of Greenfield	5,704	5,702	5,809	5,700	5,700
Tri-Cities Disposal	1,835	2,660	3,422	3,200	3,400
City of Gonzales	2,914	2,800	2,844	2,800	2,800
Total Franchise Waste Tons	147,732	149,048	150,073	150,900	146,100
Self-Haul	15,906	15,330	14,923	15,000	14,800
Madison Lane Self Haul	2,614	1,414	897	500	500
Total Self Haul Tons	18,520	16,744	15,820	15,500	15,300
Field Plastics	566	299	76	100	100
Total Field Plastics	566	299	76	100	100
Total Landfilled Tons	166,818	166,091	165,969	166,500	161,500
South Valley Tonnage	76,441	77,358	78,300	79,226	-
Grand Total Tonnage	243,259	243,449	244,269	245,726	161,500

# Fiscal Year 2014-15 Preliminary Budget

	Sum of 2013 2014 BUDGET	Sum of 2014 2015 PROPOSED	Increase / (Decrease)	% Change
51.1 - Tipping Fees - Solid Waste	11,141,800	10,807,300	(334,500)	-3.0%
51.2 - Tipping Fees - Surcharge	1,034,000	1,262,800	228,800	22.1%
51.3 - Tipping Fees - Diverted Materials	956,800	1,005,000	48,200	5.0%
51.4 - AB939 Service Fee	1,732,000	1,732,000	-	0.0%
51.5 - Tipping Fees - South Valley	2,318,800	-	(2,318,800)	-100.0%
52.1 - Charges for Services	117,000	122,000	5,000	4.3%
53.1 - Sales of Materials	385,000	351,000	(34,000)	-8.8%
53.2 - Gas Royalties	187,500	260,000	72,500	38.7%
54.1 - Investment Earnings	80,200	30,700	(49,500)	-61.7%
<b>Total Revenues</b>	<b>17,953,100</b>	<b>15,570,800</b>	<b>(2,382,300)</b>	<b>-13.3%</b>
Administration	2,305,500	2,341,900	36,400	1.6%
Resource Recovery	2,546,190	2,580,750	34,560	1.4%
Transfer Stations	2,622,615	2,719,875	97,260	3.7%
Landfill	4,178,315	3,914,825	(263,490)	-6.3%
Postclosure	932,170	893,350	(38,820)	-4.2%
ECS	439,410	466,300	26,890	6.1%
Debt Service	3,141,800	1,921,000	(1,220,800)	-38.9%
<b>Total Expenditures</b>	<b>16,166,000</b>	<b>14,838,000</b>	<b>(1,328,000)</b>	<b>-8.2%</b>
<b>Total Revenues/Expenditures</b>	<b>1,787,100</b>	<b>732,800</b>		

# Capital Projects Funded from Operating Surplus

	2014-15 Proposed
Equipment Replacement	
Pick-Up Truck	35,000
SSTS Equipment Replacement	
Transfer Trailer	80,000
Johnson Canyon Landfill Improvements	
Johnson Canyon Landfill Methane Extraction Wells	35,000
Johnson Canyon Landfill Litter Control Barrier	50,000
SSTS Improvements	
Sun Street Transfer Station Pavement Replacement	450,000
	-
Grand Total	650,000

## Direction Requested

- Re-affirm no rate increase
- Discussion of Landfill Operations Contract
- Discussion prioritization of operating budget surplus
- Replace Sun Street Transfer Station Pavement?

# SVSWA Agenda Items - View Ahead

Item No. 6

2014

	13-Feb	20-Feb	20-Mar	17-Apr	15-May	19-Jun
A	<b>RETREAT</b>  <b>STRATEGIC PLAN</b>  <b>REVIEW 3-YEAR GOALS &amp; 6-MONTH OBJECTIVES</b>	Election of Alternate Vice President	Minutes	Minutes	Minutes	Minutes
1		Minutes	Claims/Financials (EC)	Claims/Financials (EC)	Claims/Financials (EC)	Claims/Financials (EC)
2		Claims/Financials (EC)	Award contract for JC flare replacement	QTE March Cash & Investments	QTE March Tonnage & Diversion Reports	FY Investment Policy (EC)
3		QTE December Tonnage & Diversion Report	CH Closure Project Completion (sp1)	Admin Procedures Manual (sp1)	Award Bid for Tire Derived aggregate	
4		Lease w/MoCo for Cell Towers @ LR (sp)	Public Hearing FY 14-15 Rates (EC)		Award bid for LFG Pipe	
5		Updated Strategic Plan Approval	Strategic Plan Monthly Progress Report		AdManor Contract	
6		Richard Casey Lease Amendment	USDA Digester Process Diversion Report (sp)		FY 2014-15 Budget (EC)	
7		Diversion Report Including Private Recyclr data (sp)	In-house ECS Ops Plan (sp1)			
8		Recognition of Salinas Adult School	Increased C&D Diversion Plan (sp)			
9		CAG Meetings Report (sp)	Final Salinas Area MRC site(s) to study (sp)			
10		Results on Bond Refinancing (sp)	JC Roadway Improvements			
11		Employee Handbook (EC)				
12		Review of Expanded Outreach Efforts				
13		Mid-Year Budget Adjustments (EC)				
14		Preliminary Budget FY14-15 (EC)				
15		JC Landfill Ops Private vs. Public (sp)				
16		GOE Funding Commut Autoclave Demo (sp)				

Consent
Presentation
Consideration
Closed Session
[Other] (Public Hearing, Recognition, Informational, etc.)
(EC) Executive Committee
(sp) Strategic Plan Item