



LOCAL AND REGIONAL GOVERNMENT SERVICES AUTHORITIES

Providing Solutions to California Public Agencies

P.O. Box 1350 · Carmel Valley, CA 93924 · 650.587.7300

RGS BOARD AGENDA

Agenda materials may be viewed on the Agency's web site www.rgs.ca.gov or by contacting the Executive Director prior to the meeting at the contact information below.

REGULAR MEETING
May 16th, 2013
2:20 p.m.

Central Marin Police Authority
Community Room
250 Doherty Drive
Larkspur, CA 94939

1. CALL TO ORDER

2. CHANGES TO THE ORDER OF AGENDA

3. APPROVAL OF CONSENT AGENDA

Consent agenda items are considered to be routine and will be enacted by one motion. There will be no separate discussion on these items unless members of the Board, staff or public request specific items to be removed for separate action.

A. Approval of **February 28, 2013** Minutes

Action

4. TREASURER'S REPORT

A. Approval of FY2014 Budget and Authorization to Re-Balance Net Equity at FYE

Action

5. OLD BUSINESS - None

6. NEW BUSINESS

A. Approval of Updated and Revised Personnel Rules, Regulations and Policies

Action

B. Approval of Administrative and Financial Policies and Procedures Update

Action

C. Appoint a first and second alternate to the Finance Committee

Action

7. PUBLIC COMMENT

Each speaker is limited to two minutes. If you are addressing the Board on a non-agenda item, the Board may briefly respond to statements made or questions posed as allowed by the Brown Act (Government Code Section 54954.2). However, the Board's general policy is to refer items to staff for attention, or have a matter placed on a future Board agenda for a more comprehensive action or report.

8. NEXT MEETING: August 15th, 2013 at 1:00 p.m. at Association of Bay Area Governments

9. ADJOURN

Americans with Disabilities Act

In compliance with the Americans with Disabilities Act, if you need special assistance to participate in this meeting, please contact Richard Averett at (831) 308.1508. Notification in advance of the meeting will enable Agency to make reasonable arrangements to ensure accessibility.

**REGIONAL GOVERNMENT SERVICES
JOINT POWERS AUTHORITY
BOARD OF DIRECTORS MEETING
FEBRUARY 28, 2013**

The Regional Government Services Joint Powers Authority held a regular meeting of the Board of Directors at the Dublin City Hall Library Program Room, 100 Civic Plaza, Dublin CA 94568. The meeting was called to order at 2:39 p.m.

1. CALL TO ORDER

Members Present: Dan Schwarz, Chair
Steve Rogers, Vice-Chair
Ken Nordhoff, Member
Joni Pattillo, Member
Herb Pike, Member
Anil Comelo, Alternate Member
Other Attendees: Michael Garvey, Executive Committee Member
Richard Averett, Executive Director
Glenn Lazof, Project Manager

2. CHANGES TO THE ORDER OF AGENDA - None

3. APPROVAL OF CONSENT AGENDA

A. Approval of **December 10, 2012** Minutes
Action: Moved, seconded (Nordhoff/Pike) and carried unanimously to approve the Consent Agenda.

4. TREASURER'S REPORT - None

5. OLD BUSINESS

A. Update Defined Benefit Plan Approved at December 10, 2012 Meeting
Information: Executive Director Averett updated the Board on the JPA's investigation of adding a DB plan through PARS that two potential clients were interested in using. The plan was also offered to existing client agencies in our PERS DB plan. Both of the potential clients decided to pursue other options and existing clients were not interested in leaving the PERS plan. Members acknowledged staff's pursuit of this more sustainable alternative DB plan.

6. NEW BUSINESS

A. Approval of **Resolution No. 2013-01** LAIF Authorized Persons List
Action: Moved, seconded (Nordhoff/Rogers) to approve Resolution No. LGSBOD 2013-01 as amended to designate the Chair by title only, so as to facilitate future changes in office holders without necessitating updated resolutions.

B. Change of Address Filing with Secretary of State
Action: Moved, seconded (Pike/Nordhoff) and carried unanimously to change address filing with the Secretary of State.

7. PUBLIC COMMENT – None

8. ADJOURNMENT - The meeting adjourned at 2:42 p.m. The next meeting is scheduled for May 16, 2013 at 1:00 p.m. at Central Marin Police Authority, Larkspur, CA.



LOCAL AND REGIONAL GOVERNMENT SERVICES AUTHORITIES

Providing Solutions to California Public Agencies

P.O. Box 1350 · Carmel Valley, CA 93924 · 650.587.7300

TO: BOARD OF DIRECTORS
FROM: RICHARD H. AVERETT, Executive Director
SUBJECT: APPROVAL OF FY2014 BUDGET

BOD Meeting: 5-16-13
Item: 4A

RECOMMENDATION

1. Approve the Proposed FY2014 Budget.
2. Authorize the CFO to use fiscal-year-end RGS and LGS net equity in excess of the target reserve balances to increase MSA reserves.

BACKGROUND

The Fiscal Year (FY) 2014 proposed budget has been prepared in accordance with direction provided by the Executive Committee and Board of Directors. The budget is presented in the Profit and Loss (P&L) format provided to the Executive Committee at their regular meetings. Several budget assumptions have been made in developing the budget. They are:

- Each JPA's budget is prepared separately, with RGS providing most operational services and all administrative staffing. Therefore, LGS and MSA reimburse RGS for administrative/overhead costs.
- Client expenditures and reimbursement revenues for existing and potential clients are not budgeted in the next fiscal year unless there is a high likelihood the "potential" business will be realized.

Net Equity targets for FY2013 are \$750,000, \$750,000 and \$1,050,000 for RGS, LGS and MSA. Staff projects that net equity for RGS and LGS will exceed those targets, but fall short of the MSA target by just over \$100,000. Staff is proposing those same target levels for FYE 2014. Given the status of claims in process, staff is recommending that any net equity in RGS or LGS at FY2013 be contributed to MSA to achieve its minimum net equity target. The CFO will report at the next Finance Committee the amount, if any, so contributed. For future years, this authorization will be proposed to the Finance Committee as an adjustment to the existing Reserve Policy.

FY2012 FINANCIAL PERFORMANCE

The LGS and RGS FY2012 budgets were adopted with projected addition to retained earnings of \$47,400 and \$61,700 respectively. Audited results show LGS adding \$297,313 and RGS adding \$263,420 for a net combined addition to retained earnings of \$560,733 in FY2012. A reservation for claims of \$386,650 was included in FY2012 results and reversed in the next fiscal year.

FY2013 FINANCIAL PERFORMANCE

The LGS and RGS FY2013 budgets were adopted with projected additions to retained earnings of \$38,094 and \$288,608 respectively, for combined budgeted earnings of \$326,702. Combined FY2013 net earnings are projected to be \$382,823. FYE performance estimates include an allowance for OPEB accruals. Vacation accruals are not included in the projections. The financial impact of the

loss of major clients this year and last was mitigated by a one-time claim expense reversal of \$386,650.

Administrative expenses increased transition costs (set-up and overlap of accounting and payroll staff with prior vendor) and costs related to unresolved issues with two prior clients. Transition costs began to decline in February as the new operations stabilized and savings were realized from discontinuance of contracted services. We will end FY2013 having created a stable internal platform which will provide scalable services to public agencies, as we increase our ability to share these new administrative efficiencies with our clients.

FY2014 PROPOSED BUDGET

The proposed RGS and LGS combined FY2014 budget shows a projected net loss of \$149,443. The FY 2014 does not include many of the recently added new clients, nor does it include the net income we anticipate to realize from our planned increased outreach activity. Per our business model, retained earnings are available to provide stability and support to outreach efforts as we seek to expand our offerings while continuing to serve public agencies.

NET ADDITION TO RETAINED EARNINGS

	<u>FY2012 Actual</u>	<u>FY2013 Projected</u>	<u>FY2014 Budget</u>
LGS	\$ 297,313	\$ 4,452	\$ 7056
RGS	<u>263,420</u>	<u>378,371</u>	<u>-156,499</u>
Total	\$ 560,763	\$ 382,823	\$ -149,443

Should the Board wish to reduce the budgeted FY2014 shortfall, cancelling the planned contribution to MSA of \$100,000 in the budget would be one option. Staff recommends that this option not be exercised until after mid-year, when fuller implementation of the financial strategy reviewed by the Executive Committee has had a chance to work.

Financial performance for the current fiscal year and projected for next year enables the JPAs to continue funding for Member Agency training. \$72,000 has been included for this purpose in the FY2014 proposed budget.

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Admin - JPAs				
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.
Income					
440301 Client Billings					
440400 LGS & MSA - Admin. Services	696,058	840,000	783,843	(56,157)	706,588
440410 Client Administration Fees					
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)					
Interest (Fmr. Part of Misc Income)					12,000
440420 Finance Charges					
480000 Miscellaneous Income	31,034	31,412	23,000	(8,412)	3,300
Uncategorized Income					
Total Income	727,093	871,412	806,842	(64,570)	721,888
Gross Profit	727,093	871,412	806,842	(64,570)	721,888
Expenses					
511010 Salaries - Regular	525,900	550,000	794,000	244,000	701,000
511072 Salaries - Nonbillable	10,181				
512001 Workers Comp Exp outside rate					
512002 Medicare Employer Expense	7,816	7,975	11,668	3,693	9,870
512003 Workers' Comp Exp clerical	65,589	147,000	73,000	(74,000)	73,000
512004 Employee Assistance Program	5,366	5,383	5,700	317	5,700
512005 Health Insurance Expense	13,771	13,852	14,900	1,048	15,800
512006 Dental Insurance Expense	1,834	1,907	2,400	493	2,100
512007 Vision Insurance Expense	386	406	600	194	700
512008 Life Insurance Expense	624	622	600	(22)	700
512009 Long Term Disability Expense	1,035	1,032	1,030	(2)	900
512010 Stars 457 Expense	-			-	
512011 Stars 401A Expense	60,155	60,500	85,000	24,500	76,000
512014 Short Term Disability Expense	685	684	700	16	700
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)			740	740	
512018 FSA Health & Day Care Expense	3,062	1,976	4,000	2,024	1,600
520104 Telephone/Internet	3,370	2,353	7,500	5,147	7,200
520105 Cell Phones	733	683	730	47	800
520107 APS (ADP) Payroll Fees	24,103	25,000	20,900	(4,100)	5,400
520201 Office Supplies	74	81	2,600	2,519	2,400
520202 Bank Fees & Services	5,591	5,790	4,080	(1,710)	2,640
520204 Printing & Postage	617	367	2,900	2,533	2,900
520301 Audit and Professional Services	17,350	20,000	17,600	(2,400)	29,500
520302 Legal Services	44,412	50,000	46,000	(4,000)	46,000
520320 Professional Services	128,637	124,000	89,000	(35,000)	-
520501 Professional Dues & Membership	4,910	6,607	9,000	2,393	9,000
520503 Conferences & Meetings	58,054	87,000	34,000	(53,000)	60,000
520504 Publications	6,140		7,500	7,500	7,500
520508 Licenses & Fees			660	660	
520701 General Liability Insurance Exp	103,311	188,000	262,000	74,000	262,000
520750 Interest Expense	1,371				
520801 Mileage Reimbursement	6,241	4,840	5,900	1,060	5,900
520802 Vehicle Allowance	165	248		(248)	
520803 Travel Reimbursement	4,964	2,278	4,500	2,222	4,500
520805 Supplies & Meals Reimbursement	310	315	800	485	800
520904 Computer Install & Maintenance	43,363	134,160	30,000	(104,160)	20,000
522798 Miscellaneous Expense	538		-	-	-
Total Expenses	1,150,452	1,443,059	1,540,009	96,950	1,354,609
Net Operating Income	(423,359)	(571,647)	(733,167)	(161,520)	(632,721)
Other Expenses					
520702 Claims Expense			(386,650)	(386,650)	
529996 Attributed OPEB Expense	-	83,004	4,406	(78,598)	10,751
529997 Unallocated Admin. Svcs - RGS	(496,488)	(814,313)	(737,573)	76,740	(643,473)
529999 Allocated Unbillable Expenses					
Total Other Expenses	(496,488)	(731,309)	(1,119,817)	(388,508)	(632,721)
Net Other Income	496,488	731,309	1,119,817	388,508	632,721
Net Income	73,129	159,662	386,650	226,988	

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	<u>Belvedere</u>		<u>C - IV</u>				
	<u>FY13 Proj.</u>	<u>FY13 Variance</u>	<u>FY12 Actual</u>	<u>FY13 Budget</u>	<u>FY13 Proj.</u>	<u>FY13 Variance</u>	<u>FY14 Prop.</u>
Income							
440301 Client Billings			323,296	322,440	280,000	(42,440)	237,000
440400 LGS & MSA - Admin. Services	86,455	86,455					
440410 Client Administration Fees							
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)							8,000
Interest (Fmr. Part of Misc Income)							
440420 Finance Charges							
480000 Miscellaneous Income			937	2,862	8,000	5,138	
Uncategorized Income	171	171					
Total Income	86,626	86,626	324,233	325,302	288,000	(37,302)	245,000
Gross Profit	86,626	86,626	324,233	325,302	288,000	(37,302)	245,000
Expenses							
511010 Salaries - Regular	71,731	71,731	237,185	229,945	193,747	(36,198)	152,000
511072 Salaries - Nonbillable			2,755	4,133		(4,133)	
512001 Workers Comp Exp outside rate							
512002 Medicare Employer Expense	1,040	1,040	3,409	3,376	2,800	(576)	2,100
512003 Workers' Comp Exp clerical							
512004 Employee Assistance Program							
512005 Health Insurance Expense			885		5,100	5,100	7,300
512006 Dental Insurance Expense			1,397	1,397	2,100	703	2,200
512007 Vision Insurance Expense			266	266	600	334	700
512008 Life Insurance Expense			668	668	600	(68)	500
512009 Long Term Disability Expense			1,146	1,400	816	(584)	900
512010 Stars 457 Expense							
512011 Stars 401A Expense	7,173	7,173	21,858	21,627	18,000	(3,627)	3,900
512014 Short Term Disability Expense			1,137	1,400	1,000	(400)	900
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)							
512018 FSA Health & Day Care Expense							
520104 Telephone/Internet							
520105 Cell Phones							
520107 APS (ADP) Payroll Fees							
520201 Office Supplies							
520202 Bank Fees & Services							
520204 Printing & Postage							
520301 Audit and Professional Services							
520302 Legal Services	171	171					
520320 Professional Services							
520501 Professional Dues & Membership							
520503 Conferences & Meetings							
520504 Publications							
520508 Licenses & Fees							
520701 General Liability Insurance Exp							
520750 Interest Expense							
520801 Mileage Reimbursement			2,193	435	1,400	965	1,400
520802 Vehicle Allowance							
520803 Travel Reimbursement			7,643	6,221	7,700	1,479	7,700
520805 Supplies & Meals Reimbursement							
520904 Computer Install & Maintenance							
522798 Miscellaneous Expense							
Total Expenses	80,115	80,115	280,544	270,868	233,861	(37,007)	179,600
Net Operating Income	6,511	6,511	43,689	54,434	54,138	(296)	65,400
Other Expenses							
520702 Claims Expense							
529996 Attributed OPEB Expense			3,414		1,508	1,508	4,967
529997 Unallocated Admin. Svcs - RGS							
529999 Allocated Unbillable Expenses	12,767	12,767	20,864	41,404	42,399	995	44,617
Total Other Expenses	12,767	12,767	24,278	41,404	43,907	2,503	49,584
Net Other Income	(12,767)	(12,767)	(24,278)	(41,404)	(43,907)	(2,503)	(49,584)
Net Income	(6,256)	(6,256)	19,412	13,030	10,231	(2,799)	15,816

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	<u>Calistoga</u>			<u>Central Marin Police</u>			
	FY12 Actual	FY13 Proj.	FY13 Variance	FY12 Actual	FY13 Proj.	FY13 Variance	FY14 Prop.
Income							
440301 Client Billings	1,665	600	600	1,440	33,800	33,800	39,000
440400 LGS & MSA - Admin. Services							
440410 Client Administration Fees							
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)							
Interest (Fmr. Part of Misc Income)							
440420 Finance Charges							
480000 Miscellaneous Income	22				150	150	
Uncategorized Income							
Total Income	1,687	600	600	1,440	33,950	33,950	39,000
Gross Profit	1,687	600	600	1,440	33,950	33,950	39,000
Expenses							
511010 Salaries - Regular	176	600	600	989	24,000	24,000	27,900
511072 Salaries - Nonbillable							
512001 Workers Comp Exp outside rate		3	3				
512002 Medicare Employer Expense	2			14	350	350	400
512003 Workers' Comp Exp clerical							
512004 Employee Assistance Program		20	20				
512005 Health Insurance Expense	9	3	3	91	200	200	400
512006 Dental Insurance Expense				16	16	16	150
512007 Vision Insurance Expense							
512008 Life Insurance Expense							
512009 Long Term Disability Expense							
512010 Stars 457 Expense							
512011 Stars 401A Expense	15			96	2,400	2,400	2,800
512014 Short Term Disability Expense							
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)							
512018 FSA Health & Day Care Expense							
520104 Telephone/Internet							
520105 Cell Phones							
520107 APS (ADP) Payroll Fees							
520201 Office Supplies							
520202 Bank Fees & Services							
520204 Printing & Postage							
520301 Audit and Professional Services							
520302 Legal Services					150	150	150
520320 Professional Services							
520501 Professional Dues & Membership							
520503 Conferences & Meetings							
520504 Publications							
520508 Licenses & Fees							
520701 General Liability Insurance Exp							
520750 Interest Expense							
520801 Mileage Reimbursement	22						
520802 Vehicle Allowance							
520803 Travel Reimbursement							
520805 Supplies & Meals Reimbursement							
520904 Computer Install & Maintenance							
522798 Miscellaneous Expense							
Total Expenses	224	626	626	1,206	27,116	27,116	31,800
Net Operating Income	1,463	(26)	(26)	234	6,833	6,833	7,200
Other Expenses							
520702 Claims Expense							
529996 Attributed OPEB Expense	18	1	1	15	59	59	272
529997 Unallocated Admin. Svcs - RGS							
529999 Allocated Unbillable Expenses	109	98	98	93	5,052	5,052	7,102
Total Other Expenses	126	99	99	108	5,111	5,111	7,374
Net Other Income	(126)	(99)	(99)	(108)	(5,111)	(5,111)	(7,374)
Net Income	1,337	(124)	(124)	126	1,722	1,722	(174)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	<u>City of Clearlake</u>				<u>City of Davis</u>
	<u>FY12 Actual</u>	<u>FY13 Proj.</u>	<u>FY13 Variance</u>	<u>FY14 Prop.</u>	<u>FY12 Actual</u>
Income					
440301 Client Billings	90,699.31	118,499.52	118,499.52	127,800.00	6,650.00
440400 LGS & MSA - Admin. Services					
440410 Client Administration Fees					
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)				9,200.00	
Interest (Fmr. Part of Misc Income)					
440420 Finance Charges					
480000 Miscellaneous Income	8,624.00	8,800.30	8,800.30		
Uncategorized Income					
Total Income	99,323	127,300	127,300	137,000	6,650
Gross Profit	99,323	127,300	127,300	137,000	6,650
Expenses					
511010 Salaries - Regular	71,985.95	92,000.00	92,000.00	100,000.00	8,936.65
511072 Salaries - Nonbillable					
512001 Workers Comp Exp outside rate					
512002 Medicare Employer Expense	1,021.95	1,300.42	1,300.42	1,500.00	128.13
512003 Workers' Comp Exp clerical					
512004 Employee Assistance Program					
512005 Health Insurance Expense					
512006 Dental Insurance Expense					
512007 Vision Insurance Expense					
512008 Life Insurance Expense					
512009 Long Term Disability Expense					
512010 Stars 457 Expense					
512011 Stars 401A Expense	7,047.90	9,200.01	9,200.01	10,000.00	883.58
512014 Short Term Disability Expense					
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)					
512018 FSA Health & Day Care Expense					
520104 Telephone/Internet					
520105 Cell Phones					
520107 APS (ADP) Payroll Fees					
520201 Office Supplies					
520202 Bank Fees & Services					
520204 Printing & Postage					
520301 Audit and Professional Services					
520302 Legal Services		220.00	220.00	200.00	
520320 Professional Services					
520501 Professional Dues & Membership					
520503 Conferences & Meetings	1,001.00				
520504 Publications					
520508 Licenses & Fees					
520701 General Liability Insurance Exp					
520750 Interest Expense					
520801 Mileage Reimbursement	1,386.00	2,899.57	2,899.57	2,900.33	
520802 Vehicle Allowance					
520803 Travel Reimbursement	5,313.00	6,799.87	6,799.87	6,799.67	
520805 Supplies & Meals Reimbursement					
520904 Computer Install & Maintenance					
522798 Miscellaneous Expense					
Total Expenses	87,756	112,420	112,420	121,400	9,948
Net Operating Income	11,568	14,880	14,880	15,600	(3,298)
Other Expenses					
520702 Claims Expense					
529996 Attributed OPEB Expense	1,045				70
529997 Unallocated Admin. Svcs - RGS					
529999 Allocated Unbillable Expenses	6,391	18,818	18,818	24,949	428
Total Other Expenses	7,437	18,818	18,818	24,949	498
Net Other Income	(7,437)	(18,818)	(18,818)	(24,949)	(498)
Net Income	4,131	(3,938)	(3,938)	(9,349)	(3,796)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	City of Marina				City of Menlo Park			
	FY12 Actual	FY13 Proj.	FY13 Variance	FY14 Prop.	FY12 Actual	FY13 Budget	FY13 Proj.	Y13 Variance
Income								
440301 Client Billings	29,820	243,600	243,600	140,500	46,376	95,040	42,856	-52,184
440400 LGS & MSA - Admin. Services								
440410 Client Administration Fees								
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)				3,600				
Interest (Fmr. Part of Misc Income)								
440420 Finance Charges								
480000 Miscellaneous Income	1,534	1,700	1,700					
Uncategorized Income								
Total Income	31,354	245,300	245,300	144,100	46,376	95,040	42,856	(52,184)
Gross Profit	31,354	245,300	245,300	144,100	46,376	95,040	42,856	(52,184)
Expenses								
511010 Salaries - Regular	19,785	104,001	104,001	104,000	37,594	75,600	34,090	-41,510
511072 Salaries - Nonbillable								
512001 Workers Comp Exp outside rate								
512002 Medicare Employer Expense	278	1,500	1,500	1,500	535	1,096	494	-602
512003 Workers' Comp Exp clerical								
512004 Employee Assistance Program								
512005 Health Insurance Expense	849							
512006 Dental Insurance Expense	73							
512007 Vision Insurance Expense								
512008 Life Insurance Expense								
512009 Long Term Disability Expense								
512010 Stars 457 Expense								
512011 Stars 401A Expense	1,899	10,200	10,200	10,200	3,689		3,409	3,409
512014 Short Term Disability Expense								
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)								
512018 FSA Health & Day Care Expense								
520104 Telephone/Internet								
520105 Cell Phones								
520107 APS (ADP) Payroll Fees								
520201 Office Supplies								
520202 Bank Fees & Services								
520204 Printing & Postage								
520301 Audit and Professional Services								
520302 Legal Services	226				158			
520320 Professional Services								
520501 Professional Dues & Membership								
520503 Conferences & Meetings								
520504 Publications								
520508 Licenses & Fees								
520701 General Liability Insurance Exp								
520750 Interest Expense								
520801 Mileage Reimbursement								
520802 Vehicle Allowance								
520803 Travel Reimbursement	2,827							
520805 Supplies & Meals Reimbursement								
520904 Computer Install & Maintenance								
522798 Miscellaneous Expense								
Total Expenses	25,936	115,700	115,700	115,700	41,976	76,696	37,993	(38,703)
Net Operating Income	5,418	129,600	129,600	28,400	4,400	18,344	4,863	(13,481)
Other Expenses								
520702 Claims Expense								
529996 Attributed OPEB Expense	330				488			
529997 Unallocated Admin. Svcs - RGS								
529999 Allocated Unbillable Expenses	2,018	36,116	36,116	26,242	2,984	12,097	6,309	(5,788)
Total Other Expenses	2,348	36,116	36,116	26,242	3,472	12,097	6,309	(5,788)
Net Other Income	(2,348)	(36,116)	(36,116)	(26,242)	(3,472)	(12,097)	(6,309)	5,788
Net Income	3,071	93,484	93,484	2,158	928	6,247	(1,446)	(7,693)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	City of Rocklin			City of Seaside	
	FY12 Actual	FY13 Proj.	FY13 Variance	FY13 Proj.	FY13 Variance
Income					
440301 Client Billings	1,923	43,714	43,714	4,086	4,086
440400 LGS & MSA - Admin. Services					
440410 Client Administration Fees					
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)					
Interest (Fmr. Part of Misc Income)					
440420 Finance Charges					
480000 Miscellaneous Income	119				
Uncategorized Income	119				
Total Income	2,161	43,714	43,714	4,086	4,086
Gross Profit	2,161	43,714	43,714	4,086	4,086
Expenses					
511010 Salaries - Regular	1,361	31,575	31,575	3,405	3,405
511072 Salaries - Nonbillable					
512001 Workers Comp Exp outside rate					
512002 Medicare Employer Expense	19	458	458	49	49
512003 Workers' Comp Exp clerical					
512004 Employee Assistance Program					
512005 Health Insurance Expense					
512006 Dental Insurance Expense					
512007 Vision Insurance Expense					
512008 Life Insurance Expense					
512009 Long Term Disability Expense					
512010 Stars 457 Expense					
512011 Stars 401A Expense	133	2,826	2,826	338	338
512014 Short Term Disability Expense					
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)					
512018 FSA Health & Day Care Expense					
520104 Telephone/Internet					
520105 Cell Phones					
520107 APS (ADP) Payroll Fees					
520201 Office Supplies					
520202 Bank Fees & Services					
520204 Printing & Postage					
520301 Audit and Professional Services					
520302 Legal Services	12				
520320 Professional Services					
520501 Professional Dues & Membership					
520503 Conferences & Meetings					
520504 Publications					
520508 Licenses & Fees					
520701 General Liability Insurance Exp					
520750 Interest Expense					
520801 Mileage Reimbursement					
520802 Vehicle Allowance					
520803 Travel Reimbursement					
520805 Supplies & Meals Reimbursement					
520904 Computer Install & Maintenance					
522798 Miscellaneous Expense					
Total Expenses	1,525	34,858	34,858	3,792	3,792
Net Operating Income	636	8,856	8,856	294	294
Other Expenses					
520702 Claims Expense					
529996 Attributed OPEB Expense	21				
529997 Unallocated Admin. Svcs - RGS					
529999 Allocated Unbillable Expenses	131	7,149	7,149	668	668
Total Other Expenses	153	7,149	7,149	668	668
Net Other Income	(153)	(7,149)	(7,149)	(668)	(668)
Net Income	483	1,707	1,707	(375)	(375)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Colma				Corte Madera		
	FY12 Actual	FY13 Proj.	FY13 Variance	FY14 Prop.	FY12 Actual	FY13 Proj.	FY13 Variance
Income							
440301 Client Billings	4,148	27,000	27,000	20,000	6,246	301	301
440400 LGS & MSA - Admin. Services							
440410 Client Administration Fees							
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)							
Interest (Fmr. Part of Misc Income)							
440420 Finance Charges							
480000 Miscellaneous Income							
Uncategorized Income							
Total Income	4,148	27,000	27,000	20,000	6,246	301	301
Gross Profit	4,148	27,000	27,000	20,000	6,246	301	301
Expenses							
511010 Salaries - Regular	3,463	22,000	22,000	17,000	5,260	250	250
511072 Salaries - Nonbillable							
512001 Workers Comp Exp outside rate							
512002 Medicare Employer Expense	49	250	250	250	75	4	4
512003 Workers' Comp Exp clerical							
512004 Employee Assistance Program							
512005 Health Insurance Expense							
512006 Dental Insurance Expense		100	100	240			
512007 Vision Insurance Expense		13	13	100			
512008 Life Insurance Expense		19	19	50			
512009 Long Term Disability Expense							
512010 Stars 457 Expense							
512011 Stars 401A Expense	340	2,100	2,100	1,600	517	25	25
512014 Short Term Disability Expense							
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)							
512018 FSA Health & Day Care Expense							
520104 Telephone/Internet							
520105 Cell Phones							
520107 APS (ADP) Payroll Fees							
520201 Office Supplies							
520202 Bank Fees & Services							
520204 Printing & Postage							
520301 Audit and Professional Services							
520302 Legal Services							
520320 Professional Services							
520501 Professional Dues & Membership							
520503 Conferences & Meetings							
520504 Publications							
520508 Licenses & Fees							
520701 General Liability Insurance Exp							
520750 Interest Expense							
520801 Mileage Reimbursement							
520802 Vehicle Allowance							
520803 Travel Reimbursement							
520805 Supplies & Meals Reimbursement							
520904 Computer Install & Maintenance							
522798 Miscellaneous Expense							
Total Expenses	3,852	24,482	24,482	19,240	5,851	279	279
Net Operating Income	296	2,518	2,518	760	395	22	22
Other Expenses							
520702 Claims Expense							
529996 Attributed OPEB Expense	44				66		
529997 Unallocated Admin. Svcs - RGS							
529999 Allocated Unbillable Expenses	267	4,016	4,016	3,642	402	49	49
Total Other Expenses	311	4,016	4,016	3,642	468	49	49
Net Other Income	(311)	(4,016)	(4,016)	(3,642)	(468)	(49)	(49)
Net Income	(15)	(1,497)	(1,497)	(2,882)	(73)	(27)	(27)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Cotati			Dublin				
	FY13 Proj.	Y13 Varianc	FY14 Prop.	FY12 Actual	FY13 Budge	FY13 Proj.	Y13 Varianc	FY14 Prop.
Income								
440301 Client Billings	1,100	1,100	2,000	47,830	10,000	102,600	92,600	33,000
440400 LGS & MSA - Admin. Services								
440410 Client Administration Fees								
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)								600
Interest (Fmr. Part of Misc Income)								
440420 Finance Charges								
480000 Miscellaneous Income				135		600	600	
Uncategorized Income								
Total Income	1,100	1,100	2,000	47,965	10,000	103,200	93,200	33,600
Gross Profit	1,100	1,100	2,000	47,965	10,000	103,200	93,200	33,600
Expenses								
511010 Salaries - Regular	700	700	1,100	35,128	7,200	77,900	70,700	23,300
511072 Salaries - Nonbillable								
512001 Workers Comp Exp outside rate								
512002 Medicare Employer Expense	10	10	20	499	104	1,100	996	340
512003 Workers' Comp Exp clerical								
512004 Employee Assistance Program								
512005 Health Insurance Expense	50	50	20					
512006 Dental Insurance Expense	3	3						
512007 Vision Insurance Expense								
512008 Life Insurance Expense								
512009 Long Term Disability Expense								
512010 Stars 457 Expense								
512011 Stars 401A Expense	50	50	100	3,440	720	7,801	7,081	2,400
512014 Short Term Disability Expense								
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)								
512018 FSA Health & Day Care Expense								
520104 Telephone/Internet								
520105 Cell Phones								
520107 APS (ADP) Payroll Fees								
520201 Office Supplies								
520202 Bank Fees & Services								
520204 Printing & Postage								
520301 Audit and Professional Services								
520302 Legal Services				332		0		
520320 Professional Services								
520501 Professional Dues & Membership								
520503 Conferences & Meetings						1,100	1,100	200
520504 Publications								
520508 Licenses & Fees								
520701 General Liability Insurance Exp								
520750 Interest Expense								
520801 Mileage Reimbursement								
520802 Vehicle Allowance								
520803 Travel Reimbursement								
520805 Supplies & Meals Reimbursement								
520904 Computer Install & Maintenance								
522798 Miscellaneous Expense								
Total Expenses	813	813	1,240	39,399	8,024	87,900	79,876	26,240
Net Operating Income	287	287	760	8,566	1,976	15,301	13,325	7,360
Other Expenses								
520702 Claims Expense								
529996 Attributed OPEB Expense	15	15	14	505				
529997 Unallocated Admin. Svcs - RGS								
529999 Allocated Unbillable Expenses	180	180	364	3,086	1,273	15,277	14,004	6,119
Total Other Expenses	195	195	378	3,591	1,273	15,277	14,004	6,119
Net Other Income	(195)	(195)	(378)	(3,591)	(1,273)	(15,277)	(14,004)	(6,119)
Net Income	92	92	382	4,975	703	23	(680)	1,241

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	GCHP					Gilroy		
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.	FY12 Actual	FY13 Proj.	FY13 Variance
Income								
440301 Client Billings	4,650,500	4,410,672	984,368	-3,426,304		6,950	100	100
440400 LGS & MSA - Admin. Services								
440410 Client Administration Fees	89,094	88,189	18,257	-69,932				
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)								
Interest (Fmr. Part of Misc Income)								
440420 Finance Charges	5,175	7,763		-7,763				
480000 Miscellaneous Income	192,805	99,956	215,814	115,858		776		
Uncategorized Income								
Total Income	4,937,575	4,606,580	1,218,440	(3,388,140)		7,726	100	100
Gross Profit	4,937,575	4,606,580	1,218,440	(3,388,140)		7,726	100	100
Expenses								
511010 Salaries - Regular	3,349,173	3,223,136	653,037	-2,570,099		6,652	97	97
511072 Salaries - Nonbillable	11,776							
512001 Workers Comp Exp outside rate			10	10				
512002 Medicare Employer Expense	47,458	46,946	9,385	-37,561		86	1	1
512003 Workers' Comp Exp clerical								
512004 Employee Assistance Program								
512005 Health Insurance Expense	159,473	143,379	194,071	50,692				
512006 Dental Insurance Expense	47,077	41,172	6,932	-34,240				
512007 Vision Insurance Expense	8,301	7,457	1,906	-5,551				
512008 Life Insurance Expense	9,025	8,901	1,566	-7,335				
512009 Long Term Disability Expense	15,265	14,999	2,699	-12,300				
512010 Stars 457 Expense	-332							
512011 Stars 401A Expense	311,057	306,946	62,071	-244,875		592	10	10
512014 Short Term Disability Expense	13,952	13,717	2,587	-11,130				
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)			53,700	53,700	31,000			
512018 FSA Health & Day Care Expense	-117	-176		176				
520104 Telephone/Internet								
520105 Cell Phones								
520107 APS (ADP) Payroll Fees								
520201 Office Supplies								
520202 Bank Fees & Services								
520204 Printing & Postage	-75							
520301 Audit and Professional Services								
520302 Legal Services	62,618	4,310	23,279	18,969				
520320 Professional Services	554	831		-831				
520501 Professional Dues & Membership								
520503 Conferences & Meetings	1,260	1,890		-1,890				
520504 Publications								
520508 Licenses & Fees								
520701 General Liability Insurance Exp								
520750 Interest Expense								
520801 Mileage Reimbursement	78					127		
520802 Vehicle Allowance	308							
520803 Travel Reimbursement	19,241	8,828	7,446	-1,382		776		
520805 Supplies & Meals Reimbursement	636	953		-953				
520904 Computer Install & Maintenance	70,392	76,131		-76,131				
522798 Miscellaneous Expense	11,848		28,063	28,063				
Total Expenses	4,138,967	3,899,420	1,046,753	(2,852,667)	31,000	8,233	108	108
Net Operating Income	798,608	707,160	171,687	(535,473)	(31,000)	(507)	(8)	(8)
Other Expenses								
520702 Claims Expense	386,650							
529996 Attributed OPEB Expense	51,982		57,382	57,382		81		
529997 Unallocated Admin. Svcs - RGS								
529999 Allocated Unbillable Expenses	317,788	586,325	175,561	(410,764)		497	16	16
Total Other Expenses	756,419	586,325	232,942	(353,383)		578	16	16
Net Other Income	(756,419)	(586,325)	(232,942)	353,383		(578)	(16)	(16)
Net Income	42,189	120,835	(61,255)	(182,090)	(31,000)	(1,086)	(24)	(24)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Half Moon Bay			Hughson		
	FY13 Proj.	FY13 Variance	FY14 Prop.	FY13 Proj.	FY13 Variance	FY14 Prop.
Income						
440301 Client Billings	23,000	23,000	33,000	42,000	42,000	62,000
440400 LGS & MSA - Admin. Services						
440410 Client Administration Fees						
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)						1,300
Interest (Fmr. Part of Misc Income)						
440420 Finance Charges						
480000 Miscellaneous Income				300	300	
Uncategorized Income						
Total Income	23,000	23,000	33,000	42,301	42,301	63,300
Gross Profit	23,000	23,000	33,000	42,301	42,301	63,300
Expenses						
511010 Salaries - Regular	18,000	18,000	26,000	32,300	32,300	47,000
511072 Salaries - Nonbillable						
512001 Workers Comp Exp outside rate						
512002 Medicare Employer Expense	300	300	350	500	500	700
512003 Workers' Comp Exp clerical						
512004 Employee Assistance Program						
512005 Health Insurance Expense						
512006 Dental Insurance Expense						
512007 Vision Insurance Expense						
512008 Life Insurance Expense						
512009 Long Term Disability Expense						
512010 Stars 457 Expense						
512011 Stars 401A Expense	1,800	1,800	2,600	3,200	3,200	4,700
512014 Short Term Disability Expense						
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)						
512018 FSA Health & Day Care Expense						
520104 Telephone/Internet						
520105 Cell Phones						
520107 APS (ADP) Payroll Fees						
520201 Office Supplies						
520202 Bank Fees & Services						
520204 Printing & Postage						
520301 Audit and Professional Services						
520302 Legal Services				700	700	700
520320 Professional Services						
520501 Professional Dues & Membership						
520503 Conferences & Meetings						
520504 Publications						
520508 Licenses & Fees						
520701 General Liability Insurance Exp						
520750 Interest Expense						
520801 Mileage Reimbursement						
520802 Vehicle Allowance						
520803 Travel Reimbursement						
520805 Supplies & Meals Reimbursement						
520904 Computer Install & Maintenance						
522798 Miscellaneous Expense						
Total Expenses	20,100	20,100	28,950	36,700	36,700	53,100
Net Operating Income	2,900	2,900	4,050	5,600	5,600	10,200
Other Expenses						
520702 Claims Expense						
529996 Attributed OPEB Expense						
529997 Unallocated Admin. Svcs - RGS						
529999 Allocated Unbillable Expenses	3,461	3,461	6,010	6,218	6,218	11,527
Total Other Expenses	3,461	3,461	6,010	6,218	6,218	11,527
Net Other Income	(3,461)	(3,461)	(6,010)	(6,218)	(6,218)	(11,527)
Net Income	(562)	(562)	(1,960)	(617)	(617)	(1,327)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	La Canada			
	FY12 Actual	FY13 Proj.	FY13 Variance	FY14 Prop.
Income				
440301 Client Billings	680	33,000	33,000	32,000
440400 LGS & MSA - Admin. Services				
440410 Client Administration Fees				
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)				400
Interest (Fmr. Part of Misc Income)				
440420 Finance Charges				
480000 Miscellaneous Income	50	400	400	
Uncategorized Income	164			
Total Income	894	33,400	33,400	32,400
Gross Profit	894	33,400	33,400	32,400
Expenses				
511010 Salaries - Regular	436	20,000	20,000	20,000
511072 Salaries - Nonbillable				
512001 Workers Comp Exp outside rate				
512002 Medicare Employer Expense	6	300	300	300
512003 Workers' Comp Exp clerical				
512004 Employee Assistance Program				
512005 Health Insurance Expense				
512006 Dental Insurance Expense				
512007 Vision Insurance Expense				
512008 Life Insurance Expense				
512009 Long Term Disability Expense				
512010 Stars 457 Expense				
512011 Stars 401A Expense	43	1,516	1,516	2,000
512014 Short Term Disability Expense				
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)				
512018 FSA Health & Day Care Expense				
520104 Telephone/Internet				
520105 Cell Phones				
520107 APS (ADP) Payroll Fees				
520201 Office Supplies				
520202 Bank Fees & Services				
520204 Printing & Postage				
520301 Audit and Professional Services				
520302 Legal Services	164			
520320 Professional Services				
520501 Professional Dues & Membership				
520503 Conferences & Meetings				
520504 Publications				
520508 Licenses & Fees				
520701 General Liability Insurance Exp				
520750 Interest Expense				
520801 Mileage Reimbursement				
520802 Vehicle Allowance				
520803 Travel Reimbursement				
520805 Supplies & Meals Reimbursement				
520904 Computer Install & Maintenance				
522798 Miscellaneous Expense				
Total Expenses	649	21,816	21,816	22,300
Net Operating Income	245	11,584	11,584	10,100
Other Expenses				
520702 Claims Expense				
529996 Attributed OPEB Expense	8			
529997 Unallocated Admin. Svcs - RGS				
529999 Allocated Unbillable Expenses	47	5,462	5,462	5,900
Total Other Expenses	55	5,462	5,462	5,900
Net Other Income	(55)	(5,462)	(5,462)	(5,900)
Net Income	191	6,122	6,122	4,200

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Larkspur					Lassen County	
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.	FY13 Proj.	FY13 Variance
Income							
440301 Client Billings	83,995	81,948	209,300	127,352	214,000	7,575	7,575
440400 LGS & MSA - Admin. Services							
440410 Client Administration Fees							
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)					2,300		
Interest (Fmr. Part of Misc Income)							
440420 Finance Charges							
480000 Miscellaneous Income	649		2,300	2,300		639	639
Uncategorized Income							
Total Income	84,645	81,948	211,599	129,651	216,300	8,214	8,214
Gross Profit	84,645	81,948	211,599	129,651	216,300	8,214	8,214
Expenses							
511010 Salaries - Regular	67,901	65,431	162,500	97,069	160,000	5,791	5,791
511072 Salaries - Nonbillable							
512001 Workers Comp Exp outside rate							
512002 Medicare Employer Expense	962	946	2,500	1,554	2,800	84	84
512003 Workers' Comp Exp clerical							
512004 Employee Assistance Program							
512005 Health Insurance Expense	1,574	1,559	4,000	2,441	6,400		
512006 Dental Insurance Expense	50		500	500	700		
512007 Vision Insurance Expense							
512008 Life Insurance Expense							
512009 Long Term Disability Expense							
512010 Stars 457 Expense							
512011 Stars 401A Expense	6,657	6,541	17,000	10,459	20,000	579	579
512014 Short Term Disability Expense							
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)							
512018 FSA Health & Day Care Expense							
520104 Telephone/Internet							
520105 Cell Phones							
520107 APS (ADP) Payroll Fees							
520201 Office Supplies							
520202 Bank Fees & Services							
520204 Printing & Postage							
520301 Audit and Professional Services							
520302 Legal Services	144	216	500	284	500		
520320 Professional Services							
520501 Professional Dues & Membership			4,000	4,000	4,000		
520503 Conferences & Meetings							
520504 Publications			500	500	500		
520508 Licenses & Fees							
520701 General Liability Insurance Exp							
520750 Interest Expense							
520801 Mileage Reimbursement	443	525		(525)		470	470
520802 Vehicle Allowance							
520803 Travel Reimbursement						751	751
520805 Supplies & Meals Reimbursement							
520904 Computer Install & Maintenance							
522798 Miscellaneous Expense							
Total Expenses	77,732	75,218	191,500	116,282	194,901	7,675	7,675
Net Operating Income	6,913	6,730	20,099	13,369	21,399	539	539
Other Expenses							
520702 Claims Expense							
529996 Attributed OPEB Expense	891		1,183	1,183	4,355		
529997 Unallocated Admin. Svcs - RGS							
529999 Allocated Unbillable Expenses	5,447	10,430	31,605	21,175	39,390	1,213	1,213
Total Other Expenses	6,338	10,430	32,787	22,357	43,745	1,213	1,213
Net Other Income	(6,338)	(10,430)	(32,787)	(22,357)	(43,745)	(1,213)	(1,213)
Net Income	575	(3,700)	(12,688)	(8,988)	(22,346)	(674)	(674)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	LGS - TAM				Liv & Ind	
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY13 Budget	FY13 Variance
Income						
440301 Client Billings					2,248	-2,248
440400 LGS & MSA - Admin. Services	235,682	256,845	5,700	-251,145		
440410 Client Administration Fees			65,600	65,600		
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)						
Interest (Fmr. Part of Misc Income)						
440420 Finance Charges						
480000 Miscellaneous Income	326		150	150		
Uncategorized Income						
Total Income	236,008	256,845	71,450	(185,395)	2,248	(2,248)
Gross Profit	236,008	256,845	71,450	(185,395)	2,248	(2,248)
Expenses						
511010 Salaries - Regular	206,211	221,813	59,600	-162,213	1,783	-1,783
511072 Salaries - Nonbillable	10,350					
512001 Workers Comp Exp outside rate						
512002 Medicare Employer Expense	2,974	3,255	900	-2,355	26	-26
512003 Workers' Comp Exp clerical						
512004 Employee Assistance Program						
512005 Health Insurance Expense			300	300		
512006 Dental Insurance Expense	1,688	1,834	474	-1,360		
512007 Vision Insurance Expense	334	368	100	-268		
512008 Life Insurance Expense	514	557	200	-357		
512009 Long Term Disability Expense	885	958	246	-712		
512010 Stars 457 Expense						
512011 Stars 401A Expense	25,810	27,124	6,900	-20,224	178	-178
512014 Short Term Disability Expense	862	935		-935		
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)			2,700	2,700		
512018 FSA Health & Day Care Expense						
520104 Telephone/Internet						
520105 Cell Phones						
520107 APS (ADP) Payroll Fees						
520201 Office Supplies						
520202 Bank Fees & Services						
520204 Printing & Postage						
520301 Audit and Professional Services						
520302 Legal Services	227					
520320 Professional Services	1,804					
520501 Professional Dues & Membership						
520503 Conferences & Meetings						
520504 Publications	290					
520508 Licenses & Fees						
520701 General Liability Insurance Exp						
520750 Interest Expense						
520801 Mileage Reimbursement						
520802 Vehicle Allowance						
520803 Travel Reimbursement						
520805 Supplies & Meals Reimbursement						
520904 Computer Install & Maintenance						
522798 Miscellaneous Expense						
Total Expenses	251,948	256,844	71,418	(185,426)	1,987	(1,987)
Net Operating Income	(15,940)	1	32	31	261	(261)
Other Expenses						
520702 Claims Expense						
529996 Attributed OPEB Expense	2,499		(0)	(0)		
529997 Unallocated Admin. Svcs - RGS						
529999 Allocated Unbillable Expenses	21		10,585	10,585		
Total Other Expenses	2,520		10,585	10,585		
Net Other Income	(2,520)		(10,585)	(10,585)		
Net Income	(18,460)	1	(10,553)	(10,554)	261	(261)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	<u>Livermore AR&PD</u>			<u>Los Gatos</u>		
	<u>FY13 Proj.</u>	<u>FY13 Variance</u>	<u>FY14 Prop.</u>	<u>FY13 Proj.</u>	<u>FY13 Variance</u>	<u>FY14 Prop.</u>
Income						
440301 Client Billings	67,000	67,000	103,000	3,400	3,400	10,000
440400 LGS & MSA - Admin. Services						
440410 Client Administration Fees						
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)						
Interest (Fmr. Part of Misc Income)						
440420 Finance Charges						
480000 Miscellaneous Income						
Uncategorized Income						
Total Income	67,000	67,000	103,000	3,400	3,400	10,000
Gross Profit	67,000	67,000	103,000	3,400	3,400	10,000
Expenses						
511010 Salaries - Regular	54,000	54,000	82,800	2,700	2,700	8,200
511072 Salaries - Nonbillable						
512001 Workers Comp Exp outside rate						
512002 Medicare Employer Expense	800	800	1,200	40	40	120
512003 Workers' Comp Exp clerical						
512004 Employee Assistance Program						
512005 Health Insurance Expense						
512006 Dental Insurance Expense						
512007 Vision Insurance Expense						
512008 Life Insurance Expense						
512009 Long Term Disability Expense						
512010 Stars 457 Expense						
512011 Stars 401A Expense	5,300	5,300	8,000	300	300	800
512014 Short Term Disability Expense						
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)						
512018 FSA Health & Day Care Expense						
520104 Telephone/Internet						
520105 Cell Phones						
520107 APS (ADP) Payroll Fees						
520201 Office Supplies						
520202 Bank Fees & Services						
520204 Printing & Postage						
520301 Audit and Professional Services						
520302 Legal Services						
520320 Professional Services						
520501 Professional Dues & Membership						
520503 Conferences & Meetings						
520504 Publications						
520508 Licenses & Fees						
520701 General Liability Insurance Exp						
520750 Interest Expense						
520801 Mileage Reimbursement						
520802 Vehicle Allowance						
520803 Travel Reimbursement						
520805 Supplies & Meals Reimbursement						
520904 Computer Install & Maintenance						
522798 Miscellaneous Expense						
Total Expenses	60,100	60,100	92,000	3,040	3,040	9,120
Net Operating Income	6,900	6,900	11,000	360	360	880
Other Expenses						
520702 Claims Expense						
529996 Attributed OPEB Expense						
529997 Unallocated Admin. Svcs - RGS						
529999 Allocated Unbillable Expenses	10,957	10,957	18,757	556	556	
Total Other Expenses	10,957	10,957	18,757	556	556	
Net Other Income	(10,957)	(10,957)	(18,757)	(556)	(556)	
Net Income	(4,057)	(4,057)	(7,757)	(196)	(196)	880
			18,757			

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	<u>Marin County</u>			<u>Marin Transit District</u>			
	FY13 Proj.	FY13 Variance	FY14 Prop.	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance
Income							
440301 Client Billings	135,000	135,000	320,000	978,348	325,000	930,000	605,000
440400 LGS & MSA - Admin. Services							
440410 Client Administration Fees				-517,689		-800,000	-800,000
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)							
Interest (Fmr. Part of Misc Income)							
440420 Finance Charges						5,200	5,200
480000 Miscellaneous Income				4,416			5,200
Uncategorized Income				539	3,384		-3,384
Total Income	135,000	135,000	320,000	465,613	328,384	135,199	(193,185)
Gross Profit	135,000	135,000	320,000	465,613	328,384	135,199	(193,185)
Expenses							
511010 Salaries - Regular	85,000	85,000	196,000	238,312	225,341	107,000	-118,341
511072 Salaries - Nonbillable				450			
512001 Workers Comp Exp outside rate							
512002 Medicare Employer Expense	1,200	1,200	2,700	3,356	3,248	1,550	-1,698
512003 Workers' Comp Exp clerical							
512004 Employee Assistance Program							
512005 Health Insurance Expense	6,500	6,500	17,000	7,159	6,273	624	-5,649
512006 Dental Insurance Expense	1,500	1,500	4,000	3,780	2,421	-1,323	-3,744
512007 Vision Insurance Expense	150	150	400	306	367	261	-106
512008 Life Insurance Expense	100	100	300	419	472	301	-171
512009 Long Term Disability Expense	122	122		714	804	433	-371
512010 Stars 457 Expense							
512011 Stars 401A Expense	8,200	8,200	18,900	22,307	21,547	10,379	-11,168
512014 Short Term Disability Expense				709	798	337	-461
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)						11,400	11,400
512018 FSA Health & Day Care Expense						140	140
520104 Telephone/Internet							
520105 Cell Phones							
520107 APS (ADP) Payroll Fees							
520201 Office Supplies							
520202 Bank Fees & Services							
520204 Printing & Postage							
520301 Audit and Professional Services							
520302 Legal Services				695			
520320 Professional Services				372			
520501 Professional Dues & Membership							
520503 Conferences & Meetings							
520504 Publications							
520508 Licenses & Fees							
520701 General Liability Insurance Exp							
520750 Interest Expense							
520801 Mileage Reimbursement				239	359		-359
520802 Vehicle Allowance							
520803 Travel Reimbursement				3,667	5,501	1,135	-4,366
520805 Supplies & Meals Reimbursement							
520904 Computer Install & Maintenance							
522798 Miscellaneous Expense					61,256		-61,256
Total Expenses	102,771	102,771	239,300	282,486	328,387	132,238	(196,149)
Net Operating Income	32,229	32,229	80,700	183,128	(3)	2,961	2,964
Other Expenses							
520702 Claims Expense							
529996 Attributed OPEB Expense	1,922	1,922	11,568	4,895		185	185
529997 Unallocated Admin. Svcs - RGS							
529999 Allocated Unbillable Expenses	20,078	20,078	58,275	29,927		20,110	20,110
Total Other Expenses	22,000	22,000	69,843	34,822		20,295	20,295
Net Other Income	(22,000)	(22,000)	(69,843)	(34,822)		(20,295)	(20,295)
Net Income	10,229	10,229	10,857	148,306	(3)	(17,334)	(17,331)
			58,274.73				

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	MEA				Menlo Park FPD				
	FY12 Act.	FY13 Proj.	FY13 Var.	FY14 Prop.	FY13 Act.	FY13 Budge	FY13 Proj.	FY13 Var.	FY14 Prop.
Income									
440301 Client Billings					229,144	165,554	220,700	55,146	177,000
440400 LGS & MSA - Admin. Services									
440410 Client Administration Fees	0								
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)									2,700
Interest (Fmr. Part of Misc Income)									
440420 Finance Charges									
480000 Miscellaneous Income					184		2,700	2,700	
Uncategorized Income									
Total Income					229,328	165,554	223,400	57,846	179,700
Gross Profit					229,328	165,554	223,400	57,846	179,700
Expenses									
511010 Salaries - Regular					184,972	122,881	169,000	46,119	126,000
511072 Salaries - Nonbillable									
512001 Workers Comp Exp outside rate									
512002 Medicare Employer Expense					2,632	1,781	2,400	619	1,800
512003 Workers' Comp Exp clerical									
512004 Employee Assistance Program									
512005 Health Insurance Expense	472								
512006 Dental Insurance Expense									
512007 Vision Insurance Expense	-79								
512008 Life Insurance Expense									
512009 Long Term Disability Expense									
512010 Stars 457 Expense									
512011 Stars 401A Expense					16,422	11,162	16,500	5,338	13,000
512014 Short Term Disability Expense									
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)		925	925	300					
512018 FSA Health & Day Care Expense									
520104 Telephone/Internet									
520105 Cell Phones									
520107 APS (ADP) Payroll Fees									
520201 Office Supplies									
520202 Bank Fees & Services									
520204 Printing & Postage									
520301 Audit and Professional Services									
520302 Legal Services					479	1,000		-1,000	1,000
520320 Professional Services									
520501 Professional Dues & Membership					100	150		-150	
520503 Conferences & Meetings									
520504 Publications									
520508 Licenses & Fees									
520701 General Liability Insurance Exp									
520750 Interest Expense									
520801 Mileage Reimbursement					125	187		-187	
520802 Vehicle Allowance									
520803 Travel Reimbursement									
520805 Supplies & Meals Reimbursement									
520904 Computer Install & Maintenance									
522798 Miscellaneous Expense									
Total Expenses	394	925	925	300	204,730	137,161	187,901	50,740	141,800
Net Operating Income	(394)	(925)	(925)	(300)	24,598	28,393	35,499	7,106	37,900
Other Expenses									
520702 Claims Expense									
529996 Attributed OPEB Expense					2,414				
529997 Unallocated Admin. Svcs - RGS									
529999 Allocated Unbillable Expenses	14,757					21,072	32,934	11,862	32,725
Total Other Expenses	14,757				2,414	21,072	32,934	11,862	32,725
Net Other Income	(14,757)				(2,414)	(21,072)	(32,934)	(11,862)	(32,725)
Net Income	(15,151)	(925)	(925)	(300)	22,184	7,321	2,565	(4,757)	5,175
									32,724.90

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	MERA				
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.
Income					
440301 Client Billings	90,000	96,500	102,000	5,500	
440400 LGS & MSA - Admin. Services					
440410 Client Administration Fees					
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)					
Interest (Fmr. Part of Misc Income)					
440420 Finance Charges					
480000 Miscellaneous Income					
Uncategorized Income					
Total Income	90,000	96,500	102,000	5,500	
Gross Profit	90,000	96,500	102,000	5,500	
Expenses					
511010 Salaries - Regular	71,904	72,538	80,000	7,462	89,000
511072 Salaries - Nonbillable					
512001 Workers Comp Exp outside rate					
512002 Medicare Employer Expense	1,023	1,052	1,200	148	1,300
512003 Workers' Comp Exp clerical					
512004 Employee Assistance Program					
512005 Health Insurance Expense					
512006 Dental Insurance Expense					
512007 Vision Insurance Expense					
512008 Life Insurance Expense					
512009 Long Term Disability Expense					
512010 Stars 457 Expense					
512011 Stars 401A Expense	7,054	7,254	8,000	746	8,900
512014 Short Term Disability Expense					
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)					
512018 FSA Health & Day Care Expense					
520104 Telephone/Internet					
520105 Cell Phones					
520107 APS (ADP) Payroll Fees					
520201 Office Supplies					
520202 Bank Fees & Services					
520204 Printing & Postage					
520301 Audit and Professional Services					
520302 Legal Services					
520320 Professional Services					
520501 Professional Dues & Membership					
520503 Conferences & Meetings					
520504 Publications					
520508 Licenses & Fees					
520701 General Liability Insurance Exp					
520750 Interest Expense					
520801 Mileage Reimbursement					
520802 Vehicle Allowance					
520803 Travel Reimbursement					
520805 Supplies & Meals Reimbursement					
520904 Computer Install & Maintenance					
522798 Miscellaneous Expense					
Total Expenses	79,981	80,844	89,200	8,356	99,200
Net Operating Income	10,019	15,656	12,800	(2,856)	(99,200)
Other Expenses					
520702 Claims Expense					
529996 Attributed OPEB Expense	947				
529997 Unallocated Admin. Svcs - RGS					
529999 Allocated Unbillable Expenses	5,791	12,283	15,081	2,798	
Total Other Expenses	6,739	12,283	15,081	2,798	
Net Other Income	(6,739)	(12,283)	(15,081)	(2,798)	
Net Income	3,281	3,373	(2,281)	(5,654)	(99,200)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	MGSA				
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.
Income					
440301 Client Billings	276,473	276,012	189,455	(86,557)	162,000
440400 LGS & MSA - Admin. Services					
440410 Client Administration Fees					
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)					5,800
Interest (Fmr. Part of Misc Income)					
440420 Finance Charges					
480000 Miscellaneous Income	11,035	5,532	5,800	268	
Uncategorized Income					
Total Income	287,509	281,544	195,255	(86,289)	167,800
Gross Profit	287,509	281,544	195,255	(86,289)	167,800
Expenses					
511010 Salaries - Regular	213,842	209,870	148,999	(60,871)	126,000
511072 Salaries - Nonbillable					
512001 Workers Comp Exp outside rate					
512002 Medicare Employer Expense	3,050	3,043	1,702	(1,341)	
512003 Workers' Comp Exp clerical					
512004 Employee Assistance Program					
512005 Health Insurance Expense	6,866	6,862	1,600	(5,262)	1,800
512006 Dental Insurance Expense	699	699	120	(579)	
512007 Vision Insurance Expense	183	183	31	(152)	
512008 Life Insurance Expense	251	251	42	(209)	
512009 Long Term Disability Expense	427	427	71	(356)	
512010 Stars 457 Expense	-				
512011 Stars 401A Expense	20,948	20,987	14,900	(6,087)	13,000
512014 Short Term Disability Expense	424	424	71	(353)	
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)					
512018 FSA Health & Day Care Expense					
520104 Telephone/Internet					
520105 Cell Phones					
520107 APS (ADP) Payroll Fees					
520201 Office Supplies	98				
520202 Bank Fees & Services					
520204 Printing & Postage					
520301 Audit and Professional Services					
520302 Legal Services					
520320 Professional Services					
520501 Professional Dues & Membership					
520503 Conferences & Meetings					
520504 Publications					
520508 Licenses & Fees					
520701 General Liability Insurance Exp					
520750 Interest Expense					
520801 Mileage Reimbursement	3,991	4,335	1,900	(2,435)	1,900
520802 Vehicle Allowance					
520803 Travel Reimbursement			400	400	400
520805 Supplies & Meals Reimbursement	943	715	2,100	1,385	2,100
520904 Computer Install & Maintenance					
522798 Miscellaneous Expense					
Total Expenses	251,723	247,796	171,937	(75,859)	145,200
Net Operating Income	35,786	33,748	23,318	(10,430)	22,600
Other Expenses					
520702 Claims Expense					
529996 Attributed OPEB Expense	3,026		473	473	1,225
529997 Unallocated Admin. Svcs - RGS					
529999 Allocated Unbillable Expenses	18,501	35,835	28,832	(7,003)	30,558
Total Other Expenses	21,527	35,835	29,305	(6,530)	31,783
Net Other Income	(21,527)	(35,835)	(29,305)	6,530	(31,783)
Net Income	14,259	(2,087)	(5,987)	(3,900)	(9,183)
					30,557.81

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	<u>Milbrae</u>				<u>MMWD</u>			
	<u>FY12 Actual</u>	<u>FY13 Budget</u>	<u>FY13 Proj.</u>	<u>FY13 Variance</u>	<u>FY12 Actual</u>	<u>FY13 Proj.</u>	<u>FY13 Variance</u>	<u>FY14 Prop.</u>
Income								
440301 Client Billings	44,430	72,000	42,850	-29,150	59,162			
440400 LGS & MSA - Admin. Services								
440410 Client Administration Fees								
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)								
Interest (Fmr. Part of Misc Income)								
440420 Finance Charges								
480000 Miscellaneous Income	201	302		-302				
Uncategorized Income								
Total Income	44,631	72,302	42,850	(29,452)	59,162			
Gross Profit	44,631	72,302	42,850	(29,452)	59,162			
Expenses								
511010 Salaries - Regular	36,381	54,000	34,280	-19,720	47,728	1,803	1,803	
511072 Salaries - Nonbillable								
512001 Workers Comp Exp outside rate								
512002 Medicare Employer Expense	518	783	500	-283	679			
512003 Workers' Comp Exp clerical								
512004 Employee Assistance Program								
512005 Health Insurance Expense								
512006 Dental Insurance Expense								
512007 Vision Insurance Expense								
512008 Life Insurance Expense								
512009 Long Term Disability Expense								
512010 Stars 457 Expense								
512011 Stars 401A Expense	3,570	5,400	3,500	-1,900	4,683			
512014 Short Term Disability Expense								
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)						3,330	3,330	3,330
512018 FSA Health & Day Care Expense								
520104 Telephone/Internet								
520105 Cell Phones								
520107 APS (ADP) Payroll Fees								
520201 Office Supplies								
520202 Bank Fees & Services								
520204 Printing & Postage								
520301 Audit and Professional Services								
520302 Legal Services	201							
520320 Professional Services								
520501 Professional Dues & Membership								
520503 Conferences & Meetings								
520504 Publications								
520508 Licenses & Fees								
520701 General Liability Insurance Exp								
520750 Interest Expense								
520801 Mileage Reimbursement								
520802 Vehicle Allowance								
520803 Travel Reimbursement								
520805 Supplies & Meals Reimbursement								
520904 Computer Install & Maintenance								
522798 Miscellaneous Expense								
Total Expenses	40,670	60,183	38,280	(21,903)	53,090	5,133	5,133	3,330
Net Operating Income	3,961	12,119	4,570	(7,549)	6,072	(5,133)	(5,133)	(3,330)
Other Expenses								
520702 Claims Expense								
529996 Attributed OPEB Expense	470				623			
529997 Unallocated Admin. Svcs - RGS								
529999 Allocated Unbillable Expenses	2,872	9,203	6,308	(2,895)	3,807			
Total Other Expenses	3,342	9,203	6,308	(2,895)	4,430			
Net Other Income	(3,342)	(9,203)	(6,308)	2,895	(4,430)			
Net Income	619	2,916	(1,738)	(4,654)	1,643	(5,133)	(5,133)	(3,330)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	MTC					Napa		
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.	FY13 Proj.	FY13 Variance	FY14 Prop.
Income								
440301 Client Billings	257,524	234,047	442,000	207,953	806,000	1,300	1,300	3,899
440400 LGS & MSA - Admin. Services	-67,526	-55,704	-9,588	46,116				
440410 Client Administration Fees								
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)					5,500			
Interest (Fmr. Part of Misc Income)								
440420 Finance Charges								
480000 Miscellaneous Income	6,524		5,500	5,500				
Uncategorized Income								
Total Income	196,522	178,343	437,912	259,569	811,500	1,300	1,300	3,899
Gross Profit	196,522	178,343	437,912	259,569	811,500	1,300	1,300	3,899
Expenses								
511010 Salaries - Regular	142,842	129,975	248,000	118,025	448,000	1,100	1,100	3,300
511072 Salaries - Nonbillable	1,840							
512001 Workers Comp Exp outside rate								
512002 Medicare Employer Expense	1,994	1,866	3,300	1,434	6,000	15	15	45
512003 Workers' Comp Exp clerical								
512004 Employee Assistance Program								
512005 Health Insurance Expense	28,277	25,183	38,000	12,817	60,000			
512006 Dental Insurance Expense	3,954	3,419	4,700	1,281	6,500			
512007 Vision Insurance Expense	886	761	1,000	239	1,200			
512008 Life Insurance Expense	194	141	400	259	1,200			
512009 Long Term Disability Expense	331	241	1,101	860	2,100			
512010 Stars 457 Expense								
512011 Stars 401A Expense	13,680	12,703	24,100	11,397	43,000	101	101	300
512014 Short Term Disability Expense	329	239	1,100	861	2,000			
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)			4,200	4,200				
512018 FSA Health & Day Care Expense			487	487				
520104 Telephone/Internet								
520105 Cell Phones								
520107 APS (ADP) Payroll Fees								
520201 Office Supplies			40	40				
520202 Bank Fees & Services								
520204 Printing & Postage								
520301 Audit and Professional Services								
520302 Legal Services	1,233	297	2,100	1,803	2,100			
520320 Professional Services								
520501 Professional Dues & Membership								
520503 Conferences & Meetings								
520504 Publications								
520508 Licenses & Fees								
520701 General Liability Insurance Exp								
520750 Interest Expense								
520801 Mileage Reimbursement	3,982	3,030	2,400	-630	2,400			
520802 Vehicle Allowance			-1,280	-1,280				
520803 Travel Reimbursement	354	487	1,500	1,013	1,500			
520805 Supplies & Meals Reimbursement	140		200	200	200			
520904 Computer Install & Maintenance								
522798 Miscellaneous Expense								
Total Expenses	200,035	178,342	331,350	153,008	576,200	1,216	1,216	3,645
Net Operating Income	(3,513)	1	106,562	106,561	235,300	84	84	254
Other Expenses								
520702 Claims Expense								
529996 Attributed OPEB Expense	2,069		11,236	11,236	40,828			
529997 Unallocated Admin. Svcs - RGS								
529999 Allocated Unbillable Expenses	16,927		64,515	64,515	147,781	213	213	710
Total Other Expenses	18,995		75,751	75,751	188,610	213	213	710
Net Other Income	(18,995)		(75,751)	(75,751)	(188,610)	(213)	(213)	(710)
Net Income	(22,508)	1	30,811	30,810	46,690	(128)	(128)	(456)
	16,926.81				147,781.07			

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Nevada City				Pacific Grove		
	FY12 Actual	FY13 Proj.	FY13 Variance	FY14 Prop.	FY13 Proj.	FY13 Variance	FY14 Prop.
Income							
440301 Client Billings	4,612	48,200	48,200	26,000	5,000	5,000	15,000
440400 LGS & MSA - Admin. Services							
440410 Client Administration Fees							
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)							7,200
Interest (Fmr. Part of Misc Income)							
440420 Finance Charges							
480000 Miscellaneous Income					4,000	4,000	
Uncategorized Income	137						
Total Income	4,749	48,200	48,200	26,000	9,000	9,000	22,200
Gross Profit	4,749	48,200	48,200	26,000	9,000	9,000	22,200
Expenses							
511010 Salaries - Regular	3,964	41,900	41,900	25,000	6,200	6,200	18,600
511072 Salaries - Nonbillable							
512001 Workers Comp Exp outside rate							
512002 Medicare Employer Expense	56	610	610	360	23	23	70
512003 Workers' Comp Exp clerical							
512004 Employee Assistance Program							
512005 Health Insurance Expense							
512006 Dental Insurance Expense							
512007 Vision Insurance Expense							
512008 Life Insurance Expense							
512009 Long Term Disability Expense							
512010 Stars 457 Expense							
512011 Stars 401A Expense	389	4,100	4,100	2,200	360	360	1,440
512014 Short Term Disability Expense							
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)							
512018 FSA Health & Day Care Expense							
520104 Telephone/Internet							
520105 Cell Phones							
520107 APS (ADP) Payroll Fees							
520201 Office Supplies							
520202 Bank Fees & Services							
520204 Printing & Postage							
520301 Audit and Professional Services							
520302 Legal Services	137						
520320 Professional Services							
520501 Professional Dues & Membership							
520503 Conferences & Meetings							
520504 Publications							
520508 Licenses & Fees							
520701 General Liability Insurance Exp							
520750 Interest Expense							
520801 Mileage Reimbursement							
520802 Vehicle Allowance							
520803 Travel Reimbursement							
520805 Supplies & Meals Reimbursement							
520904 Computer Install & Maintenance							
522798 Miscellaneous Expense							
Total Expenses	4,547	46,610	46,610	27,560	6,583	6,583	20,110
Net Operating Income	201	1,590	1,590	(1,560)	2,417	2,417	2,090
Other Expenses							
520702 Claims Expense							
529996 Attributed OPEB Expense	49						
529997 Unallocated Admin. Svcs - RGS							
529999 Allocated Unbillable Expenses	297	7,183	7,183	4,735	1,472	1,472	4,043
Total Other Expenses	345	7,183	7,183	4,735	1,472	1,472	4,043
Net Other Income	(345)	(7,183)	(7,183)	(4,735)	(1,472)	(1,472)	(4,043)
Net Income	(144)	(5,592)	(5,592)	(6,295)	945	945	(1,952)
				4,734.82			4,042.81

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Portola Valley			
	FY12 Actual	FY13 Proj.	FY13 Variance	FY14 Prop.
Income				
440301 Client Billings		197,100	197,100	225,000
440400 LGS & MSA - Admin. Services				
440410 Client Administration Fees				
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)				
Interest (Fmr. Part of Misc Income)				
440420 Finance Charges				
480000 Miscellaneous Income				
Uncategorized Income				
Total Income		197,100	197,100	225,000
Gross Profit		197,100	197,100	225,000
Expenses				
511010 Salaries - Regular		141,000	141,000	163,000
511072 Salaries - Nonbillable				
512001 Workers Comp Exp outside rate				
512002 Medicare Employer Expense		2,000	2,000	2,400
512003 Workers' Comp Exp clerical				
512004 Employee Assistance Program				
512005 Health Insurance Expense				
512006 Dental Insurance Expense				
512007 Vision Insurance Expense				
512008 Life Insurance Expense				
512009 Long Term Disability Expense				
512010 Stars 457 Expense				
512011 Stars 401A Expense		14,000	14,000	16,000
512014 Short Term Disability Expense				
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)				
512018 FSA Health & Day Care Expense				
520104 Telephone/Internet				
520105 Cell Phones				
520107 APS (ADP) Payroll Fees				
520201 Office Supplies				
520202 Bank Fees & Services				
520204 Printing & Postage				
520301 Audit and Professional Services				
520302 Legal Services	133	350	350	350
520320 Professional Services				
520501 Professional Dues & Membership				
520503 Conferences & Meetings				
520504 Publications				
520508 Licenses & Fees				
520701 General Liability Insurance Exp				
520750 Interest Expense				
520801 Mileage Reimbursement				
520802 Vehicle Allowance				
520803 Travel Reimbursement				
520805 Supplies & Meals Reimbursement				
520904 Computer Install & Maintenance				
522798 Miscellaneous Expense		34	34	0
Total Expenses	133	157,384	157,384	181,750
Net Operating Income	(133)	39,715	39,715	43,250
Other Expenses				
520702 Claims Expense				
529996 Attributed OPEB Expense				
529997 Unallocated Admin. Svcs - RGS				
529999 Allocated Unbillable Expenses		29,233	29,233	40,974
Total Other Expenses		29,233	29,233	40,974
Net Other Income		(29,233)	(29,233)	(40,974)
Net Income	(133)	10,482	10,482	2,276 40,974.42

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Rohnert Park					San Mateo Co.
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.	FY12 Actual
Income						
440301 Client Billings	81,220	87,870	74,000	-13,871	70,000	6,076
440400 LGS & MSA - Admin. Services						
440410 Client Administration Fees						
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)						
Interest (Fmr. Part of Misc Income)						
440420 Finance Charges						
480000 Miscellaneous Income						
Uncategorized Income						
Total Income	81,220	87,870	74,000	(13,871)	70,000	6,076
Gross Profit	81,220	87,870	74,000	(13,871)	70,000	6,076
Expenses						
511010 Salaries - Regular	64,015	68,536	50,000	-18,536	47,000	1,431
511072 Salaries - Nonbillable						
512001 Workers Comp Exp outside rate						
512002 Medicare Employer Expense	894	977	650	-327	660	20
512003 Workers' Comp Exp clerical						
512004 Employee Assistance Program						
512005 Health Insurance Expense	8,201	8,957	5,600	-3,357	6,200	32
512006 Dental Insurance Expense	93		700	700	650	
512007 Vision Insurance Expense						
512008 Life Insurance Expense						2
512009 Long Term Disability Expense						3
512010 Stars 457 Expense						
512011 Stars 401A Expense	6,261	6,845	5,000	-1,845	4,700	100
512014 Short Term Disability Expense						2
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)						
512018 FSA Health & Day Care Expense						
520104 Telephone/Internet						
520105 Cell Phones						
520107 APS (ADP) Payroll Fees						
520201 Office Supplies						
520202 Bank Fees & Services						
520204 Printing & Postage						
520301 Audit and Professional Services						
520302 Legal Services						
520320 Professional Services						
520501 Professional Dues & Membership						
520503 Conferences & Meetings						
520504 Publications						
520508 Licenses & Fees						
520701 General Liability Insurance Exp						
520750 Interest Expense						
520801 Mileage Reimbursement						
520802 Vehicle Allowance						
520803 Travel Reimbursement						
520805 Supplies & Meals Reimbursement						
520904 Computer Install & Maintenance						
522798 Miscellaneous Expense		-28,956		28,956		
Total Expenses	79,464	56,359	61,950	5,591	59,210	1,589
Net Operating Income	1,756	31,511	12,050	(19,461)	10,790	4,487
Other Expenses						
520702 Claims Expense						
529996 Attributed OPEB Expense	855		1,656	1,656	4,219	64
529997 Unallocated Admin. Svcs - RGS						
529999 Allocated Unbillable Expenses	5,226	30,198	10,902	(19,296)	12,748	391
Total Other Expenses	6,081	30,198	12,558	(17,640)	16,967	455
Net Other Income	(6,081)	(30,198)	(12,558)	17,640	(16,967)	(455)
Net Income	(4,326)	1,313	(508)	(1,821)	(6,177)	4,032
					12,747.60	

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	San Rafael				Santa Clara	
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY13 Proj.	FY13 Variance
Income						
440301 Client Billings	121,629	54,000	35,884	-18,116	61,726	61,726
440400 LGS & MSA - Admin. Services						
440410 Client Administration Fees						
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)						
Interest (Fmr. Part of Misc Income)						
440420 Finance Charges						
480000 Miscellaneous Income			192	192	256	256
Uncategorized Income						
Total Income	121,629	54,000	36,076	(17,924)	61,982	61,982
Gross Profit	121,629	54,000	36,076	(17,924)	61,982	61,982
Expenses						
511010 Salaries - Regular	101,329	36,000	24,000	-12,000	47,025	47,025
511072 Salaries - Nonbillable						
512001 Workers Comp Exp outside rate						
512002 Medicare Employer Expense	1,455	522	353	-169	682	682
512003 Workers' Comp Exp clerical						
512004 Employee Assistance Program						
512005 Health Insurance Expense	6,866	6,840	3,761	-3,079		
512006 Dental Insurance Expense	699	259	408	149		
512007 Vision Insurance Expense	250	105	107	2		
512008 Life Insurance Expense	297	133	85	-48		
512009 Long Term Disability Expense	509	229	134	-95		
512010 Stars 457 Expense						
512011 Stars 401A Expense	11,769	3,600	2,409	-1,191	4,703	4,703
512014 Short Term Disability Expense	468	207	133	-74		
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)						
512018 FSA Health & Day Care Expense						
520104 Telephone/Internet						
520105 Cell Phones						
520107 APS (ADP) Payroll Fees						
520201 Office Supplies						
520202 Bank Fees & Services						
520204 Printing & Postage	252					
520301 Audit and Professional Services						
520302 Legal Services					128	128
520320 Professional Services						
520501 Professional Dues & Membership						
520503 Conferences & Meetings						
520504 Publications						
520508 Licenses & Fees						
520701 General Liability Insurance Exp						
520750 Interest Expense						
520801 Mileage Reimbursement			192	192		
520802 Vehicle Allowance						
520803 Travel Reimbursement						
520805 Supplies & Meals Reimbursement						
520904 Computer Install & Maintenance						
522798 Miscellaneous Expense						
Total Expenses	123,894	47,895	31,580	(16,315)	52,537	52,537
Net Operating Income	(2,266)	6,105	4,496	(1,609)	9,445	9,445
Other Expenses						
520702 Claims Expense						
529996 Attributed OPEB Expense	1,280		1,112	1,112		
529997 Unallocated Admin. Svcs - RGS						
529999 Allocated Unbillable Expenses	7,827	3,475	5,300	1,825	10,136	10,136
Total Other Expenses	9,107	3,475	6,412	2,937	10,136	10,136
Net Other Income	(9,107)	(3,475)	(6,412)	(2,937)	(10,136)	(10,136)
Net Income	(11,373)	2,630	(1,916)	(4,546)	(692)	(692)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Sausalito				
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.
Income					
440301 Client Billings	180,999.96	181,000.00	183,000.43	2,000.43	184,000.00
440400 LGS & MSA - Admin. Services					
440410 Client Administration Fees					
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)					
Interest (Fmr. Part of Misc Income)					
440420 Finance Charges					
480000 Miscellaneous Income					
Uncategorized Income					
Total Income	181,000	181,000	183,000	2,000	184,000
Gross Profit	181,000	181,000	183,000	2,000	184,000
Expenses					
511010 Salaries - Regular	144,586.17	141,840.00	147,000.08	5,160.08	136,000.00
511072 Salaries - Nonbillable					
512001 Workers Comp Exp outside rate					
512002 Medicare Employer Expense	2,085.12	2,088.00	2,199.73	111.73	2,100.00
512003 Workers' Comp Exp clerical					
512004 Employee Assistance Program					
512005 Health Insurance Expense					
512006 Dental Insurance Expense	698.88	699.00	719.84	20.84	650.00
512007 Vision Insurance Expense	183.36	183.00	239.81	56.81	250.00
512008 Life Insurance Expense	430.76	470.00	269.56	-200.44	430.00
512009 Long Term Disability Expense	742.50	810.00	399.57	-410.43	
512010 Stars 457 Expense					
512011 Stars 401A Expense	13,500.00	13,500.00	13,999.87	499.87	14,000.00
512014 Short Term Disability Expense	655.60	715.00	450.20	-264.80	720.00
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)					
512018 FSA Health & Day Care Expense					
520104 Telephone/Internet					
520105 Cell Phones					
520107 APS (ADP) Payroll Fees					
520201 Office Supplies					
520202 Bank Fees & Services					
520204 Printing & Postage					
520301 Audit and Professional Services					
520302 Legal Services					
520320 Professional Services					
520501 Professional Dues & Membership					
520503 Conferences & Meetings					
520504 Publications					
520508 Licenses & Fees					
520701 General Liability Insurance Exp					
520750 Interest Expense					
520801 Mileage Reimbursement					
520802 Vehicle Allowance					
520803 Travel Reimbursement					
520805 Supplies & Meals Reimbursement					
520904 Computer Install & Maintenance					
522798 Miscellaneous Expense					
Total Expenses	162,882	160,305	165,279	4,974	154,150
Net Operating Income	18,118	20,695	17,722	(2,973)	29,850
Other Expenses					
520702 Claims Expense					
529996 Attributed OPEB Expense	1,905				
529997 Unallocated Admin. Svcs - RGS					
529999 Allocated Unbillable Expenses	11,647	23,038	26,928	3,890	33,508
Total Other Expenses	13,552	23,038	26,928	3,890	33,508
Net Other Income	(13,552)	(23,038)	(26,928)	(3,890)	(33,508)
Net Income	4,565	(2,343)	(9,206)	(6,863)	(3,658)
					33,507.97

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	<u>SBWMA</u>				<u>SMARTD</u>	<u>SoITrans</u>	
	<u>FY12 Actual</u>	<u>FY13 Proj.</u>	<u>FY13 Varianc</u>	<u>FY14 Prop.</u>	<u>FY12 Actual</u>	<u>FY13 Proj.</u>	<u>FY13 Variance</u>
Income							
440301 Client Billings	1,046.25	2,480.00	2,480.00	7,450.00	75	8,531	8,531
440400 LGS & MSA - Admin. Services							
440410 Client Administration Fees							
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)							
Interest (Fmr. Part of Misc Income)							
440420 Finance Charges							
480000 Miscellaneous Income							
Uncategorized Income							
Total Income	1,046	2,480	2,480	7,450	75	8,531	8,531
Gross Profit	1,046	2,480	2,480	7,450	75	8,531	8,531
Expenses							
511010 Salaries - Regular	353.37	2,480.00	2,480.00	7,440.00	46	6,338	6,338
511072 Salaries - Nonbillable							
512001 Workers Comp Exp outside rate							
512002 Medicare Employer Expense	4.90	35.96	35.96	109.88	1	92	92
512003 Workers' Comp Exp clerical							
512004 Employee Assistance Program							
512005 Health Insurance Expense					7		
512006 Dental Insurance Expense		12.72	12.72	40.16			
512007 Vision Insurance Expense		3.24	3.24	9.72			
512008 Life Insurance Expense							
512009 Long Term Disability Expense							
512010 Stars 457 Expense							
512011 Stars 401A Expense	33.75	245.04	245.04	740.12	5	634	634
512014 Short Term Disability Expense							
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)							
512018 FSA Health & Day Care Expense							
520104 Telephone/Internet							
520105 Cell Phones							
520107 APS (ADP) Payroll Fees							
520201 Office Supplies							
520202 Bank Fees & Services							
520204 Printing & Postage							
520301 Audit and Professional Services							
520302 Legal Services							
520320 Professional Services							
520501 Professional Dues & Membership							
520503 Conferences & Meetings							
520504 Publications							
520508 Licenses & Fees							
520701 General Liability Insurance Exp							
520750 Interest Expense							
520801 Mileage Reimbursement							
520802 Vehicle Allowance							
520803 Travel Reimbursement							
520805 Supplies & Meals Reimbursement							
520904 Computer Install & Maintenance							
522798 Miscellaneous Expense						-35	-35
Total Expenses	392	2,777	2,777	8,340	58	7,028	7,028
Net Operating Income	654	(297)	(297)	(890)	17	1,503	1,503
Other Expenses							
520702 Claims Expense							
529996 Attributed OPEB Expense	11				1		
529997 Unallocated Admin. Svcs - RGS							
529999 Allocated Unbillable Expenses	72	366	366	1,357		1,295	1,295
Total Other Expenses	83	366	366	1,357	1	1,295	1,295
Net Other Income	(83)	(366)	(366)	(1,357)	(1)	(1,295)	(1,295)
Net Income	571	(663)	(663)	(2,247)	16	208	208
				1,356.71			

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Stars					TJPA
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.	FY12 Actual
Income						
440301 Client Billings						
440400 LGS & MSA - Admin. Services						93,920
440410 Client Administration Fees						
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)						
Interest (Fmr. Part of Misc Income)						
440420 Finance Charges						
480000 Miscellaneous Income						
Uncategorized Income						
Total Income						93,920
Gross Profit						
						93,920
Expenses						
511010 Salaries - Regular	7,376	7,351	3,400	-3,951	3,400	82,433
511072 Salaries - Nonbillable						
512001 Workers Comp Exp outside rate						
512002 Medicare Employer Expense	108	108	50	-58	50	1,210
512003 Workers' Comp Exp clerical						
512004 Employee Assistance Program						
512005 Health Insurance Expense	491	486	160	-326	160	43
512006 Dental Insurance Expense	74	76	15	-61	15	21
512007 Vision Insurance Expense	14	15	3	-12	3	5
512008 Life Insurance Expense	24	24	8	-16	8	2
512009 Long Term Disability Expense	40	40	13	-27	13	3
512010 Stars 457 Expense						
512011 Stars 401A Expense	1,100	1,096	460	-636	460	10,002
512014 Short Term Disability Expense	26	26	9	-17	9	2
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)						
512018 FSA Health & Day Care Expense						
520104 Telephone/Internet						
520105 Cell Phones						
520107 APS (ADP) Payroll Fees						
520201 Office Supplies						
520202 Bank Fees & Services						
520204 Printing & Postage						
520301 Audit and Professional Services						
520302 Legal Services						
520320 Professional Services						200
520501 Professional Dues & Membership						
520503 Conferences & Meetings						
520504 Publications						
520508 Licenses & Fees						
520701 General Liability Insurance Exp						
520750 Interest Expense						
520801 Mileage Reimbursement						
520802 Vehicle Allowance						
520803 Travel Reimbursement						
520805 Supplies & Meals Reimbursement						
520904 Computer Install & Maintenance						
522798 Miscellaneous Expense						
Total Expenses	9,253	9,222	4,118	(5,104)	4,118	93,920
Net Operating Income	(9,253)	(9,222)	(4,118)	5,104	(4,118)	
Other Expenses						
520702 Claims Expense						
529996 Attributed OPEB Expense			47	47	109	
529997 Unallocated Admin. Svcs - RGS						
529999 Allocated Unbillable Expenses						
Total Other Expenses			47	47	109	
Net Other Income			(47)	(47)	(109)	
Net Income	(9,253)	(9,222)	(4,165)	5,057	(4,226)	

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Ukiah			Vallejo		
	FY13 Proj.	FY13 Variance	FY14 Prop.	FY12 Actual	FY13 Proj.	FY13 Variance
Income						
440301 Client Billings	13,400	13,400	40,200	28,420	52,378	52,378
440400 LGS & MSA - Admin. Services						
440410 Client Administration Fees						
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)			6,750			
Interest (Fmr. Part of Misc Income)						
440420 Finance Charges						
480000 Miscellaneous Income	2,250	2,250		300		
Uncategorized Income						
Total Income	15,650	15,650	46,950	28,720	52,378	52,378
Gross Profit	15,650	15,650	46,950	28,720	52,378	52,378
Expenses						
511010 Salaries - Regular	10,400	10,400	31,000	16,036	40,966	40,966
511072 Salaries - Nonbillable						
512001 Workers Comp Exp outside rate						
512002 Medicare Employer Expense	150	150	450	226	594	594
512003 Workers' Comp Exp clerical						
512004 Employee Assistance Program						
512005 Health Insurance Expense						
512006 Dental Insurance Expense						
512007 Vision Insurance Expense						
512008 Life Insurance Expense						
512009 Long Term Disability Expense						
512010 Stars 457 Expense						
512011 Stars 401A Expense	1,040	1,040	3,120	1,560	4,097	4,097
512014 Short Term Disability Expense						
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)						
512018 FSA Health & Day Care Expense						
520104 Telephone/Internet						
520105 Cell Phones						
520107 APS (ADP) Payroll Fees						
520201 Office Supplies						
520202 Bank Fees & Services						
520204 Printing & Postage						
520301 Audit and Professional Services						
520302 Legal Services						
520320 Professional Services						
520501 Professional Dues & Membership						
520503 Conferences & Meetings						
520504 Publications						
520508 Licenses & Fees						
520701 General Liability Insurance Exp						
520750 Interest Expense						
520801 Mileage Reimbursement	1,160	1,160	3,480	295		
520802 Vehicle Allowance						
520803 Travel Reimbursement	1,110	1,110	1,110			
520805 Supplies & Meals Reimbursement						
520904 Computer Install & Maintenance						
522798 Miscellaneous Expense						
Total Expenses	13,861	13,861	39,160	18,117	45,656	45,656
Net Operating Income	1,790	1,790	7,790	10,602	6,721	6,721
Other Expenses						
520702 Claims Expense						
529996 Attributed OPEB Expense				302		
529997 Unallocated Admin. Svcs - RGS						
529999 Allocated Unbillable Expenses	2,309	2,309	8,550	1,848	7,016	7,016
Total Other Expenses	2,309	2,309	8,550	2,150	7,016	7,016
Net Other Income	(2,309)	(2,309)	(8,550)	(2,150)	(7,016)	(7,016)
Net Income	(520)	(520)	(760)	8,452	(294)	(294)
			8,550.00			

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	VCTC2				
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.
Income					
440301 Client Billings	40,596	44,753	41,000	-3,753	45,000
440400 LGS & MSA - Admin. Services					
440410 Client Administration Fees					
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)					3,700
Interest (Fmr. Part of Misc Income)					
440420 Finance Charges					
480000 Miscellaneous Income	565		3,700	3,700	
Uncategorized Income					
Total Income	41,161	44,753	44,700	(53)	48,700
Gross Profit	41,161	44,753	44,700	(53)	48,700
Expenses					
511010 Salaries - Regular	33,470	36,844	27,000	-9,844	30,000
511072 Salaries - Nonbillable					
512001 Workers Comp Exp outside rate					
512002 Medicare Employer Expense	474	534	400	-134	400
512003 Workers' Comp Exp clerical					
512004 Employee Assistance Program					
512005 Health Insurance Expense	15	22		-22	
512006 Dental Insurance Expense	38	57		-57	
512007 Vision Insurance Expense	10	15		-15	
512008 Life Insurance Expense					
512009 Long Term Disability Expense					
512010 Stars 457 Expense	0				
512011 Stars 401A Expense	3,280	3,678	2,700	-978	3,000
512014 Short Term Disability Expense					
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)					
512018 FSA Health & Day Care Expense					
520104 Telephone/Internet					
520105 Cell Phones					
520107 APS (ADP) Payroll Fees					
520201 Office Supplies					
520202 Bank Fees & Services					
520204 Printing & Postage					
520301 Audit and Professional Services					
520302 Legal Services	219	329	250	-79	250
520320 Professional Services	251	377		-377	
520501 Professional Dues & Membership					
520503 Conferences & Meetings					
520504 Publications			2,840	2,840	2,840
520508 Licenses & Fees					
520701 General Liability Insurance Exp					
520750 Interest Expense					
520801 Mileage Reimbursement	15	22		-22	
520802 Vehicle Allowance					
520803 Travel Reimbursement					
520805 Supplies & Meals Reimbursement					
520904 Computer Install & Maintenance					
522798 Miscellaneous Expense					
Total Expenses	37,772	41,878	33,189	(8,689)	36,490
Net Operating Income	3,389	2,875	11,511	8,636	12,210
Other Expenses					
520702 Claims Expense					
529996 Attributed OPEB Expense	433				
529997 Unallocated Admin. Svcs - RGS					
529999 Allocated Unbillable Expenses	2,649	5,696	6,610	914	8,869
Total Other Expenses	3,082	5,696	6,610	914	8,869
Net Other Income	(3,082)	(5,696)	(6,610)	(914)	(8,869)
Net Income	307	(2,821)	4,901	7,722	3,342
					8,868.69

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Walnut Creek					WTA
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.	FY12 Actual
Income						
440301 Client Billings	91,112	63,644		-63,644		
440400 LGS & MSA - Admin. Services						
440410 Client Administration Fees						
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)						
Interest (Fmr. Part of Misc Income)						
440420 Finance Charges						
480000 Miscellaneous Income						
Uncategorized Income						
Total Income	91,112	63,644		(63,644)		-
Gross Profit	91,112	63,644		(63,644)		-
Expenses						
511010 Salaries - Regular	76,118	52,226		-52,226		1,382
511072 Salaries - Nonbillable						
512001 Workers Comp Exp outside rate						
512002 Medicare Employer Expense	1,104	757		-757		
512003 Workers' Comp Exp clerical						
512004 Employee Assistance Program						
512005 Health Insurance Expense						
512006 Dental Insurance Expense						
512007 Vision Insurance Expense						
512008 Life Insurance Expense						
512009 Long Term Disability Expense						
512010 Stars 457 Expense						
512011 Stars 401A Expense	7,612	5,223		-5,223		
512014 Short Term Disability Expense						
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)			2,650	2,650	1,200	
512018 FSA Health & Day Care Expense						
520104 Telephone/Internet						
520105 Cell Phones						
520107 APS (ADP) Payroll Fees						
520201 Office Supplies						
520202 Bank Fees & Services						
520204 Printing & Postage						
520301 Audit and Professional Services						
520302 Legal Services	339	509		-509		
520320 Professional Services						
520501 Professional Dues & Membership						
520503 Conferences & Meetings						
520504 Publications						
520508 Licenses & Fees						
520701 General Liability Insurance Exp						
520750 Interest Expense						
520801 Mileage Reimbursement						
520802 Vehicle Allowance						
520803 Travel Reimbursement						
520805 Supplies & Meals Reimbursement						
520904 Computer Install & Maintenance						
522798 Miscellaneous Expense						
Total Expenses	85,172	58,715	2,650	(56,065)	1,200	1,382
Net Operating Income	5,940	4,929	(2,650)	(7,579)	(1,200)	(1,382)
Other Expenses						
520702 Claims Expense						
529996 Attributed OPEB Expense	959					
529997 Unallocated Admin. Svcs - RGS						
529999 Allocated Unbillable Expenses	5,863	8,101		(8,101)		
Total Other Expenses	6,822	8,101		(8,101)		
Net Other Income	(6,822)	(8,101)		8,101		
Net Income	(882)	(3,172)	(2,650)	522	(1,200)	(1,382)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	Yountville				
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.
Income					
440301 Client Billings	119,173	108,873	313,000	204,127	356,000
440400 LGS & MSA - Admin. Services					
440410 Client Administration Fees					
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)					810
Interest (Fmr. Part of Misc Income)					
440420 Finance Charges					
480000 Miscellaneous Income	-2,404	216	810	594	
Uncategorized Income					
Total Income	116,770	109,089	313,811	204,722	356,810
Gross Profit	116,770	109,089	313,811	204,722	356,810
Expenses					
511010 Salaries - Regular	100,322	86,736	230,600	143,864	266,000
511072 Salaries - Nonbillable					
512001 Workers Comp Exp outside rate					
512002 Medicare Employer Expense	1,429	1,258	3,540	2,282	3,900
512003 Workers' Comp Exp clerical					
512004 Employee Assistance Program					
512005 Health Insurance Expense	76	23	5,860	5,837	5,900
512006 Dental Insurance Expense	16	23	770	747	770
512007 Vision Insurance Expense	4	6		-6	
512008 Life Insurance Expense					
512009 Long Term Disability Expense					
512010 Stars 457 Expense					
512011 Stars 401A Expense	9,749	8,674	24,000	15,326	27,000
512014 Short Term Disability Expense					
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)					
512018 FSA Health & Day Care Expense					
520104 Telephone/Internet					
520105 Cell Phones					
520107 APS (ADP) Payroll Fees					
520201 Office Supplies					
520202 Bank Fees & Services					
520204 Printing & Postage					
520301 Audit and Professional Services					
520302 Legal Services			240	240	240
520320 Professional Services	3,114	4,671	18,250	13,579	18,250
520501 Professional Dues & Membership					
520503 Conferences & Meetings	100	150	80	-70	150
520504 Publications					
520508 Licenses & Fees					
520701 General Liability Insurance Exp					
520750 Interest Expense					
520801 Mileage Reimbursement					
520802 Vehicle Allowance					
520803 Travel Reimbursement					
520805 Supplies & Meals Reimbursement			300	300	300
520904 Computer Install & Maintenance					
522798 Miscellaneous Expense					
Total Expenses	114,809	101,541	283,639	182,098	322,510
Net Operating Income	1,961	7,548	30,171	22,623	34,300
Other Expenses					
520702 Claims Expense					
529996 Attributed OPEB Expense	1,225		1,733	1,733	4,015
529997 Unallocated Admin. Svcs - RGS					
529999 Allocated Unbillable Expenses	7,514	13,885	46,220	32,335	64,022
Total Other Expenses	8,739	13,885	47,953	34,068	68,037
Net Other Income	(8,739)	(13,885)	(47,953)	(34,068)	(68,037)
Net Income	(6,778)	(6,337)	(17,781)	(11,444)	(33,736)

**Regional Government Services
Proposed Budget
Fiscal Year 2013-14**

	TOTAL				
	FY12 Actual	FY13 Budget	FY13 Proj.	FY13 Variance	FY14 Prop.
Income					
440301 Client Billings	7,912,258	6,631,601	5,366,903	-1,264,697	3,490,849
440400 LGS & MSA - Admin. Services	958,133	1,041,141	866,410	-174,731	706,588
440410 Client Administration Fees	-428,595	88,189	-716,143	-804,332	0
Reimbursement of Non-Personnel Exp (Fmr Misc Rev)	0	0	0	0	57,860
Interest (Fmr. Part of Misc Income)	0	0	0	0	12,000
440420 Finance Charges	5,175	7,763	0	-7,763	0
480000 Miscellaneous Income	257,833	140,280	292,262	151,982	3,300
Uncategorized Income	959	3,384	171	-3,213	0
Total Income	8,705,763	7,912,358	5,809,603	(2,102,755)	4,270,597
Gross Profit	8,705,763	7,912,358	5,809,603	(2,102,755)	4,270,597
Expenses	0	0	0	0	0
511010 Salaries - Regular	6,146,978	5,619,046	4,111,513	-1,507,532	3,186,040
511072 Salaries - Nonbillable	37,352	4,133	0	-4,133	0
512001 Workers Comp Exp outside rate	0	0	14	14	0
512002 Medicare Employer Expense	87,650	81,741	59,081	-22,659	43,794
512003 Workers' Comp Exp clerical	65,589	147,000	73,000	-74,000	73,000
512004 Employee Assistance Program	5,366	5,383	5,719	336	5,700
512005 Health Insurance Expense	235,157	213,436	280,729	67,293	120,980
512006 Dental Insurance Expense	62,209	53,963	20,147	-33,816	18,016
512007 Vision Insurance Expense	11,050	10,132	5,013	-5,119	3,363
512008 Life Insurance Expense	12,449	12,239	4,191	-8,048	3,188
512009 Long Term Disability Expense	21,100	20,940	7,063	-13,877	3,913
512010 Stars 457 Expense	-332	0	0	0	0
512011 Stars 401A Expense	598,257	545,305	410,623	-134,682	314,860
512014 Short Term Disability Expense	19,252	19,145	6,387	-12,758	4,329
512015 Unemp Ins Exp (Fmr Salaries-Non Billable)	0	0	79,645	79,645	35,830
512018 FSA Health & Day Care Expense	2,945	1,800	4,627	2,827	1,600
520104 Telephone/Internet	3,370	2,353	7,500	5,147	7,200
520105 Cell Phones	733	683	730	47	800
520107 APS (ADP) Payroll Fees	24,103	25,000	20,900	-4,100	5,400
520201 Office Supplies	172	81	2,640	2,559	2,400
520202 Bank Fees & Services	5,591	5,790	4,080	-1,710	2,640
520204 Printing & Postage	794	367	2,900	2,533	2,900
520301 Audit and Professional Services	17,350	20,000	17,600	-2,400	29,500
520302 Legal Services	111,729	56,661	74,089	17,428	51,490
520320 Professional Services	134,932	129,879	107,250	-22,629	18,250
520501 Professional Dues & Membership	5,010	6,757	13,000	6,243	13,000
520503 Conferences & Meetings	60,415	89,040	35,180	-53,860	60,350
520504 Publications	6,430	0	10,840	10,840	10,840
520508 Licenses & Fees	0	0	660	660	0
520701 General Liability Insurance Exp	103,311	188,000	262,000	74,000	262,000
520750 Interest Expense	1,371	0	0	0	0
520801 Mileage Reimbursement	19,138	13,733	16,321	2,588	17,980
520802 Vehicle Allowance	473	248	-1,280	-1,528	0
520803 Travel Reimbursement	44,784	23,315	31,342	8,027	22,010
520805 Supplies & Meals Reimbursement	2,029	1,983	3,399	1,416	3,399
520904 Computer Install & Maintenance	113,755	210,291	30,000	-180,291	20,000
522798 Miscellaneous Expense	12,386	32,300	28,062	-4,238	0
Total Expenses	7,972,689	7,540,743	5,734,967	(1,805,776)	4,344,772
Net Operating Income	733,074	371,614	74,636	(296,978)	(74,175)
Other Expenses	-	-	-	-	-
520702 Claims Expense	386,650	-	(386,650)	(386,650)	-
529996 Attributed OPEB Expense	83,004	83,004	82,915	(89)	82,323
529997 Unallocated Admin. Svcs - RGS	(496,488)	(814,313)	(737,573)	76,740	(643,473)
529999 Allocated Unbillable Expenses	496,488	814,315	737,572	(76,743)	643,473
Total Other Expenses	469,654	83,006	(303,735)	(386,741)	82,324
Net Other Income	(469,654)	(83,006)	303,735	386,741	(82,324)
Net Income	263,420	288,608	378,371	89,763	(156,499)

LGS Totals:	297,313:	38,094:	4,452:	7,056:
LGS&RGS:	560,733:	326,702:	382,823:	-149,443:



LOCAL AND REGIONAL GOVERNMENT SERVICES AUTHORITIES

Providing Solutions to California Public Agencies

P.O. Box 1350 · Carmel Valley, CA 93924 · 650.587.7300

TO: BOARD OF DIRECTORS **BOD Meeting: 5-16-2013**
FROM: JENNIFER BOWER, Director of Human Resources **Item: 6A**
SUBJECT: PERSONNEL RULES, REGULATIONS AND POLICIES

RECOMMENDATION

Approval of the annually updated and revised personnel rules, regulations, and policies.

BACKGROUND

The Board has previously adopted JPA rules and regulations for all JPAs. Each year staff reviews these Rules, Regulations and Policies to ensure clarity and compliance with new laws and operational changes. In 2008, staff performed a major update of the rules and regulations to make them more specific to the JPAs. In that revision, the two agencies' rules and regulations were combined into a single document. In 2012, the Municipal Services Authority was included. This year, there has been a major restructuring of how the individual sections were organized, into more logical groupings.

All updates to the document are reviewed with the Agency's attorney to ensure legal compliance with recent common law and practices. This year, legal counsel Terry Roemer, reviewed the entire document again to ensure that those sections not updated, remained legally compliant.

As you know, updates to this document are made as needed, and brought to the Board once a year at its May meeting. Attached is the revised document for 2013 with the changes tracked and some comments inserted to help the Board understand why some sections were modified.

ANALYSIS

The Personnel Rules, Regulations and Policies are in one all-encompassing document. Given the nature of the JPAs, with employees at various worksites, there is a need for employees to be able to go to one document to find information relevant to employment rules and policies. This document is on the JPAs website for reference by all employees.

FISCAL IMPACT

There is no fiscal impact of approving these updates to the JPAs' Personnel Rules, Regulations and Policies.

CHANGES FOR THIS YEAR

- Making minor changes throughout the document in wording.
- Modifying section titles for consistency with groupings.
- Organizing sections so that items can be grouped as follows: Part A General Information; Part B Employment; Part C Policies; Part D Work Hours and Absences; Part E Procedures; Part F Health and Safety; and Part G JPAs Administrative Staff Policies.
- Modifying the definition for full time, and noting the full time requirements affecting health care.

- Adding a provision on Employee Behavior Expectations.
- Adding a provision for submission of forms to ensure employees understand timeliness.
- Eliminating references to PERS on domestic partners issues as well as procedures for providers as the JPAs may not stay with CalPERS medical. Additionally eliminating language on tax implications for domestic partners.
- Clarifying vacation payout provisions for defined benefit and defined contribution retirement plans.
- Adding language on the new PEPRA retirement formulas.
- Clarifying when salary advancements occur.
- Adding language for promotional compensation placement.
- Adding language to the personnel file review, based on changes to the law.
- Modifying automatic resignation requirements.
- Clarifying appeal rights for layoff.
- Modifying provisions for Whistleblower, Confidentiality provision, and Equal Employment/Anti-discrimination to meet current legal requirements.
- Adding a Social Media Practices and Guidelines provision.
- Clarifying how leaves must be used if unable to work.
- Adding a provision for investigation and investigation procedures.
- Clarifying how accident reporting to insurance companies is done.
- Adding a provision on Temporary Light Duty based on recent case law.
- Making a major rewrite of the Emergency Action Plan indicating that employee on site with agency clients must follow the procedures of the client organization.
- Adding a provision for Breastfeeding Mothers.
- Adding a fully developed Injury and Illness Prevention Program, Hazard Communication Program, and Ergonomic Program as required by CalOSHA.
- Adding a Part G to cover JPA administrative policies for JPA administrative staff only. These provisions are under the purview of the JPAs executive director and are incorporated here so that employees will only have to use one document to find all relevant provisions.

Finally, minor formatting and updating of the Table of Contents will occur once all changes have been approved and accepted.



P.O. Box 1350
Carmel Valley, CA 93924

Business: 650/587-7300
Fax: 650/587-7311
www.rgs.ca.gov
www.lgs.ca.gov

P.O. Box 1077
Camarillo, CA 93011-1077

Local Government Services, JPA and Regional Government Services, JPA

Personnel Rules, Regulations, and Policies

Revised and Approved
May ~~17, 2012~~ 2013



Local Government Services (LGS)
And
Regional Government Services (RGS)

Personnel Rules, Regulations, and Policies

WHEREAS, the Boards of Directors for Local Government Services (**LGS**) and Regional Government Services (**RGS**) (collectively the JPAs) are authorized to adopt rules and regulations for the administration of the personnel system; and

WHEREAS, the objectives of these Personnel Rules and Regulations are to facilitate efficient and economical services to the public and to provide for an equitable system of personnel management; and

WHEREAS, these Personnel Rules and Regulations set forth those procedures that ensure similar treatment for persons who apply for, are selected for, or who are employed by the Agencies, and define many of the obligations, rights, privileges, and prohibitions that are placed upon all employees in the service of the JPAs; and

WHEREAS, at the same time, within the limits of administrative feasibility, considerable latitude shall be given to Executive Director and designee in the interpretation of these rules; now, therefore, be it

RESOLVED, that the Board of Directors of the JPAs does hereby adopt the following Personnel Rules and Regulations.

Table of Contents

Note, this Personnel Rules, Regulations, and Policies manual is divided up into Parts, then Sections, and finally subsections. The general categories for each Part are General Information, Employment, Policies, Procedures, and Safety. Some Parts will overlap with other Parts, and are placed only in one area so as not to confuse the reader. It is important that if the reader considers something to in one category, but cannot locate it there, then all other Parts should be checked to ascertain if the item is in another area.

Section	Title	Page	Date
Part A General Information			
	Resolution	2	2002
1	Introduction	11	
1.1	JPAs	11	06/08
1.2	Board of Directors and Executive Committee	11	06/08
1.3	Name	11	06/08
1.4	Conflicting Rules	11	06/08
1.5	Additional Rules	11	06/09
1.6	Amendments	11	06/08
1.7	Accessing Rules	11	06/08
1.8	Violation of Rules	11	06/08
1.9	Discrepancies	11	06/08
1.10	Severability	11	06/08
1.11	Word Usage	12	06/08
1.12	Executive Director	12	06/08
2	Employer/Employee Relations	12	
2.1	Meyers-Milias-Brown Act	12	06/13
2.2	Board Management Rights	13	06/08
2.3	Employee Rights	14	06/08
2.4	Bargaining Units	15	06/08
2.5	Certification as Exclusive Bargaining Representative	15	06/08
2.6	Election Procedures	16	06/08
2.7	Bargaining Unit Modification	18	06/08
2.8	Timing	19	06/08
2.9	Unit Disputes Involving Professional Employees	19	06/08
2.10	Rights and Responsibilities	20	06/08
2.11	Impasse Resolution Procedures	21	06/08



2.12	Agency Shop-----	21	06/08
2.13	Miscellaneous Provisions-----	22	06/08
3	Definition of Terms-----	22	06/13

Part B Employment

4	At Will Employment-----	23	
4.1	At Will Employment-----	25	06/12
4.2	JPA's Administrative Staff Employment-----	25	06/12
4.3	Employee Behavior Expectations-----	25	05/13
5	Recruitments, Applications, and Examinations----	25	06/09
5.1	Recruitment-----	25	06/08
5.2	Announcement-----	25	06/08
5.3	Application Materials-----	25	06/08
5.4	Disqualification-----	25	06/08
5.5	Examinations-----	26	06/09
5.6	Appointment-----	27	<u>05/13</u>
6	Benefits and Compensation-----	27	
6.1	Benefits-----	27	06/11
6.2	Group Health Insurances-----	28	06/11
6.3	Other Benefits-----	29	06/11
6.4	Deferred Compensation Plans-----	29	06/11
6.5	Domestic Partner Health Benefits Eligibility-----	29	<u>05/13</u>
6.6	Eligible Dependents Change in Relationship-----	30	06/11
6.7	COBRA Requirements-----	30	06/11
6.8	Retiree Medical Benefits-----	30	06/11
6.9	Retirements Plans-----	30	<u>05/13</u>
6.10	Mileage Reimbursement-----	32	06/09
6.11	Vehicle Allowances-----	32	06/08
6.12	Compensation-----	32	<u>05/13</u>
6.13	Payroll Advances-----	34	06/12
6.14	Promotions-----	34	<u>05/13</u>
7	Attendance at Public Meetings-----	35	05/12
8	Outside Employment Policy-----	35	
8.1	Outside Employment-----	35	06/08
8.2	Workday Activities-----	35	06/08
8.3	Incompatible Work-----	35	06/08

Part C Policies

9	Personnel Files, Personnel Identifying Information, and Medical Information-----	36	
----------	---	-----------	--

9.1	Official Personnel Files -----	36	06/08
9.2	Inspection of Personnel Files -----	36	05/13
9.3	Confidential Files -----	36	06/08
9.4	Employee Data -----	36	06/10
9.5	Personnel Identifying Information -----	36	06/10
9.6	Confidentiality of Medical Information Act -----	38	05/13
10	Separation From Service -----	39	
10.1	Resignation -----	39	06/08
10.2	Automatic Resignation -----	39	06/08
10.3	Failure to Report -----	39	06/08
10.4	Discharge -----	39	06/08
10.5	Layoff Policy and Procedure -----	39	06/11
11	Evaluations, Transfer, and Reinstatement -----	40	
11.1	Employee Performance Evaluations -----	40	06/08
11.2	Transfer -----	40	06/08
11.3	Reinstatement -----	40	06/08
12	Smoking Prohibition -----	40	06/08
13	Accepting Gifts -----	41	06/08
14	Policy on Relatives Working for the JPAs -----	41	
14.1	Relatives Working for the JPAs -----	41	06/08
14.2	JPAs Rights -----	41	05/13
15	Political Activity Prohibition -----	41	06/08
16	Violations of the Hatch Act -----	42	
16.1	Hatch Act -----	42	06/08
17	Workplace Accommodations for Employees With Disabilities -----	42	06/09
18	Drug and Alcohol-free Workplace Environment --	42	
18.1	JPAs Policy -----	42	06/08
18.2	Unlawful Behavior -----	42	06/09
18.3	Suspicion -----	43	06/08
19	Whistleblower Protection -----	43	
19.1	Purpose -----	43	06/08
19.2	Policy -----	43	06/09
19.3	Non-retaliation -----	43	06/08
20	Conflict of Interest Code -----	43	
20.1	Background -----	43	06/11
20.2	Designated Positions -----	43	06/11
20.3	Disclosure Categories -----	44	06/11
20.4	Code Approval -----	44	06/11
21	Non-Solicitation Prohibition -----	44	

21.1	Policy-----	44	06/11
22.2	Distribution and Posting of Literature By Employees-----	44	06/11
23.3	Solicitation or Distribution by Non-Employees/Outside Organizations-----	44	06/11
23.4	Limited Exceptions to Solicitation/Distribution Policy-----	44	06/11
22	Prohibition Against Fraud -----	45	
22.1	Background-----	45	06/11
22.2	Policy Scope-----	45	06/11
22.3	Policy-----	45	06/11
22.4	Actions Constituting Fraud-----	45	<u>05/13</u>
22.5	Other Irregularities-----	45	06/11
22.6	Investigation Responsibilities-----	45	06/11
22.7	Reporting Procedure-----	45	06/11
22.8	Confidentiality-----	45	06/11
22.9	Investigating Suspected Fraud-----	45	06/11
22.10	Investigation Outcome-----	46	06/11
22.11	Disciplinary Action-----	46	06/12
23	Confidentiality Practices -----	46	
23.1	Policy-----	46	06/11
23.2	Protecting Information-----	46	06/11
23.3	Confidential Information-----	46	06/10
23.4	Penalties for Disclosing Confidential Information-----	47	06/10
24	Equal Employment/Anti-discrimination -----	47	
24.1	Anti-discrimination Policy-----	47	<u>05/13</u>
24.2	Equal and Fair Personnel Practices-----	47	06/08
24.3	Non-discrimination and Harassment Policy-----	47	<u>05/13</u>
24.4	Reporting Unlawful Harassment or Discrimination-----	50	<u>05/13</u>
24.5	Remedial Action-----	50	06/08
24.6	No Retaliation-----	50	06/08
24.7	Dissemination-----	51	06/08
24.8	Department of Fair Employment and Housing and the Equal Employment Opportunity Commission-----	51	06/08
24.9	Obligations of Employees-----	51	06/08
25	Travel and Training -----	51	
25.1	Travel and Training-----	51	06/08
25.2	Minimizing Lost Work Time-----	51	06/08
25.3	Cost-effective Travel-----	51	06/09
25.4	Travel Guidelines for Allowable Travel-----	52	06/08
25.5	Government or Group Transportation Lodging Rates-----	52	06/08
25.6	Sponsored Lodging Rates-----	52	06/08
25.7	Receipts-----	52	06/08
25.8	Meal Guidelines-----	52	06/08

26	Information and Electronic Systems Use -----	53	
26.1	Definitions -----	53	06/08
26.2	Public Disclosure -----	53	06/08
26.3	Serial Meetings -----	53	06/08
26.4	Use During Normal Business Hours -----	53	06/08
26.5	Account Access -----	53	<u>05/13</u>
26.6	Prohibited Use -----	54	06/08
26.7	Public Records -----	55	06/08
26.8	Intellectual Property Rights -----	55	06/08
26.9	<u>Social Media Practices</u> -----	55	<u>05/13</u>

Part D Work Hours and Absences

27	Attendance, Working Hours, and Workplace Attire -----	56	
27.1	Attendance -----	56	06/08
27.2	Overtime -----	56	06/11
27.3	Workweek -----	56	06/08
27.4	Change in Work Hours -----	56	06/11
27.5	Alternate Work Schedules -----	56	06/08
27.6	Meal Period -----	57	06/08
27.7	Rest Periods -----	57	06/08
27.8	Workplace Attire -----	57	06/10
28	Leaves -----	57	
28.1	General Provisions -----	57	<u>05/13</u>
28.2	Available Leave Categories -----	58	06/08
28.3	Administrative Leave -----	58	06/09
28.4	Annual Vacation Leave -----	58	06/11
28.5	Bereavement Leave -----	58	06/09
28.6	Holidays -----	58	06/08
28.7	Job-incurred Disability Leave -----	59	06/08
28.8	Jury Duty -----	59	06/08
28.9	Leave of Absence -----	59	06/09
28.10	Leave of Absence – Without Pay -----	59	06/09
28.11	Leave of Absence – Unauthorized -----	60	06/08
28.12	Military Leave -----	60	06/09
28.13	Military Family Leave -----	60	06/08
28.14	Military Spouse Leave -----	60	<u>05/13</u>
28.15	Other Authorized Leaves -----	60	06/08
28.16	Pregnancy Disability Leave (PDL) -----	61	06/08
28.17	Parental Leave -----	62	06/08
28.18	Sick Leave -----	62	06/08

28.19	School Leave -----	63	06/08
28.20	Time Off to Vote -----	63	06/09
28.21	State Disability Insurance Leave-----	63	06/08
28.22	Short- and Long-term Disability Benefits -----	63	06/08
28.23	Disability Retirement Eligibility -----	63	06/08
29	Family and Medical Leave Policy -----	64	
29.1	Family and Medical Leave Policy -----	64	06/09
29.2	Purpose -----	64	06/08
29.3	Eligibility -----	64	06/08
29.4	Type of Leave Covered -----	64	05/13
29.5	Policy Definitions -----	64	06/09
29.6	Amount of Leave -----	67	06/08
29.7	Intermittent Leave or Leave on a Reduced Work Schedule -----	67	06/08
29.8	Substitution of Paid Accrued Leaves -----	67	06/09
29.9	Payment of Health Insurance Premiums While on Leave -----	68	06/09
29.10	Medical Certification -----	68	06/08
29.11	Procedures for Requesting Leave -----	69	06/09
29.12	Accrual of Benefits While on Leave-----	69	06/08
29.13	Right to Reinstatement Upon Return From FMLA Leave -----	69	06/08
29.14	Employee's Obligation to Periodically Report on Condition -----	70	06/08
29.15	Fitness-for-Duty Certification-----	70	06/08
29.16	Failure to Return From FMLA Leave -----	70	06/08

Part E Procedures

30	Grievance Procedure -----	71	
30.1	Definition of Grievance -----	71	06/08
30.2	Eligibility to File a Grievance-----	71	06/08
30.3	Exclusions from the Grievance Procedure-----	71	06/08
30.4	Grievance Procedure -----	71	06/08
30.5	Representation-----	72	06/08
30.6	Waiver of Grievance -----	72	06/09
30.7	No Retaliation-----	72	06/08
31	Disciplinary Action -----	72	
31.1	Policy-----	72	06/08
31.2	Types of Discipline -----	72	06/08
31.3	Written Notice -----	72	06/08
31.4	Grounds for Disciplinary Action -----	73	06/12
31.5	Employee Review -----	74	06/08
31.6	Relief of Duty-----	74	06/08
31.7	No Rights to Appeal -----	74	06/08
32	Investigation Procedures -----	75	

32.1	Policy-----	75	05/13
32.2	Duty to Act-----	75	05/13
32.3	Action to be Taken-----	75	05/13
32.4	Corrective Action-----	75	05/13
32.5	Investigation-----	75	05/13
32.6	Retaliation-----	75	05/13
32.7	Confidentiality-----	75	05/13
32.8	Public Records Law-----	76	05/13
32.9	Human Resources Action-----	76	05/13
32.10	Investigation Process-----	76	05/13

Part F Health and Safety

33	Safety in the Workplace-----	77	
33.1	Workplace Safety Policy-----	77	06/08
33.2	Management Responsibilities-----	77	06/08
33.3	Employee Responsibilities-----	77	06/08
33.4	Reporting Injuries-----	77	06/08
33.5	Other Safety Rules-----	77	06/08
33.6	Injury and Illness Prevention Program-----	77	06/09
34	Agency Equipment and Vehicle Use-----	78	
34.1	Use of JPAs Equipment/Automobile Use-----	78	06/09
34.2	Automobile Use-----	78	05/13
34.3	Use of Vehicle Safety Belts-----	78	06/08
34.4	DMV Pull Program-----	79	06/12
34.5	Vehicle Accidents-----	79	06/08
35	Fitness-for-Duty Evaluations-----	79	
35.1	Fitness-for-Duty-----	79	06/08
36	Workplace Violence Prevention-----	79	
36.1	Violence in the Workplace Policy-----	79	06/08
36.2	Notification-----	80	06/08
36.3	Possession of Inappropriate Items-----	80	06/08
36.4	Disciplinary Action-----	80	06/08
36.5	Counseling Services-----	80	06/08
36.6	Procedures for Imminent or Actual Violent Acts-----	80	06/08
37	Emergency Action Plan-----	81	
37.1	Purpose-----	81	05/13
37.2	Policy-----	82	05/13
37.3	Emergency Action Plan Elements-----	82	05/13
37.4	Response Plans-----	84	05/13
37.5	Emergency Escape Procedures and Routes-----	92	05/13
37.6	Evacuating Persons with Restricted Mobility-----	93	05/13

37.7	Emergency Shutdown Procedures -----	93	05/13
37.8	Employee Accountability Following and Emergency Evacuation ----	93	05/13
37.9	Rescue and Medical Duties -----	93	05/13
37.10	References -----	93	05/13
38	Emergency Service Workers -----	93	
38.1	Emergency Service Workers-----	93	06/10
38.2	Emergency Situations -----	94	06/10
39	Support of Breastfeeding Mothers -----	95	
39.1	Policy -----	95	05/13
39.2	Practice -----	95	05/13
40	Injury and Illness Prevention Program -----	95	
40.1	Policy -----	95	05/13
40.2	Practice -----	95	05/13
41	Hazard Communication Program -----	95	
41.1	Policy -----	95	05/13
41.2	Practice -----	95	05/13
42	Ergonomic Program -----	95	
42.1	Policy -----	95	05/13
42.2	Practice -----	95	05/13

Part G JPAs Administrative Staff Policies

43	<u>Administrative Staff Office Equipment</u>		
	<u>Computer Policy</u> -----	95	
43.1	-----	95	05/13
43.2	-----	95	05/13
43.3	-----	95	05/13
43.4	-----	95	05/13
43.5	-----	95	05/13
43.6	-----	95	05/13
43.7	-----	95	05/13
44	Administrative Staff Compensation and Benefits		
	Philosophy -----	95	
44.1	-----	95	05/13
44.2	-----	95	05/13
44.3	-----	95	05/13
44.4	-----	95	05/13
44.5	-----	95	05/13
45	Administrative Staff Pay for Performance		
	Program-----	95	
45.1	-----	95	05/13



45.2

95 05/13

All policies affect all LGS or RGS employees regardless of at-will status.

PART A – GENERAL PROVISIONS

Section 1 Introduction

- 1.1 **JPA's:** Local Government Services and/or Regional Government Services, herein after, the JPAs, provide services to a variety of clients with employees assigned to perform those services. Employees are ~~the~~JPA's representatives when performing services.
- 1.2 **Board of Directors and Executive Committee:** The Boards of Directors for Local Government Services and Regional Government Services are each comprised of one representative from each member organization. Member organizations are the City of Larkspur and the Association of Bay Area Governments.
- 1.3 **Name:** These Personnel Rules, Regulations, and Policies (hereafter "Rules") generally describe the employment relationship between the Local Government Services (LGS) and Regional Government Services (RGS) and their employees. These Rules apply to both LGS and RGS JPA employees, except where otherwise indicated in these Rules or where an applicable employee agreement specifically conflicts with a Rule, in which case the employee agreement provision shall govern. These Rules do not apply to appointive officers of the either JPA Governing Board or executive committee members.
- 1.4 **Conflicting Rules:** These Rules were established to conform and be complementary to JPA's policies. In cases where there is deemed to be a conflict between a Rule and the policies, the policies shall prevail.
- 1.5 **Additional Rules:** Client unit managers are the executive leadership of client organizations who may issue additional rules or policies as deemed necessary for the efficient administration of the unit. However, such Client unit rules or policies shall not conflict with these Rules. In cases where there is deemed to be a conflict between a Client unit rule and these Rules, these Rules shall prevail.
- 1.6 **Amendments:** These Rules may be amended from time to time and approved by both JPAs Governing Boards.
- 1.7 **Accessing Rules:** These Rules are available to all employees and are posted on ~~both~~-JPAs websites. Each employee is responsible for reading and complying with them.
- 1.8 **Violation of Rules:** Violations of the provisions of these Rules shall result in disciplinary action, up to and including dismissal, to be taken in accordance with these Personnel Rules and Regulations.
- 1.9 **Discrepancies:** In the event there is a discrepancy between the language in these Rules and state or federal law, federal or state law shall prevail over these Rules.
- 1.10 **Severability:** If any part of these Rules is determined to be unconstitutional or illegal, such part shall be severed from these Rules and the remaining Rules shall be given full force and effect.

- 1.11 **Word Usage:** The term Agency JPA or JPAs as used in these Rules refers to either Local Government Services and/or Regional Government Services. Responsibilities and rights of the JPAs under these Rules are exercised by the Executive Director, and may be delegated by the Director in his/her discretion.
- 1.12 **Executive Director:** The term Executive Director refers to Local Government Services and/or Regional Government Services Executive Director. The Executive Director may designate authority to the human resources or unit manager, as appropriate. When interpreting these Rules, anytime the Executive Director is listed, it should also be interpreted to mean the Executive Director or his/her designee.

Section 2 Employer/Employee Relations

- 2.1 **Meyers-Milias-Brown Act:** The JPAs labor relations policies are governed by the Meyers-Milias-Brown Act (MMBA), Government Code section 3500 et seq.
- 2.1.1 **Bargaining Unit:** Means a unit of employee classifications and/or positions established by the Board.
- 2.1.2 **Board:** This refers to the Board of Directors, the governing body of either Local Government Services (a public agency under Article 1, Chapter 5, Division 7, Title 1 commencing with Section 6500 of the Government Code of the State of California) and the Executive Committee of LGS, and the governing body of Regional Government Services (a public agency under Article 1, Chapter 5, Division 7, Title 1 commencing with Section 6500 of the Government Code of the State of California) and the Executive Committee of RGS. The Board includes any duly authorized Board representative or Committee thereof.
- 2.1.3 **Certify:** Means the process by which the Board formally acknowledges an employee organization as the exclusive representative of a bargaining unit.
- 2.1.4 **Confidential Employee:** Means an employee or position, as designated by the Board, who could reasonably have access to confidential information that could affect employer-employee relations.
- 2.1.5 **Day:** Means calendar day unless expressly stated otherwise.
- 2.1.6 **Employee:** Means any person employed by either JPAs, but generally does not include appointed and elected officials, temporary or intermittent workers, or program participants.
- 2.1.7 **Employee Organization:** Means any organization that includes employees of either JPAs, and which has one of its primary purposes to represent such employees in their labor relations with either JPAs.
- 2.1.8 **Impasse:** Means a deadlock in negotiations concerning matters within the scope of representation.
- 2.1.9 **Management, Managerial, or Supervisory Employee:** Means any employee, as reasonably designated by the Executive Director, having

significant authority, in the interest of the Board, formulate and effectuate policies by expressing and making operative the decisions, or who is substantially involved in developing and/or implementing management policies, or who hires, transfers, suspends, lays off, recalls, promotes, discharges, assigns, rewards, or disciplines one or more other employees; or to direct or supervise them; or to adjust or **counsel** regarding grievances. Such employees are so distinguished as they:

2.1.9.1 **Primary Duty:** Have as their primary duty the management of an unit.

2.1.9.2 **Authority:** Have authority to hire and fire, or to make recommendations as to those decisions.

2.1.9.3 **Discretionary Powers:** Customarily and regularly exercise discretionary powers.

2.1.9.4 **Management Function:** Carry out those functions primarily performed by managers.

2.2.9.5 **Non-management Work:** Do not devote more than 20 percent of their weekly work time to non-management activities.

2.1.10 **Memorandum of Understanding (MOU):** Means a written agreement between the Board and the recognized employee representative regarding wages, hours, and working conditions within the scope of representation. MOUs and each of their provisions shall not be valid or enforceable unless and until adopted by the Board.

2.1.11 **Notice:** Means depositing the information at issue, properly addressed with correct postage for first class delivery, in a United States Postal Service (USPS) facility, unless otherwise agreed between the affected parties in writing.

2.1.12 **JPA's Executive Director:** Refers to the JPA's Executive Director of Local Government Services and/or Regional Government Services. The Executive Director may delegate any responsibility specified in these Rules.

2.1.13 **Recognized Employee Representative:** Means an employee organization which has been formally recognized by the Board or its designee, the Executive Committee, as the exclusive representative of a bargaining unit or units for purposes of meeting and conferring on matters within the scope of representation under the MMBA.

2.1.14 **Scope of Representation:** The scope shall include all matters relating to employment conditions and employer-employee relations, including, but not limited to, wages, hours, and other terms of conditions of employment; provided, that the scope of representation shall not include consideration of the merits, necessity, or organization of any service or activity provided by law or executive order, or any other matter excluded by applicable case law or statute.

2.2 **Board Management Rights:** Unless specifically in conflict with any MOU, all management rights shall remain vested exclusively with the Board or its Executive

Committee, and any omission in a management right listed below shall not be construed as the Board's waiver of such right. Board management rights include, but are not limited to the right to:

- Determine the mission of its JPAs, institutions, divisions, committees, boards, and commissions.
- Full and exclusive control of the management and organization of the employer; supervision of all operations; determinations of methods, means, location, and assignments of performing all work; and the composition, assignment, direction, location, and determination of the size and mission of the work force.
- Determine the work to be done by employees, including establishment of service levels, appropriate staffing, and the allocation of funds for any position(s) within the organization.
- Review and inspect, without notice, all employer-owned facilities, including without limitation desktop computers, desks, email, facsimile, and copy machines, computer storage drives, voicemail systems, and filing cabinets and systems. This section shall not grant the unfettered right to inspect personal property without legal cause.
- Change or introduce different, new, or improved operations, technologies, methods, or means regarding any work, and to contract out for the work.
- Establish and modify qualifications for employment, including the content of any job classification, job description, or job announcement, and to determine whether minimum qualifications are met.
- Establish and enforce employee performance standards.
- Schedule and assign work, make reassignments, and assign overtime work.
- Hire, fire, promote, reassign, transfer, release, discipline, layoff, terminate, demote, suspend, or reduce in step or grade, all employees.
- Reorganize any of its divisions and reassign workers accordingly.
- Require fitness-for-duty evaluations upon reasonable cause.
- Require drug and/or alcohol tests upon reasonable suspicion of possession of illegal drugs or alcohol in the workplace, or impairment while on the job.
- Investigate regarding complaints or concerns about employee performance deficiencies or misconduct of any sort, including the right to require employees to appear, respond truthfully, and cooperate in good faith regarding any employer investigation.
- Designate employees as exempt, or non-exempt, pursuant to the Fair Labor Standards Act.
- Maintain orderly, effective, and efficient operations.

2.3 **Employee Rights:** Unless specifically in conflict with an MOU, all employees shall enjoy the following rights to:

- Form, join, and participate in the activities of employee organizations of their own choosing for the purpose of representation on all matters of employer-employee relations.
- Refuse to join or participate in the activities of employee organizations, and to

- represent themselves individually in their employment relations with the Board.
- Be free from interference, intimidation, restraint, coercion, or discrimination because of exercising rights specified in this section.

2.4 **Bargaining Units:** The JPAs Executive Director (which includes any authorized designee), shall designate and maintain a description of all current bargaining units in the JPAs. The Executive Director shall have the management discretion to form and define reasonable bargaining units, and to modify bargaining units based on the procedures specified in this Rule. In exercising discretion regarding bargaining unit composition, including initial formation and subsequent modification, the Executive Director shall consider the following criteria, which are not necessarily listed in order of importance:

- 2.4.1 **Community of interest** among employees, and avoiding actual or potential conflicts of interest within the bargaining unit.
- 2.4.2 **Historical relationships** including the organizational structure and collective bargaining.
- 2.4.3 The **effective delivery** of services.
- 2.4.4 The **application of consistency** of wage, hour, and benefit packages (including retirement benefits).
- 2.4.5 **Specific legal requirements**, such as the rights of certain employees to be in bargaining units exclusive of other employees.
- 2.4.6 **Employee rights to freely choose** labor representatives according to their preference.
- 2.4.7 The **interest of broad-based units** composed of the largest number of employees having a reasonable community of interest.

2.5 **Certification as Exclusive Bargaining Representative:**

- 2.5.1 **Elements of Petition:** An employee organization seeking recognition as an exclusive representative of a bargaining unit shall file with the Executive Director a written petition for certification, which shall include the items listed below. The Executive Director may provide appropriate forms for such petitions.
- 2.5.1.1 The complete name and street address of the organization.
- 2.5.1.2 The names, titles, mailing addresses, e-mail addresses, and telephone numbers of the organization's officers.
- 2.5.1.3 The names, addresses, e-mail addresses, and telephone numbers of those persons who are authorized to represent the organization.
- 2.5.1.4 The names, addresses, and e-mail addresses where notices from the Board to the organization may be sent.
- 2.5.1.5 A statement that the organization has no restriction on membership and does not discriminate based on a person's protected class, such as race, color, creed, national origin, sex, age, disability, sexual orientation, or political affiliation.
- 2.5.1.6 A statement that one or more of the primary purposes of the organization is to represent employees on matters concerning wages,

- hours, and other terms and conditions of employment.
- 2.5.1.7 A statement whether the organization is affiliated in any manner, directly or indirectly, with another organization (for example as a local or chapter of a national or international parent union), and if so, the name, address, and website address of the affiliated organization.
 - 2.5.1.8 Copies of the employee organization's constitution and bylaws, accompanied by a statement of authenticity.
 - 2.5.1.9 Authorization cards demonstrating support for the petition, signed by 30% or more of the employees within the bargaining unit, that are dated no later than 6 months earlier than the date of the petition, and which appear authentic to the party reviewing them.
 - 2.5.1.10 A request that the Board certify the petitioner as the exclusive bargaining representative for those employees in the bargaining unit(s) at issue.
- 2.5.2 **Response to Petition:** Within 30 days after receiving a petition, the Executive Director shall determine whether the petition contains the necessary elements demonstrating the requisite showing of interest. If the petition is defective in some respect, the Executive Director may reject and return it, with a brief explanation. Alternatively, the Executive Director may retain the petition, and permit the petitioner to alleviate the deficiencies promptly.
- 2.5.3 **Notice:** After the Executive Director determines that a petition meets the requirements under this Rule, the Executive Director shall provide notice that a petition has been filed to all employees in the bargaining unit at issue, all recognized employee organizations, and the Board.
- 2.5.4 **Elections:** Elections shall be conducted in accordance with the provisions herein.
- 2.5.5 **Certification:** The Executive Director shall provide notice of the election outcome to all affected employee organizations and the Board. For certification petitions, the Board shall certify the prevailing organization, if any, as the exclusive bargaining representative for the bargaining unit(s) at issue.
- 2.6 **Election Procedures:** The following procedures are applicable to elections, except as specified herein.
- 2.6.1 **Third-party Election:** Elections will be conducted by a third party as designated by the Executive Director. The Executive Director may take reasonable measures, not in conflict with this Rule or applicable law, to ensure the integrity of elections.
 - 2.6.2 **Executive Director Discretion:** The Executive Director has the discretion to refer the election matter at issue to a neutral organization such as the State Mediation and Conciliation Services (SMCS), or the Public Employee Relations Board (PERB), for handling.
 - 2.6.3 **Supported Petition:** In order for an election to be held, petitions to certify

- or decertify a recognized bargaining representative, or to rescind an agency shop provision, must be accompanied by cards showing that the petition at issue is supported by 30% or more of the bargaining unit employees.
- 2.6.4 **Challenges:** Challenges to certification petitions may be initiated by other employee organizations. If the challenging organization meets these requirements, the organization will also be included in the election. The requirements are:
- 2.6.4.1 **Challenging Organization:** The challenging organization provides the information contained in this Rule.
- 2.6.4.2 **Percent of Signed Cards:** The challenging organization produces cards demonstrating that at least 10% of employees in the bargaining unit subject to the petition support the challenge.
- 2.6.4.3 **Time Period:** The challenge must be initiated within 30 days after the Executive Director gives notice of a petition for certification.
- 2.6.5 **Authenticity:** The authenticity of cards and signatures shall be verified by a neutral party designated by the Executive Director.
- 2.6.6 **Secret Ballot:** Elections will be conducted by secret ballot. Over 50% of the employees in the bargaining unit must participate in the election in order for the election to be certified. Elections will be determined by majority vote of those employees' casting votes.
- 2.6.7 **No Representation Choice:** Ballots shall contain the choice of "no representation".
- 2.6.8 **No Majority Result:** If no representative receives a majority of the votes, the Executive Director shall conduct a runoff election between the 2 choices receiving the most votes.
- 2.6.9 **Costs:** Except for initial elections regarding certification of an exclusive bargaining representative, costs of elections shall be borne equally among the Board and the employee organizations appearing on the ballot, to the extent permitted by law.
- 2.6.10 **Decertification Election:** Elections concerning the proposed decertification of an exclusive bargaining representative may be held no sooner than 12 months following the date the Board certified and recognized the bargaining representative as the exclusive bargaining representative for the bargaining unit(s) at issue. A decertification petition alleging that the incumbent recognized employee organization no longer represents a majority of employees in an established unit may be filed with the Executive Director only during the 30 day period commencing 120 days prior to the termination date of an MOU then having been in effect less than 3 years. For MOUs in effect 3 years or longer, decertification petitions may be filed during the month of January in every year the MOU is in effect.
- 2.6.11 **Rescinding Agency Shop:** No more than one vote to rescind an agency shop agreement may be taken during the life of a MOU that provides for agency shop.

- 2.6.12 Granting Recognition:** Notwithstanding the procedures in this Rule, the Board shall grant exclusive recognition to an employee organization based on a signed petition, authorization cards, or union membership cards showing that a majority of the employees in a bargaining unit determined appropriate by the Executive Director desire the representation, unless another labor organization has previously been lawfully recognized as exclusive or majority representative of all or part of the same unit. Exclusive representation shall be determined by a neutral third party selected by the Executive Director and the employee organization who shall review the signed petition, authorization cards, or union membership cards to verify the exclusive or majority status of the employee organization. In the event the parties cannot agree on a neutral third party, the parties shall utilize the services of the SMCS. In the event the neutral third party determines, based on a signed petition, authorization cards, or union membership cards, that a second labor organization has the support of at least 30% of the employees in the unit in which recognition is sought, the neutral third party shall order an election to establish which labor organization, if any, has majority status.
- 2.7 Bargaining Unit Modifications:** Bargaining unit modifications may be initiated by the Executive Director, by a group of employees, or by a recognized employee representative. Modifications to existing bargaining units must be supported by some legitimate reason.
- 2.7.1 Executive Director Initiated Unit Modifications:** The Executive Director may initiate a modification of its unit structure, including the creation of new units, or the reallocation of classifications from one bargaining unit to another bargaining unit. The Executive Director shall provide notice to all affected employee organizations, and to each employee who may be affected by the proposed change. Before implementing any modification or reallocation, the Executive Director shall provide the opportunity to meet and confer (or consult), to the extent required by law, with affected, recognized employee representatives.
- 2.7.2 Employee and Union Initiated Modifications:** An employee, group of employees, or a recognized employee organization may request that a unit be modified, or that one of more classifications be reallocated to a new or existing bargaining unit. The Executive Director shall provide notice to all affected employee organizations upon receipt of such a request. The request must be accompanied by authorization cards, dated no later than 6 months earlier than the request, showing that at least 40% of the employees in the new proposed unit, or 30% of the employees in the classification(s) proposed to be reallocated to another bargaining unit, support the request.
- 2.7.2.1 Denying the Request:** The Executive Director may exercise discretion to deny the request in the event the criteria listed in section 2.4 of this Rule suggest to the Executive Director that the modification or reallocation is inappropriate. The Executive Director

shall provide notice of the rejection to all recognized employee representatives promptly after such determination.

2.7.2.2 Consistent Modifications: If the Executive Director determines that the modification or reallocation is consistent with the criteria listed, the Executive Director shall further process the request. If the Executive Director determines that a new unit or reallocation is appropriate, the Executive Director shall provide notice to all recognized employee representatives. If no protest is filed within 30 days, the Executive Director shall promptly reassign affected classifications to the new unit, or reallocate the classifications to an existing bargaining unit. In the event of an assignment to a newly created bargaining unit, the Executive Director shall also notify the employees of their rights under this Rule, including the right to select a representative of their choice for the purpose of meeting and conferring regarding wages, hours, and working conditions under the MMBA.

2.7.2.3 Protests: Within 30 days of notice regarding the Executive Director's determination to modify a bargaining unit, or reallocate classifications, an affected recognized employee representative may submit a protest to the Executive Director's office. The protest must include the following in order to be considered.

2.7.2.3.1 Data: The name, address, e-mail address, and telephone number of the protesting representative.

2.7.2.3.2 Facts: The facts and arguments supporting the protest.

2.7.2.3.3 Resolution: The proposed resolution.

2.7.2.4 Response: Upon receipt of a protest, the Executive Director shall meet and confer to the extent required by law. If there is no resolution, the dispute shall be submitted to the SMCS for mediation. If the SMCS is unable to achieve a resolution, the matter shall be referred to the Executive Director for final written decision and notice to all affected parties. After issuing a decision, the Executive Director may reassign or reallocate the classifications at issue, and inform the employees of their rights under this Rule.

2.8 Timing: Unless required by law, unit modifications or reallocations may not be initiated sooner than 12 months following the date of any memorandum of understanding which covers the classifications proposed to be reallocated or moved from the bargaining unit.

2.9 Unit Disputes Involving Professional Employees: In the event of a dispute on the appropriateness of a unit of representation for professional employees, upon request of any of the parties, the dispute shall be submitted to State Mediation and Conciliation Services (SMCS) for mediation or for recommendation for resolving the dispute. Professional employees, for the purposes of this section, mean employees engaged in work requiring specialized knowledge and skills attained through

completion of a recognized course of instruction, including, but not limited to, attorneys, physicians, registered nurses, engineers, architects, teachers, and the various types of physical, chemical, and biological scientists.

2.10 Rights and Responsibilities:

2.10.1 Meet and Confer: An exclusive bargaining representative shall have the right to meet and confer in good faith with authorized representatives from the designated JPAs regarding wages, hours, and working conditions within the scope of representation. If an agreement is reached, the parties shall jointly prepare a written MOU, which shall not be binding, and present it to the Board. If the Board adopts the written MOU, it shall become binding on the parties. The JPAs ~~are~~ is under no obligation to meet and confer with an employee organization, unless it has been certified as a recognized employee representative.

2.10.2 Current Information: Recognized employee representatives have the responsibility to inform the Executive Director, in writing, of any changes in the information specified in section 2.5 of this Rule, and the Board may rely on its information on file for purposes of notice under this resolution and the MMBA.

2.10.3 Release Time: During the period of meet and confer regarding a memoranda of understanding, recognized employee representatives shall be entitled to a reasonable number of representatives who may receive paid release time during the period when formal negotiations are occurring at the table. The precise number shall be subject to the parties' discussions and the Executive Director's approval at the outset of negotiations. Employee representatives shall cooperate with the Executive Director on a reasonable schedule, and the employees released for negotiations shall notify their supervisors, obtain their consent (which shall not be unreasonably withheld) and ensure that the dates scheduled for negotiations do not adversely affect either JPAs' operation. Paid release time may not be authorized for activities such as soliciting membership, internal union elections, campaigning for office or other political activity, organizing efforts, or for any other purpose not authorized by this Rule or an MOU.

2.10.5 JPAs Resources: Use of JPAs resources, including without limitation; stationery, computers, mail, e-mail, copy machines, and fax machines, for Union business is prohibited. Use of Board facilities for other than JPAs-related business is prohibited.

2.10.6 Dues and Other Authorized Payroll Deductions: Recognized employee representatives may sponsor payroll deduction programs for membership dues, charitable causes, and benefit premiums and contributions. In order to participate, each affected employee must submit a written authorization on a form prescribed by the Executive Director. Deductions shall comply with the JPAs administrative procedures.

2.10.7 Appeals: An employee or labor organization aggrieved by any adverse action

taken pursuant to this Rule may submit an appeal to the Executive Director. The Executive Director may adopt reasonable procedures, after appropriate meet and consult, to resolve such appeals. To be considered, an appeal must be filed within 30 days of when the aggrieved party knew or should have known of the alleged violation. Failure to file an appeal within the 30 day time limit shall constitute a waiver of any challenge to the action at issue. Appeals must contain specific allegations that the employer violated a specific provision of this Rule or applied the Rule in a manner that violates an applicable law. To the fullest extent permitted by law, appeals must be submitted and appeal procedures exhausted before resorting to any other forum, so that the underlying facts may be gathered, an appropriate record may be created, and the Executive Director is provided a reasonable opportunity to correct or remedy complaints. No other grievance or appeal process may be used to address issues covered by this Rule.

2.11 Impasse Resolution Procedures:

2.11.1 Impasse Meeting: If impasse is reached during negotiations concerning an MOU, either party may declare an impasse by submitting a written letter formally declaring an impasse. The declaration of impasse must contain all of the following elements:

2.11.1.1 Tentative Agreements: A list of all tentative agreements, if any.

2.11.1.2 Disputed Issues: A list of all disputed issues.

2.11.1.3 Last and Final Offer: For each disputed issue, the declarant's last and final offer. The party against whom the impasse is declared shall submit a formal response within 7-working days of notice of impasse, and shall meet within 7-working days thereafter.

2.11.2 Mediation: Upon and after impasse, either party may request that the dispute be submitted to mediation, and the other party must participate in good faith upon request, or submit a letter within 7-working days of the request specifically declining to participate in mediation. The costs of mediation shall be borne equally. Mediation shall be conducted by a mediator supplied by the SMCS, or by some other mutually agreed upon mediator. Mediation shall be confidential. The mediator shall not make public recommendations or issue any decision concerning the issues. If no agreement is reached after an opportunity for mediation, the matter may be referred to the Board for final determination.

2.11.3 Miscellaneous: The impasse resolution section shall not apply to economic disputes involving employees governed by different impasse resolution procedures imposed by lawful statute. This impasse resolution section shall only cover bargaining impasses regarding comprehensive memoranda of understanding (MOUs), and it does not cover day-to-day issues subject to meet and confer/meet and consult; or Board actions that may be subject to meet and confer/meet and consult requirements.

2.12 Agency Shop: If made, agency shop arrangements must accord with all

requirements of California Government Code section 3502.5.

2.13 **Miscellaneous Provisions:**

2.13.1 **Savings and Separability:** This Rule is intended to comply with all applicable state and federal laws, and it should be interpreted and applied to harmonize with all such law, reserving the broadest legal measure of authority to the Board. In the event a court of competent jurisdiction determines that some provision is inconsistent with applicable and binding law, then that provision shall be severed and all remaining portions of the Rule shall continue in full force and effect. Upon request by the Executive Director, a recognized bargaining representative will meet and consult promptly in an effort to resolve any amendments that are necessary or advisable in light of changes to existing law, or interpretations of the law that impact this Rule.

2.13.2 **Anti-discrimination:** The Board is committed to ensuring that its workplaces are free from discrimination and harassment made unlawful pursuant to Title VII of the Civil Rights Act, the Fair Employment and Housing Act, and other applicable local, state, and federal laws regarding discrimination. This Rule shall be interpreted to comply with such laws. All memoranda of understanding, including side letters, adopted pursuant to the MMBA, and this Rule shall be interpreted to comply with such laws.

Section 3 Definition of Terms

The terms used in these Personnel Rules and Regulations shall have the meanings as defined below:

3.1 **Advancement:** A salary increase within the position.

3.2 **Agency JPA or JPAs:** As used in these Rules refers to the Local Government Services, JPA or Regional Government Services, JPA. Responsibilities and rights of the JPAs under these Rules are exercised by the LGS or RGS JPAs Executive Director or as delegated by the Executive Director in his/her discretion.

3.3 **Allocation:** The assignment of a single position to its proper class in accordance with the duties performed and responsibilities exercised.

3.4 **Anniversary Date:** Date an employee is appointed, promoted, demoted, or reinstated to a position within the JPAs.

3.5 **Applicant:** Any person submitting formal, completed application materials for employment with either JPAs.

3.6 **Appointing Authority:** The Executive Director or designee has the authority to make an appointment to a position to be filled.

3.7 **Appointment:** Placement of a candidate into a position.

3.8 **At Will Employee:** Employees of both JPAs are at will and serve at the pleasure of the Executive Director, who retains the authority to terminate any such employee at

- any time with or without notice or cause and without right of appeal. At will employees do not acquire a property interest in their positions with the JPAs.
- 3.9 **Compensation:** Salary, wages, fees, benefits, allowances, or monies paid to, or on behalf of, an employee for work services.
- 3.10 **Compensatory Time Off:** Time off in lieu of pay for overtime worked.
- 3.11 **Continuous Examination:** An examination which is administered periodically.
- 3.12 **Continuous Service:** Employment without interruption. This includes approved paid leaves of absences and leaves of absences to serve in the armed forces of the United States, as provided by Section 395 of the Military and Veterans Code.
- 3.13 **Days:** Means calendar days unless otherwise stated.
- 3.14 **Demotion:** The voluntary or involuntary movement of an employee from one position to another position having a lower maximum base rate of pay.
- 3.15 **Disciplinary Action:** The discharge, demotion, reduction in pay, suspension, or transfer of an employee for disciplinary reasons.
- 3.16 **Employee:** An individual appointed to a position within either JPAs.
- 3.17 **Employment Date:** For retirement, sick leave, and other benefit purposes, this is the effective date of an employee's initial appointment to a full-time or part-time position.
- 3.18 **Examination:** An examination open to qualified applicants either within or outside either JPAs.
- 3.19 **Full-Time Position:** A full time position is one that requiring requires a minimum of 40-35 hours of work per week each week of a calendar year. However, to conform to the Affordable Care Act only, full time for benefit purposes is considered 30 or more regular hours per week each week of a calendar year.
- 3.20 **Grievance:** A grievance is defined as any dispute involving the interpretation, application, or alleged violation of a specific express term of these Rules.
- 3.21 **Grievance Procedure:** The systematic means by which an employee may obtain consideration of a grievance.
- 3.22 **Grievant:** An employee or group of employees filing a grievance.
- 3.23 **Initial Appointment:** The appointment of a person to a position in either JPAs.
- 3.24 **Layoff:** The separation of employees from the active work force due to lack of work, lack of funds, organizational changes, or the abolition of positions. An employee who is laid off has no bumping rights, no right of appeal, nor any greater rights to return status.
- 3.25 **Local Government Services and Regional Government Services:** Are referred to herein and in other official documents as the JPA or JPAs.
- 3.26 **Miscellaneous Employee:** For CalPERS retirement purposes, this is an LGS JPA employee who is not a sworn safety officer.
- 3.27 **Part-Time Position:** A position of less than 35 hours per week each week of a calendar year; however, for purposes of the Affordable Care Act only, part time is considered less than 30 hours per week.
- 3.28 **Position:** A group of duties and responsibilities requiring the full-time or part-time employment of one person.

- 3.29 **Position Specification:** The written job description, including the title; a statement of the nature of the work, examples of duties and responsibilities, and the requirements that are desirable for the satisfactory performance of the duties of the position.
- 3.30 **Position Title:** The title assigned to a particular position and used for reference to that position.
- 3.31 **Promotion:** The movement of an employee from one position to another position having a higher maximum base rate of pay.
- 3.32 **Reallocation:** The official determination that an employee be assigned to a position different from the one to which it was previously assigned.
- 3.33 **Reinstatement:** The return of an employee to a classification in which the employee formerly served.
- 3.34 **Relief of Duty:** The temporary assignment of an employee to a status of leave with pay.
- 3.35 **Resignation:** Voluntary termination of employment by an employee.
- 3.36 **Safety Employee:** A fire or police employee, as defined by California Public Employees' Retirement System statutes.
- 3.37 **Salary Advancement:** A salary increase from one salary step to a higher salary step in the same pay range.
- 3.38 **Selection Process:** The process of testing, evaluating, investigating, and determining the fitness and qualification of applicants for positions within either JPAs.
- 3.39 **Separation:** Leaving employment for any reason.
- 3.40 **Suspension:** The temporary suspension of an employee without pay for disciplinary purposes.
- 3.41 **Termination:** The separation from service in either JPAs with the action initiated by designated JPA.
- 3.42 **Transfer:** A change of an employee from one position to another position with comparable pay and skill requirements.
- 3.43 **Unit:** This term refers to the various client organizations within the JPAs.
- 3.44 **Unit Manager:** This is an employee providing services to the client organization and who is the lead employee for the client organization or project. The Client unit manager shall supervise the other JPAs-employees providing services to the client organization.
- 3.45 **Vacancy:** A duly created position which is not occupied and for which monies have been appropriated.
- 3.46 **Y-rating:** An action to freeze an employee's salary at the current rate until such time that the top step of the salary range for such position equals or exceeds the employee's salary at the time of the Y-rating action.

PART B – Employment

Section 4 At Will Employment

- 4.1 **At Will Employment:** All positions within the JPAs are at will positions. The employment of at will employees may be terminated at any time, for any reason, and without any requirement of demonstrating “good cause.” At will employees have no right to appeal any discipline or termination. At will employees do not acquire a property interest in their positions with either JPAs.
- 4.2 **JPAs Administrative Staff Employment:** The JPAs employ a variety of administrative staff as needed to perform duties necessary to ensure a well-functioning operation. Employees assigned to RGS administrative positions who work less than a full time schedule shall be subject to work hours adjustments (upwards or downwards) based on the needs of the Agency. Should the JPAs increase or decrease its client base, work hours will be adjusted accordingly.
- 4.3 **Employee Behavior Expectations:** As an employee of the JPA, whether working directly for the JPA or assigned to a client agency, the JPA expects you to:
- Exhibit acceptable workplace behaviors such as:
 - Report to work on time and take breaks as scheduled. Notify appropriate others promptly when you need to be absent from work.
 - Use audience-appropriate professional language, and maintain a calm and courteous demeanor when interacting with either coworkers or customers
 - Preserve the resources of the JPA or client agencies and the citizens through efficient and economical work practices.
 - Build teamwork with coworkers by using good communication practices such as:
 - Verbalize respect for each other’s time and space. Ask if this is a good time for you to talk, or if the other person wants assistance or feedback from you—and respect a “no” answer. Ask permission to use your coworker’s workspace or equipment. Set mutually agreed upon standards for the use of shared space and equipment, and stick to those standards.
 - Clearly and politely communicate your work needs and interests to others in your workgroup.
 - Share work process and organizational information in a timely manner with those affected by it.
 - Do not repeat rumors or hearsay about others, especially if they are demeaning.
 - Create and maintain a respectful working environment:
 - Treat others in the way you would like to be treated.
 - Avoid escalating conflicts. Do not assign blame, or take things personally. Focus on the situations or issue, not the people involved.
 - Give your coworkers the benefit of the doubt. Remember that actions may be misinterpreted. Ask others to clarify their intentions, rather than making assumptions.

- Be mindful of social relationships in the workplace, understanding that a practice of including or excluding others while in the workplace can be harmful to workgroup morale and productivity.
- Maintain technical job performance skills by:
 - Listening to and being open to performance feedback.
 - Attending training when offered, and seeking out relevant training for managerial consideration.
 - Partnering with coworkers and supervisors to observe and learn new methods or different skills.
- Demonstrate care for the organization, your customers and your coworkers:
 - Know, follow, and correctly apply workplace policies and procedures.
 - Report problem situations that create a negative work impact.
 - Exercise good judgment and act in the best interests of the workgroup.
- Build and maintain personal credibility by:
 - Communicating honestly.
 - Behaving ethically and legally, evaluating the “big-picture” impacts of your own choices, and choosing to behave in ways that best serve the interests of the JPA or its client agencies.
 - Admitting to being wrong and apologizing for mistakes.
 - Being responsible for your own behavior, even if others in the workplace do not behave well.
- Take the initiative and exhibit courage in taking steps to make positive changes, in your area of responsibility and on behalf of the JPAs and client agencies.
 - Seek and use critical and relevant information to make timely decisions.
 - Be open to change.
 - Take action! Don't be afraid to take a risk. If you make a mistake, take the time to learn from the experience.

Section 5 Recruitments, Applications, and Examinations

- 5.1 **Recruitment:** The JPAs may utilize any legitimate recruitment procedure for attracting qualified applicants. Recruitments may be open or may be limited to ~~either~~ JPAs employees, depending on the ~~respective JPAs' Agency's~~ needs. The Executive Director may make appointments without going through a recruitment procedure, when in the best interest of the JPAs or its clients.
- 5.2 **Announcement:** Examinations for positions shall be publicized by such methods as human resources deems appropriate. Recruitments shall be conducted in accordance with equal employment opportunity guidelines as well as appropriate and valid selection procedures.
- 5.3 **Application Materials:** Application materials shall require information covering training, experience, and other pertinent information designed to determine if the applicant can perform the essential job duties. Application materials may include

references and background checking, including fingerprints. False information of material fact on application materials may result in rejection or dismissal of the applicant. Applications and examinations are confidential records and shall not be returned to applicants. No applicant information shall be asked that is prohibited under any state or federal law.

5.4 **Disqualification:** Human resources may disqualify any candidate for any legitimate reason. An applicant has no right to grieve or appeal any such actions by the JPAs. Any one or more of the following reasons may result in disqualification.

5.4.1 **Improperly Completed Application:** The applicant did not properly complete the application materials.

5.4.2 **Minimum Qualifications:** The application indicates on its face that the applicant does not possess the minimum qualifications for the position.

5.4.3 **Essential Duties:** The applicant is unable to perform the essential functions of the position sought, with or without reasonable accommodations.

5.4.4 **Illegal Drugs:** The applicant is currently using illegal drugs.

5.4.5 **Conviction of a Crime:** The applicant has been convicted of a crime that may have an adverse impact on the applicant's ability to perform the job for which the applicant is applying.

5.4.6 **Legal Right to Work:** The applicant is not legally permitted to work within the United States.

5.4.7 **False Statements:** The applicant has made false statement of any material fact or practiced or attempted to practice deception or fraud in making the application for employment.

5.4.8 **Material Cause:** Material cause, in the judgment of human resources, would render the applicant unsuitable for the position, including a prior resignation from either JPAs' service, termination from either JPAs' service, or significant disciplinary action.

5.5 **Examinations**

5.5.1 **Examination Process:** All hiring shall be made according to merit and fitness. The JPAs may utilize any legitimate objective method to determine the qualifications of applicants, including without limitation, written tests, physical agility tests, oral examinations, training and experience review, panel interviews, assessment centers, and oral interviews. The selection practices used in the examination process shall be impartial and relate to those subjects that, in the opinion of human resources, fairly measure the relative capacities of the candidates to execute the duties and responsibilities of the class.

5.5.2 **Conduct of Examination:** The JPAs may hold the selection processes itself or contract with any competent organization, individual, or firm for preparing and/or administering examinations.

5.5.3 **Notification of Examination Results and Review of Materials:** Examination results are not provided. However, if requested by a candidate

in an examination, exam results may be given, within the sole discretion of the human resources.

- 5.5.4 **Continuous Recruitments:** When necessary to meet continued requirements for filling positions, the closing date for any selection process may be indefinite and applicants may be tested continuously in such manner and at such times and places as may be determined by human resources.
- 5.5.5 **Backgrounds:** As part of the pre-employment procedure, applicants may be required to supply references, and will be required to submit to a thorough background check. Background checks conform with state and federal law. In addition, all employees must be physically and mentally capable of performing the essential functions of their jobs with or without reasonable accommodation. The JPAs shall have the right to conduct a complete and exhaustive background investigation on all applicants seeking employment, including a criminal background check, where applicable, and a medical and/or psychological examination by JPA-retained medical practitioners, where deemed appropriate by the JPAs. However, any medical or psychological examination shall be conducted only after a conditional job offer has been made, in accordance with applicable law.
- 5.6 **Appointment:** The Executive Director of either JPAs is the only employee authorized to hire. The Executive Director may appoint any competent applicant to a position for which the applicant is qualified. Positions may be full-time or part-time, long-term or short-term, depending on the needs of the JPAs. The Executive Director may appoint a designee to perform this function.

Section 6 Benefits and Compensation

- 6.1 **Benefits:** All compensation and benefits afforded ~~the~~ JPAs employees and their eligible dependents are governed by the terms and conditions of the contractual agreements with the benefit providers. Compensation shall be determined by the Executive Director, consistent with these policies and procedures, in the best interest of the JPAs, and governed by the terms and conditions of the individual employment agreement. Insurance premiums not paid in whole or part by the Authorities shall be the responsibility of the employee.
- 6.1.1 **Qualifying for Benefits:** A medical plan, dental plan, vision plan, long- and short term disability programs, life insurance, employee assistance program, flexible spending accounts, and other such benefits are available to full-time employees and may be pro-rated for eligible regularly working part-time employees, with costs shared by the JPAs and the employee as defined and provided for in the individual employment agreement.
- 6.1.2 **Forms Submission: Forms for benefit changes, such as tax information, names of beneficiaries, addition or deletion of dependents for benefit**

purposes, or changes in deferred compensation amounts must be submitted to human resources at least 2 business days before the end of a payperiod to be effective for that payperiod. If not submitted by that period, changes will occur with the next payperiod.

6.2 Group Health Insurances: These insurances are subject to the terms and conditions of the specific benefit plans.

6.2.1 Insurance Premium: Full time employees and their eligible dependents shall be provided insurance for themselves and eligible dependents, up to the maximum contribution as provided in the JPA's Health Contribution Plan.

6.2.2 Eligibility: All regular full-time and regular part-time employees who are assigned to work more than 30 hours per week are eligible to participate. Part-time employees shall have their benefit costs pro-rated and if employee elects coverage, such additional premium costs will be paid by the employee through payroll deductions.

6.2.3 Coverage:

6.2.3.1 Dental and Vision Effective Dates: Based on the terms and conditions with the provider, generally coverage shall become effective on the first day of the month following the employee's actual start date, and shall terminate on the last day of the month in which the employee leaves employment.

6.2.3.2 Medical Effective Dates: Based on the terms and conditions with the provider, generally coverage shall become effective on the first day of the month following the employee's initial appointment date, and shall terminate on the last day of the month following the month in which the employee leaves employment.

6.2.3.3 Life, AD&D, and Short-term and Long-term Disability Effective Dates: These benefits are only available for regularly working full time employees. Coverage shall become effective on the first day of the month following the employee's initial appointment date and shall terminate on the last day in which the employee was in paid status.

6.2.3.3.1 Life and Accidental Death and Dismemberment Insurance: Coverage for all employees is up to two times the employee's compensation to a maximum of \$200,000.

6.2.3.3.2 Short- and Long-term Disability Insurance: The JPAs maintains a short- and long-term disability insurance program for all regular full-time employees. This insurance is intended to cover employees in the event of a long-term injury or illness that is not covered by some other leave benefit. Eligibility for disability benefits begins after the employee has been absent from work for a certified illness/injury for a minimum of 30 calendar days. The benefit pays up to 2/3rds of the employee's gross

monthly salary up to a maximum level of \$6,000, if employee is certified as disabled. Accumulated sick leave or vacation may be used during the waiting period.

6.3 **Other Benefits:** The JPAs contributes on the employee's behalf, the employer costs for Medicare. This benefit follows federal requirements. The JPAs does not participate in social security.

6.4. **Deferred Compensation Plans:** The JPAs participates in a deferred compensation (IRC sec. 457) plans and 401(a) plans. Employees may contribute pre-tax dollars to the 457 plan based on the terms and conditions of the plan, as well as federal requirements.

6.4.1 **Deferred Compensation Match:** For those employees eligible to receive a match of a certain percentage as indicated in their employment agreement, such matches occur per payperiod.

6.5. **Domestic Partner Health Benefits Eligibility:** The JPAs provides registered domestic partners and the children of domestic partners, the opportunity to enroll in JPAs health plans administered by the California Public Employees Retirement system. ~~Domestic partners must meet the requirements for enrollment as stated in Article 9, Section 22873 of the Public Employees Retirement Law, and must submit the required documentation for confirmation.~~

6.5.1 **Definition:** For the purpose of providing health care benefits, a domestic partnership is defined as two adults of the same sex, both over the age of 18, and opposite sex domestic partners where one person is over the age of 62 and who are registered as domestic partners with the State of California.

6.5.2 **Dependent Children:** Children must be economically dependent upon the employee for their financial support and have a parent-child relationship with the employee. Coverage for children will be terminated when the child reaches age 23 (exceptions apply for children with disabilities), or when the child marries.

6.5.3 **Procedures:** Employees must follow ~~PERS~~health benefit provider requirements for enrolling domestic partners and their children in the ~~PERS~~medical program. They may enroll their registered domestic partner and or children of their registered domestic partner on the first day of the month following receipt of the notarized Declaration of Domestic Partner Registration from the California Secretary of State: ~~VCTC~~ Human resources must receive the declaration within 60 days of issue. A Statement of Financial Liability for Domestic Partner Health Benefits must be completed and signed, along with the declaration, as well as the health enrollment form before enrollment of partner or children.

6.5.4 **Tax Implications:** Federal law currently does not recognize domestic partner relationships for tax purposes. Therefore the value of the additional benefits received by a domestic partner may be considered taxable income. ~~The tax liability is an "imputed value" based on the fair market value of the benefit of all of the selected coverage, as assigned by the individual plans.~~

~~However, if the domestic partner qualifies as a dependent for tax reporting requirements under the Internal Revenue Code, the Value of the additional benefits may be exempt for the imputed tax upon proper certification. Imputed earnings are subject to federal tax and are not added to your taxable gross income for California state tax purposes.~~

- 6.6. **Eligible Dependents Change in Relationship:** It is the responsibility of the employee to notify human resources to cancel a spouse or domestic partner's coverage if the relationship terminates or when the spouse or domestic partner no longer shares a common residence with employee. It is the responsibility of the employee to notify human resources to cancel an adult child's coverage once the adult child reaches the benefit limit. If the employee does not notify human resources of the termination of the relationship within 31 days of the event, the employee will be held responsible for all costs for medical services received by the spouse or partner and or children of the spouse or partner after the termination of the relationship.
- 6.7. **COBRA Requirements:** COBRA medical insurance will be offered through CalPERS to employees, and their legal dependents as required by law. Other COBRA required insurance will be offered through ~~the~~ JPAs insurance plans. In the event of termination of marriages, domestic partnership, the death of the employee, or a depend child reaching the age limit for insurance, under the same conditions used for traditional marriages, COBRA will be offered. Should the spouse or partner elect COBRA, the coverage will continue as required by law. The spouse or partner of the employee pays for COBRA benefits.
- 6.8. **Retiree Medical Benefits:** Retiree medical benefits are specifically outlined in each employee agreement. Those employees without a specific employment agreement indicating their retirement health benefits receive the minimum employer contribution as required by law.
- 6.9. **Retirement Plans**
- 6.9.1 **RGS Retirement:** RGS employees do not participate in the Public Employees' Retirement System. Instead, a~~All regular full time and regular part-time~~ RGS employees shall participate in the 401(a) retirement plan and shall be governed by its rules and regulations. RGS shall contribute 10% of salary towards the employee's 401(a) retirement plan for all hours in a paid status. However, payouts for any unused vacation shall not be included in computing salary for which RGS makes this contribution., except for any excess vacation paid each December, or any vacation paid upon separation from employment.
- 6.9.1.2 Some employees are eligible for a 457 match, as outlined in their individual employment agreements.
- 6.9.1.3 As allowed by law, RGS may provide a different benefit plan, such as a defined benefit plan that will meet the provisions of California Public Employees' Pension Reform Act (PEPRA).

6.9.2 LGS Retirement: All regular full-time and regular part-time LGS employees participate in the Public Employees' Retirement System and are governed by its rules and regulations. Employee's retiring from LGS and eligible for concurrent retirement with CalPERS have the following benefits:

6.9.2.1 Retirement Formula: The retirement formula benefit for LGS employees hired on or before 12/31/2012 is 2% at age 55 ~~for all LGS employees hired on or before 12/31/2012.~~ For LGS employees hired after 12/31/12, the retirement formula will be 2% at age 62 unless such new employee has had no less than a 6 month break in service, as determined by PERL, who then shall receive the retirement formula they were eligible for at the time of the service break.

6.9.2.2 Sick Leave Service Credit: Employees retiring may use sick leave to obtain additional service time. This is known as Sick Leave Service Credit.

6.9.2.3 Single Highest Year: Employees who were hired on or before 12/31/2012 and who retire retiring may choose any single 12-month period in which to base their retirement calculations. Employees who are hired after 12/31/2012 and who are ~~Except for new employees who will also be~~ new CalPERS members will have their retirement calculation based on the highest annualized three-year average, the period will be the highest 36 months.

6.9.2.4 Other PERS Benefits: Currently LGS has contracted with CalPERS to also provide these optional benefits.

6.9.2.4.1 Pre-tax Service Credit Purchase: Employees may purchase service credit on a pre-tax basis.

6.9.2.4.2 Peace Corp Service Credit: A member may elect to purchase up to 3 years of service credit for any volunteer service in the Peace Corps, AmeriCorps VISTA (Volunteers In Service To America), or AmeriCorps.

6.9.2.4.3 Prior Service Credit: This is service rendered by the employee prior to the effective date of the contract between the Commission and CalPERS. Permits employees to purchase prior service. The member is required to pay the normal employee contributions based on the contribution rate and compensation at date of membership plus interest until the date of completion of payments.

6.9.2.4.4 Military Retiree Credit: Permits certain retired persons to purchase up to 4 years of service credit for continuous active military or merchant marine service prior to employment.

- 6.9.2.4.5 **Military Stats:** A member may elect to purchase up to four years of service credit for any active military or merchant marine service prior to employment.
- 6.9.2.4.6 **2% Cost-of-Living Adjustments (COLA):** Beginning the second calendar year after the year of retirement, the retirement and survivor allowances will be annually adjusted by CalPERS on a compound basis of up to 2% maximum.
- 6.9.2.4.7 **Retired Death Benefit:** Upon death of a retiree, a one-time lump-sum payment of \$500 will be made to the retiree's designated survivor(s), or to the retiree's estate.
- 6.9.2.4.8 **Death Benefit Prior to Retirement:** Provides the death benefits being paid to a spouse of a member who died prior to retirement will continue in full should the spouse remarry.
- 6.9.2.4.9 **Employer Paid Member Contribution (EPMC):** The JPA may pay the employee's portion of the retirement contribution as well as the employer's portion as determined by the client group employee is assigned to. As required by law, EPMC will be gradually phased out by 12/31/2018.
- 6.10 **Mileage Reimbursement:** Employees, who do not receive an auto allowance and are authorized by their Client unit manager to use their personal vehicles for work-related business, may request mileage reimbursement. Approved mileage reimbursement will be paid at the IRS per-mile business rate. The employee must have a valid California Driver's License, an acceptable driving record, and proof of automobile insurance.
- 6.11 **Vehicle Allowances:** Employees who receive a vehicle allowance are not eligible for mileage reimbursement.
- 6.12 **Compensation:** Human resources administers and maintains the JPA's Compensation Plan and may make appropriate revisions to the Plan as often as necessary to ensure that the Plan provides uniform and equitable compensation rates and policies.
- 6.12.1 **Salary Ranges:** Salary ranges and performance-based pay plans are intended to furnish administrative flexibility in recognizing individual differences among positions, in providing employee incentives, and in rewarding employees for meritorious service.
- 6.12.2 **Salary Advancements:** Salary advancements within an established range shall not be automatic, but shall be based upon satisfactory job performance as determined, and supported in writing, by the employee's unit manager. Salary advancements may only occur at the beginning of a payperiod.
- 6.12.3 **Timing of Salary Advancements:** Merit salary advancements shall occur in accordance with the following:

- 6.12.3.1 **Salary on Promotion:** Promotions may only occur at the beginning of a payperiod. An employee who is promoted to a position in a class allocated to a higher salary range than the class to which the employee was formerly assigned may receive the nearest higher monthly salary in the higher salary range.
- 6.12.3.2 **Salary on Transfer:** An employee who is transferred from one position to another in the same class or to another position in a class having the same salary range shall be compensated at the same step in the salary range as previously received. The employee's merit review and anniversary date may not change.
- 6.12.3.3 **Salary on Suspension without Pay:** Any employee who has been suspended for disciplinary reasons shall not receive pay for the duration of the suspension; nor shall any benefits which are calculated upon hours worked be credited to the employee, including, but not limited to, sick leave, vacation, retirement, or disability insurance, during the period of suspension. Should such suspension be later modified or revoked, the employee may be entitled to receive payment to compensate proportionately for loss of income and benefits during the period of suspension.
- 6.12.3.4 **Salary on Demotion:** An employee who is involuntarily demoted may receive a salary adjustment as determined by the Client unit manager in consultation with human resources.
- 6.12.3.5 **Special Compensation:** Other compensation in the form of incentive pay, bonus, or any other such similar forms of compensation, may occur at any time not relating to an employee's anniversary date, calendar year, fiscal year, or other such timing.
- 6.12.3.5 **Timing of Advancements:** Salary adjustments shall occur at the beginning of the payperiod in which the employee was authorized to receive a compensation adjustment.
- 6.12.4 **Salary for Portion of Payperiod:** A Fair Labor Standards Act (FLSA) non-exempt employee serving on a full-time basis who works less than a full payperiod, except when on authorized leave of absence with pay, shall receive as compensation for such period an amount equal to the number of hours worked times the employee's hourly rate. For FLSA exempt employees when absent from work for a period of time, leave balances shall be used and the amount of compensation paid to said employee shall not be subject to a deduction. No deduction shall be made from the employee's paycheck even if the employee's absence cannot be covered or paid through accumulated vacation, sick leave, or compensatory time off, unless it is determined in accordance with law that such deduction will not result in the loss of exempt status of the employee.
- 6.12.4.1 **Allowable Deductions From Salaries:** Notwithstanding any other provisions in these Rules, the JPAs may take deductions from

paychecks of FLSA-exempt employees for any of the following reasons:

- When an employee is absent from work for one or more full days for personal reasons other than sickness or disability.
- For absences of one or more full days due to sickness or disability if the deduction is made in accordance with a bona fide plan, policy or practice of providing compensation for salary lost due to illness.
- To offset amounts employees receive as jury or witness fees or for temporary military duty pay.
- For penalties imposed in good faith for infractions of safety rules of major significance.
- For unpaid disciplinary suspensions of one or more full days imposed in good faith for workplace conduct rule infractions.
- In the employee's initial or terminal week of employment if the employee does not work the full week.
- For unpaid leave taken by the employee under the federal Family and Medical Leave Act (FMLA).
- For absences due to a budget-required furlough.

6.12.4.2 Prohibited Deductions From Salaries: Notwithstanding any other provision in these Rules, if an FLSA-exempt employee is absent for one and one-half days for personal reasons, the JPAs may only deduct for the one full-day absence. The FLSA-exempt employee must receive a full day's pay for the partial day worked. In no event shall the JPAs take deductions from paychecks of FLSA-exempt employees for any of the following:

- Jury duty on a workday in which the employee does any work.
- Temporary military leave.
- Witness leave on a workday in which the employee does any work, except when the employee has brought the legal action.
- Disciplinary action of suspensions less than one full workweek unless the discipline is based on an infraction of workplace conduct rules.

6.13 Payroll Advances: In certain situations, at the sole discretion of the JPAs' executive director, for employees who work regularly 20 or more hours per week, the JPAs may advance funds to an employee of not more than one month's salary. Payroll advances can be made through the payroll system or through the Accounts Receivable system, with a promissory note. Payroll advances due and paid off within two payperiods shall have no interest charged. Payroll advances not paid in full by the end of two payperiods (or one month, whichever is greater) shall be charged an interest cost equivalent to the current lowest rate available to JPA clients or loan recipient agencies. Depending on the size of the payroll advance, repayment may be made within one or 2 payperiods, but it may not take longer than 6 months'

duration from the time the advance was received. An employee seeking such a payroll advance shall make this request in writing to the Director of Human Resources at least two weeks prior to requesting the funds. As part of the request, the employee must indicate the requested repayment schedule and execute a promissory note stating the terms of the advance or loan that contains a release indicating that failure to repay such payroll advances will be subject automatic payroll deductions and/or to statutory actions.

- 6.14 Promotions:** Employees promoted from one position to another at a higher salary level shall have their hourly compensation adjusted to no less than the next higher point on the new salary range. However, nothing in this section shall preclude the executive director from adjusting the employee's salary to some higher point on the salary schedule.

Section 7. Attendance at Public Meetings

Employee Attendance at Public Meetings: Only employees who are authorized by their immediate supervisor to attend a public meeting of the JPAs or clients of the JPAs shall be allowed to attend on work time and be compensated for such time. Should a meeting be held after normal working hours, employees may attend and will not receive compensation for those hours unless they are specifically directed by their supervisor that their attendance at such meeting is required.

Section 8 Outside Employment

- 8.1 Outside Employment:** Employees may not engage in any outside employment, enterprise, or activity that the JPAs determines is in conflict with or impairs the employee's ability to perform their duties and responsibilities, or impacts any aspect of operations. Employees are required to notify their Client unit manager or human resources of all outside employment they are engaged in so that the outside employment may be assessed for conflict.
- 8.2 Workday Activities:** During the workday, employees are expected to devote their time in performing their assigned duties as an employee of either JPAs. Any outside work, part-time job, hobbies, or personal business must be performed during off-duty hours.
- 8.3 Incompatible Work:** Employee shall not perform work for compensation outside of his/her employment where any part of his/her efforts will be subject to approval by any officer, employee, board, or commission, unless the employee obtains the prior approval of the Executive Director after consultation with the Client unit manager and human resources.

Part C – Policies

Section 9 Personnel Files, Personal Identifying Information, and Medical Information

- 9.1 **Official Personnel Files:** The JPAs ~~shall~~ maintains an official personnel file in either hard copy or electronic form for each of its employees. Personnel files contain such personnel records as may be deemed necessary for the administration of human resources.
- 9.2 **Inspection of Personnel Files:** Personnel files shall be made available for inspection by employees within a reasonable time but no later than 30 days after an employee's request in a JPA-designated manner as required by law and without loss of pay, provided that employees must make arrangements with their Client unit manager if the inspection occurs on duty. Upon written request, employees may obtain copies of the materials subject to inspection for a reasonable fee not to exceed actual copying costs. The JPAs may preclude inspection of certain information in accordance with law, such as background and other pre-employment information, and materials relating to confidential investigations.
- 9.3 **Confidential Files:** ~~Both-The~~ JPAs maintains confidential files, such as injury reports and confidential medical records, in separate files.
- 9.4 **Employee Data:** Employees of either JPAs must ensure that human resources is kept apprised of their current address, personal phone number , as well as ensure that all legally required or JPAs-required documentation is kept up-to-date and on file in human resources. Employees are responsible for keeping human resources apprised of all personal information related to their benefit status. Changes in marital status, birth or death that affect benefits must be communicated to human resources within 30 calendar days of the event.
- 9.5 **Personal Identifying Information (PII):**
- 9.5.1 **Policy Purpose:** It is the policy of the company to comply with any federal or state statute and reporting regulations. The JPAs recognizes their need to maintain the confidentiality of Personal Identity Information (PII) and understands that such information is unique to each individual. The PII covered by this policy may come from various types of individuals performing tasks on behalf of the JPAs and includes employees, applicants, independent contractors, and any PII maintained on its various databases. The scope of this policy is intended to be comprehensive and will include requirements for the security and protection of such information throughout the JPAs and its approved vendors both on and off work premises. PII may reside in hard copy or electronic records; both forms of PII fall within the scope of this policy.
- 9.5.2 **Key Elements of the Policy:** Personal Identity Information has unique personal identification numbers or data, including:

- Social Security Numbers (or their equivalent issued by governmental entities outside the United States).
 - Taxpayer Identification Numbers.
 - Employer Identification Numbers.
 - State or foreign drivers license numbers.
 - Date of birth.
 - Corporate or individually held credit or debit transaction card numbers (including PIN or access numbers) maintained in organizational or approved vendor records.
- 9.5.3 **PII Retention:** The JPAs ~~understands~~ the importance of minimizing the amount of PII data it maintains and it retains such PII only as long as necessary.
- 9.5.4 **Data Breaches/Notification:** Databases that include PII may be breached inadvertently or through wrongful intrusion. Upon becoming aware of a data breach, human resources will notify all affected individuals whose PII data may have been compromised, and the notice will be accompanied by a description of action being taken to reconcile any damage as a result of the data breach. Notices will be provided as expeditiously as possible and in no event be later than the commencement of the payroll period after which the breach was discovered.
- 9.5.5 **Data Access:** The JPAs ~~maintains~~ multiple IT systems where PII data may reside; thus, user access to such IT systems is the responsibility of each client organization. Client organizations have created internal controls for such systems to establish legitimate access for users of data, and access shall be limited to those approved. Any change in vendor status or the separation of an employee or independent contractor with access will immediately result in the termination of the user's access to all systems where the PII may reside.
- 9.5.6 **Data Transmission and Transportation:**
- 9.5.6.1 **Access to PII:** The JPAs ~~human resources, finance, and information technology groups~~ have defined responsibilities for access of data that may include PII. Employees may need to access PII while off site and access to such data shall not be prohibited, subject to the provision that the data to be accessed is minimized to the degree possible to meet business needs and that such data shall reside only on assigned laptops/approved storage devices that have been secured in advance.
- 9.5.6.2 **Vendors:** The JPAs ~~may share data with vendors who have a business need to have PII data.~~ Where such inter-agency sharing of data is required, encryption and protection standards will be used safeguard all PII data.
- 9.5.6.3 **Portable Storage Devices:** The JPAs ~~reserves~~ the right to restrict PII data it maintains in the workplace. In the course of doing business, PII data may also be downloaded to laptops or other computing storage devices to facilitate business. To protect such

data, the company will also require that any such devices use approved encryption and security protection software while such devices are in use on or off company premises.

9.5.7 **Employee Concerns:** If an employee has reason to believe that his or her PII data security has been breached or that JPAs representative(s) are not adhering to the provisions of this policy, an employee should contact the company human resources immediately.

9.5.8 **Confirmation of Confidentiality:** All company employees must maintain the confidentiality of PII to which they may have access and understand that that such PII is to be restricted to only those with a business need to know.

9.5.9 **Violations of PII Policies and Procedures:** The protection of PII data is of the utmost importance. Infractions of this policy or its procedures will result in disciplinary action up to and including termination.

9.6 **Confidentiality of Medical Information Act:** The JPAs ~~have~~has a bona fide business need to collect and review medical information about its employees for various reasons. This policy is established to comply with the State's Confidentiality of Medical Information Act (California Civil Code Section 56, et.seq.), and to protect the confidentiality of medical history, mental, or physical condition, or treatment, and to limit its use in employment decisions. This policy will define "medical information", who is authorized to access that information, and how it will be stored.

9.6.1 **Medical Information Definition:** The Confidentiality of Medical Information Act (CMIA) broadly defines the term "medical information as: "...any individually identifiable information in possession of or derived from a provider of health care regarding a patient's medical history, mental or physical condition, or treatment." This definition *includes* information obtained from pre-employment medical examinations, fitness for duty evaluations, worker's compensation claims, verifications of disability status, and drug and alcohol testing results. In essence, any document produced by a doctor, clinic, hospital, psychiatrist, employee assistance program, substance abuse professional, or testing laboratory is considered a confidential medical record.

9.6.2 **Authorized Use:** To ensure proper handling of employee medical information the Commission authorizes the following positions and their designees to receive and use this type of information on an as-needed basis: Executive Director and the Human Resources Director.

9.6.3 **Utilization of Medical Information:** The JPAs may legally receive medical reports or information without the employee's authorization for administering and maintaining the following programs:

- Employee benefits plans, including health care plans.
- Plans providing short-term and long-term disability income.
- Worker's compensation benefits.

- Programs for determining eligibility for paid or unpaid medical leave.
 - Fitness-for-duty results that describe the employee's job-related functional limitations and exclude any diagnosis or statement of cause.
 - In a proceeding that is a lawsuit, arbitration, grievance, or other claim wherein the employee has placed in issue his or her medical condition.
- 9.6.4 **Protecting Employees Medical Information:** To protect employee's rights under the CMIA, the JPAs shall keep the information in a medical file, in a separate secure file, apart from personnel files.
- 9.6.5 **Release of Employee Medical Information:** Should the JPAs need medical information about an employee in order to assess accommodation, workplace safety, fitness for duty, etc, a ~~ta~~ release of information ~~forem~~ must be signed by the employee.

Section 10 Separation From Service

- 10.1 **Resignation:** Employees are encouraged to give at least 2 weeks' notice when resigning. The resignation becomes effective upon receipt of an oral, written, or e-mailed notice of the resignation. The resignation letter or e-mail should state the effective date and reasons for leaving. Once a resignation becomes effective, it is irrevocable except that the Executive Director after consultation with the Client unit manager and human resources may, in his/her discretion, permit a resignation to be rescinded.
- 10.2 **Automatic Resignation:** Employees are deemed to have resigned when absent from work without prior authorization for at least ~~threeone~~ workdays. The JPAs shall give notice of such automatic resignation. The JPAs may investigate and, if warranted, in its discretion, grant a leave of absence to replace the automatic resignation if the investigation shows that granting the leave is warranted by the circumstances of the absence. The JPA shall investigate if the employee submits a written request and, in its discretion, may grant a leave of absence to replace the automatic resignation if the investigation shows that granting the leave is warranted by the circumstances of the absence. The employee, who is ~~an~~-at will-~~employee~~, shall have no right of appeal the automatic resignation. ~~in such circumstances.~~
- 10.3 **Failure to Report:** Failure on the part of an employee, absent without leave, to return to duty within one working day, ~~shall be cause for immediate discharge,~~ including failing to show up at any time and/or failing to return after an authorized leave may be cause for immediate discharge.
- 10.4 **Discharge:** At will employees may be discharged by the Executive Director with or without reason or just cause and without right of appeal.
- 10.5 **Layoff Policy and Procedure:**
- 10.5.1 **Statement of Intent:** When, in the judgment of the Executive Director, it becomes necessary to abolish a position or employment due to lack of funds, curtailment of work, organizational changes, or for other business reasons, the employee holding such position or employment may be laid off or

demoted without disciplinary action and without the right of appeal. An employee who is laid off has no bumping rights, no right to appeal the decision to layoff, nor any greater rights to return status. Employees are at will and are not afforded appeal rights for involuntary separation from employment. ~~Employees may choose to appeal based on Skelly rights as afforded by law.~~

- 10.5.2 **Order of Layoffs:** Layoffs shall be by made in accordance with serving the best needs of the JPAs.
- 10.5.3 **Notification:** Employees to be laid off shall be given as much notice as possible, prior to separation.

Section 11 Evaluations, Transfer, and Reinstatement

- 11.1 **Employee Performance Evaluations:** The JPAs shall strive to provide a professional work environment that encourages and supports fair and equitable treatment of its employees. The JPAs recognizes the importance of employee performance appraisals in sustaining an effective staff, and further, encourages an open, ongoing dialogue between Client unit managers, supervisors, and employees. Performance appraisals are completed generally once a year and may be done more frequently at the discretion of the Client unit manager. The purpose of the employee performance evaluation process is to provide an opportunity for the Client unit manager and employee to review and evaluate performance standards and objectives. Performance evaluations are completed generally once a year and may be done more frequently at the discretion of the Client unit manager. Performance appraisals are not subject to the grievance procedure.
- 11.1.1 **Annual Performance Appraisals:** At a minimum, a work planning and performance evaluation shall occur at least once a year for ~~all~~ employees at an appropriate ~~and logical~~ date. For all employees who are at the top of the salary range, performance evaluations may be done annually but no less than once every two years.
- 11.1.2 **Evaluation Forms:** The performance evaluation shall be completed on any form acceptable to human resources.
- 11.1.3 **Performance Improvement Plan:** The Client unit manager may propose a Performance Improvement Plan to improve deficiencies in performance. Such Performance Improvement Plan is to be considered part of the evaluation program and is not considered disciplinary action.
- 11.2 **Transfer:** Upon approval of the Executive Director after consultation with the Client unit manager and human resources, an employee may be transferred at any time from one position to another.
- 11.3 **Reinstatement:** The Executive Director after consultation with the Client unit manager and human resources may approve the reinstatement of an employee who

has resigned with a good record, to a vacant position without competing for the position.

Section 12 ~~Smoking Prohibition from Smoking~~

As required by state law, smoking is prohibited in all JPAs or client vehicles, facilities, and within 20 feet of any entrances, exits, and windows that can be opened. Smoking is also prohibited while driving or riding in a vehicle on work-related business.

Section 13 Accepting Gifts

Employees are discouraged from accepting gifts from any outside vendor, citizen, or organization except for gifts of food that are shared among other employees and that retail for less than \$75. Employees shall adhere to the Fair Political Practices Commission (FPPC) rules for accepting and reporting gifts.

Section 14 ~~Policy on Relatives Working for the JPAs~~

14.1 **Relatives Working for the JPAs:** No employee, prospective employee, or applicant shall be improperly denied employment or benefits of employment on the basis of marital status with another employee or official of the JPAs.

14.2 **JPAs Rights:** Notwithstanding the above, the JPAs retains the right to take appropriate steps to avoid inappropriate working relationships among relatives. For administrative purposes, a relative shall be defined as a spouse or domestic partner, child, step-child, parent, grandparent, grandchild, brother, sister, half-brother, half-sister, aunt, uncle, cousin, niece, nephew, parent-in-law, brother-in-law, sister-in-law, or any other individual related by blood, marriage, living in the same household, or having a personal relationship that may be perceived as compromising employment objectivity. Notwithstanding the above, the JPAs retains its rights to:

14.2.1 **JPAs Rights:** The Agency will ensure that steps are taken to avoid inappropriate working relationships that are under the direct or indirect supervision of another party of a relationship.

14.2.2 **Same Work Unit:** Refuse to place 2 parties to a relationship in the same unit or facility when such action has the potential for creating adverse impact on supervision, safety, security, or morale, or involves potential conflicts of interest.

14.2.3 **Disqualification:** Disqualify one party to a relationship for a position privy to confidential personnel matters who has a relative already in ~~the~~ JPAs' employment when the relationship may compromise confidential information.

14.2.4 **Transfer**: Effect a transfer in the event the JPAs learns of circumstances described above.

Section 15 Political Activity ~~Policy~~ Prohibition

Except as specifically allowed by law, JPAs employees are prohibited from participating in any political activity while on duty or while performing official business.

Section 16 ~~Policy on~~ Violations of the Hatch Act

16.1 **Hatch Act**: The JPAs Agency and its clients may apply for federal grant funding for a variety of projects. If this occurs, the Hatch Act provision may be applicable to covered employees. Some of those grant funds may be used for employee compensation. The Hatch Act prohibits government employees who are compensated by federal funding from engaging in partisan political activities, including but not limited to the following:

- 16.1.1 **Membership**: The Act precludes employees from membership in any political organization which advocates the overthrow of our constitutional form of government.
- 16.1.2 **Campaign Contribution Limits**: Employees receiving compensation from federal funds have an annual ceiling of \$5,000 for contributions to the campaign of an individual candidate for federal office.
- 16.1.3 **Guidelines**: Below are some of the guidelines that employees receiving compensation from federal funds need to follow when working or volunteering on a political campaign for federal office. Employees may not:
- Be a candidate in a political election in which any candidate represents a political party.
 - Raise money for a partisan political campaign.
 - Allow their names to be used in any fundraising appeal on behalf of a partisan political campaign.
 - Participate in a phone bank that is engaged in fundraising for a partisan campaign.

Section 17 Workplace Accommodations for Employees With Disabilities ~~Policy~~

17.1 **Accommodation for Employees with Disabilities**: If an employee believes he/she has a disability, the employee may request a reasonable accommodation for that disability. Such requests should be submitted to the employee's Client unit manager or human resources. Human resources, in consultation with the Client unit manager, may engage in an interactive process with the employee to determine

an appropriate reasonable accommodation for the employee in accordance with applicable law.

Section 18 Drug and Alcohol-free ~~Policy~~Workplace Environment

- 18.1 **JPA's Policy:** ~~Both~~ JPA's policy is to maintain a drug-free workplace. Involvement with alcohol and drugs on and off the job can take its toll on job performance and employee safety. Employees must be in a condition to perform their duties safely and efficiently. The presence of alcohol and drugs on the job, and the influence of these substances on employees during working hours, is prohibited. If an employee is misusing alcohol or drugs, the JPA's may refer the employee for treatment. This treatment may or may not be covered by the JPA's health plan or the treatment may be at the employee's own expense.
- 18.2 **Unlawful Behavior:** No employee shall unlawfully manufacture, distribute, dispense, possess, use, or be under the influence of any alcoholic beverage, drug, or controlled substance as defined in the Controlled Substances Act and Code of Federal Regulations during work hours or in any workplace. Employees who engage in this prohibited behavior may be subject to discipline up to and including termination.
- 18.3 **Drug Testing on Reasonable Suspicion:** Upon reasonable suspicion of an employee being under the influence of drugs or alcohol while on duty, the JPA's may require the employee to submit to drug and alcohol testing, at JPA's expense. Employees who decline to submit to such testing may be subject to discipline, up to and including termination of employment.

Section 19 Whistleblower ~~Policy~~Protection

- 19.1 **Purpose:** It is the intent of the JPA's to adhere to all laws and regulations that apply to it. The underlying purpose of this policy is to support ~~the~~ JPA's goals of legal compliance. Support by all employees is necessary to achieving compliance with various laws and regulations.
- 19.2 **Policy:** If any employee reasonably believes that some policy, practice, or activity of the JPA's or an entity with which the JPA's has a business relationship is in violation of a law, a written complaint must be filed by that employee with the RGS/LGS Director of Human Resources.
- 19.3 **Non-retaliation:** ~~An employee is protected from retaliation if the employee brings the alleged unlawful activity, policy, or practice, to the attention of the JPA's and provides the JPA's with a reasonable opportunity to investigate and correct the alleged unlawful activity. The protection described is only available to employees that comply with this requirement.~~ The JPA's will not retaliate against an employee who in good faith, has made a protest or raised a complaint about some practice of the JPA's or its client agencies, or of an entity with which the JPA's has a business

relationship, on the basis of a reasonable belief that the practice is in violation of law, ~~or a clear mandate of public policy.~~ ~~Nor will the JPAs retaliate against employees who disclose or threaten to disclose to a supervisor or a public body, any activity, policy, or practice of RGS or of entity with which RGS has a business relationship, that the employee reasonably believes is in violation of a law, or a rule, or regulation mandated pursuant to law or is in violation of a clear mandate of public policy concerning the health, safety, welfare, or protection of the environment.~~

Policies Section 20 Conflict of Interest Code

20.1 **Background:** Under the Political Reform Act, all public agencies are required to adopt a conflict of interest code, which designates positions required to file Statements of Economic Interests (Form 700), and assigns disclosure categories specifying the types of interest to be reported. The Form 700 is a public document intended to alert public officials and members of the public to the types of financial interests that may create conflicts of interests for Authorities' staff.

20.2 **Designated Positions:** Client organizations shall designate their own covered positions. The JPAs designates the following:

- Board Members of either JPA.
- Executive Committee members of either JPA.
- Executive Director
- Director of Human Resources
- Legal Counsel
- And any JPA administrative position, as identified.

20.3 **Disclosure Categories:** A primary purpose of the code is to require disclosure of those types of investments, interests in real property, sources of income, and business positions that designated positions may affect in their decision-making.

~~20.4 **Code Approval:** Codes are not effective until they have been approved by an agency's code reviewing body, which is for multi-county and state agencies is the FPPC.~~

Section 21 Non-Solicitation ~~Policy~~ Prohibition

21.1 **Policy:** Unauthorized solicitation by employees including, but not limited to, seeking payments, contributions to charities and other organizations, bets, memberships, funds, sale of merchandise, services or tickets, requesting support for a political candidate or commitment with respect to causes, groups, or interests is not permitted on any JPAs or ~~Client-client~~ premises at any time. This includes solicitation that is discriminatory, hateful, harassing, illegal, defamatory, profane, or obscene, ~~is prohibited at all times.~~

- 21.2 **Distribution and Posting of Literature By Employees:** Distribution of handbills, brochures, advertisements, announcements, and other such unauthorized literature is not permitted. Employees may not use Agency property such as walls, doors, and bulletin boards for posting of unauthorized information/materials. Employees also may not use Agency-provided resources including but not limited to, e-mail, fax machines, photocopiers, and the Agency-accessed Internet and Intranet for non-work-related literature distribution purposes. This restriction applies whether employees are on or off-duty, whether the activities are conducted during working or non-working hours, or whether the activities are located on or off the premises.
- 21.3 **Solicitation or Distribution By Non-Employees/Outside Organizations:** Unauthorized solicitation or distribution of handbills, brochures, advertisements, announcements, and other such unauthorized literature by anyone who is not an employee of the JPAs is not permitted on the premises at any time.
- 21.4 **Limited Exceptions To Solicitation/Distribution Policy:** JPA-~~s~~ or ~~Client~~client-sponsored activities including but not limited to, United Way campaign, March Of Dimes Walk, Aids Walk, American Heart Association campaign, food/toy drives, and blood drives are approved exceptions to this guideline. Other limited exceptions to this prohibition must be approved in writing by human resources after consideration of such factors as the frequency of the solicitation, the extent of the disruption likely to be caused to the workplace, nature of the solicitation (charitable or commercial) and the need to be consistent in application. All requests for on-site visits by outside organizations must be approved in writing by human resources several days prior to the event.

Section 22 Prohibition Against Fraud Policy

- 22.1 **Background:** This anti-fraud policy aids in the detection and prevention of fraud (as defined below) against the JPAs and provides guidelines and assigns responsibility for the development of controls and conduct of investigations.
- 22.2 **Policy Scope:** This policy applies to any fraud or suspected fraud, involving employees as well as consultants, vendors, contractors, outside agencies doing business with employees of such agencies, and/or any other parties with a business relationship to the JPAs. Any investigation activity required will be conducted without regard to the suspected wrongdoer's length of service, position, title, or relationship to the JPAs.
- 22.3 **Policy:** ~~The~~JPA's management is responsible for the detection and prevention of fraud, misappropriations of funds, and other inappropriate conduct within the JPAs and their respective organizational units. Fraud is defined as the intentional, false representation, or concealment of a material fact for the purpose of inducing another to act upon it. Management should be familiar with the types of improprieties that might occur within their own area of responsibility, and be alert

for any indication of fraud and develop any specific necessary controls to prevent, deter, or identify fraudulent activities. Any fraud that is detected or suspected must be reported immediately to the Director of Human Resources, who coordinates all investigations.

22.4 **Actions Constituting Fraud:** For the purposes of this policy, the term fraud includes, but is not limited to, any of the following:

- The intentional, false representation, or concealment of a material fact for the purpose of inducing another to act upon it.
- Forgery or alteration of any document or account belonging to the JPAs or ~~JPOA's~~ its clients.
- Misappropriation of funds, securities, supplies, or other assets.
- Impropriety in the handling or reporting of money or financial transactions.
- Profiteering as a result of insider knowledge of agency activities.
- Disclosing confidential and proprietary information to outside parties.
- Accepting or seeking anything of material value from contractors, vendors, or persons providing services/material with the exception of gifts of less than \$50 in value.
- Destruction, removal, or inappropriate use of records, furniture, fixtures, and equipment.
- Any similar or related activity ~~irregularity~~.

22.7 **Reporting Procedures:** Any employee who suspects dishonest or fraudulent activity (as defined above) shall notify the Director of Human Resources immediately, and should not attempt to personally conduct investigations, interviews, or interrogations related to this activity.

22.8 **Investigating Suspected Fraud:** Upon receiving complaints of fraud, the JPAs may undertake an investigation of the complaints. The Executive Director, human resources, or the JPAs attorney may retain an outside investigator to conduct the investigation. ~~All~~ Complaints shall be investigated to the extent that the JPAs deem appropriate. Any investigation and investigation report prepared relating to the complaint shall be kept confidential, except as required by law. ~~Human~~

22.10 **Disciplinary Action:** Employees found to have engaged in fraud may be subject to disciplinary action, up to and including termination of employment.

22.11 **Dishonest or Uncooperative Behavior:** Employees found to have been dishonest or uncooperative during an investigation into allegations of misconduct, including ~~for~~ fraud, may be subject to disciplinary action up to and including termination of employment.

Section 23 Confidentiality ~~Policy~~ Practices

23.1 **Policy:** The public and other parties with whom we do business entrust ~~the~~ is JPAs with important information relating to their businesses. It is ~~our~~ JPA policy to follow state and federal regulations ~~and~~ in that all information considered

confidential will not be disclosed to external parties or to employees without a “need to know.” If there is a question of whether certain information is considered confidential, the employee should first check with his/her immediate supervisor. This policy is intended to alert employees to the need for discretion at all times and is not intended to inhibit normal business communications.

23.2 **Protecting Information:** Employees have access to a variety of sensitive and confidential information by virtue of their job assignment. Employees must comply with any measures and policies that the JPAs or ~~JPA-its~~ clients institute regarding confidential information and privacy, including those required by applicable laws. Employees must also protect that information from disclosure to anyone, except where that disclosure is required by their jobs. When a JPA client makes it possible to access or use confidential information from a remote location, employees shall follow the client’s policies and procedures for doing so, and shall not store such information at the remote location. ~~Disclosing Writing about~~ confidential information for non-work-related business in e-mails, on websites, on social networking sites, in chat rooms, or in blogs ~~or other such media~~ is expressly prohibited. ~~V, as well as verbally~~ communicating such information in person, over the phone, or in any other manner ~~for non-work-related purposes is also expressly prohibited~~. Additionally, JPAs logos may not be used in any of these forums ~~for non-work-related purposes~~.

23.3 **Confidential Information:** Confidential information shall include but may not be limited to any of the following:

- Passwords and access codes.
- Individual employment records.
- ~~Citizen lists, p~~Personal information, ~~or histories.~~
- ~~The JPA’s f~~Financial statements.
- Computer programs and object and source codes.
- Systems ~~containing medical information or proprietary information~~ and their documentation.
- Other non-public business and technical information, whether related to past, present, or future programs and services.

23.4 **Penalties for Disclosing Confidential Information:** Employees who disclose confidential information are subject to disciplinary action up to and including dismissal from employment.

Section 24 Equal Employment/Anti-discrimination Policy

24.1 **Anti-discrimination Policy:** The JPAs ~~are is~~ committed to equal opportunity in employment and services. The JPAs, its employees, contractors, and agents shall not discriminate ~~or harass~~ with respect to service provision, program operation, or in the recruitment, selection, testing, training, transfer, promotion, demotion, termination, performance appraisal process, compensation, or in any other term,

condition, or privilege of employment because of the individual's actual or perceived race, color, religion including religious dress and grooming practices, gender, national origin, ancestry, citizenship, age, marital status, physical disability, mental disability, medical condition, genetic information, sexual orientation, ~~transgender orientation~~expression, breast-feeding status, military veteran's status, or any other basis protected by law, or on the basis of a perception that an individual is associated with a person who has, or is perceived to have, any of these characteristics. Harassment based on any of the protected categories listed above is also prohibited.

24.2 **Equal and Fair Personnel Practices:** The JPAs, its employees, contractors, and agents must administer all human resource functions in a manner that is equal and fair to all employees and prospective employees. It is the obligation of every employee in all the locations to comply with this policy in substance, practice, and in spirit.

24.3 **Non-discrimination and Harassment Policy:**

24.3.1 **Purpose:** The purpose of this policy is:

24.3.1.1 **Reaffirm:** ~~To reaffirm~~ the JPAs commitment is to prohibit and prevent unlawful discrimination (including harassment) in all workplaces.

24.3.1.2 **Define:** To define discrimination and harassment prohibited under this policy.

24.3.1.3 **Identify Procedures:** To set forth a procedure for resolving complaints of prohibited discrimination and harassment.

24.3.2 **Interpretation and Application of Policy:** This policy shall not be construed to create a private or independent right of action. Although this policy is intended to prohibit discrimination consistent with Title VII of the Civil Rights Act of 1964, the Americans with Disabilities Act, the California Fair Employment and Housing Act, and California Labor Code Section 1102.1, the JPAs reserves the right to interpret and apply this policy to provide greater protection than what is afforded under those laws.

~~24.3.3 **Statement of Policy:** The JPAs are committed to providing an environment that is free from harassment and discrimination of any kind, including sexual harassment and harassment based on race, color, religion, national origin, ancestry, age, physical disability, mental disability, medical condition, marital status, sexual orientation, transgender status, veteran's status, or any other characteristic prohibited by state or federal law. It is important that the JPAs maintain an atmosphere characterized by mutual respect in order to ensure fair and courteous treatment of employees and the public.~~

~~24.3.4 **Disapproval of Harassment:** The JPAs strongly disapprove of and will not tolerate harassment or discrimination against employees or applicants by elected or appointed officials, managers, supervisors, or coworkers. The JPAs also strongly disapprove of unlawful harassment of employees by~~

~~persons with whom the JPAs or client organizations have a business, service, or professional relationship.~~ **RELOOK AT THIS for numbering**

24.3.3 **Misconduct:** ~~Illegal~~ harassment and discrimination are considered serious acts of misconduct and will not be tolerated. Employees who violate this policy and engage in acts of ~~illegal~~ harassment or discrimination of any type, for any duration, shall be subject to severe disciplinary action, up to and including termination.

24.3.3 **Non-retaliation:** Retaliation against individuals who complain of ~~illegal~~ harassment or discrimination or who participate in an investigation into ~~illegal~~ harassment or discrimination shall not be tolerated. Employees who engage in such acts of retaliation shall be subject to serious disciplinary action, up to and including termination.

24.3.5 **Definitions:**

24.3.5.1 Harassment: Depending upon the circumstances, a single act of harassment, as defined below, can violate this policy.

24.3.5.1.1 **Verbal Harassment:** Includes but is not limited to epithets, jokes, comments, or slurs that identify a person on the basis of his/her protected classification, intimate or other nicknames, comments on appearance, including dress or physical features, or stories that tend to disparage those with a protected classification.

24.3.5.1.2 **Visual Forms of Harassment:** Includes but is not limited to gestures, posters, notices, bulletins, cartoons, photography, or drawings that tend to disparage those with a protected classification.

24.3.5.1.3 **Physical Harassment:** Includes but is not limited to the following conduct taken because of an individual's protected classification: assault, impeding or blocking movement, physically interfering with normal work or movement, pinching, grabbing, patting, propositioning, leering, making express or implied job threats or promises in return for submission ~~to~~ physical acts, mimicking, stalking, or taunting.

24.3.5.1.4 **Sexual Harassment:** Includes unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature that are an express or implied condition of continued employment or other term and condition of employment.

24.3.5.1.5 **Retaliation:** Any adverse employment action taken because an employee has reported harassment, or has participated in the complaint procedure. "Adverse employment action" includes any personnel action that has

a significant effect upon the terms or conditions of employment.

24.3.6 Guidelines for Identifying Harassment: To help clarify what constitutes harassment in violation of this policy, employees shall use the following guidelines:

24.3.6.1 Unwelcome Conduct: Harassment includes any conduct which would be unwelcome to a reasonable person of the recipient's same protected classification and which is taken because of the recipient's protected classification.

24.3.6.2 Appearance of Consent: It is no defense that the recipient appears to have voluntarily consented to the conduct at issue. A recipient may not protest for many legitimate reasons, including the need to avoid being insubordinate or to avoid being ostracized.

24.3.6.3 Lack of Complaints: Simply because no one has complained about a joke, gesture, picture, physical contact, or comment does not mean that the conduct is welcome. Harassment can evolve over time. Small, isolated incidents might be tolerated up to a point. The fact that no one is complaining now does not preclude anyone from complaining if the conduct is repeated in the future.

24.3.6.4 Third-party Observer: Even visual, verbal, and/or physical conduct between 2 employees who appear to welcome it can constitute harassment of a third applicant, officer, official, employee, or contractor who observes the conduct or learns about the conduct later. Conduct can constitute harassment even if it is not explicitly or specifically directed at an individual.

24.3.6.5 Intention: Conduct can constitute harassment in violation of this policy even if the individual engaging in the conduct has no intention to harass. The JPAs recognizes that it is legitimate for those in protected classifications to have heightened sensitivities to harassment as a result of their life experiences. Even well-intentioned conduct can violate this policy if the conduct is directed at, or implicates a protected classification, and if an individual of the recipient's same protected classification would find it offensive.

24.3.6.6 Single Act: A single act can violate this policy and provide grounds for discipline, ~~or other appropriate sanctions.~~ Therefore, if employees are in doubt as to whether any particular conduct may violate this policy, they should not engage in the conduct, and should seek guidance from a supervisor.

24.4 Reporting Unlawful Harassment or Discrimination:

24.4.1 Reporting: Any employee who believes he/she has been unlawfully harassed or discriminated against [in violation of this policy](#) should promptly report it orally or in writing to the employee's Client unit manager, human resources, or the Executive Director. An employee is not required to

complain first to a Client unit manager if that person is the individual who is harassing and/or engaging in discriminatory actions against the employee. Instead, the employee may report the harassment/discrimination to any management employee.

- 24.4.2 **Receiving Complaints:** Any Client unit manager who receives a complaint of ~~unlawful~~ harassment/discrimination, or who observes or otherwise learns about ~~unlawfully~~ harassing conduct is required to notify human resources immediately. Failure to do so may result in disciplinary action.
- 24.4.3 **Action Taken With No Complaint Filed:** If human resources becomes aware of likely inappropriate actions or behavior, it may undertake an investigation even though no complaint has been filed.
- 24.5 **Remedial Action:**
- 24.5.1 **Action:** Upon receiving complaints of discrimination or harassment, the JPAs may undertake an investigation of the complaints. The Executive Director, human resources, or JPAs attorney may retain an outside investigator to conduct the investigation. All complaints shall be investigated to the extent that the JPAs deems appropriate. Any investigation and investigation report prepared relating to the complaint shall be kept confidential except as required by law. If harassment or discrimination is found to have occurred in violation of this policy, action shall be taken to ensure or confirm that the harassment or discrimination at issue is stopped. The JPAs may take whatever measures are appropriate to ensure its workplaces remain free from ~~unlawful~~ discrimination or harassment.
- 24.5.2 **Disciplinary Action:** Employees found to have engaged in discrimination or harassment covered by this policy may be subject to disciplinary action up to and including termination of employment. First-time violations of this policy, depending on the severity of the conduct, may lead to termination.
- 24.5.3 **Dishonest or Uncooperative Behavior:** Employees found to have been dishonest or uncooperative during an investigation into allegations of ~~unlawful~~ harassment or discrimination may be subject to disciplinary action up to and including termination of employment.
- 24.6 **No Retaliation:** Employees should feel free to report valid claims of ~~unlawful~~ harassment or discrimination without fear of retaliation of any kind. The JPAs will not retaliate against or tolerate retaliation against employees for making any complaint of ~~unlawful~~ harassment in good faith, or against any employee for cooperating in an investigation.
- 24.7 **Dissemination:** Policy and complaint procedures shall be provided to employees, and to new employees. From time to time, the JPAs may also conduct training for its employees to assist them in learning how to recognize, avoid, and correct harassing and discriminatory behavior.
- 24.8 **Department of Fair Employment and Housing (DFEH) and the Equal Employment Opportunity Commission (EEOC):**

24.8.1 **DFEH:** In addition to notifying the JPAs about ~~unlawful~~ harassment or retaliation, an affected employee may also direct his/her complaint to the California DFEH, ~~which has the authority to conduct investigations of the facts.~~ The deadline for filing complaints with the DFEH is one year from the date of the alleged unlawful conduct. The nearest DFEH office or the FEHC can be found by searching the internet, looking in the local telephone directory, or by checking in the area where employment-related posters are kept.

24.8.2 **EEOC:** An employee also has the right to direct his/her complaint to the federal Equal Employment Opportunity Commission (EEOC).

24.9 **Obligations of Employees:**

24.9.1 **Know the Policies:** Employees are responsible for knowing the JPAs anti-discrimination policy; refraining from harassing and discriminatory behavior, ~~including harassment;~~ reporting incidents of harassment and discrimination in a timely fashion; cooperating in any investigation concerning allegations of harassment or discrimination; ~~and maintaining confidentiality concerning any investigation that is conducted.~~

24.9.2 **Communicate:** Employees are also encouraged to communicate with one another to assist co-workers in identifying, avoiding, and addressing behavior that may be perceived as harassing, discriminatory, or otherwise offensive.

Section 25 Travel and Training Policy

25.1 **Travel and Training:** The JPAs ~~are~~ **is** committed to ensuring that its employees receive adequate training to perform their jobs. Training and travel are subject to management approval. Training opportunities that occur during normal work hours require approval by the Client unit manager.

25.2 **Minimizing Lost Work Time:** The JPAs generally requires that training, and attendant travel, be scheduled in a way that will minimize expense.

25.3 **Cost-effective Travel:** JPAs business travel shall be carried out in an efficient, cost-effective manner resulting in the best value. Teleconferencing should be considered when possible. The JPAs will pay or reimburse all business travel-related expenses based on reasonableness **and on their meal guidelines**, on the actual amount of expense incurred by the employee, and on the terms and conditions of the employee's individual employment agreement. Receipts when available are required for all travel expenses. Reimbursement for personal expenses and alcoholic beverages will not be authorized for payment.

25.4 **Travel Guidelines for Allowable Travel:** Allowable travel is for such work-related items as:

25.4.1 **Legislators:** Communicating with representatives of regional, state, and the federal government on JPA_s or client_adopted policy positions.

- 25.4.2 **Professional Organizations:** Serving on professional organizations or governmental committees, boards, or task forces.
- 25.4.3 **Conferences:** Attending educational seminars, conferences, or organized educational activities designed to improve skill levels or provide information on topics important to JPAs or client policy and operations.
- 25.4.4 **Research:** Preparing research for ~~either~~-JPAs projects or implementing adopted plans, policies, goals, or programs.
- 25.4.5 **Meetings:** Attending meetings involving activities or decisions important to JPAs interests, consistent with adopted plans, policies, goals, or programs.
- 25.4.6 **Events:** Attending events where ~~either~~-JPAs or ~~the~~-a client organization is a formal sponsor or participant, or in performance of official duties.
- 25.4.7 **Community Groups:** Communicating with individuals or representatives of community groups on policy positions adopted by or under consideration by the JPAs or client organization.
- 25.4.8 **Employee Recognition:** Recognizing employee service to the JPAs or client organizations.
- 25.4.9 **Other Business Activities:** Engaging in other business related activities with a direct connection to the implementation of adopted plans, policies, goals, or programs.
- 25.5. **Government or Group Transportation and Lodging Rates:** It is the policy to use discounted government or sponsoring group rates for transportation, whenever these are offered and available.
- 25.6 **Sponsored Lodging Costs:** When conference or training sponsors have made arrangements for lodging, employees shall stay at one of these facilities and the cost should not exceed the maximum group rate published. In the event that rooms are not available at one these facilities, employees should stay at a comparable facility at a comparable cost, not to exceed the maximum group rate published by the sponsor.
- 25.7 **Receipts:** Receipts must be submitted for all expenses. In the event that receipts are not available, an employee must provide a written explanation of the circumstances as to why this is the case and reason the expense was incurred.
- 25.8 **Meal Guidelines for Local Meeting and Training Costs:** ~~Employee's are expected to use good judgment when traveling and when purchasing meals.~~ The JPAs uses ~~as guidelines~~ the IRS meal allowances at the time the travel was undertaken for the state in which it was taken at the highest allowable cost for that state. This information can be found at http://www.irs.gov/publications/p1542/ar02.html#en_US_2011_publink100098051.
- 25.8.1 **Allowable Meal Expenses:** Meals not incurred as part of out-of-area or overnight travel are limited to activities outside of normal duties, such as business-related meetings held before or after regular working hours (including working lunches where this is the only time available) or extended overtime due to special projects or emergencies.

25.8.2 Unallowable Meal Expenses: Meal reimbursements are not allowed as part of routine daily work assignments, unless part of the registration cost or the meal is served on site as part of the program to keep all participants together and not have them disperse for meals.

Section 26 Information and Electronic Systems Use Policy

- 26.1 Definitions:** Electronic systems are defined as all hardware, software, and other electronic communication or data processing devices owned, leased, or contracted for by the JPAs or client organizations and available for official use, by employees. This use includes, but is not limited to, electronic mail, voice mail, calendaring, and systems such as the internet.
- 26.2 Public Disclosure:** Employees who use electronic systems and/or tools provided by the JPAs do not have a right of privacy in such uses. Under the Public Records Act, e-mail messages and information stored in work computers and other electronic systems are public records subject to disclosure to the public, or they can be subpoenaed. In addition, the JPAs reserves the right to review, audit, and disclose all matters sent over and/or stored in work systems at any time without advance notice. The Executive Director or his designee retains the right to enter and/or retrieve an employee's electronic communication system, data files, logs and programs used on JPAs or client-owned electronic systems. Security features provided by the electronic communication system, such as, passwords, access codes, or delete functions, shall not prevent authorized employees from accessing stored electronic communications. Deletion of e-mail messages or files may not fully eliminate the message from the system.
- 26.3 Serial Meetings:** In accordance with the Brown Act (Gov Code section 54950 et seq.), employees must take care to ensure that electronic systems are not used to transmit, either all-at-once or serially, legislative officials' positions on matters of JPAs business to a majority of any body of elected officials.
- 26.4 Use During Normal Business Hours:** The JPAs' electronic systems are provided for the purposes of conducting business. Except for brief, occasional, necessary, or emergency use, the electronic systems shall not be utilized for personal use during normal business hours. Use of non-JPAs or non-client business software including games or entertainment software is considered an improper use of these electronic systems. Employees shall not conduct personal or private business, including purchase of goods or services via the JPAs or client-organization's internet connection. Such uses are prohibited at all times. ~~during normal business hours or outside of normal business hours.~~
- 26.5 Account Access:** Employees shall not attempt to gain access to another employees' personal file of electronic mail messages without the latter's express written permission or permission from the Client unit manager, human resources, or executive director. The JPA will not require employees to provide passwords to

any personal e-mail or social media accounts unless needed for an official investigation and allowed by law.

26.6 **Prohibited Use:** The electronic mail and other electronic systems shall not be used in a way that may be disruptive, offensive to others, harmful to morale, violate JPAs policies and procedures, or violate laws. These electronic systems shall not be used to solicit or proselytize others for commercial venture, religious or political causes, outside organizations, or other non-job-related solicitations. Improper use includes any display or messages that are derogatory, defamatory, obscene, violent, or offensive to employees or the public and/or any messages that are of a sexual or discriminatory nature, including, but not limited to, slurs, offensive jokes, or other offensive language of disparagement of others based on their protected status, including, but not limited to, race, national origin, sex, sexual orientation, age, disability, or religious beliefs.

26.6.1 **Policy Compliance:** Employees are required to comply with all operational guidelines developed by the JPAs. Such guidelines will address operational standards such as: message retention, schedule, copyright issues, use of passwords, system availability, back-up procedures, etc.

26.6.2 **Incidental Use:** Incidental and occasional personal use of electronic mail is permitted within the JPAs, but the messages will be treated no differently from other messages and will remain the property of the JPAs as to review and auditing procedures. All personal use shall be done outside of normal working hours.

26.6.3 **Personal Messages:** Employees who use ~~the~~ JPAs' electronic mail systems to send or receive personal or private messages must remove such messages from the system no later than 30 days after receiving or sending. Employees have no right of privacy to any email, whether personal or business related, in JPAs computers.

26.6.4 **Internet Use:** Occasional personal access to the internet may be permitted. Such personal use shall only be permitted if it does not interfere with or delay the employee's work or interfere with regular JPAs business and shall comply with all provisions herein. All use of the internet may be periodically reviewed by the Client unit manager.

26.6.5 **Other Prohibited Uses:** In addition to other prohibited uses, employees shall not:

26.6.5.1 **Install:** Install programs on computer system (including but not limited to virus checking and screen savers) without the prior written consent of the Client unit manager.

26.6.5.2 **Copy:** Copy programs for personal use.

26.6.5.3 **Disclose:** Disclose an account password or otherwise make the account available to others.

26.6.5.4 **Infringe:** Infringe on others' access and use of computers, including but not limited to:

- 26.6.5.4.1 **Excessive Messages:** Send excessive messages, either locally or offsite.
 - 26.6.5.4.2 **Unauthorized System Modification:** Unauthorized modification of system facilities, operating systems, or disk partitions.
 - 26.6.5.4.3 **Crashing the Network:** Attempt to crash or tie up an computer or network.
 - 26.6.5.4.4 **Damaging:** Damage or vandalize computing facilities, equipment, software, or computer files.
 - 26.6.5.4.5 **Intentionally Developing or Using Bad Programs:** Use of programs that disrupts other computer users, intentionally developing bad programs, access private or restricted portions of the system, and/or damage system software or hardware components.
 - 26.6.5.4.6 **Installing:** Install or use a modem on JPAs or client owned or leased computers without the prior written consent of the Client unit manager.
 - 26.6.5.4.7 **Attorney-client Privileged Communication:** Forwarding or reproducing communications marked attorney-client privileged or confidential without the prior consent of the Executive Director and/or JPAs Attorney.
 - 26.6.5.4.8 **Federal or State Laws:** Violating any federal, state, or local law in the use of either JPAs or client organization information systems.
- 26.7 **Public Records:** All permanent business records, including those stored on paper and electronic media, may be governed by the mandatory public disclosure requirements of the Public Records Act (Gov Code section 6250 et seq.), and the limited exceptions thereto. If a draft record is retained, it may become a public record subject to disclosure unless it is subject to an exception under the Public Records Act.
- 26.7.1 **Permanent Records:** All permanent records, whether stored on paper or electronic media, shall not be destroyed unless prior written authorization is obtained pursuant to [applicable law, Government Code Section 34090](#).
 - 26.7.2 **Public Records Requests:** Public Records requests shall be handled in accordance with Government Code section 6250 et seq.
 - 26.7.3 **Media Disclosure:** The JPAs reserves the right for any reason to access and disclose all messages and other information sent or received by electronic means or stored on electronic media.
 - 26.7.4 **JPAs Rights:** The JPAs ~~have~~ has the right to delete or retain any or all messages or other information sent or received by electronic means or stored on electronic media by an employee who is no longer employed by the JPAs.

26.8 **Intellectual Property Rights:** No employee shall violate any copyright law or software license, or other online information (including, but not limited to those related to; text images, icons, programs, etc.) whether created by the JPAs or any other person or entity.

26.9 **Social Media Practices and Guidelines:**

26.9.1 Introduction: Social media is an important personal communication tool for many people. It is also changing the way work is being done, offering new ways to connect with customers, colleagues, and the world at large. The JPA believe these connections can help staff to build a stronger, more successful community. Public conversations related to the work being done and the things we care about are an important element in achieving our mission.

26.9.2 Principles: The principles for successfully navigating the electronic world of social media are the same as the ones employees are expected to apply face to face every day, with customers and with each other:

- Be respectful of the rights and opinions of others. Be willing to agree to disagree and move on.
- Be transparent and honest.
- Add value: Be part of the conversation but do not take it over. Stay on topic.
- Avoid hateful speech, personal attacks, flaming, profanity, vulgarity, pornography, nudity, and abusive language.
- Keep personal information, your own and especially that of others, private.
- Be smart: Almost everything that is written or received on a social media site is public. This also means that it can be discovered for court-related activities.

26.9.3 Purpose: This policy provides organizational guidelines for engaging in social media interactions in and about the workplace.

26.9.4 Policy: The JPA strives to ensure that communications made in and about the workplace meet the highest standards of professionalism. All rules that apply to other employee communications also apply in the use of social media. Employees are expected to adhere to legal requirements and ethical guidelines, conflict of interest policies and confidentiality policies, when using or participating in social media. Respectful and courteous treatment of coworkers and customers is a JPA behavioral expectation for all employees. This policy is not intended to improperly restrict employees from engaging in concerted activity, including discussing their wages, hours and working conditions with other employees. This policy applies to all employees who identify themselves with their JPA or client affiliation or use their JPA or client email address in social media platforms such as professional society blogs, LinkedIn, Facebook, Twitter, YouTube, Flickr, Pinterist, etc., for deliberate professional engagement or conversation. These guidelines apply

to private and password protected social media as well as to open social platforms.

26.9.4.1 Best Practices Expectations:

- **Act Responsibly and Honestly:** When participating in online communities, do not misrepresent yourself. If you talk about work related matters that are within your area of job responsibility, you must disclose your affiliation with the JPA and its clients. Stick to what you know, and identify any vested interests you may have. Follow the Terms of Service of any social media platform used.
- **Be Clear that You are Expressing Your Opinion.** Unless authorized to speak on behalf of the JPA or its clients, you must state that the views expressed are your own.
- **Protect Yourself:** Be careful about what personal information you share online. Use privacy settings to control who can access information; and remember that you cannot control what others do with information provided. Exercise appropriate discretion when using social network sites for personal communication (with friends, colleagues, etc.) with the knowledge that your behavior may be observed by customers, colleagues, and others. Remember that any information posted to the internet is public information and could be seen by family, friends, customers, colleagues or supervisors.
- **Media Contact:** If anyone from the media or press contacts you about postings that relate to the JPA or its clients in any way, employees are expected to notify their supervisors and then follow the appropriate media communication procedures.
- **Treat Others Appropriately:** Follow JPA policy for appropriate treatment of others. The JPA will not tolerate conduct which contributes to illegal discrimination or the creation of a work environment with is hostile to anyone on the basis of age, sex, race, color, creed, religion, ethnicity, sexual orientation, gender identity, national origin, citizenship, disability, or marital status or any other legally recognized protected basis under federal, state, or local laws, regulations or ordinances); nor will the Agency tolerate conduct which is offensive, harassing, or intended to harm the reputation of others.
- **Disclosing Information:** Do not disclose non-public financial or operational information. This includes preliminary financial or operational plans, attorney-client privileged information, and personal information about customers, coworkers, the JPA, or

any of its client agencies. JPA business is conducted publicly through board meetings. If it's not already public information, it's not your job to make it so.

- **Post Only Your Own Material:** This will ensure that you are compliant with all copyright and trademark laws.
- **Keep it Legal:** Employees may not post content or conduct any activity that fails to conform to any and all applicable state and federal laws.
- **Respect JPA Time and Property:** Computers and time on the job are for JPA business. Personal use of electronic resources to access social networking sites is limited to incidental use and should be done during personal (non-work) time only. Incidental use must not interfere with an employee's work performance, someone else's job performance, or compromise the functionality of the JPA or client network.

26.9.5 Agency Official Social Media Use: Only employees authorized by their supervisors may use social networking web sites to conduct JPA or client business. Such use must be reviewed and approved for site content and appropriateness of material by the supervisor.

26.9.6 JPA Access: Employees using JPA or client equipment to engage in social media have no right to privacy of information sent, received, or stored in agency electronic devices. Additionally, in response to concerns, complaints, or information provided by individuals regarding potential policy breaches, JPA administration may look up profiles and other information on social networking sites and may use the information in informal or formal investigations and proceedings.

Part D – Work Hours and Absences

Section 27 Attendance, Working Hours, and Workplace Attire

- 27.1 **Attendance:** Employees shall be in attendance at their workplace in accordance with these Rules. All units shall keep attendance records of employees which shall be reported via the online payroll system.
- 27.2 **Overtime:** The JPAs ~~are~~ is committed to observing all of its obligations under the Fair Labor Standards Act (FLSA). These Rules, as well as all pay practices, shall comply with, and shall be interpreted to ensure the ~~minimum~~ requirements of the FLSA ~~for the employee~~ and as designated in their employment agreement.
- 27.2.1 **FLSA-Exempt Employees:** The JPAs ~~designates~~ s as FLSA Exempt those employees who work in professional, executive, or administrative capacities and who are therefore not entitled to overtime compensation under the FLSA.
- 27.2.2 **Overtime Paid:** ~~For FLSA non-exempt employees, t~~The JPAs ~~follow FLSA guidelines and it~~ pays overtime compensation for hours actually worked in excess of on hours worked as well as hours in a paid status of more than 40 hours in a workweek. All compensable overtime must be authorized by the employee's ~~Client-unit~~ manager. Except when necessary to address an emergency or special circumstances, non-exempt employees who are entitled to overtime compensation ~~under the law~~ may not work outside of regularly scheduled working hours, or during unpaid meal periods, without the prior authorization of their ~~Client-unit~~ manager. ~~In those circumstances at event,~~ employees shall report overtime work as soon as possible after the work is performed.
- 27.2.3 **Compensatory Time:** Employees; ~~may~~ . with express approval of their ~~Client-unit~~ manager, accrue compensatory time in lieu of receiving overtime compensation.
- 27.2.3.1 **Accrual:** No more than 80 hours of compensatory time may be accrued during any calendar year at any one time.
- 27.2.3.2 **Calendar Year:** All compensatory time must be used by 12/15 of each calendar year.
- 27.2.3.3 **Paying Off:** Compensatory time remaining on the books as of 12/15 of each year; will be paid as compensation.
- 27.2.3.4 **Tracking:** Client unit managers will track employees accrual and use of compensatory time.
- 27.3 **Workweek:** The basic workweek for full time employees shall be 40 hours per week, in a 7-day period as identified in each individual employment agreement. The workweek commences at 12:00 a.m. every Sunday; ~~,~~ and is a regularly recurring 7-day period ending at 11:59 p.m. every Saturday evening.

- 27.4 **Change in Work Hours:** The JPAs shall establish and may modify regular working hours for its employees and may require employees to work additional hours, overtime, or to perform standby responsibilities.
- 27.5 **Alternate Work Schedules:** Employees may work alternate work schedules, such as 4 ten-day workdays in each workweek, or a 9/80 schedule in a 2-week period, if approved by the Client unit manager, and the alternate work schedule does not have a negative operational affect on work output. For employees working such alternate work schedules, all leaves will continue to accrue based on a-2080 work hours in each calendar year or prorated if working less than fulltime. No holiday shall be compensated at more than 8 hours and no overtime shall be paid for hours normally worked during a 9/80 schedule.
- 27.6 **Meal Periods:** Unless otherwise established for a Client unit or particular employee, employees receive a 30 or 60 minute meal period that is not compensable. During the meal period, the employee shall be completely relieved of duties. If the employee is authorized in advance and performs work during the meal period, the employee shall be compensated for such time. Meal periods may not be used to shorten the workday unless the employee obtains express prior approval from his/her unit manager.
- 27.7 **Rest Periods:** Unless otherwise established for a unit or particular employee, employees shall have a 15 minute rest period for each half of their shift. The rest period may be interrupted or cancelled if necessary to complete work. The rest periods may not be combined or used to shorten the workday.
- 27.8 **Workplace Attire:** The JPAs maintains a professional working environment for the benefit of its employees and the public. As public employees and representatives of the client agencies, each employee shall present him/herself appropriately and professionally, including but not limited to workplace attire, especially when attending off-site meetings and events. If an employee is on the job in inappropriate clothing, the immediate supervisor may require the employee to change into appropriate work wear.

Section 28 Leaves

- 28.1 **General Leave Provisions:** Employees are expected to be at work at their scheduled times. To ensure accountability and the integrity of public service, all employees who receive leave benefits are expected to account for their absences from work. Leave time for all employees is chargeable in increments of .25-10 hours (15-6 minutes).
- 28.1.1 **Leave Approval:** Leaves shall be subject to approval by the Client unit manager, and scheduled in advance whenever possible, with due regard for service needs.
- 28.1.2 **Leave Accounting:** The JPAs may employ any reasonable measure to ensure employees are properly accounting for leaves, including requiring

reasonable proof that the basis for the leave is legitimate. Employees may be required to submit a medical certification of sickness supporting a request for sick leave. The JPAs may require a fitness-for-duty certification from any employee returning from medical leave.

- 28.1.3 **Leave Benefits:** Leave benefits are available only as identified in each individual employment agreement.
- 28.1.4 **Leave Accruals:** Employees eligible for leave shall accumulate leave from the date of the employee's initial appointment until separation from employment.
- 28.1.5 **Absent Without Pay Leave Accruals:** Leave accrues on hours in a paid status. No leaves will accrue when an employee is on an unpaid leave.
- 28.2 **Available Leave Categories:** The JPAs provides the following leave categories: administrative leave, annual vacation leave, bereavement leave, compensatory time, family and medical leave, holidays, job-incurred disability leave, jury duty, leave of absence with pay, leave of absence without pay, military leave (including military family leave), pregnancy disability leave and parental leave, sick leave with pay, school leave, and time off to vote.
- 28.3 **Administrative Leave:** Administrative leave may be granted to an employee as part of the terms of an individual employment agreement.
- 28.3.1 **Administrative Leave Pay on Separation From Service:** Any accrued but unused Administrative Leave shall not be paid out at the end of each calendar year nor upon separation from service.
- 28.3.2 **Administrative Leave Pay:** Employees who do not use their administrative leave each calendar year shall forfeit any unused amount as of 12/31 of each year.
- 28.3.3 **Others Types of Administrative Leave:** Administrative leave with or without pay may be granted by the Executive Director, as appropriate, to address administrative issues.
- 28.4 **Annual Vacation Leave:** The JPAs provides annual vacation leave as described in each individual employment agreement. Earned and accrued vacation leave may be taken as it accrues. An employee may take vacation that has not yet been accrued only with prior approval of human resources in consultation with the Client unit manager. Scheduling of vacations must be made in consideration of the unit's workload.
- 28.4.1 **Vacation Pay on Separation From Service:** Employees who separate from service shall be cashed out of their accrued but unused vacation at the employee's hourly rate at the time of separation from service.
- 28.4.2 **Maximum Vacation Accrual:** Employees may accrue vacation up to the maximum amount as indicated in their individual employment agreements. Excess vacation beyond the individual maximum limit will be paid at the employee's actual hourly rate of pay at the payperiod ending 12/15 of each year, unless specifically pre-approved by human resources.

- 28.5 **Bereavement Leave:** Bereavement leave is provided for employees as defined in their individual employment agreements. Unless otherwise stipulated in an individual employment agreement, employees may take bereavement leave in the event of death of any of the following family members: mother, father, spouse, child, registered domestic partner, or of any persons whose relationship is essentially similar to the aforesaid relationships upon approval of the Client unit manager in consultation with human resources.
- 28.6 **Holidays:** Paid 8-hour day holidays are provided for employees as described in the individual employment agreement. Employees must be in a paid status the day before and the day after the holiday to receive holiday pay.
- 28.7 **Job-incurred Disability Leave:** All employees are entitled to workers' compensation insurance benefits in accordance with state law. If an employee is injured or made ill arising out of or in the course of work, the employee may file a claim on the approved claim forms with the JPAs workers' compensation claims administrator. Employees are eligible to receive workers' compensation insurance benefits if the claim is declared compensable under the California workers' compensation laws. Payment of job-incurred disability leave shall be at the amount of temporary disability indemnity received, pursuant to workers' compensation law. If an employee becomes disabled to such an extent that the employee cannot return to work, the employee may be entitled to disability retirement, [if eligible](#).
- 28.7.1 **Labor Code Section 3352:** In accordance with Section 3352 of the Labor Code, the JPAs [does](#) not extend workers' compensation benefits to non-safety volunteers.
- 28.7.2 **Fitness for Duty:** When an employee seeks to return to work after being on job-incurred disability leave, the employee must provide medical certification that he/she is physically able to perform the duties of the position. The JPAs may require the employee to undergo a fitness-for-duty examination before returning to work. If the employee is not fit to perform his/her duties with or without reasonable accommodation, the JPAs may consider placing the employee in another position, seek the employee's disability retirement, or separate the employee in accordance with applicable law.
- 28.8 **Jury Duty:** An employee summoned and required to serve as a juror in a trial, upon notification and appropriate verification submitted to his/her unit manager, may be absent from duty with full pay as defined in the individual employment agreement. The employee shall remit, within 15 days of receipt, all fees received for serving as a juror except those fees specifically allowed for mileage and expenses.
- 28.8.1 **Witness Leave:** An employee who is subpoenaed to appear in court in a matter regarding an event or transaction which he/she perceived or investigated in the course of his/her employment with the JPAs shall be allowed to do so without loss of compensation, unless it is the employee's own lawsuit. An employee subpoenaed to appear in court in a matter unrelated to his/her official capacity, or who is appearing in court in a matter

initiated by the employee, shall be permitted time off without pay, or if the employee chooses, to use accrued vacation for such purpose.

- 28.9 **Leave of Absence:** When an employee is requesting a leave of absence, a written request shall be provided to his/her unit manager with a copy to human resources, stating the dates of the leave requested, the type of leave requested, the specific cause of the leave, and any other information necessary for the request to be evaluated. The letter must be reviewed and approved by the Client unit manager in consultation with human resources prior to the leave commencing. Except for emergency circumstances, the written request must be completed in advance.
- 28.10 **Leave of Absence Without Pay:** Employees may be granted leaves of absence without pay for up to 3 months upon written approval of the Executive Director or designee. The Executive Director in consultation with the Client unit manager and human resources may grant or deny a request for unpaid leave of absence in his/her sole discretion. Upon expiration of an approved leave, the employee shall be reinstated in the position held at the time leave was granted. Failure of an employee on leave to report to work promptly at the leave's expiration without request and approval for an extension of said leave in writing, shall constitute voluntary resignation by the employee. The depositing in the United States mail of a first class letter, postage paid, addressed to the employee's last known address or an e-mail to the employee's last known personal e-mail address, shall be reasonable notice of the applicable JPAs' acceptance of the employee's resignation.
- 28.11 **Leave of Absence – Unauthorized:** Any unauthorized leave of absence from duty by an employee shall result in disciplinary action and/or discharge. Subsequently such absence may be approved by the employee's unit manager in consultation with human resources, with or without pay, where extenuating circumstances are found to have existed.
- 28.12 **Military Leave:** Military leave shall be granted in accordance with the provisions of state and federal law. All employees entitled to military leave shall give the Client unit manager an opportunity, within the limits of military regulations, to determine when such leave shall be taken. Certain military leave shall be paid leave for a period of time as specified in state law. Employees on military leave are entitled to health, welfare, and seniority-related benefits as required by state and federal law. Employees on military leave shall be granted promotional opportunities and reinstatement after return from military leave in accordance with applicable law. As required by law, leave accruals will continue during paid military leave and contributions as appropriate, will be made under the applicable retirement plan. Employees on military leave have the option to continue health benefits as follows:
- 28.12.1 **Less Than 31 Days:** If the leave is less than 31 days, the employee is required to pay the employee's share of the insurance premiums.
- 28.12.2 **More than 30 Days:** If the leave is more than 30 days, the employee is required to pay 102% of the full costs the health (medical, dental, vision, and life insurance) premiums.

- 28.13 **Military Family Leave:** In accordance with the Family and Medical Leave Act (FMLA), eligible employees may use their 12 weeks of FMLA leave for any “qualifying exigency” arising out of a family member’s active military duty. Eligible employees are also permitted to take up to 26 weeks of leave in a single 12-month period to care for a family member who sustains a serious illness or injury while on active military duty.
- 28.14 **Military Spouse Leave:** In accordance with California Military & Veterans Code, eligible spouses and [registered](#) domestic partners of active members of the military are entitled to up to 10 days of unpaid leave when their spouse or domestic partner, who is in active military service, is on leave.
- 28.15 **Other Authorized Leaves:** The unit manager may authorize employees to take leave with or without pay for training, education, conferences, or meetings.
- 28.16 **Pregnancy Disability Leave (PDL):**
- 28.16.1 **Eligibility:** Any employee who is disabled because of pregnancy, childbirth, or a related medical condition may be entitled to pregnancy disability leave (PDL). For employees who are also eligible for FMLA/CFRA (California Family Rights Act) leave, PDL is not counted as time used for CFRA leave, but does run concurrently with available FMLA leave.
- 28.16.2 **Reasons for Leave:** This leave is for any period(s) of actual disability caused by pregnancy, childbirth, or related medical conditions. Pregnancy leave does not need to be taken in one continuous period of time but can be taken on an as-needed basis. Time off needed for prenatal care, severe morning sickness, doctor-ordered bed rest, childbirth, and recovery from childbirth are all covered by this leave.
- 28.16.3 **Amount of Leave:** Employees may take up to 4 months for pregnancy disability. Employees affected by pregnancy or a related medical condition, may also be eligible to transfer to a less strenuous or hazardous position or to less strenuous or hazardous duties, if this transfer is medically advisable.
- 28.16.4 **Benefits While On Leave:**
- 28.16.4.1 **Benefits:** Pregnancy leave is unpaid. Employees may use accrued leave as if on FMLA and will receive benefits pursuant to these Rules up through exhaustion of the employees’ available PDL and/or FMLA leave time as required by law. Employees who are not eligible for FMLA leave or ~~employees~~ who continue taking PDL after they have exhausted their available FMLA leave, shall receive benefits [as prescribed by law only](#) to the same extent as other similarly situated employees on leave for a disability.
- 28.16.4.2 **Accrued leaves:** While on unpaid leave, employees do not accrue vacation, sick, or other paid leave time, and performance evaluation dates may be adjusted, to the same extent as for any other unpaid leaves.

- 28.16.5 **Substitution of Paid Accrued Leaves:** Employees taking pregnancy leave shall concurrently use any available sick leave. Employees shall also use any accrued vacation or other accrued time off as a part of their PDL before taking the remainder of their leave as an unpaid leave.
- 28.16.6 **Employee Notice of Leave:** To the extent possible, employees requesting PDL should notify their Client unit manager and human resources as soon as possible or when they reasonably know an absence is pending.
- 28.16.7 **Medical Certification:** The JPAs may require an employee requesting PDL to provide certification from the health care provider. The certification should include all of the following:
- 28.16.7.1 **Date:** The date on which the employee became disabled due to the pregnancy.
- 28.16.7.2 **Duration:** The probable duration of the period(s) of disability.
- 28.16.7.3 **Statement:** A statement that, due to the disability, the employee is unable to work at all or to perform any one or more of the essential functions of their position without undue risk to the employee, the successful completion of the pregnancy, or to other persons, or a statement that, due to the pregnancy, a transfer is medically advisable.
- 28.16.8 **Reinstatement Upon Return From Leave:**
- 28.16.8.1 **Reinstatement to Position:** Upon expiration of leave, an employee is entitled to be reinstated to the position of employment held when the leave commenced, or to an equivalent position with equivalent employment benefits, pay, and other terms and conditions of employment. Employees have no greater rights to reinstatement, benefits, and other conditions of employment than if the employee had been continuously employed during the PDL period.
- 28.16.8.2 **Fitness-for-Duty Certification:** As a condition of reinstatement or a transfer, the employee may be asked to provide to the JPAs a fitness-for-duty certification from a health care provider that the employee is able to resume work in the position sought. Failure to provide such certification may result in denial of reinstatement.
- 28.17 **Parental Leave:** After the employee's pregnancy disability ends, the employee may be eligible for CFRA leave, in accordance with the Family and Medical Leave policy, to care for a newborn. The JPAs may require that the employee provide a medical certification indicating when the pregnancy disability ended. In addition, an employee may request leave without pay to care for the newborn. Such requests may be granted within the discretion of the Client unit manager in consultation with human resources.

28.18 Sick Leave: Sick leave credit for employees is identified in each individual employment agreement. Unused sick leave may be accrued without limit. Employees shall not be entitled to sick leave as a matter of right, but only in accordance with the provisions of law, JPAs' policies, and the individual employment agreement. An employee shall not receive payment for unused accumulated sick leave upon separation of employment or retirement (either disability or service retirement). The Client unit manager may request, in his/her discretion, that the employee produce a certificate issued by a licensed physician or other satisfactory proof of illness before sick leave is granted. The Client unit manager may also direct an employee to attend a physical examination by a JPAs'-retained licensed physician, at JPAs' expense, to ascertain whether the employee is fit to perform the duties of his/her position.

28.18.1 Sick Leave as Kin Care: In cases of illness of a family member, employees are entitled to use not less than up to one-half of the employee's annual sick leave entitlement to attend to the illness of a spouse, domestic partner, parent, or child, in accordance with Labor Code section 233. Additional family sick leave usage for special circumstances may be granted on a case-by-case basis in the discretion of the Client unit manager in consultation with human resources.

28.18.2 Notification of Sick Leave: When an employee is unable to report for duty due to the employee's own illness or that of a designated family member as defined in Labor Code 233, the employee must notify his/her Client unit manager as soon as possible. The employee shall report the intended use of sick leave and the reason for the absence. If the Client unit manager is not immediately available, the employee may leave a voice mail message, unless otherwise directed.

28.19 School Leave: Employees are allowed to take up to 40 hours off per year for school activities for children in kindergarten through twelfth grade. The employee must use existing vacation, administrative leave, or compensatory time off during such absences and the employee must give reasonable notice to his/her Client unit manager of the planned school leave.

28.20 Time Off to Vote: Employees who are registered voters may claim necessary time off to vote at statewide elections under the provisions of the State Elections Code Section 14350. If an employee does not have sufficient time outside of working hours to vote at a statewide election, the employee may without loss of pay, take enough working time off, which when added to the voting time available outside of working hours, will enable the employee to vote. Absentee voting is encouraged if the employee lives such a distance that considerable time would be needed to travel to the employee's designated polling place.

2820.1 Amount: No more than 2 hours of the time taken off for voting shall be without loss of pay. The time off for voting shall be only at the beginning or end of a regular working shift, whichever allows the most free time for

voting and the least time off from work. In no event is the voter/employee eligible to take off more time than is necessary to vote.

28.20.2 **Notice:** The employee shall give the Client unit manager at least 2-working days' notice that time off for voting is desired.

28.20.3 **Scheduling Absence:** Registered voters/employees who need time off to vote must make arrangements with his/her Client unit manager.

28.21 **State Disability Insurance Leave:** The JPAs does not participate in State Disability Insurance, or any leaves associated with it. The JPAs contributes to a short-term and long-term disability plan.

28.22 **Short- and Long-term Disability Benefits:** Eligibility for short- or long-term disability is identified in each individual employment agreement. Employees must use paid leaves, as applicable, during the waiting period for short- or long-term benefits, and when eligible to receive those disability benefits, employees may not simultaneously use sick leave and disability benefits. Employees may use all discretionary leaves prior to going on short- or long-term disability.

28.23 **Disability Retirement Eligibility:** If an employee is determined to be eligible for PERS disability retirement, the employee shall not be permitted to exhaust paid sick leave balances prior to retiring.

Section 29 Family and Medical ~~Leave-Policy Related~~ Absences

29.1 **Family and Medical Leave Policy:** Under the Family and Medical Leave Act (FMLA) and the California Family Rights Act (CFRA), employees are not eligible for FMLA or CFRA leave benefits unless the employing LGS or RGS JPA provides work for 50 or more employees. Unless and until the ~~employing~~-JPAs employs 50 or more employees, employees are not legally entitled to FMLA or CFRA leave benefits.

29.2 **Providing Similar Benefits:** The JPAs will provide Family and Medical Leave ("FML") benefits to its employees according to the following rules.

29.3 **Eligibility:** In order to qualify for Family and Medical Leave, the employee must meet the following conditions:

29.3.1 **Employment Period:** The employee must have been employed by the JPAs for 12 months.

29.3.2 **Working Hours:** The employee must have actually worked at least 1,250 hours during the 12 month period immediately before the date when the leave begins. If an employee is employed but is on leave, any time spent on leave shall not count towards the 1,250 hours.

29.4 **Type of Leave Covered:** Family and Medical Leave is a leave taken for the following purposes:

29.4.1 **Newborn Children, Adoption, Foster Care:** In order to care for a newborn son or daughter, or for placement of a child for adoption or foster care.

- 29.4.2 **Family Members Covered:** In order to care for a spouse, domestic partner, child, or parent with a serious health condition.
- 29.4.3 **Employee's Own Serious Health Condition:** Because of a serious health condition that makes the employee unable to perform the functions of the employee's position.
- 29.4.4 **Military "Qualifying Exigency Leave":** Necessary leaves that arises from the employee's spouse, son, daughter, or parent being a covered military member on active duty (or having been notified of an impending call or order to active duty).
- 29.4.5 **Military Caregiver Leave:** Leave may be taken for up to 26 workweeks in a single 12-month period to care for a spouse, child, parent, or next of kin who is a covered servicemember with a serious injury or illness or veteran with a serious injury or illness who was released or discharged from service within the five year period prior to the date the employee's military caregiver leave began.
- 29.5 **Policy Definitions:**
- 29.5.1 **Rolling 12-Month Period:** This means a rolling 12-month period measured backward from the date leave is taken and continuous with each additional leave day taken.
- 29.5.2 **Child:** This 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 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.
- 29.5.3 **Child Incapable of Self Care:** A child is incapable of self-care if he/she requires active assistance or supervision to provide daily self-care in 3 or more of the activities of daily living or instrumental activities of daily living, such as caring for grooming, hygiene, and bathing, dressing and eating, cooking, cleaning, shopping, taking public transportation, paying bills, maintaining a residence, and/or using telephones and directories.
- 29.5.4 **Parent:** This means a biological parent of an employee or an individual who stood in *loco parentis* (in place of the parent) to an employee when the employee was a child. This term does not include parents-in-law.
- 29.5.5 **Spouse:** This means a husband or wife as defined or as recognized as such under California law for purposes of marriage.
- 29.5.6 **Domestic Partner:** For this purpose, and any other benefit purpose, this means a domestic partner as defined under California Family Code section 297.
- 29.5.7 **Serious Health Condition:** This means an illness, injury, impairment, or physical or mental condition that involves any of the following:
- 29.5.7.1 **Inpatient:** Inpatient care (i.e., overnight stay) in the 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).

29.5.7.2 **Continuing Treatment by a Health Care Provider:** A serious health condition involving continuing treatment by a health care provider includes any one of or more of the following:

29.5.7.3 **Period of Incapacity:** A period of incapacity (i.e., inability to work, or perform other regular daily activities due to serious health condition of more than 3 consecutive calendar days, and any subsequent treatment or period of incapacity relating to the same condition), that also involves the following:

29.5.7.3.1 **Treatment:** Treatment 2 or more times within a 30-day period of the first day of incapacity, one of which must be within 7 days of incapacity, by a health care provider, by a nurse or physician's assistant under direct supervision by a health care provider, or by a provider of health care services (e.g., a physical therapist) under orders of, or on referral by, a health care provider.

29.5.7.3.2 **Treatment Regimen:** Treatment by a health care provider on at least one occasion within 7 days of incapacity, which 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 regime of continuing treatment.

29.5.7.4 **Pregnancy-related Incapacity:** Any period of incapacity due to pregnancy or for prenatal care. (See section [applicable sections of 9.16](#) of these Rules for Pregnancy Disability Leave. Pregnancy disability is included as FMLA leave, but not CFRA leave.) Under California law, an employee disabled due to pregnancy is entitled to pregnancy disability leave up to a maximum of 4 months. After the birth of the baby, the employee is entitled to additional CFRA bonding leave up to a maximum of 12 weeks. However, regardless of the length of time an employee takes leave for pregnancy disability and newborn care, under the FMLA and CFRA, the JPA's obligation to pay for health insurance is limited to a maximum of 12 weeks over a 12 month period.

29.5.7.5 **Chronic Serious Health Condition:** Any period of incapacity or treatment for such incapacity due to a chronic serious health condition. A chronic serious health condition is one which involves the following:

-
- 29.5.7.5.1 **Periodic Health Care Visits:** Required periodic visits for treatment by a health care provider, or by a nurse or physician assistant under direct supervision of a health care provider.
- 29.5.7.5.2 **Continuous:** Continues over an extended period of time (including recurring episodes of a single underlying condition).
- 29.5.7.5.3 **Episodic:** May cause episodic rather than 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.
- 29.5.7.6 **Long-term Treatment:** 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.
- 29.5.7.7 **Multiple Treatments:** Any period of absence to receive multiple treatments (including any period of recovery incapacity) by a health care provider of health care service after an accident or other injury, or for a condition that would likely result in a period of incapacity of more than 3-consecutive calendar days in the absence of medical intervention or treatment.
- 29.5.7.8 **Health Care Provider:** This means an individual duly licensed as a physician, surgeon, or osteopathic physician or surgeon who directly treats or supervises treatment of a serious health condition; podiatrist, dentist, 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 law; nurse practitioners and nurse-midwives and clinical social workers who are authorized to practice under California law and who are performing within the scope of their practice as defined under California law; and Christian Science practitioners listed with the First Church of Christ, Scientist in Boston and Massachusetts.
- 29.6 **Amount of Leave:**
- 29.6.1 **Leave Amount:** Eligible employees are entitled to up to a total of 12 weeks of leave during a 12-month period. Twelve weeks means the equivalent of 12 of the employee's normally scheduled workweeks. For eligible employees who work more or less than 5 days a week or who work alternative work schedules, the number of working days that constitute 12 weeks is calculated on a pro rata or proportional basis.

- 29.6.2 **Minimum Duration of Leave:** If leave is requested for the birth, adoption, or foster care placement of a child of the employee, basic leave must be concluded within the first year of the birth or placement of the child.
- 29.6.3 **Spouses/Domestic Partners Both Employed by ~~the~~ Either JPAs:** In any case in which a husband and wife or domestic partners are both employed by ~~the~~ either JPAs and are both entitled to leave, the combined number of weeks of leave to which both may be entitled may be limited to 12 weeks during a 12 month period if leave is taken for the birth or placement for adoption or foster care of the employee's child (i.e., bonding leave.) This limitation does not apply to any other type of leave under this policy.
- 29.7 **Intermittent Leave or Leave on a Reduced Work Schedule:** If an employee requests leave intermittently (a few days or hours at a time) or on a reduced leave schedule to care for an immediate family member with a serious health condition, the employee must provide medical certification that such leave is medically necessary. Medically necessary means there must be a medical need for the leave and that the leave can best be accomplished through an intermittent or reduced leave schedule. The leave may not exceed a total of 12 weeks over a 12 month period.
- 29.8 **Substitution of Paid Accrued Leaves:**
- 29.8.1 **Unpaid Leave:** Leave under this policy is unpaid. However, the JPAs shall require an employee to use concurrently all paid accrued leaves while on Family and Medical Leave as follows: Where an employee has accrued sick leave, compensatory time, administrative leave and/or vacation, the Family and Medical Leave shall run concurrently with all such accrued leaves. The JPAs shall require the concurrent use of sick leave only when the circumstances warrant the use of such leaves.
- 29.8.2 **Compensatory Time:** Employees may be required to use compensatory time earned in lieu of overtime concurrently with Family and Medical Leave. Employees are required to provide reasonable advance notice to the JPAs of their desire to use compensatory time concurrently with Family and Medical Leave.
- 29.8.3 **Leave Running Concurrently:** If an employee takes a leave of absence for any reason which is FMLA/CFRA-qualifying, the JPAs will designate that non-FMLA/CFRA leave as running concurrently with the employee's 12-week FMLA/CFRA leave entitlement.
- 29.9 **Payment of Health Insurance Premiums While on Leave:**
- 29.9.1 **Health Insurance Coverage:** While an employee is on Family and Medical Leave, the JPAs shall maintain the employee's health insurance coverage on the same conditions as if the employee has been continuously employed during the entire leave period. If the employee's leave is unpaid, the JPAs shall maintain the employee's health coverage for a maximum of 12 weeks in a 12-month period, unless the employee requests, and the JPAs

agrees, to extend coverage beyond that period. If the employee would normally pay health insurance premiums, the JPAs shall require payment from the employee while the employee is on leave.

29.9.2 **Disability Plans:** An employee on unpaid leave will not continue to be covered under the JPAs' long-term disability plan and other non-health benefit plans unless the employee makes the appropriate contributions for continued coverage and said continued coverage is permitted by the particular plan(s).

29.10 **Medical Certification:**

29.10.1 **Written Certification:** Employees who request leave for their own serious health condition, or to care for a child, parent, spouse, or domestic partner who has a serious health condition, must provide written certification from a health care provider of the individual requiring care.

29.10.2 **Statement:** If the leave is requested because of the employee's own serious health condition, the certification must include a statement that the employee is unable to work at all or is unable to perform the essential functions of his/her position during the entire period of leave. In cases where employees request intermittent leave, employees must submit medical certification which states that such intermittent leave is needed due to the employee's serious health condition and is medically necessary.

29.10.3 **Time to Provide a Certification:**

29.10.3.1 **Certification Filing Period:** When an employee's leave is foreseeable, the employee must provide the medical certification within 30 days before the leave begins. When this is not possible, the employee must provide certification within the time frame requested by the JPAs.

29.10.3.2 **Consequences for Failure to Provide an Adequate or Timely Certification:** If an employee fails to timely provide a medical certification or provides an incomplete medical certification, the JPAs may delay the taking of FMLA/CFRA leave until the required certification is provided.

29.10.4 **Recertification:**

28.10.4.1 **Medical Opinion Review:** If the JPAs ~~have~~ has reason to doubt the validity of a medical certification provided by an employee, the JPAs may require a medical opinion of a second health care provider chosen and paid for by the JPAs. If the second opinion is different from the first, the JPAs may require the opinion of a third provider jointly approved by the JPAs and the employee, but paid for by the JPAs. The opinion of the third provider will be binding. An employee may request a copy of the health care provider's opinions when there is recertification.

29.10.5 **Recertification:** Recertification may also be requested under any of the following conditions:

- 29.10.5.1 **Changed Request:** When the basis for FMLA request has changed.
- 29.10.5.2 **Extension Requests:** When the employee requests an extension of leave.
- 29.10.5.3 **Reasonable Intervals:** At reasonable intervals requested, but not to be more than every 30 days, unless one of the aforementioned criteria also applies.
- 29.11 **Procedures for Requesting Leave:** All employees requesting leave under this policy must submit proper Family and Medical Leave forms to human resources. Although the JPAs recognizes that emergencies arise which may require employees to request immediate leave, employees are required to give as much notice as possible of their need for leave. If leave is foreseeable, at least 30 days notice is requested. In addition, if any employee knows that he/she will need a leave in the future, but does not know the exact date(s) (e.g., for the birth of a child or to take care of a newborn), the employee shall inform his/her Client unit manager as soon as possible that such leave is needed. Such notice must be submitted in writing. If the JPAs determine the notice of the employee is inadequate or the employee knew about the requested leave in advance of the request, the JPAs may delay the granting of the leave until it can, in its discretion, adequately cover the position.
- 29.12 **Accrual of Benefits While on Leave:** Employees will not accrue benefits while in an unpaid leave status, including seniority rights, vacation, and sick leave accrual. Employee will accrue benefits while using paid leave concurrently with FMLA/CFRA leave.
- 29.13 **Right to Reinstatement Upon Return From FMLA Leave:** Upon the expiration of leave, an employee is entitled to be reinstated to the position of employment held when the leave commenced, or to an equivalent position with equivalent benefits, pay, and other terms and conditions of employment. Employees have no greater rights to reinstatement, benefits and other conditions of employment than if the employee had been continuously employed during the Family and Medical Leave period.
- 29.14 **Employee's Obligation to Periodically Report on Condition:** An employee on leave is required to periodically report every 30-calendar days on his/her status and within 5 days of intent to return to work.
- 29.15 **Fitness-for-Duty Certification:** As a condition of reinstatement of an employee whose leave was due to the employee's own serious health condition, which made the employee unable to perform his/her job, the employee must obtain and present a fitness-for-duty certification from the health care provider that the employee is able to resume work at least 5 days prior to the employee's intent to return to work. Failure to provide such certification may result in denial of reinstatement.
- 29.16 **Failure to Return From FMLA Leave:** If an employee uses Family and Medical Leave and fails to return to work, the JPAs may recover its share of health care premiums paid on behalf of the employee while the employee was on leave. The



JPA~~s~~ reserves the right to seek reimbursement from the employee by any legal means.

Section E – Procedures

Section 30 Grievance Procedure

This grievance procedure is intended to ensure that every reasonable effort will be made to resolve problems as near as possible to the point of origin.

- 30.1 **Definition of Grievance:** Subject to the exclusions listed in this Rule, a grievance is defined as any dispute involving the interpretation, application, or alleged violation of a specific express term of these Rules.
- 30.2 **Eligibility to File a Grievance:** Only employees who are adversely affected by either JPAs' act or omission are eligible to file a grievance.
- 30.3 ~~Exclusions From the Grievance Procedure~~ **Exclusions:** The following matters are excluded from the definition of a grievance.
- 30.3.1 Requests for changes in wages, hours, or working conditions.
 - 30.3.2 The content of employee evaluations or performance reviews, except those that result in a loss of benefits to the employee.
 - 30.3.3 Challenges to reclassification, layoff, transfer, denial of reinstatement.
 - 30.3.4 Challenges to examinations or appointment to positions.
 - 30.3.5 Challenges to this grievance procedure.
 - 30.3.6 Challenges to disciplinary action or termination.
- 30.4 **Grievance Procedure:** The grievance procedure shall consist of the following steps:
- 30.4.1 **Step 1 – Informal Grievance:** Employees shall bring their informal grievances to the attention of their supervisor, Client unit manager, or human resources within 5-working days of the occurrence of the act causing the basis for the grievance. Failure to do so will result in waiver of the right to pursue the grievance.
 - 30.4.2 **Step 2 – Formal Grievance:** If the grievance is not resolved at this step within 15-working days of the date the grievance was raised with the immediate supervisor, the employee shall have the right to submit a formal written grievance to the employee's Client unit manager. If the employee's immediate supervisor is the Client unit manager, then it is still submitted formally at this step. The formal written grievance shall be presented in writing within 15-working days after the date upon which the grieving employee informally discussed the grievance with his/her immediate supervisor. Failure to do so will result in waiver of the right to pursue the grievance. The written grievance shall contain the following information:
 - 30.4.2.1 **Grievant Name:** The name and signature of the grievant.
 - 30.4.2.2 **Worksite:** The specific work site of the grievant.
 - 30.4.2.3 **Immediate Supervisor:** The name of the immediate supervisor and Client unit manager of the grievant.

30.4.2.4 **Nature of Grievance:** A statement of the nature of the grievance, including date and place of occurrence.

30.4.2.5 **Violation:** The specific provision, policy, or procedure alleged to have been violated.

30.4.2.6 **Remedies:** The remedies sought by the grievant.

30.4.3 **Step 3 – Response to Formal Grievance:** Within 15-working days of receipt of the written grievance, the Client unit manager shall submit to the employee an answer in writing. If the grievance is not resolved at this level, the employee shall have 15-working days from receipt of the answer in which to file an appeal to the Executive Director.

30.4.4 **Step 4 – Executive Director Response:** The Executive Director shall respond to the grievance in writing within 15-working days of its receipt. Within this period, at the Executive Director's discretion, an informal hearing involving the parties to the dispute may be conducted. The decision of the Executive Director shall be final and binding.

30.5 **Representation:** The grievant is entitled to representation of his/her choice at any point in the grievance procedure. If the representative is a fellow employee, that employee shall receive time off from his/her work assignment for the time of the grievance meeting or hearing plus reasonable travel time. The grievant must inform human resources whether he/she will be represented at any meeting regarding the grievance, along with the identity of the representative, at least 48 hours prior to the grievance meeting.

30.6 **Waiver of Grievance:** Failure by the grievant to appeal his/her grievance to the next step within the specified time limits of this Rule shall constitute a waiver of the right to pursue the grievance further, unless an extension of time to a definite date was granted by the appropriate JPAs employees. Failure by the JPAs to respond to the grievance within any of the specified time lines shall entitle the grievant to appeal to the next level of review. Additionally, failure on the part of an employee or his/her representative to appear for any scheduled meeting without notification may, in the applicable-JPA's' discretion, result in the-JPAs' denial of the grievance.

30.7 **No Retaliation:** Employees shall not be penalized or retaliated against in any way for using the grievance procedures, or testifying as a witness in a grievance proceeding.

Section 31 Disciplinary Action

31.1 **Policy:** Employees are at-will and may be discharged without cause by the Executive Director at any time. While disciplinary action may be taken, it does not limit the authority of the Executive Director to discharge an employee with or without cause, with no right of appeal.

31.2 **Types of Discipline:** The Executive Director may invoke disciplinary action for a violation of a rule, regulation, or practice and may impose the following types of

disciplinary actions: oral reprimand; written reprimand; suspension without pay; reduction in pay, or demotion.

31.3 **Written Notice:** The JPAs will provide written notice to the employee of its intention to discipline for cause. The written notification will explain the incident, rule violation, and the proposed discipline. Such notice shall include a statement of the reason(s) for the proposed action and the ground(s) for the discipline being considered. In addition, the JPAs will provide the employee the right to respond, either verbally or in writing to the proposed discipline within 5-working days from the date of the notification. The employee shall have the right to have a representative present if the employee desires to respond verbally.

31.4 **Grounds for Disciplinary Action:**

31.4.1 **Disciplinary Causes:** Causes for disciplinary action against any employee may include, but shall not be limited to, the following:

31.4.1.1 Misstatements or omissions of fact in completion of the employment application or to secure appointment to a position with the JPAs.

31.4.1.2 Furnishing knowingly false information in the course of the employee's duties and responsibilities.

31.4.1.3 Inefficiency, incompetence, carelessness, or negligence in the performance of duties.

31.4.1.4 Violation of safety rules.

31.4.1.5 Violation of any of the provisions of these Rules or respective JPAs policies.

31.4.1.6 Inattention to duty.

31.4.1.7 Tardiness or overstaying lunch periods.

31.4.1.8 Being under the influence of an intoxicating beverage or non-prescription drug or prescription drugs not authorized by the employee's physician, while on duty or on work property.

31.4.1.9 Disobedience to proper authority, refusal or failure to perform assigned work, to comply with a lawful order, or to accept a reasonable and proper assignment from an authorized supervisor.

31.4.1.10 Any violation of ~~the~~ JPAs' harassment or retaliation policies.

31.4.1.11 Unauthorized soliciting for any purpose on JPAs or client property.

31.4.1.12 Unauthorized absence without leave; failure to report after leave of absence has expired or after a requested leave of absence has been disapproved, revoked, or canceled, or any other unauthorized absence from work.

31.4.1.13 Conviction of a felony, or a misdemeanor involving moral turpitude, or a violation of a federal, state, or local law which negatively impacts the employee's ability to perform his/her job or brings discredit to either JPAs or the client organization. (For purposes of this section, a misdemeanor conviction does not include a conviction based on a plea of nolo contendere).

- 31.4.1.14 Discourteous or offensive treatment of the public or other employees.
- 31.4.1.15 Falsifying any JPAs or client document or record.
- 31.4.1.16 Misuse of JPAs or client property, improper or unauthorized use of equipment or supplies, damage to or negligence in the care and handling of JPAs or client property.
- 31.4.1.17 Fighting, assault, and/or battery.
- 31.4.1.18 Working overtime without authorization.
- 31.4.1.19 Theft or sabotage of or client property.
- 31.4.1.20 Sleeping on the job, except as specifically authorized.
- 31.4.1.21 Accepting bribes or kickbacks.
- 31.4.1.22 Gambling.
- 31.4.1.23 Engaging in outside employment which conflicts with an employee's responsibilities.
- 31.4.1.24 Intimidation or interference with the rights of any employee.
- 31.4.1.25 Outside work or any other activity or conduct that creates a conflict of interest with the respective JPAs or client's work, causes discredit to the respective JPAs or client, negatively impacts the effective performance of either JPAs or client functions, or is not compatible with good public service or interests of the JPAs or its clients.
- 31.4.1.26 Abusive or intemperate language toward or in the presence of others in the workplace.
- 31.4.1.27 Failure to obtain and/or maintain minimum qualifications for a position, including licenses or certificates.
- 31.4.1.28 The intentional, false misrepresentation, or concealment of a material fact for the purpose of inducing another to act upon it.
- 31.4.1.29 Forgery or alteration of any document or account belonging to the JPAs or JPA client.
- 31.4.1.30 Misappropriation of funds, securities, supplies, or other assets.
- 31.4.1.31 Impropriety in the handling or reporting of money or financial transactions.
- 31.4.1.32 Profiteering as a result of insider knowledge or agency activities.
- 31.4.1.33 Disclosing confidential and proprietary information to outside parties.
- 31.4.1.34 Accepting or seeking anything of material value from contractors, vendors, persons providing services/materials with the exception of gifts of less than \$50 in value.
- 31.1.4.35 Destruction, removal, or inappropriate use of records, furniture, fixtures, and equipment.
- 31.1.4.36 Any other conduct of equal gravity to the reasons enumerated above as determined by the JPAs.

- 31.5 **Employee Review:** When requested, employees shall be given an opportunity to review the documents or materials upon which the proposed disciplinary action is based.
- 31.6 **Relief of Duty:** The Executive Director may place an employee on administrative leave with pay pending an investigation in order to determine if disciplinary action is to be taken.
- 31.7 **No Rights To Appeal:** The employee has no right to appeal any discipline action or proposed action.

Section 32 Investigation Procedures

- 32.1 **Policy:** The JPA will address allegations and suspected instances of violations of any rules or procedures. Human Resources is responsible for determining when an investigation should be done; then conducting, or overseeing an investigating.
- 32.2 **Duty to Act:** The JPA has a duty to act. All employees are encouraged to report any suspected policy violation. Human resources staff, client unit managers, supervisors, or any JPA staff who become aware of information that would lead a reasonable person to believe that a violation of JPA policy has occurred must notify human resources within two working days of becoming aware of the information.
- 32.3 **Action to Be Taken:** The JPA encourages resolution at the lowest possible level. However human resources must be notified in order to determine the appropriate resolution and investigation process. The JPAs is not precluded from taking any action it deems appropriate, including informing the accused of the allegations and pursuing an investigation even in cases when the complainant is reluctant to proceed.
- 32.4 **Corrective Action:** Corrective action may be imposed on any individual who has violated a policy or who fails to take appropriate action in response to knowledge of potential discrimination or harassment against any employee.
- 32.5 **Investigations:** Human resources may conduct investigations or may use external investigators to conduct investigations. Investigations will be conducted in a fair, thorough, and impartial manner by persons selected by human resources. JPA individuals may be informed of the investigation and its progress and outcome as deemed appropriate by human resources.
- 32.6 **Retaliation:** The JPA will not tolerate retaliation in any form against any person who files an allegation of a policy violation, serves as a witness, assists a person making allegations or otherwise participates in an investigation. Retaliation may subject the offender to sanctions. Allegations of retaliation should be directed to human resources.
- 32.7 **Confidentiality:** To the extent possible, the JPA will make every reasonable effort to conduct all proceedings in a manner that will protect the confidentiality of those involved. Information received in connection with the filing of a complaint of policy violation, investigation, and resolution of allegations will be treated as confidential

except to the extent it is necessary to disclose particulars in the course of the investigation or when compelled to do so by law.

32.8 Public Records Law: Upon conclusion of the investigation, the investigation report and related materials shall be treated as confidential unless disclosure is mandated by law, including the Public Records Act.

32.9 Human Resources Actions: Human resources will

32.9.1 Assess the situation and attempt timely resolution.

32.9.2 Address all concerns promptly and thoroughly.

32.9.3 Respect confidentiality of individuals involved.

32.9.4 Conduct or oversee the conduct of investigations, following these guidelines.

32.9.5 Maintain appropriate records.

32.9.6 Communicate investigation findings to the executive director, complainant, and accused, as appropriate.

32.9.7 Issue appropriate actions steps and/or corrective measures. Appropriate corrective action may range from counseling, written reprimands, suspensions, or other action up to and including dismissal. If discrimination, harassment, false allegations, inappropriate behavior, or another policy violation has occurred, the JPA will take necessary steps to correct the behavior. Should the investigator conclude that a false charge occurred; the JPA will take prompt remedial action consistent with the severity of the offense.

32.9.8 Monitor action steps and/or corrective measures to ensure behavioral change and compliance.

32.10 Investigation Process

32.10.1 Investigation Purpose: The purpose of the investigation is to evaluate the allegations, determine the facts based on review of evidence and witness statements and make findings regarding the facts underlying the allegations.

32.10.2 Investigation Method: The investigator will take reasonable steps to review the evidence, including interviewing relevant witnesses and reviewing documentary and other relevant evidence. After reviewing all relevant evidence, the investigator will make findings of facts regarding the allegations in a written report.

32.10.3 Possible Investigation Outcomes: An investigation may result in one of the following determinations:

- There is sufficient evidence that the alleged conduct occurred and the allegation is sustained.
- There is insufficient evidence that the alleged conduct occurred and the allegation is not sustained.

Section F – Health and Safety

Section 33 Safety in the Workplace ~~Policy~~

- 33.1 **Workplace Safety Policy:** The JPA is committed to providing a safe and healthful work environment and it maintains an employee safety program meeting the requirements of state law.
- 33.2 **Management Responsibilities:** Management shall be expected to take steps within its control to maintain a safe work environment and to be in compliance with federal and state safety regulations.
- 33.3 **Employee Responsibilities:** Employees shall be expected to obey safety rules, follow established safe work practices, and exercise caution in all their work activities. Employees are also expected to report any unsafe conditions to their Client unit manager. Employees at all levels who are responsible for correcting unsafe conditions are required to do so. Written safety rules are a basic part of the Injury and Illness Prevention Program and employees shall be required to know and follow the safety rules, and management shall enforce them.
- 33.4 **Reporting Injuries:** Work-related injuries should be reported to the employee's Client unit manager. The report should then be sent immediately to human resources. Any serious employee injury or illness should also be immediately reported to CalOSHA by the employee's immediate supervisor.
- 33.5 **Other Safety Rules:** Individual units may adopt specific safety rules applicable to their operations.
- 33.6 **Injury and Illness Prevention Program:** The JPAs ~~have~~ has an Injury and Illness Prevention Program (IIPP) designed to specifically address the legislation and regulations, and to function as an umbrella program that incorporates the elements of other occupational hazard control programs and procedures (e.g., Hazard Awareness and Communication Program, Chemical Hygiene Plan, etc.). The safety program includes: a written IIPP that provides for identification and correction of safety hazards; video display terminal and computer equipment policy; driver safety standards; and applicable ongoing safety training in compliance with federal and state safety regulations. The intent of the IIPP is to facilitate identification and evaluation of workplace hazards, enable the correction of unsafe conditions, provide a means of communication between employees and management on matters concerning employee safety and health, educate and train employees on health and safety matters, and implement a strategy by which compliance with the regulation can be achieved and documented. The IIPP designates a responsible person (or persons) and a system for:
- Communicating with employees on matters concerning safety and health.
 - Identifying and evaluating workplace hazards.
 - Implementing procedures for injury/illness investigation,
 - Mitigating hazards.

- Training employees.
- Maintaining records.

Section 34 Policy on JPAs Equipment and Vehicle Use

34.1 Use of JPAs Equipment/Automobile Use: No JPAs' or client-owned equipment, automobiles, instruments, supplies, machines, or any other item that is the property of the JPAs shall be used by an employee other than for work-related business, unless the Client unit manager approves in advance. No employee shall allow any unauthorized person to rent, borrow, or use any JPA or client-owned property, except upon prior approval of the Executive Director or Client unit manager.

34.2 Automobile Use: JPAs- or client-owned vehicles are to be used by employees who have valid driver's licenses and insurance certificates for travel on work-related business only.

34.2.1 Valid California Driver's License and Certificate of Insurance: Prior to using a vehicle on work-related business, employees must obtain and provide a copy of their California driver's license and a copy of a Certificate of Insurance on the form provided by the JPAs which evidences that employee has comprehensive automobile liability insurance or business automobile liability insurance in an adequate amount. Should the employee be in their own vehicle and in an accident while performing Agency business, for claims processing purposes, the employee's own insurance provider is primary and Agency's insurance provider is secondary.

34.2.2 Pull Program Releases: The JPA participates in the State of California Department of Motor Vehicles (DMV) Pull Notice Program. Under this program the State sends the JPA driving records of all employees on an ongoing basis. Human Resources reviews the driving records of those employees who drive as part of their condition of employment and will take appropriate action should any of the driving records indicate any of the following: DUI, suspended license, or other serious driving offense (i.e., reckless driving, etc.) At hire, employees must complete and sign the California Department of Motor Vehicles Pull Program release form. Any employee who has not signed a release shall not be eligible to drive on JPAs or client business.

34.2.3 Satisfactory Driving Record: Employees who utilize JPAs- or client-owned vehicles or their own personal vehicle in the performance of their duties must ~~maintain a valid California driver's license at all times, have a satisfactory driving record, and must maintain their driving insurance.~~ A satisfactory driving record is considered 4 or fewer points in the California system. Employees with more than 4 points on their driving record will

undergo an assessment to determine eligibility to continue driving on JPAs or client business.

- 34.2.4 **Complying with Traffic Regulations:** Employees must comply with all traffic regulations, laws, and ordinances while engaged in driving on work-related business.
- 34.2.5 **Mobile Devices:** Only hands-free mobile devices may be used when driving, and no communications device may be used while driving to write, send, or read a text-based communication.
- 34.3 **Use of Vehicle Safety Belts:** Employees who drive on work-related business shall use and ensure that all passengers use available safety belts in the vehicles being operated. Passengers shall ride only in those positions of a vehicle designed for the carrying of passengers.
- ~~34.4 **Department of Motor Vehicles Pull Program:** The JPAs participate in the State of California Department of Motor Vehicles (DMV) Pull Notice Program. Under this program the State sends the JPAs driving records of all employees on an ongoing basis. Human Resources reviews the driving records of those employees who drive as part of their condition of employment and will take appropriate action should any of the driving records indicate any of the following: DUI, suspended license, or other serious driving offense (i.e., reckless driving, etc.)~~
- 34.4 **Vehicle Accidents:** When an accident occurs on the job involving one or more vehicles, the following steps should be taken by employees:
- 34.4.1 **Scene:** Secure the scene of the accident.
- 34.4.2 **Move Vehicles:** Move any involved vehicles out of the right of way, if possible.
- 34.4.3 **Emergency Response:** Call 911 for emergency services if someone appears to be injured or asks that 911 be called.
- 34.4.4 **Client unit Manager:** Contact your Client unit manager immediately, if communication devices are available.
- 34.4.5 **Driver Information:** Exchange driver information and give the other driver a business card.
- 34.4.6 **Personal Information:** Obtain the names, phone numbers, addresses, and e-mail addresses of any vehicle occupants, or observers of the accident.
- 34.4.7 **Police Report:** Get the number of the police report that will be filed if the police respond to the accident.
- 34.4.8 **Statements:** Do not make any statements concerning the assumption of liability. Give out only the required information.
- 34.4.9 **Pictures:** Take pictures of the damage and all relevant aspects of the accident (the area where accident occurred, objects blocking view, etc.). If a camera is not immediately available, write down all of the relevant information.
- 34.4.10 **Insurance and Legal Requirements:** Follow any insurance and legal requirements, such as immediately notifying your insurance company or the State of California's Department of Motor Vehicles.

Safety Section 35 ~~Policy on~~ **Fitness for Duty Evaluations and Light-Duty Assignments**

35.1 **Fitness for Duty:** The JPAs, at its expense, may require an employee to undergo a fitness-for-duty evaluation for any reasonable cause. If the employee is not fit to perform his/her duties with or without reasonable accommodation, the JPAs may consider placing the employee in another position, seek the employee's disability retirement, or separate the employee in accordance with applicable law.

35.2 **Temporary Light-Duty Assignments: Employees on short-term disability or workers' compensation are encouraged to return to work as soon as medically possible. Temporary light duty may be available for employees but it is not guaranteed. Temporary light duty in many cases may provide the appropriate transition back to full duty. Light-duty assignments accommodate medical limitations and are arranged following review with JPA human resources and the employee's immediate supervisor. Assignments may or may not be within the employee's regular work area. Assignments are arranged on a temporary basis for a period not to exceed 90 days and are based on the restrictions provided by the employee's treating health care practitioner. Nothing in this section prevents the JPA from seeking a second opinion on the employee's medical condition and availability for light-duty work.**

Section 36 ~~Policy on~~ **Workplace Violence Prevention**

36.1 **Violence in the Workplace Policy:** Acts of violence, whether threatened, gestured, or carried out will not be tolerated in the workplace. Anyone witnessing or becoming the subject of such behavior shall immediately report it to their Client unit manager and human resources for proper investigation. Minimizing the threat of violence is a duty of all employees.

36.2 **Notification:** It is the responsibility of all employees to notify a Client unit manager, human resources, or the Executive Director immediately of any violent act or a threat, or if a violent act or threat against themselves or any other employee occurs in the workplace or is directly associated with their employment. Notification may be made to any of these persons as appropriate and shall be reported as soon as practicable. Retaliation or the threat of retaliation against a person who reports such an incident ~~is unlawful and~~ shall not be tolerated.

36.3 **Possession of Inappropriate Items:** Employees shall not possess the following instruments at a worksite or on either JPAs' or client property, including parking lots, unless there is a work-related purpose and written approval has been obtained from the employee's Client unit manager.

36.3.1 **Firearms:** Any type of firearms.

36.3.2 **Explosives:** Any type of explosives or ammunition.

-
- 36.3.3 **Fixed Knives:** Fixed blade knives.
- 36.3.4 **Folding Knives:** Folding knives with blades over 3.5 inches.
- 36.3.5 **Weapons:** ~~Illegal W~~weapons such as those defined in Section 12020 of the California Penal Code.
- 36.4 **Disciplinary Action:** The JPAs shall take appropriate disciplinary action, up to and including termination of employment, against an employee violating this policy.
- 36.5 **Counseling Services:** As needed, incident-related counseling services may be offered through the JPAs Employee Assistance Program (EAP), or any other resource or program made available by the JPAs, to employees who are the victims of violence, subjects of threats of violence, or subject to intimidation at the workplace. The JPAs will work with public safety, the courts, and other authorities necessary to ensure employee safety.
- 36.6 **Procedures for Imminent or Actual Violent Acts:**
- 36.6.1 **Employee Responsibilities:** An employee who is in immediate apparent danger of a violent act, or another employee who witnesses a violent act or the threat of a violent act shall, whenever possible:
- 36.6.1.1 **Safe Location:** Get in a safe location.
- 36.6.1.2 **Emergency Services:** Call 911 and request the immediate response of a police officer. Be prepared to inform the dispatcher of the circumstances and exact location of where an officer is needed.
- 36.6.1.3 **Management:** Inform a Client unit manager of the circumstances.
- 36.6.1.4 **Media:** Refer media inquiries to the Client unit manager.
- 36.6.1.5 **Cooperate:** Cooperate fully in any administrative or criminal investigation conducted within this policy and the laws.
- 36.6.2 **Client unit Manager Responsibilities:**
- 36.6.2.1 **Safe Location:** Get in a safe location.
- 36.6.2.2 **Ensure Safety:** A Client unit manager who is informed of a violent act or the threat of a violent act shall whenever possible ensure the immediate safety of employees and the worksite by calling 911, and notifying their site manager and human resources.
- 36.6.2.3 **Involve Individuals:** If feasible, the Client unit manager shall have the involved individuals wait in separate rooms or locations until the police take control or remove them from the premises.
- 36.6.2.4 **Restraining Order:** In consultation with human resources, the Client unit manager should determine if it is appropriate to obtain a restraining order, other appropriate injunctive, legal, and/or equitable relief.
- 36.6.2.5 **Reassign:** Reassign/relocate employees or job duties, if required.
- 36.6.2.6 **Terminate:** Terminate any business relationship with the offending person.
- 36.6.2.7 **Take Action:** Take any other action deemed to be necessary or required under the circumstances.

36.6.2.8 **Obtain Information:** Obtain basic information from the employee and provide to emergency responders.

36.6.2.9 **Media Inquiries:** Respond to media inquiries or ask the Executive Director's office to respond to them.

36.6.3 **Procedures – Future Violence:**

36.6.3.1 **Reasonable Belief:** Employees who have reason to believe they, or another employee, may be victimized by a violent act sometime in the future, at the workplace, or as a direct result of their employment, shall inform their Client unit manager immediately so appropriate action may be taken and so human resources can be notified.

36.6.3.2 **Restraining Orders:** Employees who have ~~assigned and filed a~~ restraining order, temporary or permanent, against an individual ~~due to a potential act of violence,~~ who would be in violation of ~~that~~ order by coming near them at work, shall immediately supply a copy of the ~~restrainingsigned~~ order to their Client unit manager and human resources.

36.6.4 **Post-incident Review:**

36.6.4.1 **Policy Evaluation:** The Executive Director, human resources, and the Client unit manager may conduct a post-incident review and use the review to evaluate this policy and procedure.

36.6.4.2 **Support Systems:** The JPAs may determine and oversee any post-incident support systems ~~that~~ may be needed.

Section 37 Emergency Action Plan

37.1 **Purpose:** This policy applies to all JPAs' employees and is an action plan in the event of a natural or man-made disaster and will assist to protect life and property by encouraging proper planning and preparation. Employees assigned to specific client agencies should follow the procedures of those client agencies, and notify ~~the~~ JPAs' human resources if the client agency policy has been activated.

37.2 **Policy:** It is ~~the~~ JPAs policy to notify all employees of the elements of the emergency action plan and to expect all employees to read and understand the information presented in this plan. It is the intent of this plan to provide not only employees, but also visitors with an appropriate Emergency Action Plan.

37.3 **Emergency Action Plan Elements:**

37.3.1 **Employees assigned to Client Locations: Rescue and Medical Duties:** ~~The JPAs owns no structures, and have administrative employees working from home offices. Employees assigned to client locations shall follow the emergency action plan elements of the client organization. There are generally no more than two administrative staff working at those locations on any given day. If two are working at the site and should the~~

~~Emergency Action Plan be activated, the most senior employee will be the person in charge.~~

- ~~37.3.2~~ **37.3.2 Employees Working From Home Offices:** ~~Employees working from a home-based office shall determine their own emergency action plan for potential emergencies.~~ **Chief Emergency Warden:** ~~For those JPAs' sites that have multiple employees on site, the client Executive Director will serve as the Chief Emergency Warden with the objective to protect the lives of those who are on the premises, and to minimize property loss. The Chief Emergency Warden shall:~~
- ~~37.3.3~~ ~~Maintain overall responsibility for ensuring the safety of occupants and building.~~
- ~~37.3.4~~ ~~Ensure that an effective workplace emergency preparedness and response program is implemented.~~
- ~~37.3.5~~ ~~Provide direction to staff following an evacuation, once life safety response operations are completed.~~
- ~~37.3.6~~ ~~Implement emergency response plans including evacuation and communication procedures.~~
- ~~37.3.7~~ ~~Revise and update emergency preparedness and response plans.~~
- ~~37.3.8~~ ~~Ensure Senior Emergency Wardens, if there is a large enough employee population to have them, are trained to assume duties of Chief Emergency Warden when he/she is absent.~~
- ~~37.3.9~~ ~~Appoint Floor Emergency Wardens for each floor as necessary.~~
- ~~37.3.10~~ ~~— Maintain documentation/log of events and decisions made during emergency response.~~
- ~~37.3.11~~ ~~— 37.3.3 Senior Emergency Wardens: The Client Executive Director shall designate the Senior Emergency Warden to assist the Chief Emergency Warden with:~~
- ~~37.3.12~~ ~~— Implementing emergency response plans including evacuation and communication procedures.~~
- ~~37.3.13~~ ~~— Ensuring that the Floor Emergency Wardens are trained in workplace response and reporting.~~
- ~~37.3.14~~ ~~— Ensuring that assignment of employees who will assist disabled individuals during emergency procedures are trained.~~
- ~~37.3.15~~ ~~— Overseeing the building emergency response, including ordering an evacuation when one is required.~~
- ~~37.3.16~~ ~~— Ensuring emergency services and other designated authorities have been notified in the event of a fire or other emergency.~~
- ~~37.3.17~~ ~~— Accounting for employees at assembly areas, and ensuring reports are provided to the Chief Emergency Warden.~~
- ~~37.3.18~~ ~~— Coordinating and supervising necessary search procedures and/or evacuations.~~
- ~~37.3.19~~ ~~— Identifying themselves to emergency service workers and acting in a leadership role.~~

- ~~37.3.20 — Entering each area for which they are responsible, including washrooms, and directing occupants to leave the buildings.~~
- ~~37.3.21 — Ensuring that all doors are closed but not locked, which will assist in restricting the movement of smoke or fire, and allow access by emergency service workers.~~
- ~~37.3.22 — Ensuring that persons designated to assist in the evacuation of employees and visitors who need assistance are available.~~
- ~~37.3.23 — Ensuring that everyone from responsibility area has left the buildings.~~
- ~~37.3.24 — Reporting to the Chief Emergency Warden on the state of evacuation of the area of their responsibility and assisting in securing the buildings.~~
- ~~37.3.25 — **37.3.4 Floor Emergency Wardens:** The Floor Emergency Wardens are designated by the Chief Emergency Warden to assist the Senior Emergency Wardens with:~~
- ~~37.3.26 — Knowing the emergency procedures, exit routes, fire alarm pull stations, fire extinguisher locations, and assembly points.~~
- ~~37.3.27 — Knowing the location and name of the certified first aid trained employees and location of first aid supplies.~~
- ~~37.3.28 — Promoting awareness and participation in a buddy system.~~
- ~~37.3.29 — Being aware of anyone who is disabled or who may require assistance for a safe evacuation.~~
- ~~37.3.30 — Checking on fire extinguishers and emergency lighting.~~
- ~~37.3.31 — Identifying assembly areas outside of the building for designated places should evacuation be required.~~
- ~~37.3.32 — Identifying themselves and acting in a leadership role, in the event of an evacuation.~~
- ~~37.3.33 — Entering each areas for which they are responsible, including washrooms, and directing occupants to leave the building.~~
- ~~37.3.34 — Ensuring that all doors are closed but unlocked.~~
- ~~37.3.35 — Ensuring that persons are available who are designated to assist in the evacuation of employees and visitors.~~
- ~~37.3.36 — Ensuring that everyone from their area has left the building.~~
- ~~37.3.37 — Reporting to the Chief Emergency Warden on the state of evacuation for their area of responsibility, and assisting in securing the building.~~
- ~~37.3.38 — **Employees:** During an emergency employees are responsible for:~~
- ~~37.3.39 — Accepting and following instructions of the Floor Warden, Senior Emergency Warden, and external emergency workers.~~
- ~~37.3.40 — Leaving the work area immediately and in a responsible manner.~~
- ~~37.3.41 — Remaining at the designated assembly area; responding to roll calls.~~
- ~~37.3.42 — Notifying the Senior Emergency Warden or Floor Warden if leaving the assembly area.~~
- ~~37.3.43 — Re-entering the building after an evacuation, only when instructed, by the proper authority.~~

~~37.3.44 — **Response Plans:** The emergency response plans assists in preparing staff and visitors for an evacuation of the buildings so that people, if and when the time arrives, they will act in a safe, rapid, and orderly manner in the event of an emergency.~~

~~37.3.45 — **Fire:**~~

~~37.3.46 — **The Chief Emergency Warden** coordinates all emergency procedures to ensure the safety of staff and visitors. Floor Emergency Wardens report to their Senior Emergency Warden during an emergency response.~~

~~37.3.47 — **Senior Emergency Warden** activates fire alarms if not already active, assists in the evacuation of the workplace, and implements and maintains response procedures, including communications with other designated staff.~~

~~37.3.48 — **Floor Wardens** activates fire alarm if not already done, collects work site register for roll, checks for an appropriate and safe evacuation route(s); instructs all staff and visitors within area of responsibility to evacuate the building by the designated evacuation route; directs staff assigned to assist in evacuating persons with physical disabilities; after all persons have been evacuated from area of responsibility, quickly searches all rooms and washrooms to ensure no one is left behind; ensures all doors are closed for a fire emergency; completes roll call at the designated assembly area and reports results to the Senior Emergency Warden; reports anyone missing to the Senior Emergency Warden, after confirming with other staff that the missing person was in fact at work at the time of the event; and re-enter the buildings only upon instructions from the Chief Emergency Warden or emergency responders.~~

~~37.3.49 — **Employees** accept and follow instructions from appropriate designated staff; leave the work area immediately and in a responsible manner, when directed; remain at their designated assembly area and respond to roll calls; notify the Floor Warden or Senior Emergency Warden if leaving the assembly area; and re-enter the building after an evacuation, only when instructed, by the Chief Emergency Warden or emergency responders.~~

~~37.3.50 — **What to know:**~~

~~37.3.51 — Know where fire alarms are located in each building.~~

~~37.3.52 — Locate the two exits nearest your work area; learn whether the door swings in or out, and where the stairs lead.~~

~~37.3.53 — Know who your Floor Warden is.~~

~~37.3.54 — Use stairs, not elevators to move from floor to floor or out of the building.~~

~~37.3.55 — **What to do:** Do the following if obvious smoke or fire is observed:~~

~~37.3.56 — Call 911, giving name, address, and building location.~~

~~37.3.57 — Alert others in the building by pulling the fire alarm switch.~~

- ~~37.3.58 — Attempt to extinguish the fire with an extinguisher only after assessing the size of the fire and/or the air quality if the fire is limited to the original material ignited; if it is contained; if it has not spread to other materials; if the flames are no higher than your head; and if the air quality is still safe.~~
- ~~37.3.59 — Evacuate immediately if the fire is not contained; fire, heat, or smoke blocks the evacuation path; if the fire involves flammable solvents; if it has spread over more than 60 square feet; if it is partially hidden behind a wall or ceiling, or cannot be reached from a standing position.~~
- ~~37.3.60 — Close all doors and windows when leaving; follow evacuation procedures; do not delay by gathering personal items.~~
- ~~37.3.61 — If in an office or meeting room and the door is closed, first feel the door. IF IT IS HOT — DO NOT OPEN IT! Remain in the office or meeting room, call 911 and tell them your situation, then place material along the bottom of the door to keep the smoke out. If an outside window or door is available, open it or break it and hang colored material out to attract attention.~~
- ~~37.3.62 — Get out quickly following evacuation procedures. Know two ways out. Do not use elevators.~~
- ~~37.3.63 — If in smoke or heat — stay low. If trapped and cannot reach an exit, close nearest doors and seal cracks with extra clothing; wait at a window, and signal for help. Do not panic.~~
- ~~37.3.64 — **Earthquake:**~~
- ~~37.3.65 — **Chief Warden:** The Chief Emergency Warden coordinates all emergency procedures. Floor Emergency Wardens report to their Senior Emergency Warden during an emergency response. During an emergency event, or drill, the Chief Emergency Warden will go to the designated assembly area.~~
- ~~37.3.66 — **Senior Emergency Warden** activates alarm if not already active and assists in the evacuation of the workplace; and implements and maintains response procedures, including communications with the appropriate authorities.~~
- ~~37.3.67 — **Floor Warden** reports to the Senior Emergency Warden and delivers verbal messages; at the assembly area, reports any pertinent information about other areas observed. Returns to the original area with any information from the assembly area when directed; when the shaking has stopped, remains covered and holding, and tells everyone to wait 60 seconds. This is to ensure that things falling from the ceiling have the time to fall to the floor before people move out from the safety of their desks or tables. Then move cautiously from the safe area under the desk or table. Look up and around for hazards. If and when aftershocks occur, interrupt all activities, and call loudly, "EARTHQUAKE! DUCK, COVER AND HOLD!" Then repeat the above procedure. Aftershocks do not always occur.~~

- ~~37.3.68~~ — ~~Checks surrounding area for damage and trapped individuals. Note injuries or missing persons. Confirms who is absent from work that day.~~
- ~~37.3.69~~ — ~~Replaces phone handsets that have fallen off the hook. Uses phones in the event of life-threatening emergencies only. Ignores ringing phones.~~
- ~~37.3.70~~ — ~~Does not attempt to move an injured person who is unable or unwilling to move; has been unconscious; is confused or disoriented; or who has received a blow to the head, neck, shoulders, or torso.~~
- ~~37.3.71~~ — ~~Once the earthquake is over proceeds with evacuation, only if this is required. Cautiously evacuates the building when directed to do so. All walking wounded and non-injured staff should leave the building during this evacuation process. Trained emergency responders will evacuate trapped or unconscious people later. It is important to get the majority out of the building as soon as it is safe to do so.~~
- ~~37.3.72~~ — ~~Reports evacuation to the Senior Emergency Warden. Reports on the status of missing and injured or trapped persons and their locations to the Senior Emergency Warden. If injured persons have been left, records location and what time the injured were left.~~
- ~~37.3.73~~ — ~~Assemble staff in the safest clear area outside the building and check if any staff is missing. Conduct a roll call, and note any visitors who are now in the area.~~
- ~~37.3.74~~ — ~~37.4.2.4~~ — **Employee Responsibilities:**
- ~~37.3.75~~ — ~~During an earthquake, when the building shakes, takes cover under the nearest safe piece of furniture, such as a desk or table. Covers head and as much of body as possible. Holds onto the furniture leg so it does not move away during the shaking.~~
- ~~37.3.76~~ — ~~Stays away from danger spots in the room, including windows, hanging objects, tall unsecured bookcases or file cabinets, and light fixtures.~~
- ~~37.3.77~~ — ~~Moves to an inside wall corner if in hallways or other open areas, brings knees up to chest, and with elbows on knees, protects face and head with arms and hands.~~
- ~~37.3.78~~ — ~~Stays calm and moves cautiously away from safe area only after the shaking has stopped and on the advice of the appropriate authorities.~~
- ~~37.3.79~~ — ~~Avoids using the elevator. But if in the elevator during earthquake, the elevator will not fall down the shaft and nothing heavy is likely to fall on it. If the power fails, the lights will remain off until power is restored. Presses the emergency button to let others know people are trapped in the elevator, uses the emergency phone to report being trapped and waits for assistance.~~
- ~~37.3.80~~ — ~~Stay calm. Move cautiously from the safe area under your desk or table. Look up and around for hazards.~~
- ~~37.3.81~~ — ~~If aftershocks occur, find the nearest safe location.~~
- ~~37.3.82~~ — ~~Check for injuries and seek first aid if required.~~
- ~~37.3.83~~ — ~~Replace phone handsets that have fallen off the hook.~~

- ~~37.3.84 — Only use phones in the event of a life-threatening emergency for the first 90 minutes after an earthquake.~~
- ~~37.3.85 — Follow Floor Warden instructions.~~
- ~~37.3.86 — Try to identify everyone at work that day and any staff who are away from the work area at the time of the earthquake. Report names of those people away from work that day to the Floor Warden.~~
- ~~37.3.87 — Report any injuries or trapped persons and their location to the Floor Warden.~~
- ~~37.3.88 — If directed by the Floor Warden or Senior Emergency Warden, move to the nearest safe assembly area after the shaking has stopped.~~
- ~~37.3.89 — Take your jacket and purse/wallet with you.~~
- ~~37.3.90 — Move to the designated assembly location, assist injured persons, and evacuate when ordered.~~
- ~~37.3.91 — **Bomb Threat:** The following reporting procedure is to be followed.~~
- ~~37.3.92 — Call 911.~~
- ~~37.3.93 — Notify all others in the building through the standard notification process.~~
- ~~37.3.94 — Exit building immediately.~~
- ~~37.3.95 — Do not re-enter the building until told to do so by the Chief Warden or designee.~~
- ~~**37.3.96 — Medical:** In the event of a serious medical emergency, the following steps should be followed.~~
- ~~37.3.97 — Assess the situation and try to confirm the scene is safe prior to proceeding with assistance.~~
- ~~37.3.98 — Call 911. Provide the nature, location, number of people involved and what actions are currently being taken to manage the incident.~~
- ~~37.3.99 — Designate someone to promptly direct the resources that arrive at the scene.~~
- ~~37.3.100 — Those administering medical aid shall take necessary bloodborne pathogens isolation precautions (gloves, goggles, masks, etc.).~~
- ~~37.3.101 — Determine the most appropriate course of action for providing the best care to the individual(s) involved.~~
- ~~37.3.102 — Transfer care to medical professionals upon arrival at scene.~~
- ~~37.3.103 — Document all actions taken.~~
- ~~**37.3.104 — Emergency Escape Procedures and Routes:**~~
- ~~37.3.105 — Proceed to the nearest safe stairwell or exit.~~
- ~~37.3.106 — Do not use elevators.~~
- ~~37.3.107 — Do not run. Remove high-heeled shoes if necessary.~~
- ~~37.3.108 — Listen for and heed directions given by Chief Emergency Warden, Senior Emergency Warden, Floor Warden and other emergency responders.~~
- ~~37.3.109 — Use stairwell handrails, moving to the right-hand side if emergency crews are encountered.~~
- ~~37.3.110 — If unable to descend to the ground floor, proceed to the roof.~~

- ~~37.3.111 — Assist those who are slower moving, injured, or handicapped~~
- ~~37.3.112 — Upon exiting, proceed to designated assembly area.~~
- ~~37.3.113 — Floor plans for emergency exits are posted throughout the buildings.~~
- ~~37.3.114 — **Evacuating Persons With Restricted Mobility:**~~
- ~~37.3.115 — In every situation, a cooperative effort is necessary to achieve a safe evacuation. Any disabled or injured persons that may require assistance during an emergency should not hesitate to recruit helpers. They should inform helpers of their condition and be prepared to provide instructions on the best methods to aid them to safety;~~
- ~~37.3.116 — During an evacuation, individuals with restricted mobility should proceed to the nearest safe stairwell and then seek assistance. Planning is the best way to ensure the safe evacuation of handicapped and injured individuals.~~
- ~~37.3.117 — **Emergency Shutdown Procedures:** During some emergency situations, it may be necessary for specifically assigned and properly trained employees to remain in work areas that are being evacuated long enough to perform critical tasks. These assignments are necessary to ensure proper emergency control.~~
- ~~37.3.118 — **Employee Accountability Following an Emergency Evacuation:** Each warden is responsible for accounting for each assigned employee following an emergency evacuation.~~
- ~~37.3.119 — Assembly areas have been established for all evacuation routes and procedures. Staff is to assemble at the primary location first or secondary location only if primary location is unsafe.~~
- ~~37.3.120 — All wardens and employees must report to their designated assembly areas immediately following an evacuation.~~
- ~~37.3.121 — Each employee is responsible for reporting to his or her floor warden so that an accurate head count can be made. Wardens will check off the names of all those reporting and will report those not checked off as missing to the Chief Emergency Warden.~~
- ~~37.3.122 — The Chief Emergency Warden will determine the method to be utilized to locate missing people.~~
- ~~37.3.123 — **Rescue and Medical Duties:** It may become necessary in an emergency to rescue individuals and perform some specified medical duties, including first aid treatment. All employees assigned to perform such duties will have been properly trained and equipped to carry out their assigned responsibilities properly and safely.~~
- ~~37.3.124 — 37.12 **References:** OSHA Standard 29 CFR 1910.38(a).~~

Section 38 Emergency Service Workers

38.1 **Emergency Service Workers:** All JPAs employees are designated per state law as emergency service workers and are deputized per civil defense rules under a declared emergency to carry out the orders of established emergency command sections with the provided limited immunity under the Government Code. Every employee should know where he or she reports in the event of an area-wide emergency. In the event of an emergency or disaster, every employee shall attempt to call in or contact their Client unit manager. Notwithstanding the call-in requirement, all employees are expected in an emergency or disaster to act as follows:

- **Attend** to the immediate physical safety of yourself and those immediately around you.
- **Contact** or see to the safety of your immediate family, develop a family plan, and establish a family call-in phone contact in advance, preferably with a relative out of state or out of the region.
- **Report to work** when directed to do so. ~~after trying to call in or when called back to work.~~

38.2 **Emergency Situations:** In an emergency situation, employees may be assigned to a variety of duties other than their normal assignments but generally related to their knowledge, skills, and abilities under their job class description. Those who are assigned to report to another organization shall be treated as JPAs employees assigned to another agency and shall be compensated and otherwise covered as JPAs employees upon proof of service attendance in another agency. Those reporting to work at their usual assigned JPAs shall be governed by established regular time and overtime rules.

Section 39 Breastfeeding Mothers

39.1 **Policy:** In recognition of the health advantages of breastfeeding for infants and mothers, the JPA is supportive of an environment that enables breastfeeding employees to express their milk during work hours.

39.3 **Practice:** Breastfeeding employees who choose to continue providing their milk for their infants after returning to work shall receive:

- **Milk Expression Breaks:** Breastfeeding employees are allowed to breastfeed or express milk during work hours using their normal breaks and meal times. For time that may be needed beyond the usual break times, employees may use personal leave or may make up the time as discussed with their supervisors.
- **A Place to Express Milk:** A room shall be made available for employees to breastfeed or express milk. The room will be private and sanitary with an electrical outlet, and as much as possible, located near a sink with running water for washing hands and rinsing out breast pump parts. If employees prefer, they may also breastfeed or express milk in their own private offices, or in other

comfortable locations agreed upon in consultation with the employee's supervisor.

- Expressed milk can be stored in general refrigerators, in designated refrigerators provided, or in employee's personal cooler. If stored in a general refrigerator, the milk should be labeled as to who it belongs to.

Section 40: Injury and Illness Prevention Program

40.1 Program: It is JPA policy to provide a safe working environment for its employees. California law requires all employers to have an Injury and Illness Prevention Program and this program complies with that law following the same general categories. Many employees are assigned to client agencies and those employees shall follow the safety program of the assigned agency.

40.2 Program Authority: The JPA has the responsibility and authority to implement and maintain an Injury and Illness Prevention Program. The responsibilities of this assignment are documented in the responsibility statement. California law requires that employees be assigned specific responsibility relating to the Injury and Illness Prevention Program. In accordance with JPA policy to provide a safe and healthy working environment, the director of human resources or designee has responsibility to develop, implement, and maintain the JPA Injury and Illness Prevention Program. Specifically, this will include the following duties:

- Develop rules of safe practices for each administrative function of JPA operations.
- Develop safe operating rules for operation of mechanical equipment based on manufacturer's operating instructions.
- Develop a system to encourage employees to report unsafe conditions.
- Conduct an investigation of each accidental occurrence, whether or not it results in an injury, to determine why it occurred and methods to prevent recurrence.
- Instruct supervisors in safety responsibilities.
- Develop a program of employee education into JPA policy and work practices.
- Conduct scheduled periodic inspections of any JPA-owned facilities, equipment, and work areas to identify and correct unsafe conditions and work practices.
- Maintain records of training, periodic inspections, corrective actions, and accident investigations.

40.3 Recognition Program: In order to ensure that employees comply with safe and healthy work practices, the JPA has implemented the following:

40.3.1 Recognition: Compliance by all employees with the JPA Injury and Illness Prevention Program is mandatory. The employee's immediate supervisor will provide appropriate recognition of safety-conscious employees with accident-free records.

40.3.2 Disciplinary System: As required by law, disciplinary action is part of the program. The failure of an employee to adhere to safety policies and

procedures will be considered a violation. Accordingly, the employee may be subject to disciplinary actions, up to and including termination and, in severe cases, possible civil litigation. Violations will be noted on applicable documents.

40.4 Communication: Communication with all employees on matters of safety and health in a form readily understandable is required by the law. For JPA administrative staff, safety meetings may be held twice a year and more frequently if needed as part of all regularly scheduled staff meetings.

40.4.1 Additional Methods: The following are additional methods that may be used for administrative employees and employees assigned to client organizations, such as safety posters, written handouts or emails regarding safety issues, individual employee contact regarding safety issues, and safety committee meetings.

40.4.2 Safety Suggestions: Safety suggestions may be sent to the director of human resources, who will review the recommendations..

40.5 Hazard Identification and Correction: In order to identify and correct workplace hazards, periodic safety inspections will be conducted of the JPA worksites, materials, any JPA vehicles, and procedures as well as on an annual basis. These inspections will be conducted by the director of human resources, or designee. Inspections will be completed using hazard checklists, which will identify safety hazards, unsafe conditions, and work practices as well as their priority for attention. The date the hazard is abated, and the corrective measures taken, will also be noted on the form.

40.5.1 Unscheduled Inspections: Additionally, unscheduled inspections will take place whenever any new potentially hazardous substance, process, procedure, or equipment is introduced into the workplace. An inspection, investigation, and adoption of appropriate safeguards will also take place whenever a new or previously unrecognized hazard is noted.

40.5.2 Inspection Results and Follow Up: Results of the inspections will be reviewed by the JPA director of human resources or designee and addressed according to priority. Minor safety hazards, unsafe conditions, and work practices identified by each inspection will be corrected as soon as possible. Serious safety hazards, unsafe conditions, unsafe work practices, and other areas presenting an imminent danger to employees will be abated immediately. Failing this, all employees shall be removed from the site of the imminent hazard until said hazard is corrected.

40.5.3 Records: Records of these inspections shall be retained by the director of human resources for a period of no less than three years after the date of the inspection.

40.6 Accidents: All work-related accidents will be investigated in a timely manner by the appropriate employee's immediate supervisor in conjunction with the director of human resources. Employees assigned to client agencies will undergo an accident

investigation by JPA administrative staff, and may undergo another investigation by the client agency as determined by the client agency policy.

40.6.1 Incidents: Both minor incidents and near accidents may be investigated. All serious accidents will be investigated.

40.6.2 Investigation Procedures: Investigating work-related accidents will provide information regarding accident prevention as well as pointing out trends that indicate problems that need to be corrected. The investigation should determine what factors, conditions, and/or practices contributed to the accident. The investigation is not intended as a medium for assigning blame.

40.6.3 Supervisor's Report: Accidents will be investigated using the Supervisor's Report of Accident form according to the following principles.

40.6.3.1 Accident scene will be visited as soon as possible while facts are fresh and before witnesses forget important details.

40.6.3.2 If possible, the injured will be interviewed at the scene of the accident and taken through a re-enactment.

40.6.3.3 All interviews will be as private as possible. Witnesses will be interviewed one at a time. As practical, everyone who has knowledge of the accident will be interviewed.

40.6.3.4 Statements will be taken in cases where facts are unclear or where there may be controversy.

40.6.3.5 Details will be documented graphically using sketches, measurements, diagrams, and photos as appropriate.

40.6.3.6 Causes of the accident and contributions to the accident, such as hazards, will be followed up on.

40.6.3.7 An action plan for preventing future such accidents will be developed, as appropriate.

40.6.3.8 Where a third party or defective product contributed to the accident, evidence will be saved.

40.6.3.9 Accident reports shall be retained by human resources for a period of not less than three years after the accident.

40.7 Correcting Unsafe Conditions: The method and procedure to correct unsafe or unhealthy conditions, work practices, and work procedures is outlined in this document. The director of human resources or designee has the authority and responsibility for correction of hazards, unsafe conditions, and work practices. Corrections of hazards will be made by the supervisor for the area. Timeliness of correction will be based on the severity of the hazard. This will include when a hazard is observed or discovered or if an imminent hazard exists. All exposed employees will be cleared from the area except those staff necessary to correct it.

40.8 Safety Training: New employees will receive safety orientation from their immediate supervisor, consisting of appropriate training on all of the equipment, methods, and vehicles they use. This training shall be documented and copies of

that documentation forwarded to the director of human resources. Employees will also receive training when:

- Given new job assignments that materially change the way work must be performed.
- Whenever new potentially hazardous substances, processes, procedures, or equipment are introduced.
- When made aware of new or previously unrecognized hazard(s).
- Supervisors need to be familiarized with the safety and health hazards to which JPA employees under their direction and control may be exposed.

40.9 Annual Program Review: The injury and illness prevention program and the safety performance of those responsible for carrying it out will be reviewed annually by the director of human resources or designee with a report submitted to the executive director.

40.10 Appendix to Injury and Illness Prevention Program - SAFETY POLICY AND SAFETY PRACTICES

It is JPA intent to provide safe working conditions and to establish and maintain safe practices at all times by all employees. As such, it is JPA policy that accident prevention shall be considered of primary importance.

The prevention of accidents is an objective affecting all employees and JPA activities. It is, therefore, a basic requirement that each supervisor makes employee safety an integral part of his/her regular supervisory duties. It is equally the duty of each employee to accept and follow established safety regulations and procedures.

Every effort will be made to provide adequate training to employees. However, if an employee is ever in doubt about how to do a job safely, it is the employee's duty to ask for assistance with how to perform the job.

Employees are expected to support accident prevention activities. Unsafe conditions must be reported and coworkers that need help should be assisted. Everyone is responsible for the safety duties that pertain to their jobs as well as maintaining workplace neatness and cleanliness.

These practices have been developed to help each employee make safety a regular part of every workday.

- WORK SAFELY: Safety is everyone's business. Teach new employees safe work methods. Accidents can be prevented. Report all unsafe conditions immediately.
- WHEN LIFTING: Bend your knees, get a firm grip on the object, hold it close to your body, space your feet for good balance; lift, using strong leg muscles, not back muscles. Get help with heavy or bulky loads.

- TRASH DISPOSAL: Keep sharp objects and dangerous substances out of the trash can. Dispose of them in approved containers when available.
- CLEAN UP: Remove refuse promptly to prevent slips and tripping. The first person to see a spill or debris should pick it up or report it.
- PREVENT FALLS: Keep aisles, work spaces, and stairways clean, clear, and well lighted. Report slippery or faulty floor surfaces.
- WALK-DON'T RUN: Watch your step. If appropriate for your job assignment, wear safety shoes with slip resistant soles.
- EXTINGUISHER: Know where fire extinguishers are and know how to use them.
- PREVENT INFECTION: Punctures, cuts, and scratches can be dangerous. Get first aid.
- IF INJURED: Report injuries, no matter how slight.
- HORSEPLAY: Scuffling, practical jokes, and tricks are not allowed.
- DRUGS AND ALCOHOL – Use of drugs and/or alcohol prior to or during working hours that may reasonably be expected to impair an employee's judgment and therefore the safety of self and others, is prohibited prior to or during working hours when such use may reasonably be expected to negatively affect work performance and safety.
- MATERIAL HANDLING: Do not throw objects, always carry or pass them. Use hand trucks or other equipment when possible. Get help with heavy or awkward objects.

For employees who do not work in office areas, the following should be part of the daily work-safety actions.

- TOOLS: Handle objects and tools carefully. Use the right tool for the job. Use safety glasses or goggles whenever using a power tool. Do not use burred, defective, or greasy tools.
- FALLING OBJECTS: If the work area requires a hard hat, wear it. Store objects and tools where they will not fall.
- WORK AREA CONDITIONS: Protruding nails, or torn and sharp corners can cause serious cuts and bruises. Remove or pad them. Close all drawers.
- LADDERS: Use the proper ladder for the job, not a box, chair, or any makeshift device. Place ladders securely.
- MACHINE GUARDS: Keep guards in place at all times. Do not clean machinery while it is running. Lock all disconnect switches while making repairs or cleaning. Never use compressed air to blow debris off work surface.
- ELECTRICAL HAZARDS: Do not stand on a wet floor while using any electrical apparatus. Keep extension cords in good repair. Do not make unauthorized connections or repairs. Do not overload outlets.

- GAS FIRED APPARATUS: Be sure the fire box is clear of gas before lighting. Use paper or cloth on a long wire or stick to light burner. Stand to side to avoid flashbacks.
- REFRIGERATION: Some refrigeration gases are dangerously poisonous; handle with care.

The above is a copy of JPA safety practices. These practices have been developed under guidelines provided by CAL-OSHA and are intended to assist in safeguarding employee's health and safety. While it is JPA responsibility to notify each employee of these rules, it is each employee's responsibility to read and observe these rules.

I have read and understand the safety rules as indicated on this form and others as told to me by my supervisor, and have had an opportunity to ask questions.

Employee's Signature _____ Date _____

Section 41: Hazard Communication Program

- 41.1 **Purpose:** This program is to ensure that all employees of the JPA have adequate information and training on any hazardous substances used in their work assignments and that they are provided with proper equipment as well as personal protective equipment (PPE) as necessary. JPA administrative employees and employees assigned to client agencies should follow these procedures and policy.
- 41.2 **Scope:** Title 8, California Code of Regulations, General Industry Safety Orders, and Section 5194, require employers to establish a written hazard communication program that includes procedures for employee training, hazard identification, labeling, and records maintenance.
- 41.3 **Definitions:**
- 41.3.1 **Material Safety Data Sheets (MSDS):** A form with data regarding the properties of particular substances that includes such information as:
- Physical data
 - Toxicity
 - Health effects
 - First aid
 - Reactivity
 - Storage
 - Disposal
 - Spill handling procedures
 - Etc.

41.3.2 Personal Protective Equipment (PPE): Anything worn in order to protect the body from workplace hazards, including such items as:

- Safety goggles
- Blast shields
- Hard hats
- Gloves
- Ear plugs
- Aprons
- Work boots
- Etc.

41.3.3 Hazardous substances: Chemicals present in the workplace that are capable of causing harm.

41.4 Responsibilities:

41.4.1 Manager: Each manager of any work unit using hazardous substances is responsible for ensuring that the hazard communication program is maintained.

41.4.2. Supervisor: Each supervisor is responsible for:

- 41.4.2.1 Establishing and maintaining a hazardous substances inventory for those chemical products used in the work unit (Appendix A).
- 41.4.2.2 Advising employees of the location and availability of the JPA written hazard communication program, including the list of hazardous substances and MSDS.
- 41.4.2.3 Ensuring that employees are properly trained on the health hazards of the substances in the work unit, and the measures they can take to protect themselves from these hazards.
- 41.4.2.4 Maintaining documentation of employee hazard communication program training (Appendix B).
- 41.4.2.5 Ensuring that primary and secondary chemical containers are properly labeled.
- 41.4.2.6 Ensuring that employees are using approved PPE where required.
- 41.4.2.7 Providing a copy of the hazard control plan upon request to employees, their designated representatives, Cal/OSHA, or NIOSH.
- 41.4.2.8 Providing information and training on hazardous substances in employee work units at the time of initial assignment and whenever a new hazard is introduced (Appendix C).
- 41.4.2.9 Training employees in the methods and observations that may be used to detect the presence or release of a hazardous substance in the work unit. Training may include monitoring done by the JPA, monitoring devices, and visual appearance or odor of the substances.
- 41.4.2.10 Ensuring that MSDS for hazardous substances are obtained.

- 41.4.2.11 Informing employees of the location of the MSDS and ensuring employees have unrestricted access to them.
- 41.4.2.12 Ensuring the MSDS coincide with the chemicals in stock.
- 41.4.2.13 Ensuring that the chemical manufacturer is contacted in writing if the MSDS was not provided by the vendor (Appendix D).
- 41.4.2.14 Ensuring that the most current MSDS are being used for all chemicals in stock.
- 41.4.3 **Human Resources Director:** The director of human resources has overall responsibility for the hazard communication program as well as:
 - 41.4.3.1 Ensuring that supervisors and managers are properly trained and provide assistance where needed.
 - 41.4.3.2 Monitoring compliance with the hazard communication standard.
 - 41.4.3.3 Coordinating preliminary training and assisting with future training requirements.
 - 41.4.3.4 Maintaining and updating a master copy of the written hazard communication program.
 - 41.4.3.5 Ensuring employee training is documented consistent with Cal/OSHA standards and available for review by regulatory agencies.
 - 41.4.3.6 Providing a copy of the hazard control plan upon request to employees, their designated representatives, Cal/OSHA, or NIOSH.
 - 41.4.3.7 Sending the State of California's director of industrial relations a copy of the written inquiry to a chemical manufacturer for an MSDS if a response has not been received from the manufacturer within 25 working days.
 - 41.4.3.8 Informing employees of their right to personally receive information regarding hazardous substances to which they may be exposed.
 - 41.4.3.9 Informing employees that their physician can receive information regarding hazardous substances to which the employee may be exposed (Appendix E).
 - 41.4.3.10 Informing employees that he/she may not be disciplined due to the employee's exercise of the rights afforded pursuant to the provisions of the Hazardous Substances Information and Training Act.
- 41.4.4. **Employees:** Each employee who is authorized to use hazardous substances has a duty to follow the safe practices and procedures prescribed for such products, including the use of PPE and other clothing provided.
- 41.4.5. **Hazardous Substance Inventory:** An inventory will be performed initially to identify hazardous products and chemicals at each work location. Current hazardous substance inventory forms will be maintained in each area where these materials are used or stored. Hazardous products and chemicals include many materials not usually thought of as being chemical or hazardous.

- Custodial staff uses may be items such as, cleaners, soaps, waxes, detergents, and sweeping compounds.
 - Vehicle services use fuels, lubricants, antifreeze, brake, and hydraulic fluids. Shops use solvents, oils, adhesives, and coolants.
 - Graphic areas use inks, solvents, and dust-producing products.
 - Offices use typewriter cleaner, rubber cement, duplicator chemicals (toner), markers, correction fluid, and so on (Appendix F).
- 41.6 **Material Safety Data Sheets (MSDS):** MSDS will be obtained from manufacturers or suppliers for all products identified during the inventory as containing hazardous or toxic ingredients. Following initial program compliance, MSDS will be obtained for all subsequent purchases. Products without accompanying MSDS will not be accepted for use until the MSDS has been received, reviewed, and approved. All purchase orders will include a requirement that an MSDS be provided as a condition of purchase. A current MSDS binder will be maintained in each area where these materials are stored and used.
- 41.7 : Periodic evaluation of safety control measures for hazardous substances and chemicals will be made in each storage and use area. This evaluation will include the following:
- Hazard Class (flammable, toxic, corrosive, reactive, etc.)
 - Storage compatibility
 - Secondary Containers
 - Labeling
 - Protective clothing and personal protective equipment needed
 - Emergency eyewash/shower facilities
 - Spill cleanup supplies and equipment
 - Fire protection measures
 - Ventilation
 - Static grounding
- 41.8 **Labeling:** The manufacturer or distributor of a hazardous substance is responsible for proper labeling and hazard warnings on their product containers. The JPA responsibilities are:
- 41.8.1 To ensure that all products containing hazardous substances and chemicals are properly marked as to contents and hazard, consistent with applicable standards. Container labels should provide:
- 41.8.1.1 Identity of hazardous substance(s) and chemical(s).
 - 41.8.1.2 Level of hazard warning statement.
 - 41.8.1.3 Name and address of manufacturer or distributor.
- 41.8.2 Ensure that storage/process tanks and piping will be marked or tagged to indicate contents and appropriate warnings.
- 41.8.3 Ensure that when a substance is transferred from the original container, the secondary container will be properly labeled with either a copy of the original

manufacturer's label or with generic labels, which have a block for identity and blocks for the hazard warning.

- 41.8.4 Ensure that manufacturer labels on incoming containers of hazardous substances will not be removed or defaced. Torn or damaged labels will be repaired or replaced before being moved to a storage or use area.
- 41.8.5 Provide information in other languages to labels and warnings as long as the same information is also displayed in English.
- 41.9. **Hazard Communication Training:** Employees will be trained in the handling and use of hazardous substances and chemicals in the work place. Employees from other locations temporarily working at a location will be provided a hazard orientation by the unit supervisor prior to any work activities. Area specific training will be developed by managers and provided for each employee. At a minimum, training will include:
 - 41.9.1 Identification of all hazardous substances and chemicals in the work place.
 - 41.9.2 Selection and use of appropriate PPE when working with hazardous substances and chemicals.
 - 41.9.3 Labeling requirements.
 - 41.9.4 Hazardous leak and spill response, clean up, and disposal.
 - 41.9.5 Protection against exposure to hazardous substances including proper work practices.
 - 41.9.6 Exposure first aid measures.
 - 41.9.7 Location and use of MSDS binder, chemical inventory list and written hazard communication program.
- 41.10 **Hazardous Non-routine Tasks:** Employees may periodically be required to perform hazardous non-routine tasks. Each affected employee will be given information by their supervisor about hazards to which they may be exposed prior to starting work on such projects. This information will include:
 - 41.10.1 Specific hazards that may be encountered.
 - 41.10.2 Protective measures that must be utilized.
 - 41.10.3 Supervisory measures taken to minimize the hazards, including use of PPE, ventilation, presence of additional employees, and emergency procedures.
- 41.11 **Contractors:** The JPA does not frequently employ contractors to perform work. If contractors are used, they are required to have their own Hazard Communication Program.

Section 42: Ergonomics Program

- 42.1 **Policy:** It is the policy of the JPA to provide all employees with a safe and healthy workplace. A proactive ergonomics program is integrated into the agency's written safety and health program. Records documenting the identification, prevention, and control of employee exposure to ergonomic risk factors will be maintained pursuant to all regulations. This program is a collaborative effort that includes

- managers, supervisors, and all employees. The director of human resources is the Ergonomics Program Coordinator, and is responsible for implementation, management, and recordkeeping requirements.
- 42.2. **Ergonomics Program:** The purpose is to apply ergonomic principles to the workplace in an effort to reduce the number and severity of musculoskeletal disorders (MSD), thus decreasing injuries and workers' compensation claims and, where possible, increasing productivity, quality, and efficiency.
- 42.2.1 **Employee Participation:** Employees are encouraged to report workplace processes, equipment, or issues that they perceive to be ergonomic-related.
- 42.2.2 **Worksite Evaluations:** Worksite evaluations are triggered when an employee reports an MSD sign or symptom; when jobs, processes, or work activities where work-related ergonomic risk factors have been identified which may cause or aggravate MSDs, or when any other process identifies ergonomic work issues. Worksite evaluations may include walk-through and observations at employee's worksites, employee interviews, surveys and questionnaires, checklists, and detailed worksite evaluations as appropriate.
- 42.2.3 **Setting Priorities:** Worksite evaluations will be scheduled based upon the following: any job, process, operation, or workstation which has contributed to a worker's current MSD or that has historically contributed to MSDs, then specific jobs, processes, operations, or workstations that have the potential to cause MSDs.
- 42.2.4 **Control of the Ergonomic Risk Factors:** The JPA may take steps to identify ergonomic risk factors and reduce hazards by using a three-tier hierarchy of control:
- **Engineering controls:** This is achieved by focusing on the physical modifications of jobs, workstations, tools, equipment, or processes.
 - **Administrative controls:** This is controlling or preventing workplace exposure to potentially harmful effects by implementing administrative changes such as job rotation, job enlargement, rest/recovery breaks, work pace adjustment, redesign of methods, and worker education; and.
 - **Personal protective equipment (PPE):** Using acceptable forms of PPE, such as kneepads and anti-vibration gloves, etc.
- 42.3 **Program Monitoring** In order to ensure that issues have been addressed and that new problems have not been created, monitoring and evaluation will be conducted on an on-going basis. The methods may include such use of individual interviews and checklists to reevaluate the job/task to ensure that risks have been reduced, minimized, or eliminated.
- 42.4 **Individual Responsibilities**
- 42.4.1 **Ergonomics Program Coordinator:** This person is responsible to ensure evaluations, controls, training and monitoring of the program including ensuring that:

- Control measures are implemented.
- A system is in place for employees to report MSD signs or symptoms and suspected work-related risk factors to human resources.
- Accurate records are maintained.
- Training is scheduled and records are maintained.
- Program monitoring and annual reviews occur.
- Follow-up occurs.

42.4.2 Employees: All employees will:

- Use the appropriate tools, equipment, parts, materials, and procedures in the manner established by managers and supervisors.
- Ensure that equipment is properly maintained in good condition and when not, report it immediately.
- Provide feedback to supervisors regarding the effectiveness of design changes, new tools or equipment, or other interventions.
- Attend ergonomics training as required and apply the knowledge and skills acquired to actual jobs, tasks, processes, and work activities.
- Report MSD signs or symptoms and work-related MSD hazards to the supervisor as early as possible to facilitate medical treatment and initiate proactive interventions.
- Take responsibility for their personal health and safety.

Section G – JPA Administrative Staff Policies

Section 43 Administrative Staff Office Equipment/Computer Policy

43.1 **Overview:** Regional Government Services administrative staff serve three JPAs in a variety of administrative functions, in such areas as human resources, payroll, finance, accounts payable, information technology, office administrative support, risk management, training, organizational development, management_oversight, project consultants, and in all other support areas as needed.

43.2 Work Schedules, Work Place

43.2.1 **Work Schedules:** Generally with the exception of the Executive Director, most administrative staff are hourly part-time employees with flexible work schedules and fluctuating workloads. Those work schedules are based on the JPA needs and may increase or decrease as a result of client activity or JPA operations. Flexible work schedules meet the needs of employees and the JPA, when employees follow this policy with respect to availability to serve our clients and other administrative staff. The Executive Director reserves the right to appoint an individual to a full-time benefitted position, based on JPA needs.

43.2.2 **Work Sites:** Most administrative staff work from home-based offices and use their home space. Employees are responsible for maintaining their own home-based work site so that they may work safely and productively.

43.2.3 **Work Equipment:** Employees utilize personal home phones, cell phones, and computers to provide services to the JPA. Employees are responsible for keeping their own personal equipment in working order.

43.2.4 **Core Hours:** Some administrative staff work core hours, while others have a more flexible schedule. This work schedule is determined by the employee's immediate supervisor.

43.2.5 **Email:** Employees when working are expected to check and respond to email regularly. When away from the employee's office during a workday, employees are expected to check email at least once per day. When absent for long periods of time, employees are expected to use the Outlook out-of-office assistant message indicating when they will be returning and indicating alternate JPA administrative contact.

43.2.6 **Voice Mail:** Employees are expected to check and respond to telephone calls and voicemail regularly during normal business hours. When away from the employee's office during a workday, employees are expected to forward their office phone to their personal cell phone.

43.3 **Office Furniture and Equipment:** Office furniture and/or office equipment may be provided by the JPA to administrative staff as needed, based on the following criteria.

- 43.3.1 Assessment of Needs:** New employees will be asked about their office needs to determine if work furniture or equipment is needed. Should various items be required, the JPA will assess if there is equipment or furniture available to provide. In addition, each employee's telephone needs will be assessed to determine if special JPA phone equipment is warranted and appropriate for the setting. If JPA phone equipment is needed it will be provided by the JPA.
- 43.3.2 Cost:** If the employee owns appropriate equipment, no additional equipment will be purchased, nor will reimbursement be granted for using the employee's equipment. If no equipment or furniture is available, the purchasing of such items will be undertaken. The employee shall research and make recommendations for such items taking into consideration space requirements as well as cost. All items considered for purchasing must be approved by the employee's immediate supervisor and the executive director's designee.
- 43.3.3 Maintenance Responsibility:** Employees shall properly maintain their own office furniture. JPA provided computer equipment will be maintained by the JPA.
- 43.3.4 Upgrades or Replacement:** Should furniture no longer be operational, such as chairs, the JPA may provide a replacement if it is determined to be needed.
- 43.3.5 Separation from Employment:** Equipment purchased by the JPA is JPA property. All office furniture and equipment must be returned to the JPA upon an employee leaving employment for any reason with some exceptions. The Executive Director or designee will determine if JPA-owned office furniture and/or equipment is still in good working order. Should the items be in proper working order and the JPA determines that this equipment or furniture is needed, it will make such arrangements to have the items forwarded to the appropriate location. Should the furniture or equipment not be needed by the JPA, the executive director or designee will determine the manner and disposition of such items consistent with JPA needs, policies, and public law.
- 43.4 Ergonomic Review:** Each employee once their home-based office is set up should request an ergonomic review by the JPA ergonomic consultant to assess for ergonomic issues. This review can be done in person, by phone or teleconference, Skype, video, or any other method deemed appropriate by the director of human resources. Human resources will arrange for this review and assessment.
- 43.4.1 Computer and Peripherals and Other Associated Electronic Systems:** Computers and related peripherals may be provided by the JPA to administrative staff as needed, based on the following criteria.
- 43.4.2 Assessment of Needs:** New employees will be asked about their computer needs to determine if a computer and related equipment is needed. Should

various items be required, the JPA will assess if a JPA computer and/or equipment are available to provide or to purchase.

- 43.4.3 **Standardization:** Computer hardware and related equipment shall be a PC desktop or laptop with a screen no smaller than 14 inches running a current version of a Windows operating system.
- 43.4.4 **Software:** Required software includes a pc platform as well as: Microsoft Office suite which includes Microsoft Outlook, Adobe Acrobat (full version, not Adobe Reader), web browser, and a current AVG Anti-Virus program. RGS technical support will configure the VPN connection and Microsoft Outlook email account. Finance positions will also have a terminal server connection set up. Software shall generally be updated every three years.
- 43.4.5 **Internet Connections:** Employee must maintain a reliable internet connection that provides for a minimum of 3 Mbps download speed and 1 MBPS upload speed.
- 43.4.6 **Cost:** If no equipment is available, the purchasing of such items will be undertaken. All items considered for purchasing must be approved by the employee's immediate supervisor and the executive director's designee, who will place such order.
- 43.4.7 **Maintenance Responsibility:** Electronic equipment will be maintained by the JPA through a contract desktop support company. New electronic equipment will be set up by the contract desktop support company. In addition, the contract support company will provide routine maintenance for all JPA-owned computer related equipment.
- 43.4.8 **Work Files:** Work files must be stored on the JPA VPN and may not be exclusively maintained in files on the employee's home computer.
- 43.4.9 **Security:** in addition to an active Anti-Virus program, employees are to use password access to the computer, and use prudent password protection.
- 43.4.10 **Personal Use:** Employees are authorized to use the computer for personal use as long as the employee is following the Personnel Rules, Regulations, and Policy sections relevant to computer use and technology.
- 43.5 **Supplies:** Office supplies, such as paper, printer ink, etc will be made available to employees. The Executive Assistant will arrange for those items to be available.
- 43.6 **Upgrades or Replacement:** Should computers and peripherals be outdated or no longer operating at peak performance, the JPA will provide a replacement.
- 43.7 **Separation from Employment:** All JPA-owned computers and equipment must be returned to the JPA upon an employee leaving employment for any reason with some exceptions. The Executive Director or designee will determine if JPA-owned equipment is still in appropriate working order. Should the items be in proper working order and JPA management determine that this equipment is needed elsewhere; arrangements will be made to have the items forwarded to the appropriate location. If it is determined that the computer equipment is not needed by the JPA and should the employee wish to purchase this equipment, the executive director will determine if the equipment is to be reallocated for JPA use or

surplused and the value, if any, of the such items. If the items are surplused all JPA information must be erased from the hard drive, and connections to the JPA accounts removed.

Section 44 Administrative Staff Compensation and Benefits

Philosophy

- 44.1 **Benefits:** All JPA employees are eligible for benefits, such as participation in a qualified retirement plan (such as RGS' 401(a) defined contribution plan), employee assistance program, unemployment coverage, workers' compensation and liability insurance coverage. In addition, part time administrative staff who meet the criteria are eligible for time off for a variety of federal or state-mandated programs, such as FMLA, Pregnancy Leave, etc.
- 44.2 **Leaves:** Most of JPA administrative staff are not eligible for full-time benefits as defined in their individual employment agreements. However, JPA administrative staff who regularly work 20 or more hours per week are eligible to receive pro-rated holiday leaves as defined in their individual employment agreement.
- 44.3 **Health and Welfare:** All benefit eligibility is defined in the employee's individual employment agreement. Generally, part-time administrative staff are not eligible to receive health and welfare benefits, such as life insurance, long or short-term disability, vision insurance, dental insurance, or medical insurance.
- 44.3.1 **Exceptions:** In some cases at the discretion of the Executive Director and when an employee has worked more than 6 months for the JPA, part-time administrative staff may receive certain benefits consistent with other public-sector employers when placed in regular part-time status, such as pro-rated medical, dental, and vision insurance, as well as eligibility for the alternate medical program. Benefits will be pro-rated based on the individual's projected work hours and will be outlined in their individual employment agreement.
- 44.4 **Phone Allowance:** Most administrative staff work from home-based offices and use their personal cell phones for work-related business. Phone allowances are provided to those employees ranging from a monthly amount of \$50.00 to \$75.00 as determined by the Executive Director and as outlined in their individual employment agreement.
- 44.5 **Compensation:** The Executive Director has the authority to set compensation consistent with other public-sector employers, using the greater Bay Area as its labor market. Salary for staff with no benefits may be higher than for staff with benefits. Compensation will not be set for any employee that is inconsistent (high or low) with the salary range.
- 44.5.1 **Salary Ranges:** Salary ranges for each position are broad, allowing the Executive Director to adjust hourly compensation according to his discretion,

based on several factors, first always considering JPA financial ability and other factors including:

- The need for the work within the JPA.
- The quality of the employee’s work and the employee’s adaptability and flexibility in helping meet the JPA workload.
- The employee’s total compensation package, including the presence or absence of health and welfare benefits as well as anticipated and consistent hours-per-week workload.

45.5.2 Salary Range Adjustment: The Executive Director may adjust the salary ranges periodically as needed to conform to overall market-based greater Bay Area salary ranges, based on market adjustments, such as CPI or a salary survey. The Executive Director may also adjust salaries when the following occurs:

- Change in the employee’s level of duties.
- Annual salary increase.
- Cost of Living changes.
- Change in internal alignment.
- Above average to exceptional performance after conducting a performance review.

45.5.3 Actual Salary Ranges: Pay rates may be placed anywhere on the salary range based on the above criteria.

Director of Human Resources	\$60.00 to \$90.00
Deputy Director of Administrative Services	\$60.00 to \$90.00
Finance Manager	\$50.00 to \$80.00
Project Manager	\$45.00 to \$75.00
Human Resources Manager	\$40.00 to \$70.00
Accounting Manager	\$40.00 to \$70.00
Principal Financial Analyst	\$38.00 to \$60.00
Senior Management Analyst	\$38.00 to \$60.00
Human Resources Analyst	\$30.00 to \$55.00
Management Analyst	\$30.00 to \$50.00
Executive Assistant	\$25.00 to \$40.00
Payroll Technician (all levels)	\$20.00 to \$35.00
Accounting Technician	\$20.00 to \$35.00

Section 45 Administrative Staff Pay for Performance Program

45.1 Pay for Performance Program: Employee performance is evaluated periodically but no less than every two years. At the discretion of the executive director, an employee may be eligible for the Pay-for-Performance program if the evaluation rating is Above Average to Exemplary.

45.2 Pay for Performance Amounts: At the discretion of the executive director, for above average to exemplary performance, the employee may receive one or more of the following:

- A one-time lump-sum payment of up to 5% bonus based on the employee's previous 12-months annual salary. This bonus payment is not included in the calculation of the 401a contributions amounts; or
- An annual 1% to 5% employer-paid match to the employee's 401a program for the following 12-month period. The employee must contribute same amount to the employee's voluntary 457b account; and/or
- A one-time bonus payment of up to \$3,000 for a Personal Wellness Plan to be used for wellness and personal fitness, such as gym memberships, personal trainers, exercise classes, health-prevention classes, massage therapy, personal therapy, or any program, class, or plan that is related to the overall health of the employee.



LOCAL AND REGIONAL GOVERNMENT SERVICES AUTHORITIES

Providing Solutions to California Public Agencies

P.O. Box 1350 · Carmel Valley, CA 93924 · 650.587.7300

TO: BOARD OF DIRECTORS
FROM: RICHARD H. AVERETT, Executive Director
SUBJECT: ADMINISTRATIVE AND FINANCIAL POLICIES

BOD Meeting: 5-16-2013
Item: 6B

RECOMMENDATION

Approval of updated Administrative and Financial Policies.

BACKGROUND

Staff has consolidated various Administrative and Financial policies into one document. Updates to this document are made as needed, and brought to the Finance Committee during the year and to the Board once a year at its May meeting. Attached is the most current document, with any changes to previously Finance Committee-approved policies tracked.

ANALYSIS

The Administrative and Financial Policies in one document better enable the Finance Committee and Board of Directors to evaluate proposed changes to a policy that may impact other policies. There are no proposed substantive changes to the document last approved by the Finance Committee. The table of contents reflects changes to the order of policies, with Administrative and Financial policies grouped separately. Also, each policy's tracking dates have been updated where appropriate. Staff is proposing that target net assets for each JPA remain at current year minimum levels. This year and next are likely to be more financially challenging than the last two highly successful years, so a pause in increasing the minimum reserve targets at this time was thought to be appropriate.

FISCAL IMPACT

There is no fiscal impact of approving these updates to the JPAs' Administrative and Financial Policies.



Local Government Services, Regional Government Services and Municipal Services Authorities

Administrative and Financial Policies

**Created
November 15, 2012**

*Administrative Offices:
Human Resources:*

P.O. Box 1350 · Carmel Valley, CA 93924
P.O. Box 1077 · Camarillo, CA 93011

ph: 831/308-1508
ph: 650/587-7316

fax: 831/308-1509
fax: 650/587-7317

Local Government Services Authority (LGS)
Regional Government Services Authority (RGS)
and
Municipal Services Authority (MSA)

Administrative and Financial Policies

Resolution:

WHEREAS, the Finance Committee for Local Government Services and Regional Government Services (The JPAs) are authorized to adopt rules and regulations for the regulation of financial policies of the JPAs; and

WHEREAS, the objectives of these Financial Policies are to facilitate efficient and economical services to the government agency community; and

WHEREAS, these Financial Policies ensure adherence to generally agreed to accounting principles; and

WHEREAS, at the same time, within the limits of administrative feasibility, considerable latitude shall be given to Executive Director and designee in the interpretation of these rules; now, therefore, be it

RESOLVED, that the Finance Committee of the JPAs does hereby adopt the following Financial Policies.

Table of Contents

Page

Resolution	2
Table of Contents	3
Introduction	4

Policies

Formatted: No underline

Administrative Policies

Formatted: Font: Bold, Underline

1. Cooperation and Utilization	6
2. Conflict of Interest	7
3. Records Retention	9
4. Board and Administrative Staff iPad/Tablet Policy	10

Formatted: No bullets or numbering

~~3.~~ **Financial Policies**

Formatted: Indent: Left: 0.38", No bullets or numbering

4. 5. Investments	10 12
5. 6. Allocation of JPA Administrative Expenses	19 21
6. 7. Audit Rotation	20 22
7. 8. Financial Reserves Designation-Net Assets	21 23
8. Inter-JPA Loans	22

Formatted: Font: Bold, Underline

Formatted: No bullets or numbering

Introduction

JPA's: Local Government Services and/or Regional Government Services, herein after, the JPAs, provide services to a variety of clients with employees assigned to perform those services. Employees are the JPA's representatives when performing services.

Board of Directors and Executive Committee: The Boards of Directors for Local Government Services, Regional Government Services and Municipal Services are each comprised of one representative from each member organization. Finance Committee Members are appointed by the LGS and RGS Boards.

Name: These Financial Policies (hereafter "Policies") generally describe the financial rules and procedures approved by the Committee, Board or Executive Director, in the case of administrative policies. These Policies attempt to reflect and encourage best practices for public agencies. These Policies apply to LGS, RGS and MSA, except where otherwise indicated in these Policies.

Conflicting Policies: These Policies were established to conform and be complementary to JPA procedures. In cases where there is deemed to be a conflict between a Policy and a procedure, the Policy shall prevail.

Additional Policies: The Executive Director is the executive leader of the JPAs and may issue additional rules or policies as deemed necessary for the efficient administration of the agencies. However, such administrative rules or policies shall not conflict with these Policies. In cases where there is deemed to be a conflict between an Administrative rule and these Policies, these Policies shall prevail.

Amendments: These Policies may be amended from time to time and approved by the Finance Committee and the JPA Governing Board.

Accessing Policies: These Policies are available to all employees and are posted on both JPAs' websites. Employees are responsible for reading and complying with them.

Violation of Policies: Violations of the provisions of these Policies shall result in disciplinary action, up to and including dismissal, to be taken in accordance with the Personnel Rules and Regulations.

Discrepancies: In the event there is a discrepancy between the language in these Policies and state or federal law, federal or state law shall prevail over these Policies.

Severability: If any part of these Policies is determined to be unconstitutional or illegal, such part shall be severed from these Policies and the remaining Policies shall be given full force and effect.

Word Usage: The term Agency, JPA or JPAs as used in these Policies refers to Local Government Services and/or Regional Government Services and/or Municipal Services Authority. Responsibilities and rights of the JPAs under these Policies are exercised by the Executive Director, and may be delegated by the Director in his/her discretion.

Executive Director: The term Executive Director refers to Local Government Services and/or Regional Government Services Executive Director. The Executive Director may designate authority to the administration or human resources manager, as appropriate. When interpreting these Policies, anytime the Executive Director is listed, it should also be interpreted to mean the Executive Director or his/her designee.

Cooperation and Utilization Policy

Board of Directors Approval: May ~~17~~¹⁶, ~~2012~~²⁰¹³
Next Board of Directors Review: May ~~16~~¹⁵, ~~2013~~²⁰¹⁴

Formatted: English (United States)

Formatted: English (United States)

Purpose: To reduce duplication of shared administrative procedural and policy actions.

Cooperation Agreement Utilization Plan: LGS, RGS and MSA adopted an updated Cooperation Agreement on January 12, 2012. The Cooperation Agreement states that the agencies will share administrative resources, including staff and vendor services, to more cost-effectively achieve and coordinate their operational needs.

In order to more fully realize the value of the Cooperation Agreement, it is recommended that shared administrative actions taken by RGS are effectively approved by LGS and MSA as signatories of the Cooperation Agreement. If LGS or MSA is the lead agency on administrative actions in the future, those actions will be effectively approved by the other agencies, as appropriate.

Conflict of Interest Policy

Board of Directors Approval: May 17, 2012
Next Board of Directors Review: May 15, 2014

Purpose: The Political Reform Act of 1974 (Government Code Sections 81000 et seq.) requires state and local government agencies to adopt and promulgate Conflict of Interest Codes.

Conflict of Interest Code: The Fair Political Practices Commission has adopted a regulation (2 Cal. Code of Regs. Section 18730), which contain the terms of a standard Conflict of Interest Code and can be incorporated by reference in an agency's code. After public notice and hearing, it may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act.

Therefore, the terms of 2 California Code Regulations Section 18730 and any amendments duly adopted by the Fair Political Practices Commission are hereby incorporated by reference. These regulations and the attached appendix, designating officials and employees and establishing disclosure categories, shall constitute the Conflict of Interest Code of the Regional Government Services Joint Powers Authority, Local Government Services Joint Powers Authority and the Municipal Services Joint Powers Authority.

Designated officials and employees shall file statements of economic interests with the Regional Government Services Authority, Local Government Services Authority and Municipal Services Authority who will make the statements available for public inspection and reproduction (Gov. Code Section 81008.) The Secretary will retain statements for all designated officials and employees.

Appendix: Designated Officers and Employees

<u>Position</u>	<u>Disclosure Category</u>
Board Directors, Alternates and Executive Committee Member	1
Executive Director/Chief Financial Officer	1
Director of Human Resources	1
General Counsel	1
Consultants*	1

*Consultants shall be included in the list of designated officials and employees and shall disclose pursuant to the broadest disclosure category in the Code subject to the following limitation:

The Chief Executive Officer, or his or designee, may determine in writing on a case by case basis that a particular consultant, although a designed position, is hired to perform a range of duties that is limited in scope and thus does not require compliance, or full compliance with disclosure requirements. Any such written determination shall include a description of the consultant's duties and a statement as to the extent of disclosure requirements. The Chief Executive Officer may determine whether a contract consultant constitutes a "consultant" as defined in the Political Reform Act. The Chief Executive

Officer's determination is a public record and shall be retained for public inspection in the same manner and location as this Conflict of Interest Code.

Disclosure Category 1: Persons in this category must disclose all investments and business positions in business entities, doing business in, and sources of income and interests in real property, in the state in which the Authority operates.

Records Retention Policy

Board of Directors Approval: ~~June 9, 2011~~ May 16, 2013

Next Board of Directors Review: May ~~15, 2013~~ 2014

Formatted: English (United States)

Formatted: English (United States)

Purpose: At the June 9, 2011 Board of Directors meeting, the Human Resources Director presented a Records Retention Policy which included a records retention schedule created by an expert in municipal government records.

The JPAs were desirous of adopting a Records Retention Policy to realize efficiency gains and cost savings by reducing current and future records storage costs, eliminating duplication of effort, increasing efficiency, and taking advantage of current technology and changes in law.

Records Retention Policy: JPA staff is to refer to the records retention schedules when making decisions as to the maintenance of JPA records. The full records retention schedule contains 13 comprehensive sections, each relating to a unique business area. They provide clear, specific records descriptions and retention periods, and apply current law and technology to the management of records.

The records retention schedule is a proprietary document and cannot be published in a public document. The full retention schedule is on file and available for JPA staff to reference when needed.

The records retention schedule can be amended by approval of the Board.

Board and Administrative Staff iPad/Tablet Policy

Overview

Regional Government Services (RGS), Local Government Services (LGS), and Municipal Services Authorities (MSA) Joint Powers Authorities have appointed officials who serve on one or more of these agencies in the capacity of a board member, a member of the executive committee, or a member of a sub-committee. Regional Government Services employs administrative staff, who then provide services to all three JPAs. As appointed officials and staff are throughout the JPAs' service areas, a paperless agenda process is being implemented to streamline the agenda process, enhance efficiency and mobility, and provide a cost savings through the use of iPads or similar tablet devices.

The JPA meetings rotate to Member Agency sites, with most Member Agencies' sites being able to operate multiple users concurrently.

IPad/Tablet Eligibility

The JPA will provide an expense reimbursement to JPA Officials, management team, and designated other JPA staff as deemed necessary for work purposes by the JPA Executive Director.

IPad/Tablet Expense Reimbursement Amount

This reimbursement is for the purchase of an iPad/Tablet to access agenda packets electronically, enhance efficiency, and align with established and emerging best practices. The amount of reimbursement will be up to \$1,000.00 to purchase the device, required applications and accessories. Should the appointed official or employee choose options costing more than the JPA standard, the difference will not be paid by the JPA. Nor will the JPA reimburse for monthly or annual internet or phone or data services.

Technology and Reimbursement Amount Review

The executive director will review the state of technology every three years to determine if updated devices or reimbursement amounts are required. The amount of the reimbursement is intended to be a one-time per user amount and may be adjusted upon periodic administrative review.

Hardware, Software, and Accessories Requirements

- **Hardware:** In terms of efficiency and mobility, utilization of an iPad/Tablet device allows all information to be stored in one location. Notes can be made while reviewing the documents for easy retrieval by using a bookmark in the annotation applications. The required JPA standard for tablet technology is a 16 GB iPad with Wi-Fi capability. Users may consider a 32GB cellular-enabled iPad, if users foresee dual purpose usage of the device (business needs and personal use). An appointed official or staff may choose to use a different tablet device as long as it is capable of the paperless agenda process and is conducive to accomplishing JPA business

processes. Use of a device other than iPad must be pre-approved by the Executive Director.

- **Accessories and Applications:** As individual owners of iPads, JPA officials and staff will be required to establish a personal iTunes account with personal credit card to set up an Apple/iTunes account in order to download necessary applications. While many of the applications needed for business purposes are free, some are required to be purchased for a nominal fee, which varies between applications.
 - **Recommended Applications:** Some applications shall be required to support the paperless agenda process and are subject to change as technology evolves. Recommended applications are:
 - Dropbox or similar
 - iAnnotate or similar
 - 1Password or similar.
 - Evernote/Notability
 - Pages (Word Processing Application)
- **AppleCare Warranty:** AppleCare+ for iPad extends owner coverage to two years from the original purchase date of the iPad and adds up to two incidents of accidental damage coverage
 - Coverage: AppleCare+ provides repair (both parts and labor) or replacement coverage, from Apple-authorized technicians.
 - Coverage includes: iPad, Battery, Time Capsule, or AirPort device, USB cable and Power Adaptor.
 - Accidental damage coverage is subject to a \$50 deductible (user is responsible for cost of the deductible).
 - AppleCare+ also includes technical support either in-store or over the phone.
- **Additional Optional Accessories**
 - iPad/Tablet cover
 - Keyboard
 - Protective screen cover

Damage

Should any damage or loss of function to the device occur, it is the responsibility of the owner to repair or replace device.

Investment Policy

Financial Committee Approval: N/A
Board of Directors Approval: May ~~17~~16, ~~2012~~2013
Next Finance Committee Review: May, ~~2013~~2014
Next Board of Directors Review: May ~~16~~15, ~~2013~~2014

Formatted: English (United States)

Formatted: English (United States)

Formatted: English (United States)

Formatted: English (United States)

I. INTRODUCTION

This statement will identify various policies and procedures that will foster a prudent and systematic investment program as well as organize and formalize investment related activities. The related activities which comprise good cash management include:

- Accurate cash projections;
- Timely collection of revenues;
- Control of disbursements;
- Cost-effective banking and financial services; and
- Adherence to a system of internal controls.

In accordance with the LOCAL & REGIONAL GOVERNMENT SERVICES AUTHORTIES Joint Powers Agreements as Amended and under authority granted by the Agencies' Board of Directors, the Agency Treasurer is responsible for investing the unexpended cash.

The investment of the funds of the LOCAL & REGIONAL GOVERNMENT SERVICES AUTHORTIES, and MUNICIPAL SERVICES AUTHORITY, is directed to the goals of safety, liquidity and yield. The authority governing investments for municipal governments is set forth in the California Government Code, Sections 53601 through 53659.

II. SCOPE

This policy applies to all financial assets and investment activities of the LOCAL & REGIONAL GOVERNMENT SERVICES AUTHORTIES and MUNICIPAL SERVICES AUTHORITY.

III. OBJECTIVES

Safety of Principal: The primary objective of this policy is to protect, preserve and maintain the cash and investments of the Authorities. Each investment transaction shall seek to ensure that capital losses are avoided, whether from securities default, broker-dealer default or erosion of market value. The Agencies shall seek to preserve principal by mitigating the two types of risk: credit risk and market risk.

Credit risk, defined as the risk of loss due to failure of the issuer of a security, shall be mitigated by investing in investment grade securities and by diversifying the investment portfolio so that the failure of any one issuer does not unduly harm the Agencies' capital base and cash flow.

Market risk, defined as market value fluctuations due to overall changes in the general level of interest rates, shall be mitigated by limiting the average maturity of the Agencies' investment portfolio to two years, the maximum maturity of any one security to five years, structuring the portfolio based on historic and current cash flow analysis eliminating the need to sell securities prior to maturity and avoiding the purchase of long term securities for the sole purpose of short term speculation. Investments shall be placed in those securities as outlined by type and maturity sector in this document. Effective cash flow management and resulting cash investment practices are recognized as essential to good fiscal

management and control. The Agencies' portfolio shall be designed and managed in a manner responsive to the public trust and consistent with state and Agency policy. Portfolio management requires continual analysis and as a result the balance between the various investments and maturities may change in order to give the LOCAL & REGIONAL GOVERNMENT SERVICES AUTHORTIES the optimum combination of necessary liquidity and optimal yield based on cash flow projections.

Liquidity: An adequate amount of the portfolio will be maintained in liquid short-term securities which can be converted to cash, as necessary, to meet disbursement requirements. This amount will be determined from projected cash flow trends and disbursement requirements. Investments will be made in securities with active secondary or resale markets. Securities with low market risk will be emphasized. The Agencies' investment portfolio will remain sufficiently liquid to enable the Agencies to meet all reasonably anticipated operating requirements.

Yield

Within the constraints of safety and liquidity, the highest and best return will be sought. Because the portfolio is too small to allow investments in significant long-term purchases, the objective will be to maximize yield, taking into account risk constraints of the Authorities, cash flow characteristics of the portfolio and compliance with state and federal regulations.

Prudence

The standard to be used by investment officials shall be that of a "prudent investor" and shall be applied in the context of managing all aspects of the overall portfolio. When investing, reinvesting, purchasing, acquiring, exchanging, selling, or managing public funds, a trustee shall act with care, skill, prudence, and diligence under the circumstances then prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the Agencies, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the Agencies. Within the limitations of this section and considering individual investments as part of an overall strategy, investments may be acquired as authorized by law. (Government Code Section 53600.3)

It is the Agencies' full intent, at the time of purchase, to hold all investments until maturity to ensure the return of all invested principal dollars. However, it is realized that market prices of securities will vary depending on economic and interest rate conditions at any point in time. It is further recognized that in a well-diversified investment portfolio, occasional measured losses are inevitable due to economic, bond market or individual security credit analysis. These occasional losses must be considered within the context of the overall investment program objectives and the resultant long-term rate of return.

The Agencies Treasurer and other individuals assigned to manage the investment portfolio, acting within the intent and scope of the investment policy and other written procedures and exercising due diligence, shall be relieved of personal responsibility and liability for an individual security's credit risk or market price changes, provided deviations from expectations are reported in a timely manner and appropriate action is taken to control adverse developments.

IV. INVESTMENT INSTRUMENTS AND MATURITIES

Permitted Investments

Investments will be within statutory limits imposed by Government Code Section 53601, as further limited herein.

1. Local Agencies Investment Fund (LAIF) which is a State of California managed investment pool, Investment Trust of California (the CalTRUST JPA pool) which is a joint powers authority under the provision of Title 1, Division 7, Chapter 5 of the California Government Code, and California county investment pools, may be used up to the maximum permitted by California State Law.
2. Time deposits, non-negotiable and collateralized in accordance with the California Government Code, may be purchased through banks or savings and loan associations. Since time deposits are not liquid, no more than 25% of the investment portfolio may be invested in this investment type.
3. Various daily money market or sweep account funds administered for or by trustees, paying agents and custodian banks contracted by the LOCAL & REGIONAL GOVERNMENT SERVICES AUTHORTIES may be purchased as allowed under State of California Government Code. Only funds holding U.S. Treasury or Government Agency obligations can be utilized.
4. Direct obligations of the United States Treasury or any other obligation guaranteed as to principal and interest by the United States government, per CA Code 53601.7 e(1).
5. Bonds, notes, warrants, or other indebtedness of the local agency, or any local agencies within this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the local agencies, or by a department, board, Agencies, or authority of the local Agencies, per CA Code 53601.7 e(4).
6. Local and Regional Government Services Authorities receivables.
7. Customized investments in or with other local governments, specifically and individually approved by the Board.

The following summary of maximum percentage limits, by instrument, is established for the Agencies' total portfolio. Maturities of investments will be selected based on liquidity requirements to minimize interest rate risk and maximize earnings.

Investment Type	Percentage/Amount
Local Agencies Investment Fund	\$0 to \$40,000,000 per account
CalTrust and County Pools	0% to 100%
Time Certificates of Deposit	0% to 25%
Sweep Accounts – not applicable	0% to 100%
U.S. Government Obligations	0% to 25%
California Agencies' Indebtedness	0% to 75%, limited to one year maturity
JPA Receivables	0% to 75%, limited to one year maturity

Excluded Investments

Ineligible investments are those that are not described herein, including but not limited to: common stocks; long term (over five years in maturity) notes and bonds; Reverse Repurchase Agreements; financial futures and financial options, inverse floaters, range notes, or interest-only strips that are derived from a pool of mortgages; any derivative security that could result in a zero interest accrual if held to maturity; and Guaranteed Small Business Administration (SBA) notes.

V. PERFORMANCE EVALUATION

The Agencies' investment portfolio is designed to attain safety and liquidity, with the rate of return being maximized while taking into account risk constraints of the Authorities, cash flow characteristics of the portfolio and compliance with state and federal regulations. Therefore, the Agencies are not establishing a benchmark because to do so would be impractical given the limited excess funds available for investment in longer-term, higher-yielding securities and the Authorities' liquidity needs.

Investment performance is monitored and evaluated by the Agencies' Executive Committees. Performance statistics and activity reports are generated on a quarterly basis for presentation to the Agencies' Executive Committees at their regularly scheduled meetings. Annually, a statement of investment policy, and any proposed changes to the policy, will be rendered to the Agencies' Boards of Directors for Board consideration at a public meeting.

VI. AUTHORITY TO INVEST MONIES

Government Code sections 53600 through 53601.6 provide legal authorization for investment of the funds of local agencies. All investments of the authority shall conform to the restrictions of those laws. LOCAL & REGIONAL GOVERNMENT SERVICES AUTHORTIES' Boards of Directors hereby assign responsibility for investing unexpended cash to the Agencies' Treasurer, who shall establish procedures for the operation consistent with this investment policy.

VII. ETHICS AND CONFLICTS OF INTEREST

Officers and employees involved in the investment process shall refrain from personal business activity that conflicts with proper execution of the investment program, or impairs their ability to make impartial investment decisions. Additionally the Treasurer/CFO and other Agency officials authorized to approve investment transactions are required to annually file applicable financial disclosures as required by the Fair Political Practices Commission (FPPC).

VIII. INTERNAL CONTROL

A system of internal controls shall be established and maintained in written form. These controls shall be designed to prevent losses of public funds arising from fraud, error, misrepresentation of third parties, unanticipated changes in financial markets, or imprudent actions by employee/offers of the Authority. The most important controls are: control of collusion, separation of duties, separation of transaction authority from accounting and bookkeeping, custodial safekeeping, delegation of authority, limitations regarding securities losses and remedial action, written confirmation of telephone transactions, minimization of the number of authorized investment officials, documentation of transactions and strategies, and annual review of controls by the Treasurer.

In recognition of the Agencies' current limited investment staffing (one primary person performing daily cash management, and one primary approver plus one backup staff approver) and limited funds to invest (approximately four million dollars), the Agencies rely more heavily on: separation of wire transfer preparation and approval of funds duties between Authority staff; Executive Committee quarterly reviews of investments; annual independent audit of investments and investment transactions; and on an extremely conservative investment strategy that reduces risks associated with frequent investment transaction, negotiated investments, and with complex transactions. The Authority's investment products will be limited by this policy until such time that funds available to invest are sufficient to enable longer-term commitments. Proper documentation obtained from confirmation and cash disbursement wire transfers is required for each investment transaction. Timely bank reconciliation is conducted to ensure proper handling of all transactions.

The investment portfolio and all related transactions are reviewed and balanced to appropriate general ledger accounts by the Authority's Finance Staff on a monthly basis. An independent analysis by an external auditor shall be conducted annually to review internal control, account activity and compliance with policies and procedures.

IX. REPORTING

The Agencies' Treasurer shall render quarterly reports to the Agencies Executive Committee. These reports shall include the face amount of the cash investment, the classification of the investment, the name of the institution or entity, the rate of interest, the maturity date, the current market value and accrued interest due for all securities. At the annual Boards of Directors meeting, the investment policy shall be submitted to the Boards for review and adoption.

X. BANKS AND SECURITIES DEALERS

In selecting financial institutions for the deposit or investment of Authority funds, the Treasurer shall consider their credit worthiness. The Treasurer shall continue to monitor their credit characteristics and financial history throughout the period in which Authority funds are deposited or invested. A commercial rating or bank watch service may be used to accomplish this objective.

Financial institutions/investment managers shall annually sign a certification form attesting that the individual responsible for the Authority's account with that firm has reviewed and understands the investment policy and intends to present only those investment transactions appropriate under the policy.

XI. LEGISLATIVE CHANGES

Any State of California legislative action that further restricts allowable maturities, investment type, or percentage allocations will be incorporated into the LOCAL & REGIONAL GOVERNMENT SERVICES AUTHORTIES' Investment Policy and supersedes any and all previous applicable language.

XII. LIMITING MARKET VALUE EROSION

The longer the maturity of securities, the greater their market price volatility. Therefore, it is the general policy of the Agencies to limit the potential effects from erosion in market values by adhering to the following guidelines:

- All immediate and anticipated liquidity requirements will be addressed prior to purchasing all investments.
- Maturity dates for long-term investments will coincide with significant cash flow requirements where possible, to assist with short term cash requirements at maturity.
- All long-term securities will be purchased with the intent to hold all investments to maturity under then prevailing economic conditions. However, economic or market conditions may change, making it in the Agencies' best interest to sell or trade a security prior to maturity.

XIII. PORTFOLIO MANAGEMENT ACTIVITY

The investment program shall seek to augment returns consistent with the intent of this policy, identified risk limitations and prudent investment principals. These objectives will be achieved by use of the following strategies:

Active Portfolio Management. Through active fund and cash flow management, taking advantage of current economic and interest rate trends, the portfolio yield may be enhanced with limited and measurable increases in risk by extending the weighted maturity of the total portfolio.

Portfolio Maturity Management. When structuring the maturity composition of the portfolio, the Agencies shall evaluate current and expected interest rate yields and necessary cash flow requirements.

It is recognized that in normal market conditions longer maturities produce higher yields. However, the securities with longer maturities also experience greater price fluctuations when the level of interest rates change.

XIV. POLICY REVIEW

The LOCAL & REGIONAL GOVERNMENT SERVICES AUTHORTIES' investment policy shall be adopted by the Agencies' Boards of Directors on an annual basis. This investment policy shall be reviewed at least annually to ensure its consistency with the overall objectives of preservation of principal, liquidity and yield, and its relevance to current law and financial and economic trends. Any amendments to the policy shall be forwarded to Agencies Boards of Directors for approval.

Glossary of Terms

- **Accrued Interest-** Interest earned but not yet received.
- **Active Deposits-** Funds which are immediately required for disbursement.
- **Amortization-** An accounting practice of gradually decreasing (increasing) an asset's book value by spreading its depreciation (accretion) over a period of time.
- **Asked Price-** The price a broker dealer offers to sell securities.
- **Basis Point-** One basis point is one hundredth of one percent (.01).
- **Bid Price-** The price a broker dealer offers to purchase securities.
- **Bond-** A financial obligation for which the issuer promises to pay the bondholder a specified stream of future cash flows, including periodic interest payments and a principal repayment.
- **Bond Swap –** Selling one bond issue and buying another at the same time in order to create an advantage for the investor. Some benefits of swapping may include tax-deductible losses, increased yields, and an improved quality portfolio.
- **Book Entry Securities –** Securities, such as stocks held in "street name," that are recorded in a customer's account, but are not accompanied by a certificate. The trend is toward a certificate-free society in order to cut down on paperwork and to diminish investors' concerns about the certificates themselves. All the large New York Agencies banks, including those that handle the bulk of the transactions of the major government securities dealers, now clear most of their transactions with each other and with the Federal Reserve through the use of automated telecommunications and the "book-entry" custody system maintained by the Federal Reserve Bank of New York. These banks have deposited with the Federal Reserve Bank a major portion of their government and Agencies securities holdings, including securities held for the accounts of their customers or in a fiduciary capacity. Virtually all transfers for the account of the banks, as well as for the government securities dealers who are their clients, are now affected solely by bookkeeping entries. The system reduces the costs and risks of physical handling and speeds the completion of transactions.
- **Bearer and Registered Bonds -** In the past, bearer and registered bonds were issued in paper form. Those still outstanding may be exchanged at any Federal Reserve Bank or branch for an equal amount of any authorized denomination of the same issue. Outstanding bearer bonds are interchangeable with registered bonds and bonds in "book-entry" form. That is, the latter exist as computer entries only and no paper securities are issued. New bearer and registered bonds are no longer being issued. Since August 1986, the Treasury's new issues of marketable notes and bonds are available in book-entry form only. All Treasury bills and more than 90% of all other marketable securities are now in book-entry form. Book-entry obligations are transferable only pursuant to regulations prescribed by the Secretary of the Treasury.
- **Book Value-** The value at which a debt security is shown on the holder's balance sheet. Book value is acquisition cost less amortization of premium or accretion of discount.

- Broker – In securities, the intermediary between a buyer and a seller of securities. The broker, who usually charges a commission, must be registered with the exchange in which he or she is trading, accounting for the name registered representative.
- Certificate of Deposit- A deposit insured up to \$100,000 by the FDIC at a set rate for a specified period of time.
- Collateral- Securities, evidence of deposit or pledges to secure repayment of a loan. Also refers to securities pledged by a bank to secure deposit of public moneys.
- Comprehensive Annual Financial Report (CAFR) - The annual financial report for multi-fund municipal agencies. It includes five combined statements and basic financial statements for each individual fund and account group prepared in conformity with Generally Accepted Accounting Principals (GAAP).
- Constant Maturity Treasury (CMT) - An average yield of a specific Treasury maturity sector for a specific time frame. This is a market index for reference of past direction of interest rates for the given Treasury maturity range.
- Coupon- The annual rate of interest that a bond's issuer promises to pay the bondholder on the bond's face value.
- Credit Analysis- A critical review and appraisal of the economic and financial conditions or of the ability to meet debt obligations.
- Current Yield- The interest paid on an investment expressed as a percentage of the current price of the security.
- Custody- A banking service that provides safekeeping for the individual securities in a customer's investment portfolio under a written agreement which also calls for the bank to collect and pay out income, to buy, sell, receive and deliver securities when ordered to do so by the principal.
- Delivery vs. Payment (DVP) - Delivery of securities with a simultaneous exchange of money for the securities.
- Discount- The difference between the cost of a security and its value at maturity when quoted at lower than face value.
- Diversification- Dividing investment funds among a variety of securities offering independent returns and risk profiles.
- Duration- The weighted average maturity of a bond's cash flow stream, where the present value of the cash flows serve as the weights; the future point in time at which on average, an investor has received exactly half of the original investment, in present value terms; a bond's zero-coupon equivalent; the fulcrum of a bond's present value cash flow time line.
- Fannie Mae- Trade name for the Federal National Mortgage Association (FNMA), a U.S. sponsored corporation.
- Federal Reserve System- The central bank of the U.S. that consists of a seven member Board of Governors, 12 local banks and 5,700 commercial banks that are members.
- Federal Deposit Insurance Corporation (FDIC) - Insurance provided to customers of a subscribing bank that guarantees deposits to a set limit (currently \$100,000) per account.
- Fed Wire- A wire transmission service established by the Federal Reserve Bank to facilitate the transfer of funds through debits and credits of funds between participants within the Fed system.
- Freddie Mac- Trade name for the Federal Home Loan Mortgage Corporation (FHLMC), a U.S. sponsored corporation.
- Ginnie Mae- Trade name for the Government National Mortgage Association (GNMA), a direct obligation bearing the full faith and credit of the U.S. Government.
- Inactive Deposits- Funds not immediately needed for disbursement.

- Interest Rate- The annual yield earned on an investment, expressed as a percentage.
- Investment Agreements- An agreement with a financial institution to borrow public funds subject to certain negotiated terms and conditions concerning collateral, liquidity and interest rates.
- Liquidity- Refers to the ability to rapidly convert an investment into cash.
- Market Value- The price at which a security is trading and could presumably be purchased or sold.
- Maturity- The date upon which the principal or stated value of an investment becomes due and payable.
- Negotiable CD- An uncollateralized CD issued by a large banking institution which trades in the secondary market. Minimum size is \$1 million, but most are much larger.
- New Issue- Term used when a security is originally "brought" to market.
- Perfected Delivery- Refers to an investment where the actual security or collateral is held by an independent third party representing the purchasing entity.
- Portfolio- Collection of securities held by an investor.
- Primary Dealer- A group of government securities dealers that submit daily reports of market activity and security positions held to the Federal Reserve Bank of New York and are subject to its informal oversight.
- Purchase Date- The date in which a security is purchased for settlement on that or a later date.
- Rate of Return- The yield obtainable on a security based on its purchase price or its current market price. This may be the amortized yield to maturity on a bond or the current income return.
- Repurchase Agreement (REPO) - A transaction where the seller (bank) agrees to buy back from the buyer (Agencies) the securities at an agreed upon price after a stated period of time.
- Reverse Repurchase Agreement (REVERSE REPO) - A transaction where the seller (Agencies) agrees to buy back from the buyer (bank) the securities at an agreed upon price after a stated period of time.
- Risk- Degree of uncertainty of return on an asset.
- Safekeeping- see custody.
- Sallie Mae- Trade name for the Student Loan Marketing Association (SLMA), a U.S. sponsored corporation.
- Secondary Market- A market made for the purchase and sale of outstanding issues following the initial distribution.
- Settlement Date- The date on which a trade is cleared by delivery of securities against funds.
- Time Deposit – A deposit in an interest-paying account that requires the money to remain on account for a specific length of time. While withdrawals can generally be made from a passbook account at any time, other time deposits, such as certificates of deposit, are penalized for early withdrawal.
- Treasury Bills- U.S. Treasury Bills which are short-term, direct obligations of the U.S. Government issued with original maturities of 13 weeks, 26 weeks and 52 weeks; sold in minimum amounts of \$10,000 in multiples of \$5,000 above the minimum. Issued in book entry form only. T-bills are sold on a discount basis.
- U.S. Government Agencies- Instruments issued by various US Government Agencies most of which are secured only by the credit worthiness of the particular Agencies.
- Yield- The rate of annual income return on an investment, expressed as a percentage. It is obtained by dividing the current dollar income by the current market price of the security.
- Yield to Maturity- The rate of income return on an investment, minus any premium or plus any discount, with the adjustment spread over the period from the date of purchase to the date of maturity of the bond, expressed as a percentage.

- Yield Curve- The yield on bonds, notes or bills of the same type and credit risk at a specific date for maturities up to thirty years.

Allocation of JPA Administrative Expenses

Financial Committee Approval: November 6, 2012

Board of Directors Approval: November 15, 2012

Next Finance Committee Review: November, 2013

Next Board of Directors Review: November 21, 2013

Purpose: To equitably distribute administrative expenses between the JPAs.

JPA Allocation: Administrative expenditures that benefit two or all JPAs are shared amongst those JPAs that benefit based on the perceived benefit derived by the expenditures. Where appropriate, proportionality is determined by relative client revenues to the agency. Within the agency, these expenses are further allocated by client or project revenue as a percent of the agency revenue. Thus, the allocation between RGS and LGS shall be based on the relative share of revenue earned by each.

Expenses shall be direct charged when appropriate or shall be allocated as indirect costs on a monthly basis.

The work papers used to determine these allocations shall be filed in the Authorities' network until such time as software allows filing as an attachment to the Journal Entry within the Financial System.

Audit Rotation Policy

Financial Committee Approval: N/A

Board of Directors Approval: May ~~17~~16, ~~2012~~2013

Next Finance Committee Review: May, ~~2013~~2014

Next Board of Directors Review: May ~~16~~15, ~~2013~~2014

Formatted: English (United States)

Formatted: English (United States)

Formatted: English (United States)

Purpose: The purpose of this policy is to provide for the periodic rotation of independent auditing firms or audit staff who perform the annual examination of the Joint Powers Authorities financial statements and render an opinion thereon. The audit is dependent on the individual auditor's assessment of risk in the Authority's control procedures and financial statement disclosures and is designed to provide reasonable, but not absolute, disclosure of such risk. Periodically changing independent auditing firms or the audit manager provides the Authority with a different risk assessment and, therefore, a different approach to testing risk in the Authority's control procedures and financial statement disclosures.

Selection Process: The Finance Committee is responsible for overseeing the solicitation and selection process and may also conduct final interviews prior to the Finance Committee's selection of a firm to conduct the annual audit of the JPAs. A competitive process will be held at least every five years for the selection of the independent auditing firm. The Executive Director shall, on behalf of the Committee, solicit proposals for independent auditors as soon as feasible following the completion of the fifth year audit, but at least by April 1 of what would otherwise be year six.

The current auditing firm may be considered to serve beyond a five year consecutive period, provided that they will assign a new audit manager to the Authorities. Otherwise qualified firms may serve more than a five-year period provided that there is a minimum three-year break in their service to the Authorities.

Term of Contract: The initial contract term will be for three years. Providing services are satisfactory, the contract may be extended for an additional two years, subject to Board approval.

Scope of Services: The firm will perform the annual audit review of the Authorities' Financial Statements for the proceeding year and express an opinion about whether those statements are fairly presented in all material respects, in conformity with generally accepted accounting principles. Vendor shall conduct the audit in accordance with auditing standards as in general use in the United States; the standards contained in Government Auditing Standards issued by the General Comptroller of the United States; and otherwise assist staff in analyzing/implementing accounting pronouncements including those of the Government Accounting Standards Board (GASB).

Amendments or Exceptions: Amendment of or exceptions to this policy may be made by action of the JPA Board of Directors-, including the exclusive authority to extend an auditor's engagement beyond the five-year maximum continuous service period.

Financial Reserves Designation-Net Assets Policy

Financial Committee Approval: ~~November 6, 2012~~ February 28, 2013
Board of Directors Approval: ~~November 15, 2012~~ May 16, 2013
Next Finance Committee Review: ~~February 28, 2013~~ May, 2014
Next Board of Directors Review: ~~May 16, 2013~~ 2014

Formatted: English (United States)

Formatted: English (United States)

Formatted: English (United States)

Purpose: To establish a prudent financial reserve targets for contingencies and to provide for inter-agency loans.

Background: The Board of Directors and the Executive Committee sought to establish prudent net assets for contingencies, and a policy was approved at their February 11, 2010 meetings. Subsequently, the Finance Committee was formed to provide additional financial oversight and Municipal Services Authority was formed to provide pooled insurance services for RGS and LGS. The Board and Finance Committee directed staff to recommend revisions to policy that would provide appropriate reserves for all three agencies. Adequate reserves in RGS and LGS will enable each JPA to smoothly adapt to significant and rapid increases or decreases in client workload, and for use as an opportunity fund enabling the agency to take advantage of unique circumstances that have a high likelihood of resulting in increased reimbursement revenue. Adequate reserves in MSA will allow for higher self-retentions and therefore reduced premium costs.

Net Asset Amounts: The RGS and LGS are unique public sector providers of staffing and consulting services to public agencies, many with defined benefit pension plans. Considerable time and effort has been expended since 2001 to establish the platform, client and employee contracts and operating procedures necessary to minimize risks of an employer-of-record status adverse ruling. However, it still is prudent that the Agency establish a reserve amount that is sufficient to meet the three objects noted above: adverse determinations, normal business risks (e.g. significant and rapid loss of revenue) and business opportunities. With the formation of an insurance pool, a reserve is needed for potential claims expenses that might otherwise disrupt normal operations by depleting cash.

For fiscal year ~~2013~~ 2014, staff is proposing minimum net assets of \$750,000 each for RGS and LGS, and \$1,050,000 for MSA. Longer term, staff is proposing net assets of \$1,500,000 for RGS and LGS and \$2,100,000 for MGS. These amounts would represent roughly 25 percent of RGS and LGS operating budgets and twice the MSA self-insured retention. It is proposed that Staff would annually present recommended amounts for each agency, for the year concluding with the proposed next fiscal year budget. The designation will then appear on the Agency's audited financial statements.

Loans and Transfers Between Agencies: The RGS Board of Directors, acting as lead agent for all three agencies under the Cooperation Agreement, may authorize interagency loans and transfers as needed for operational, investment, net asset objectives or other needs. No interest charge will be incurred for inter-agency loans, with all earnings retained by the lead agency (RGS at this time) as compensation for its provision of investment services. The Executive Director will track loans outstanding and report regularly on their status.