

# Commission Policy

Subject: Operation and Maintenance Budget	Index: 1-15.01
Authority: Statute:	Page: 1 of 3
Resolution: 96-035-2(02); 90-055-6(21); 81-021-5D 02-136-7; 20-157-10	Issued: 05/21/81
	Last Revised: 10/26/2020
	Effective: 10/26/2020

**Policy Purpose:** This policy outlines the structure of the District's Operations and Maintenance Budget, the authority and responsibility of the Commission and District staff, and managing unspent funds in this budget.

## I. Definitions

In this policy, the following words and phrases have the meanings indicated below:

- A. Cost Center is the lowest organizational level of the District over which a management person has line item responsibility with commensurate authority.
- B. Total Division Budget includes all monies budgeted for all cost centers within a division.

## II. Budget Organization/Development

- A. The Operation and Maintenance Budget shall be structured so that costs can be accumulated by line item, expense category, cost center, user charge parameter in accordance with the Cost Recovery Manual as updated by the Commission, and special program costs as requested and approved by the Commission.
- B. Each cost center shall develop its budget requests by line item and expense categories for accountability and control purposes. These budget requests shall include authorized actual and proposed staffing levels for each cost center. A formal statement of operating objectives shall accompany each cost center's detailed budget request.
- C. The proposed budgets of the departments headed by positions directly reporting to the Commission shall be developed in the same manner as those not reporting directly to the Commission and in accordance with the same schedule as that prescribed by the Budget Office.
- D. The Operation and Maintenance Budget is a financial plan. Operating expenditures shall not exceed the approved Operation and Maintenance Budget in total.

## III. Budget Submittal, Hearings, Expenditure Authority

- A. The Executive Director shall submit annually a recommended budget of operating and maintenance expenditures and estimated revenues for the ensuing calendar year to the Commission.
- B. The Executive Director, with Policy, Finance, and Personnel Committee approval, shall establish a calendar for public hearings and the Commission's review of the proposed Operation and Maintenance Budget. A summary of the proposed budget shall be made available for public inspection at least 15 days prior to the public hearing. A notice of the public hearing shall be published as a display notice at least 15 days prior to the public hearing.



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- C. The Policy, Finance, and Personnel Committee shall review the proposed budget and receive the recommendations of the Finance Division. The Policy, Finance, and Personnel Committee shall make recommendations to the Commission for adoption. Recommendations concerning the budget may be amended by the Policy, Finance, and Personnel Committee or the Commission through normal budget deliberations.

## IV. Commission Action, When Required

- A. Commission action is required to authorize the following:
1. Operations and Maintenance Budget amendments, which may include, but are not limited to, changes in user charges or other revenue sources, programs, positions, or cost center budgets that have a fiscal impact. The Executive Director is authorized to establish a procedure for budget amendments.
  2. The adoption of the annual Operation and Maintenance Budget (by majority vote).
  3. The offset of overruns in one division with a surplus in another.
  4. Carryover of unexpended funds authorized in the Operation and Maintenance Budget to the next fiscal year is permitted with the approval of the Commission as an amendment to the budget. The Executive Director shall present to the Commission annually in April a list of funds budgeted in the previous fiscal year recommended for carryover to the next fiscal year. The list shall include cost center; account and description, dollar amount recommended for carryover; purpose of the expenditure; summary explanation of reason(s) that funds remain unexpended; and summary of continuing need for goods or services to be procured.

The Executive Director shall establish administrative procedures to review all carryover requests to ensure that only those vital to the safe and effective operation of the District are presented for Commission review and approval.

## V. Executive Director Responsibility

- A. Within the limits of authority delegated by this or other Commission policy or action, the Executive Director may, without further Commission approval during the budget year, authorize the transfer of budgeted funds between any cost centers within any single division.
- B. The Executive Director shall ensure that the annual expenditures of each of the operating divisions do not exceed the total funds budgeted for that division. When it is apparent



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- that the total division budget for any of the divisions will be exceeded, a request for a fund transfer shall be brought to the Commission, prior to an overrun.
- C. The Executive Director shall prepare monthly reports concerning budget variances at the cost center level and make these reports available to the Commission.

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	Last Revised: 10/26/2020
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**Policy Purpose:** This policy outlines the District's Capital Budget, Commission authority for the budget, and Executive Director responsibility for the budget.

## I. Definitions

In this policy, the following words and phrases have the meanings indicated below.

- A. Project means any of several activities which are integrally related to and may result directly in the creation of or modifications to a District asset. Such activities include, but are not limited to, feasibility studies, facilities planning studies, engineering and design studies and plans, and actual construction. A single project may consist of one or more of these activities, and may or may not include construction.
- B. Total Project Cost includes all estimated costs for activities to complete a single project.
- C. Capital Project Plan is the six-year plan identifying total project costs in the year each project starts in each year of the six-year plan.
- D. Capital Budget is the annual financing plan for the budget year's anticipated capital account expenditures.
- E. Long-range Financing Plan is six-year plan identifying sources of funds and anticipated capital expenditures in each year of the six-year plan.
- F. Capital Expenditure Account is the fiscal summation of the annual expected capital expenditures of one or more projects arranged by geographic location, function or activity (see II.A. 1-5).
- G. The Proposed Capital Budget is the Executive Director's annual budget recommendation for the upcoming calendar fiscal year. The Proposed Capital Budget is subject to a public hearing preceded by a public notice published pursuant to Wis. Stat. ch. 985. The Proposed Capital Budget is subject to change either through Commission-sponsored or staff-sponsored amendments (refer to Commission Policy 1-15.09). A Proposed Capital Budget becomes a Capital Budget for the succeeding fiscal year when the Commission adopts an approving resolution(s) following consideration of the Proposed Capital Budget and any amendments that have been forwarded by Committee as part of the process leading to adoption of the Capital Budget; comments of the public following the noticed public hearing on the Proposed Capital Budget; staff-proposed amendments thereto; and Commissioner-sponsored amendments thereof.

## II. Capital Expenditure Accounts

- A. The Capital Project Plan, the Capital Budget, and the Long-range Financing Plan consist of five major Capital Expenditure Accounts:

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1. Water Reclamation Facilities;
2. Conveyance Facilities;
3. Watercourse and Flood Management Projects;
4. Other Projects; and
5. Debt Service.

### III. Budget Submittal and Hearings

#### A. The Executive Director shall annually submit to the Commission the following:

##### 1. For Commission Action:

##### a. Total Project Costs

A list of all projects new to the current budget year with the estimated costs to complete each project, as well as a list of all existing projects that have changes in previously granted total project cost. Commission action on the Total Project Costs is the policy setting mechanism, not an authorization to expend funds.

##### b. Capital Budget

The annual financing plan for a fiscal year's anticipated Capital Expenditure Account expenditures. Commission action on the Capital Budget identifies the amount of the tax levy and other sources of funds anticipated for the budget year's capital expenditures. Approval of the Capital Budget by the District's Commission does not in itself authorize any specific expenditures or projects. Expenditure of funds must be in accordance with the District's separate Commission Policies for procurement.

##### c. Long-Range Financing Plan

The six-year plan identifying anticipated sources of funds for anticipated capital expenditures in each year of the six-year plan. It will also include a summary of actual revenues and expenditures for the preceding calendar year and an estimate of revenues and expenditures based on the first six months (or most current actual data) for the current calendar year.

Commission action on the Capital Financing Plan approves the financial plan for outyears' capital financing and capital expenditures for planning purposes only; it does not set the level of taxing and other sources of funds or capital expenditures in subsequent years.

##### 2. For Informational Purposes:

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- A. The Capital Project Plan is the six-year anticipated total project costs according to the year each new project starts for each of the six years. The Capital Project Plan will provide the Commission with information on the level and type of future capital expenditures.
- B. The Executive Director shall submit project descriptions, appropriate justifications and a summary of the District's indebtedness.
- C. The Executive Director, with Policy, Finance, and Personnel Committee approval, shall establish a calendar for public hearings and the Commission's review of the Proposed Capital Budget. A summary of the Capital Project Plan, Total Project Costs, the Proposed Capital Budget and the Long-range Financing Plan shall be made available for public inspection at least 15 days prior to the public hearing. A notice of the public hearing shall be published as a display notice at least 15 days prior to the hearing.

## IV. Commission Action, When Required

Commission action is required for the following:

- A. The consideration, amendments to the Proposed Capital Budget, and adoption of the Capital Budget, Total Project Costs, and the Long-range Financing Plan require a majority vote.
- B. Amendments to an adopted Capital Budget that increase or decrease the adopted Capital Expenditure Account budgets. Capital budget amendments may include, but are not limited to, a change in the tax levy or other revenue sources, the addition of new total project costs, or changes to existing total project costs. A two-thirds majority vote is required for amendments to an adopted Budget. The resolution presented to the Commission for approval must include the sources and uses of funds in the amendment. The Executive Director is authorized to establish a procedure for budget amendments.
- C. The addition of a new project not included in the adopted Capital Budget. The resolution presented to the Commission for approval must describe the Total Project Cost, including the amount estimated to be spent in the current year and over the life of the project.
  1. If funds are available within the same Capital Expenditure Account without increasing the Capital Budget, a simple majority vote is needed.
  2. If funds are transferred between Capital Expenditure Accounts or from working capital to fund the project without increasing the Capital Budget, a two-thirds vote is required in accordance with State law.

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3. The change to any Total Project Cost that exceeds the executive authority granted in this policy in section VI.B.
4. The issuance of bonded debt and notes or promissory notes to finance the Capital Budget. A two-thirds majority vote is required.
5. The issuance of municipal obligations in anticipation of receiving proceeds from Clean Water Fund Program loans. A three-fourths majority vote is required.
6. The levying of property taxes. A two-thirds majority vote is required. Note, in the unusual event that one or more resolutions authorizing full financing of the Capital Budget adopted under Sec. 200.53, Wis. Stats., are unlikely to be adopted in a timely manner, Sec. 200.27 (2)(b), Wis. Stats., authorizes the Commission to act by simple majority to finance the Capital Budget as necessary in an amount not to exceed \$40 million.

## V. Capital Budget Expenditure Authority

- A. Project expenditures made pursuant to adoption of the Capital Budget must be authorized by separate action of the Commission, as required, are governed by Commission policy and State law, and are executed by the Commission or the Executive Director, as appropriate to their authority levels. Force account expenditures, such as District staff time and expenses, are authorized upon the effective date of the Capital Budget adopted by the Commission.
- B. Budget control in the Capital Budget is at the Capital Expenditure Account level.

## VI. Executive Director Authority

- A. Within the limits of authority delegated by Commission policy or action, the Executive Director may, without further Commission approval during the budget year, execute contracts, contract amendments, contract modifications, or change project schedules within a single Capital Expenditure Account provided that total spending in the affected Capital Expenditure Account of the Capital Budget, as approved by the Commission, are not exceeded.
- B. The Executive Director is delegated authority to make changes to Total Project Cost previously approved by the Commission in accordance with Commission Policy 1-78.02, Contract Modification Authority, together with any District labor costs required to implement these changes. The Executive Director is also delegated to make changes to Total Project Cost previously approved by the Commission and not related to a contract modification or amendment up to \$50,000 or 10%, whichever is less.





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## VII. Executive Director Responsibility

The Executive Director shall prepare a quarterly report summarizing all transactions authorized under this policy. The final quarterly report in each year shall reconcile all such transactions against the adopted Capital Budget and Total Project Costs. The report shall be distributed to the Commission upon request.





# Commission Policy

Subject: Strategic Planning	Index: 1-15.05
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Authority: Statute:	Issued: 1/28/02
Resolution: 97-180-10(05), 98-138-9(02), 02-014-1, 02-136-7; 20-157-10	Last Revised: 10/26/2020
	Effective: 10/26/2020

Policy Purpose: This policy outlines the District's strategic planning process and deadlines.

## I. Strategic Plan Policy

As part of its general duties under Wisconsin Law, the Commission is to plan and maintain the sewerage system. Planning and maintaining of the system are enhanced by the Commission's adoption of a strategic plan that establishes organizational purpose and that provides a means to determine the impact of the District.

The Executive Director shall develop a comprehensive revision of the MMSD strategic plan every three years. The Executive Director will develop an annual update to the strategic plan in years for which there is no comprehensive revision.

## II. Elements of the Strategic Plan

The strategic plans shall contain:

- A. A clearly defined mission statement that indicates the District's purpose and reason for existing.
- B. Objectives that define the mission in operationally meaningful terms and that state specific and measurable desired outcomes, including a timeframe for achievement.
- C. Strategies and action items that describe the means that the District will use to achieve its objectives.
- D. The development of the strategic plan shall include opportunities for input from Commission members and interested parties.
- E. The Executive Director and the Divisions shall develop operational plans, strategies, and budget requests that support the achievement of the mission and objectives established in the Strategic Plan.

## III. Review and Updates during the Planning Period

The Commission will review, modify if necessary, and approve the District Strategic Plan each year as part of the adoption of its Capital and Operations and Maintenance budgets.

The Commission will review an annual performance report in April of each year that provides information regarding District performance on strategic objectives, the status of strategies and budget initiatives funded in previous years, and other measures of effective and efficient operations.



# Commission Policy

Subject: Reserves	Index: 1-15.08
Authority: Statute:	Page: 1 of 3
Resolution: 06-004-1; 20-157-10	Issued: 11/25/02
	Last Revised: 10/26/2020
	Date Effective: 10/26/2020

**Policy Purpose:** This policy sets forth the methods and practices that must be exercised to ensure that the District maintains adequate reserves and working capital and its budgets include contingency accounts for emergency and unforeseen situations. Adherence to this policy ensures that the District meets its cash needs, maintains stable tax rates and user charge billings, and maintains or improves its current credit rating.

## I. Reserves

For the purpose of this policy, reserves are defined to indicate situations where funds have been segregated to meet legal requirements and/or have been segregated at the discretion of the Commission.

### A. Operating and Maintenance Reserves

#### 1. Equipment Replacement Fund

In accordance with the Wisconsin Administrative Code Section NR Chapter 128.03, the District is required to maintain an equipment replacement fund (ERF) that will be funded specifically from user charges. User charges specifically collected for the ERF are required to be maintained in a separate and distinct fund. The ERF will be used to fund all replacement equipment and maintained at a level no less than 5% of the historical cost of all equipment with a cost greater than \$25,000 and a service life greater than 10 years and up to and including a service life of 20 years.

#### 2. User Charge Stabilization Fund

The user charge stabilization fund (UCSF) was established to offset volatility in annual user charge billings and rate changes. The UCSF is maintained as a separate and distinct fund, and, within the fund, the balance is classified by the District's four user charge billing parameters. Interest earned on the savings is to remain in the fund. In accordance with the District's objective of maintaining stable user charge billings, the UCSF will be maintained at a level no less than 2.5% of the current year's revenues. Contributions to and withdrawals from the fund may be made by Commission action through the annual budget process.

### B. Capital Reserves

#### 1. Debt Service Funds

In accordance with section 67.11(1), Wis. Stats., the District is required to establish and maintain a debt service fund for the payment of principal and interest on bonds and notes used in financing its capital improvements program.



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The District maintains a separate account for each of its own outstanding debt issues and one account for debt obtained through the State of Wisconsin Clean Water Fund Loan Program.

Annually, the District will levy an irrevocable tax sufficient in amount to pay the principal and interest on the debt as it comes due in the following year. Taxes collected from this levy are placed into the debt service fund account and used to pay the annual debt service. Earnings from the investments in the debt service fund accounts, remain, until used, a part of the debt service fund accounts.

Money shall not be withdrawn from a debt service fund and used for any purpose other than the purpose for which the fund was created until that purpose has been accomplished. After all outstanding debt has been paid and retired, any balance in any debt service fund account may be transferred out and used as directed by the Commission.

## II. Working Capital

The District needs unreserved cash balances as working capital to pay routine and non-routine operating and capital expenses. Annually, as part of the determination of user charge billings and capital funding, the District will assess and budget necessary adjustments to the specific working capital levels, considering fund balances, investments, and cash flow requirements.

### A. Operating and Maintenance Reserves

The District shall attempt to maintain a working capital balance of between 60 to 90 days of expenditures with a target of 75 days.

### B. Capital Budget

The District shall attempt to maintain a working capital balance of between 90 to 150 days of expenditures with a target of at least 90 days.

## III. Contingency Accounts

Contingency accounts in both the Operation and Maintenance and Capital Budgets are used to ensure that adequate funds are available for unforeseen circumstances.

### A. Operating and Maintenance Budget

#### 1. Unallocated Reserve



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For the purpose of current year wage and salary adjustments and unforeseen costs, the annual budget shall fund an unallocated reserve at a level within a range between 2.0% and 3.5% of net division expenditures.

B. Capital Budget

1. Allowance for Cost and Schedule Changes

To ensure that there are adequate funds for cost and schedule changes, unforeseen projects, and other unexpected circumstances, the Capital Budget shall fund an allowance for cost and schedule changes account maintained within a range between 2.0% and 5% of the current year's of total budgeted project expenditures.



# Commission Policy

Subject: Legal Services	Index: 1-21.01
Authority Statute:	Page: 1 of 2
Resolution: 77-149-12D(3)j, 88-073-5, 90-055-6(17)a-n, 98-027-1(02), 02-136-7; 10-049-3; 20-157-10	Issued: 01/10/80
	Last Revised: 10/26/2020
	Effective: 10/26/2020

Policy Purpose: This policy outlines the duties and authority of the Legal Services Division.

I. Establishment of Legal Services Division

There shall be a Legal Services Division within the District, under the direction of the Director of Legal Services. The Director of Legal Services shall report to the Executive Director. The Division shall conduct all legal business of the District and of the Commission (hereinafter referred to as "District").

The Division shall at all times conduct its activities in such a way as to develop good working relationships between the private and public sectors with which it deals and to prevent unnecessary litigation.

II. Ability to Report to the Commission

The Director of Legal Services may provide a report to the Commission, with only the Director of Legal Services present when the report is properly noticed on the agenda in closed session.

The Director of Legal Services will report to the Commission on any actions involving allegations concerning discrimination and similar issues and those matters requiring Commission direction.

III. Division Power and Duties

The powers and duties of the Division without limitation by enumeration are to:

- A. Initiate, move to intervene, or file a friend of the court brief only in such actions having significant environmental, legal, community relations, employee relations, or fiscal impacts when it has been determined by the Commission to be in the District's interests to participate in such actions.
- B. After consultation with the Executive Director and the Commission Chairperson, initiate those actions and proceedings as required to protect the District's interest, which do not have significant environmental, legal, community relations, employee relations, or fiscal impacts, or which are required on an emergency basis to protect the District's interests.
- C. Settle or compromise any action or proceeding in an amount not to exceed \$50,000 not having, in the opinion of the Director of Legal Services, a significant environmental, legal, community relations or employee relations impact. Any settlement greater than \$50,000 must be approved by the Commission.



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- D. Assign experienced staff attorneys in areas of major District concern and retain outside counsel as needed for an amount not to exceed \$19,999 per assignment, subject to paragraphs A and B above and report the same to the Commission on a quarterly basis.

#### IV. Actions Not Requiring Commission or Executive Director Approval

The following routine actions may be commenced by the Director of Legal Services without prior consultation with the Commission Chairperson or the Executive Director:

- A. Actions to obtain title to lands, sites for which have been previously approved by the District, including condemnation and quiet title actions.
- B. Actions to collect damages for injury to District property.
- C. Actions to enforce warranties.
- D. Actions to enforce minority business enterprise provisions in District contracts.
- E. Actions to protect the District's interests in bankruptcy and related matters.
- F. Actions relating to workers' compensation claims.
- G. Actions to enforce contracts when the amount in question is less than \$150,000.

#### V. Registered Lobbyist

The Director of Legal Services shall be one of the registered lobbyists for the District, assist in the development of a legislative program, and prepare an analysis of all legislative proposals having a significant impact on the District. These analyses will be presented to the Executive Director and will consist of a summary of the bill and its potential policy, financial, and administrative implications to the District.



# Commission Policy

Title:	Release of Critical Infrastructure Information	Policy #: 1-21.03
Authority Statute: Resolution: 17-087-9; 20-157-10		Page: 1 of 2
		Issued: 9/25/2017
		Last Revised: 10/26/2020
		Effective: 10/26/2020

Policy Purpose: This policy outlines when it is necessary and appropriate to release critical infrastructure information to the public.

## I. Definitions

- A. Critical infrastructure information means information concerning plant and building specifications, structure and infrastructure plans, facility locations and specifications, Supervisory Control and Data Acquisition (SCADA) information, security protocols and measures, geographic information systems (GIS) facilities mapping, computing network details, computing system security, and includes any and all information regarding District facilities, equipment, or facility operating information which may, if released to third parties, pose a security risk or create a vulnerability.
- B. Security risk means the potential for an adverse outcome assessed as a function of threats, vulnerabilities, and consequences associated with an incident, event, or occurrence, as determined by its likelihood and the associated consequences. This definition is based on the definition of risk by the U.S. Department of Homeland Security, Risk Steering Committee Risk Lexicon, 2010 Edition.
- C. Vulnerability is defined as any characteristic of design, location, security posture, operation, or any combination thereof that renders an asset, system, network, or the District itself susceptible to disruption, destruction, or exploitation. This definition is based on the definition of vulnerability by the U.S. Department of Homeland Security, Risk Steering Committee Risk Lexicon, 2010 Edition.

## II. Necessary Protection

This policy states the District's intent to protect critical infrastructure information from unnecessary release to third parties that the release of which may pose a security risk to or create a vulnerability for the District, its employees, or the public health and welfare. This policy ensures protection of District facilities, assets, personnel, and the public health and welfare, while ensuring compliance with the Wisconsin Open Records Law, Wis. Stats. sec. 19.31, *et seq.* This policy applies to all activities of the District, including, but not limited to, formal and





# Commission Policy

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informal requests for information from the public, all public procurement practices, and all open data sources, including but not limited to the District websites.

### III. Determination of Critical Infrastructure Information

All critical infrastructure information released to or accessed by any member of the public or organization, including through District procurement processes or pursuant to public records requests, shall be released or be accessible only to the extent that the release does not jeopardize the safety and security of District facilities, assets, personnel, or the public health and welfare. When processing requests for release of information, pursuant to the Wisconsin Open Records Law, the Custodian of Records shall make the required finding to determine whether release of the critical infrastructure information is appropriate after performing the required balancing test.

### IV. Withholding Critical Infrastructure Information

Critical infrastructure information will only be withheld from requested public release after the Custodian of Records or his/her designee determines that the possible harm to the public interest outweighs the benefit to the requester and to the public interest of allowing the requested inspection or copying. Further, the District will allow access or grant or deny the request upon such conditions as it determines are necessary to protect the District from security risks or vulnerability to such risks. Full compliance with Wisconsin Open Records Law will continue to be maintained.



# Commission Policy

Subject:	Substance Abuse Prevention Program on District Construction Sites	Index:	1-41.05
Authority Statute:		Page:	1 of 1
Resolution:	92-051-5(02); 98-081-4(02); 02-136-7; 20-157-10	Issued:	5/26/92
		Last Revised:	10/26/2020
		Effective:	10/26/2020

Policy Purpose: This policy outlines the District's commitment to a substance abuse-free work environment at District construction sites.

## I. Commitment to Substance Abuse-free Construction Sites

The maintenance of District construction sites as productive work environments that are safe and healthy requires that there be no use, possession, sale, or delivery of illegal drugs or abuse of alcohol or controlled substances by employees on such sites.

All District construction contractors must establish and maintain an effective program for achieving a drug and alcohol-free workforce on all District construction work sites.

The District is as a drug and alcohol-free workplace, and the District assures safe and productive working conditions with due regard for the personal privacy interest of employees. Contractors will retain oversight over their programs and will monitor test procedures for consistency and policy compliance.

## II. Drug and Alcohol Use Prohibited and Cause for Employment Termination

This policy applies to all contractor personnel, union and non-union, and all District construction sites. Use, possession, sale, or delivery of drugs, controlled substances, or alcohol on District construction sites is prohibited. Persons who violate this rule or who are convicted of selling, delivering, or possessing drugs or controlled substances with intent to deliver while not on the job or job site will not be permitted to work on any District construction project.

## III. Active Employees

A. Any employee who is involved in an accident in the course of job duties which involves use of vehicles, heavy equipment, power tools, or other dangerous instrumentalities or working conditions and which results in a lost time injury or substantial property damage (generally in excess of \$1,000), may be tested for reasonable cause in cases where the supervisor concludes that:

1. The accident was caused by human error or could have been avoided by reasonably alert action;
2. The employee to be tested was an active participant in the accident; and
3. Substance use cannot be discounted as a contributing factor.

B. A positive result may result in discipline, up to and including termination.



# Commission Policy

Subject: Facility Planning and Expansion	Index: 1-42.02
Authority Statute:	Page: 1 of 2
Resolution: 81-097-9D, 02-136-7, 20-157-10	Issued: 9/03/81
	Last Revised: 10/26/2020
	Effective: 10/26/2020

**Policy Purpose:** This policy outlines staff and Commission responsibility in facility planning and expansion, including plan elements and Commission action required.

## I. Long-term Facilities Plan

District staff shall establish a proposed long-term facilities plan describing collection and treatment facilities timed, located, and sized to meet environmental, social, and economic needs of the District's service area. Adopted regional plans shall serve as a framework for establishing the proposed long-term facilities. This plan may be updated every five years, if necessary, with a supplement summarizing significant proposed changes.

The long-term facilities plan shall cover a design period determined in the best interest of the District and compatible with United States Environmental Protection Agency and Wisconsin Department of Natural Resources requirements.

District staff also prepares watercourse management plans in accordance with Commission Policy 1-01.15, Flood Risk Reduction Policy.

## II. Cost Estimates

The plan will include estimates of the initial costs of the capital facilities recommended in the long-term plan and estimates of the yearly operation and maintenance costs for the design period of presentation to the Commission. Cost estimates should:

- A. Reflect dollar values for the current budget year.
- B. Indicate the expected non-local share for the capital improvement program and for each element.
- C. Indicate the cumulative annual impact of changes in cost resulting from design changes, actions by regulatory agencies, recommendations of planning commissions, court decisions, and inflation.
- D. Estimate peak and average annual user fee unit charges to each user classification and tax rates and total capital charges to each municipality served, and their significances.
- E. Update the estimate of these costs in conjunction with the annual update of the facilities plan.

## III. Plan Schedule

District staff shall also establish and update as required a master schedule for each element in the long-term facilities plan. The schedule should reflect completion dates required under court



# Commission Policy

Subject: Facility Planning and Expansion	Index: 1-42.02
	Page: 2 of 2
Authority Statute:	Issued: 9/03/81
Resolution: 81-097-9D, 02-136-7, 20-157-10	Last Revised: 10/26/2020
	Effective: 10/26/2020

orders or by regulatory agencies and the duration of each of the following for each element: facility planning, design, and construction.

#### IV. Commission Approval

Any significant changes to the long-term plan, its schedule, or cost estimates will be presented to the Commission for review and tentative approval on an as needed basis.

District staff will review proposed changes in detail for comment and recommendations with appropriate planning and regulatory agencies and with municipal and county governments and their technical staffs and agencies.

Final changes will then be presented to the Commission for approval. The resolution for this purpose must state that Commission approval is for planning direction only and does not constitute approval for any specific expenditures in the plan.

#### V. Plan Implementation

Once approval for planning direction has been made by the Commission, District staff will:

- A. Determine appropriate procedure for accomplishing designs.
- B. Produce plans and specifications for projects approved by the Commission in the long-term facilities plan in accordance with applicable laws and Commission rules.
- C. After all appropriate approvals have been received, staff will advertise projects for bids, review bids, and award contract to lowest responsive and responsible bidder in accordance with applicable laws, Commission policies, and within Capital Budget requirements.



# Commission Policy

Subject:	Relocating Utilities	Index:	1-41.06
Authority:	Statute:	SS. 66.0831; 200.35(6)(a)	Page: 1 of 1
	Resolution:	85-099-5, 02-136-7, 20-157-10	Issued: 5/16/85
			Last Revised: 10/26/2020
			Effective: 10/26/2020

**Policy Purpose:** This policy outlines the District's cost share for relocating public utilities and physical obstructions.

## I. State Statute Requirements

Current state statutes provide the Commission with authority to require owners of buildings, structures, and other physical obstructions over or under public land, avenues, streets, alleys, or highways to relocate those obstructions that block or impede the Commission's ability to carry out its responsibilities. Currently, the statutes require the District to pay its share of these of these relocation costs as required by statute, except temporary relocations of public utilities for which the public utilities are required to pay an amount prescribed by law.

## II. District Policy

### A. Public Utility Relocation

The District maintains that it is more equitable for the District to pay 100% of municipal or municipally-owned public utility relocation costs. The District shall pay 100% of all reasonable costs of relocation of municipal or municipally-owned public utilities and their appurtenances that impede the Commission's ability to carry out its responsibilities.

### B. Structure Relocation

The District shall require owners to relocate any building, structure, or other physical obstruction over or under public land, avenues, streets, alleys, or highways that is impeding the continuing development of the sewerage system. The District will pay 50% of relocation costs for privately owned buildings or structures similarly impeding the development of the sewer system, including permanent relocations of non-municipal public utilities. The cost of all temporary relocations of any public utility shall be paid by the public utility, regardless of whether it is municipally owned.

### C. Authority

The Executive Director shall cause appropriate provisions to be placed as needed in contract documents or other documents in order to carry out this policy.



# Commission Policy

Title: Asset Management	Policy #: 1-44.01
Authority Statute:	Page: 1 of 2
Resolution: 14-035-4; 20-157-10	Issued: 4/28/14
	Last Revised: 10/26/2020
	Effective: 10/26/2020

Policy Purpose: This policy outlines the District's commitment to asset management principles to manage the District's facilities, infrastructure, and equipment.

## I. District Commitment to Asset Management.

The District is committed to implementing the principles of asset management (AM) as a core component in managing infrastructure, facilities, equipment, and other assets to achieve its organizational objectives. AM can be defined as a management strategy developed to achieve the following objectives:

- A. Utilizing assets to provide defined levels of service.
- B. Maintaining a level of risk acceptable to the organization.
- C. Achieving service level and risk objectives at the lowest life cycle cost.

At the most basic level, AM is viewed as the means of optimizing performance, risk, and cost. AM strategies shall be applied throughout the entire life cycle of an asset, including planning, design, construction, operation, and disposal.

Asset Management will facilitate achievement of other Commission policies, including 1-15.01, Strategic Planning; 1-42.02, Facility Planning and Expansion; 1-01.14, Comprehensive Environmental Management; 1-58.01, Collection and Treatment Services; 1-01.15, Flood Risk Reduction Policy; 1-73.19, Risk Management Program; and 1-15.06, Financial Planning and Budgetary Controls.

## II. Guidelines for Asset Management

The District is committed to continuous improvement in implementing sustainable AM best practices throughout the organization following the guidelines listed below.

- A. The District will continue to incorporate sustainable AM principles throughout the organization to facilitate achievement of strategic goals, meet the environmental, social, and economic needs of District stakeholders, and comply with all legal and regulatory requirements.
- B. The District will continue to implement an AM program framework that identifies overall program objectives, processes and procedures, and staff roles and responsibilities.
- C. The District will continue to support and staff the AM Executive Steering Committee, AM Improvement Team, and the asset system focused AM teams to ensure strategic level AM goals are effectively translated into operational plans.



# Commission Policy

Title:	Asset Management	Policy #: 1-44.01
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Authority Statute:		Issued: 4/28/14
Resolution: 14-035-4; 20-157-10		Last Revised: 10/26/2020
		Effective: 10/26/2020

- D. The District will annually review and if necessary update the AM strategy document that defines goals, tasks, and timelines for implementing AM improvement processes and projects.
- E. The District will prepare AM plans to identify the business case for long-term expenditure forecasts and evaluate the plans on a minimum five-year interval to determine if revisions are required.
- F. The District will report annually to the Commission on progress of the AM program and strategy.





# Commission Policy

Subject: Collection and Treatment Systems	Index: 1-58.01
Authority Statute:	Page: 1 of 1
Resolution: 77-149-12D(3)u, 02-136-7; 20-157-10	Issued: 11/20/80
	Last Revised: 10/26/2020
	Effective: 10/26/2020

Policy Purpose: This policy outlines the District's responsibility related to the collection and treatment systems.

I. Industrial Waste

The District shall propose rules applicable to industrial and commercial users as deemed necessary for public health, compliance with industrial discharge regulations, economy of operation, or to prevent operational problems. The District shall conduct public hearings required by Statute or determined to be necessary to explain the needs and nature of the proposed industrial waste rules.

II. Operations and Maintenance

The District will establish the means necessary to operate and maintain the District's collection and treatment facilities. This shall be done in an efficient and economical manner, ensuring that all appropriate regulations and standards imposed by statutes, regulatory agencies, court orders, or Commission policies are met.

III. Environmental Impact

Collection and treatment facilities and related operations shall be constructed and maintained such that they are aesthetically pleasing and so as to minimize the transmission of offensive odors.

IV. Compliance Assurance, Regulatory Agencies, or Court Orders

District staff shall maintain a thorough understanding of applicable standards and regulations imposed by regulatory agencies and/or court orders.

V. Solids Utilization

District staff shall plan and operate a solids utilization program in a cost effective manner and in harmony with applicable federal, state, and local laws and regulations.

VI. Sewer Plan Approval

The Milwaukee Metropolitan Sewerage Commission shall approve sewer plans in accordance with existing statutory requirements. The Executive Director shall insure that plans meet the required standards, as specified by the regulatory agencies and Commission rules.



# Commission Policy

Subject: Investment Policy	Index: 1-73.17
Authority Statute:	Page: 1 of 10
Resolution: 97-150-9(02); 01-113-7; 02-228-12; 05-043-4; 06-003-1; 11-076-5; 15-009-1; 16-091-7; 18-015-1; 20-157-10	Issued: 9/22/97
	Last Revised: 10/26/2020
	Effective: 10/26/2020

Policy Purpose: This policy outlines the District's investment requirements, objectives, and regulations.

## I. Introduction and Scope

The District was formed under the laws of Wisconsin 1981, appearing in the Wisconsin Statutes as Sec. 200.21 through 200.65. It is a municipal body corporate in the nature of a special purpose municipal corporation. For the purposes of constitutional debt limitations, the District is a special district.

This policy addresses the methods, procedures and practices that must be exercised to ensure effective and judicious fiscal management of the District's operating and capital funds. This policy does not apply to the investment management of the District's pension and deferred compensation funds.

The investment guidelines outlined below have been written to comply with various regulatory requirements under which the District operates.

## II. Investment Objectives

The District's funds shall be invested in accordance with all applicable District policies and procedures, State statutes, and Federal regulations, and in a manner designed to accomplish the following objectives:

- A. Preservation of capital and protection of investment principal.
- B. Maintenance of sufficient liquidity to meet anticipated disbursements and cash flows.
- C. Diversification to avoid incurring unreasonable risks regarding securities owned.
- D. Attainment of a market rate of return equal to or higher than the performance measure established within this policy.

## III. Delegation of Authority

The District Treasurer has responsibility and authority for the investment of District funds. The District's Treasurer may delegate the authority to conduct investment transactions and manage the operation of other investment activities to the investment officers of the District. For the purposes of this policy, the District Treasurer may delegate authority to the Deputy Director of Finance, Accounting Manager, Supervisor of Revenue and Fixed Assets, and anyone serving in the capacities of these positions on an acting basis. Other members of the Treasurer's staff may be appointed, from time to time for designated terms, to serve as investment officers of the District to assist in the cash management, treasury or investment functions during which terms

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they shall be deemed to be acting investment officers. The Director of Finance and Human Resources, Deputy Director of Finance, and any other staff member duly appointed by the Commission are authorized to transact securities business for the District. The Commission will periodically review the performance of the cash, treasury, and investment management practices of the District.

The Treasurer shall establish written standard operating procedures for the operation of the District's investment program consistent with this Policy. The Treasurer and other authorized persons acting in accordance with written procedures and exercising due diligence shall be relieved of personal responsibility for an individual security's credit risk or market price changes. The Treasurer acting as investment officer will be responsible for ensuring that sufficient liquidity exists to maintain District operations in the event of adverse market conditions.

The Treasurer may obtain support services of outside professionals, pursuant to any applicable procurement policies of the District, so long as the Treasurer has a reasonable belief that a net financial advantage or necessary financial protection of the District's resources will be attained. The Treasurer can develop a list of approved investment advisors after completing a thorough review of their services and qualifications.

#### IV. Prudence

A prudent investment officer of the District shall act within the limits of this policy and any statutes, resolutions and regulations pertaining to the District, including the "prudent person rule" in Wisconsin Statutes, Sec. 881.01, which states, "In acquiring, investing, reinvesting, exchanging, retaining, selling and managing property for the benefit and use of the Milwaukee Metropolitan Sewerage District, an investment officer shall exercise the judgment and care under the circumstances then prevailing, which like situated governmental financial officers of prudence, discretion, and intelligence exercise in the management of the affairs of the governmental organizations for which they act, not in regard to speculation but in regard to the permanent disposition of the governmental organization's funds, considering the probable income as well as the probable safety of the capital.

#### V. Ethics and Conflicts of Interest

Officers and employees involved in the investment process shall refrain from personal business activity that could conflict with proper execution and management of the investment program, or

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that could impair or create the appearance of an impairment of their ability to make impartial investment decisions. Employees and investment officials shall disclose to the Commission any material financial interests they have in financial institutions that conduct business with the District and shall subordinate their personal investment transactions to those of the District particularly with regard to the timing of purchases and sales. Employees and officers shall refrain from undertaking personal investment transactions with the same individuals with whom business is conducted on behalf of the District. All staff and investment advisory firms will strictly adhere to the Commission Policy 1-01.04, Code of Conduct, regarding conflict of interest.

## VI. Eligible Investments And Transactions

### A. Statutory Authority

All investments will be made in accordance with the applicable State of Wisconsin Statutes as follows:

1. Sec. 25.50, Wis. Stats., Local Government Pooled - Investment Fund;
2. Sec. 34.05, Wis. Stats., Designation of Public Depositories;
3. Sec. 34.06, Wis. Stats., Liability of Treasurers;
4. Sec. 66.0301, Wis. Stats., Intergovernmental Cooperation
5. Sec. 66.0603, Wis. Stats., Investments; and
6. Sec. 895.46, Wis. Stats., Indemnification.

### B. Intent

It is the intent of the District that the following list of authorized securities be strictly interpreted. Any deviation from this list must be preapproved by the District's Treasurer in writing.

### C. Acceptable Securities and Transactions

The Commission has further restricted the investment of District funds to the following types of securities and transactions:

1. U.S. Treasury Obligations  
Treasury bills, treasury notes, treasury bonds, and treasury strips with maturities not exceeding five years from the trade settlement date.
2. Federal Instrumentality Securities  
Debentures, discount notes, callable securities, stepup securities, and stripped principal or coupons with final maturities not exceeding five years from the trade settlement date. For the purposes of this paragraph, the Treasurer or his designee must not consider a weighted average life as a stated maturity. The

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District will not invest in any of the subordinated debentures issued by the federal instrumentality issuers.

3. U.S. Government Agency Securities

Securities with stated final maturities not exceeding five years from the trade settlement date that are backed by the full faith and credit of the U.S. government. Securities issued by the Government National Mortgage Association are limited to debentures and mortgage-backed securities.

4. Prime Commercial Paper

Commercial Paper issued on U.S. or foreign companies denominated in U.S. currency with a maturity not exceeding 180 days from the trade settlement date.

The commercial paper purchased by authorized internal staff of the District must have a minimum rating of at least A-2 or the equivalent at the time of purchase by at least one service that publishes a rating on the issuer of the commercial paper.

The commercial paper recommended to be purchased by an authorized investment advisor of the District acting on the District's behalf must have a minimum rating of at least A-1 or the equivalent at the time of purchase by at least one service that publishes a rating on the issuer of the commercial paper.

The commercial paper issuer must have a commercial paper program of at least \$500,000,000, except for banks and companies located within the District's boundaries. Banks and companies located within the District's boundaries do not need to meet a minimum program size requirement. If the issuer has senior debt outstanding, the senior debt must be rated by at least one service that publishes a rating on the issuer of at least A- or the equivalent. (Senior debt is defined as the most senior secured or unsecured debt of the issuer with an original maturity exceeding one year.)

5. Local Government Investment Pools (LGIP's)

LGIP's, as created and authorized under the following Wisconsin Statutes: Sec. 25.50, which authorizes the creation of the Local Government Pooled Investment Fund; or Sec. 66.0301, which authorizes local government participation in LGIP's, must be limited to those pools which are no-load (i.e. no commission fee shall be charged on purchases or sales of shares); limit assets of

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the pool to those securities authorized by Statute; and have a constant daily net asset value per share (usually \$1.00).

6. Repurchase Agreements

These agreements include, with a defined termination date of 180 days or less collateralized by U.S. Treasury, securities listed in item 1 above with a maturity not exceeding 10 years. For the purpose of this section, the term collateral shall mean purchased securities under the terms of the District's approved master repurchase agreement, which is on file in the office of the Treasurer. The purchased securities shall have an original minimum market value including accrued interest of 102% of the dollar value of the transaction and the collateral maintenance level shall be 101.5%. Collateral shall be held in the District's custodial bank as safekeeping agent, and the market value of the collateral securities shall be marked-to-market daily based on that day's bid price.

Repurchase agreements shall be entered into only with dealers who have executed a District-approved master repurchase agreement with the District and who are recognized as primary dealers with the Federal Reserve Bank of New York, or with firms that have a primary dealer within their holding company structure.

7. Money Market Mutual Funds

These funds include, as authorized under Sec. 66.0603(1m)(a)5, Wis. Stats., are no-load (i.e. no commission fee shall be charged on purchases or sales of shares); are registered under the Investment Company Act of 1940; limit assets of the fund to those securities authorized by Statute; have a constant daily net asset value per share (usually \$1.00); have a maximum stated maturity and weighted average maturity in accordance with Federal Securities Regulation 2a-7; and are rated AAAM or the equivalent. The aggregate value of money market mutual funds may not exceed 20% of the District's portfolio and at the time of investment, any one money market mutual fund may not exceed 10% of the District's portfolio. The District's investment may also not exceed 5% of the outstanding shares of any one money market mutual fund.

8. Certificates of Deposit

Certificates of deposits with maturities not exceeding three years or interest bearing accounts insured by the Federal Deposit Insurance Corporation (FDIC) in state or national banks, or state or federally chartered savings and loan



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associations located within the State of Wisconsin which have been designated as depositories for public sector monies by the State of Wisconsin Statutes, and have been approved by the District in accordance with this Investment Policy, Section IX, "Selection of Banks". Any deposits exceeding \$500,000 shall be covered by a surety bond or collateralized by U.S. Treasury Securities with maturities of the collateral no greater than 10 years and an original minimum market value including accrued interest of 102% of the dollar value of the transaction. The collateral maintenance level shall be 101% during the term of the deposit. Collateral shall be held in the District's custodial bank as safekeeping agent, and the market value of the collateral securities shall be marked-to-the-market daily based on that day's bid price.

9. Corporate Bonds

These must be issued by U.S. companies and denominated in U.S. currency with maturities not exceeding five years from the trade settlement date which are rated at least AA- or the equivalent at the time of trade settlement by at least one service that publishes a rating on the issuer of the Corporate Bond.

10. State and Local Government Series (SLGS)

SLGS are United States Treasury Certificates of Indebtedness, Notes, and Bonds of the State and Local Government Series. These securities are available for purchase by state and local governments and certain other entities with proceeds (or amounts treated as proceeds) that are subject to yield restrictions or arbitrage rebate requirements under the Internal Revenue Code. The securities are characterized in the regulations as time deposit, demand deposit, and special zero interest. These securities will be used only for the purpose of defeasing District debt.

11. Derivative Securities

Derivative securities (securities that derive their value from another security or index) are not permissible investments except for the following types:

- Treasury or Instrumentality securities that have call or put options.
- Treasury or Instrumentality securities whose coupon rates adjust by a fixed spread to an industry convention index.
- Instrumentality securities known as "step-ups" that have fixed coupons for a period of time and then are callable; if they are not called, then the coupon must step up to a specified coupon level which is fixed until maturity or the next step-up date; a step-up security may have several





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coupon step-ups, each with an associated call option.

The above securities must have a set maturity not exceeding five years from the trade settlement date.

## VII. Investment Diversification

It is the intent of the District to diversify the investments within its portfolio to avoid incurring unreasonable risks inherent in excessive investing in specific instruments, individual financial institutions, or maturities. The asset allocation in the portfolio should, however, be flexible depending upon the outlook for the economy, the securities market, and the District's anticipated cash flow needs.

A minimum of 50% of the investable assets of the District, based on par value, will be maintained in those securities listed in Section IV.C. 1, 2, 3, and 5. This diversification requirement could be exempted for commercial paper if the commercial paper holdings meet all of the other policy requirements and mature in 60 days or less from the trade settlement date.

At no time may the amount of funds invested in any issuer that is not the U.S. Treasury, a Federal Instrumentality, or a U.S. Government Agency exceed the lesser of \$15 million or 10% of the investable assets of the District, based on par value.

## VIII. Investment Maturity And Liquidity

Investments shall be limited to maturities not exceeding five years from the date of trade settlement except by written approval of the Treasurer. In addition, the District shall maintain at least \$10,000,000 of its total investment portfolio in instruments maturing in 60 days or less.

In the case of callable securities, the first call date shall be used as the maturity date for investment purposes in this section if, in the opinion of the Treasurer, there is little doubt that the security will be called prior to maturity. If, in the opinion of the Treasurer, the callable security will go to maturity, then that date will be used as the final maturity. In all cases for accounting purposes, however, the final maturity date of the callable securities shall be used as the maturity of the security in order to disclose the maximum maturity in the District's financial reports.



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IX. Competitive Transactions

Each investment transaction shall be competitively transacted with broker/dealers/issuers that have been authorized by the Treasurer. At least two broker/dealers/issuers shall be contacted for each transaction and their bid and offering prices shall be recorded. Trades will be executed at the best price for the District.

Investment advisory firms hired by the District to provide investment advisory and management services on any portion of the District's portfolio, which also have a broker/dealer operation directly or indirectly related to the advisory firm (through a holding company or subdivisions), may not transact any trades on behalf of the District with the related broker/dealer.

X. Selection of Banks and Savings and Loans as Depositories And Providers of General Banking Services

The Commission shall approve a list of authorized banks and savings and loans that provide depository and other banking services for the District, including a designated agent to deposit public moneys into FDIC or NCUA insured deposit accounts. To be eligible for authorization, a state or national bank, or state or federally chartered savings and loan association must be located within the State of Wisconsin, be a member of the FDIC, and qualify as depository for public sector monies under Wisconsin Statutes. Banks or savings and loans that in the judgment of the Treasurer no longer offer adequate safety to District, will be removed from the list. A credit analysis will be performed at least annually on all approved banks and savings and loans.

The Treasurer shall maintain the list and will update it annually to ensure current compliance.

XI. Selection of Broker/Dealers and Financial Institutions Acting as Broker/Dealers

The Treasurer shall maintain a list of authorized broker/dealers and financial institutions that are approved for investment purposes, and it shall be the policy of the District to purchase securities only from those authorized institutions and firms. The Treasurer may rely on a list of approved broker/dealers utilized by the Treasurer's investment advisor. Such approved broker/dealers shall comply with the criteria above and the list shall be provided to the Treasurer whenever updated or upon request.

To be eligible, a firm/bank must meet at least one of the following criteria:

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- A. Be recognized as a primary dealer by the Federal Reserve Bank of New York;
- B. Report voluntarily to the Federal Reserve Bank of New York;
- C. Qualify under Securities and Exchange Commission (SEC) Rule 15c3-1 (Uniform Net Capital Rule); or
- D. Be an FDIC member and meet criteria in Section X, "Selection of Banks and Savings and Loans as Depositories and Providers of General Banking Services."

In the event that the District does not utilize an investment advisor, the Treasurer will be responsible for selecting those broker/dealers and other financial institutions that deal directly with the District. The selection will be based on a broker/dealer's or financial institution's expertise in public cash management and their ability to provide service to the District's account.

## **XII. Safekeeping And Custody**

The Treasurer shall approve one or more financial institutions to provide safekeeping and custodial services for the District. A District-approved safekeeping agreement shall be executed with each custodian bank prior to utilizing that bank's safekeeping services. Custodian banks will be selected on the basis of their ability to provide service to the District's account and the competitive pricing of their safekeeping related services.

It is the objective of the District that all owned securities be perfected in the name of the District.

All investments, except non-negotiable certificates of deposit, LGIP's and money market mutual funds, purchased by the District will be delivered by book entry and will be held in third party safekeeping by a District approved custodian bank in the custodian bank's federal reserve account or the custodian bank's Depository Trust Company (DTC) account.

The District's perfected ownership of all federal wireable book entry securities shall be evidenced by a safekeeping receipt issued to the District by the custodian bank who acts as the District's safekeeping agent. The safekeeping receipt shall state that the securities are held in the Federal Reserve System either in a customer account for the custodian bank, which will name the District as customer, or in a trust account with the trust department named as agent for the District.

All securities which are eligible for delivery through the DTC shall be held in the custodian



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bank's DTC participant account and the custodian bank shall issue a safekeeping receipt to the District evidencing that the securities are held by the DTC for the District as customer.

All registered securities held by a custodian shall be registered in the name of the District or in the name of a nominee of the District or in the name of the custodian or its nominee or, if in a clearing corporation, in the name of the clearing corporation or its nominee.

The District's custodian will be required to furnish the District with monthly reports of holdings of custodied securities as well as a report of monthly securities activity.

### XIII. Performance Benchmarks

The Treasurer shall periodically establish a benchmark yield for the District's investment portfolio, but in no case shall the "static" benchmark yield be less than the Local Government Pooled Investment Fund of the State of Wisconsin measured on an annualized basis. All fees involved with managing the portfolio should be included in the computation of the portfolio's rate of return. The Treasurer shall report semiannually the results of the portfolio to the Commission.

### XIV. Reporting

At a minimum, the Treasurer shall prepare a quarterly report for the District's Executive Director on the investment earnings and performance results of the District's investment portfolio. The report shall include a listing of the investments held by the District and the historical cost, amortized cost and current market value of the portfolio. The Treasurer shall prepare, at least quarterly, a review of the portfolio's adherence to appropriate risk levels and a comparison between the portfolio's total return and the established investment objectives and goals.

Investment accounting shall be performed in accordance with Generally Accepted Accounting Principles and the accounting standards promulgated by the Governmental Accounting Standards Board.

### XV. Policy Revisions

This policy shall be reviewed periodically by the Treasurer and may be amended by the Commission as conditions warrant.



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Authority: Statute:	Issued: 10/25/89
Resolution: 77-149-12D(3)g; 01-192-11; 02-136-7; 16-151-11; 20-157-10	Last Revised: 10/26/2020
	Effective: 10/26/2020

Policy Purpose: This policy outlines the District's risk management program to manage risks of accidental loss associated with property, liability and workers compensation exposures.

I. Risk Management Program Objectives

The objectives of the Risk Management Program are to:

- A. Protect the District against financial devastation caused by catastrophic losses.
- B. Minimize the total cost of risk.
- C. Maintain a safe environment for employees and the public affected by District operations.
- D. Provide a safe and healthy working environment for its employees and the public in all facilities under its jurisdiction.
- E. Comply with all applicable safety regulations and correct any safety and health hazards discovered in District facilities, construction sites, or other project sites.

II. Responsibility

Responsibility for coordinating all aspects of the District's Risk Management Program and monitoring results is assigned to the Director of Finance/Treasurer.

III. Financing of Risk Exposures

The District shall maintain separate risk-financing programs for its operations and maintenance (O&M) and capital budgets. Like the risk financing program for its O&M budget, the District intends that risk financing for capital projects be undertaken program-wide rather than on a project-by-project basis.

The District intends to retain financial responsibility for risk of loss that do not present catastrophic loss potential unless other factors, such as lack of adequate premium savings or the need for insurer-provided risk services, makes a purchase of insurance desirable.

IV. Performance Benchmarks

Performance benchmarks for the Risk Management Program will be established by the Executive Director.

V. Protective Measures and Devices



# Commission Policy

Subject: Risk Management Program	Index: 1.73.19 Page: 2 of 2
Authority: Statute:  Resolution: 77-149-12D(3)g; 01-192-11; 02-136-7; 16-151-11; 20-157-10	Issued: 10/25/89  Last Revised: 10/26/2020  Effective: 10/26/2020

Protective measures and devices will be provided at all locations to protect the personal safety of employees, suppliers, contractors, and others, including the public who have access to or may come in contact with water reclamation facilities. Adequate safeguards shall also be installed and maintained at these facilities to protect against vandalism, sabotage, public disturbance, and unauthorized trespass.



# Commission Policy

Subject:	Reimbursement of Personal Expenses Incurred while Conducting District Business	Index:	1-73.21
		Page:	1 of 6
Authority:	Statute:	Issued:	10/14/79
	Resolution: 83-041-3(2), 88-073-5, 90-055-6(7), 02-136-7, 08-040-4, 12-052-4, 12-154-12, 17-036-4, 18-050-4, 18-097-9, 20-157-10	Revised:	10/26/2020
		Effective:	10/26/2020

Policy Purpose: This policy outlines for what expenses District staff and Commissioners can claim reimbursement from the District.

## I. Reimbursement Policy

The District shall reimburse Commissioners and staff for reasonable, necessary, and actual expenses incurred while conducting District business. In all cases, expenses incurred by Commissioners and staff shall meet the requirements and guidelines of Commission Policy 1-01.04, Code of Conduct. In addition to normally assigned duties, District business shall include, but not be limited to, meeting with members of regulatory or governmental agencies, consultants, vendor representatives, and attendance at seminars and conventions, training, and continuing education required for job-related certification and licensing. A separate policy is established for employees in the Marketing department.

The Executive Director shall institute procedures to insure proper accountability and approval of all travel and other related expenses incurred by the staff, including the proper recording of names, purpose, and organizations.

Staff attendance at out-of-state business meetings requires prior approval by the employee's supervisor (at least Cost Center Manager level) and the Executive Director. Commission attendance at business meetings outside the State requires prior approval of the Commission Chairperson. No prior approval is required for Commission attendance at business meetings within the State where budgeted funds are available.

Budgeted funds must be available for staff attendance at conferences and conventions and staff must receive prior approval of the Cost Center Manager and Division Director. District staff reporting directly to the Commission must receive prior approval by the Commission Chairperson. Commissioner attendance at conferences and conventions must be budgeted for and must receive prior approval of the Commission Chairperson.

Attendance at training seminars must receive prior approval of the Cost Center Manager and





# Commission Policy

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Division Director when appropriate and must be within budget. For District staff reporting directly to the Commission, prior approval of the Commission Chairperson is required. Commissioner attendance requires approval of the Commission Chairperson.

## II. Reimbursable Expenses

Reasonable, necessary, and actual expenses which will be reimbursed include:

### A. Transportation

#### 1. Within the District Service Area

Mileage reimbursement for Commissioners or staff using personal vehicles while conducting District business shall be the Internal Revenue Service rate of reimbursement.

The following guidelines shall be used for determining reimbursable mileage. ("Office" is defined as the employee's assigned workstation.)

- a. Trips from the office to field sites or to other business-related locations and back to the office shall be reimbursed if a suitable pool vehicle is unavailable.
- b. Employees traveling from the office to a field or business-related site and then directly home can claim reimbursement for the mileage distance from the office to the site and back to the office or the mileage from the office to the site to the employee's home, whichever is the lesser.
- c. Employees traveling directly to a field or business-related site and then directly to the office can claim the mileage from the employee's home to the site and then to the office or the mileage from the office to the site and back to the office, whichever distance is lesser.
- d. Employees traveling directly from home to a field or business-related site and then directly back to the home can claim the mileage from the employee's home to the site and then back to the home or the mileage from the office to the site and back to the office, whichever distance is lesser.
- e. Reimbursement for personal vehicle use within a field site must exceed a

# Commission Policy

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		Revised:	10/26/2020
		Effective:	10/26/2020

minimum of one mile for the round trip and will be reimbursed only if a suitable pool vehicle was not available.

f. No personal mileage is reimbursable.

2. Outside the District Service Area

Reimbursement includes mileage for personal vehicle, as well as fares for air travel, train, bus, taxi, and airport limousine. Car rental is acceptable for reimbursement when other forms of ground transportation are unavailable or when car rental becomes more cost effective. This includes gas, oil, and emergency repairs for a District vehicle. Reimbursement for air travel is limited to coach fare.

Reimbursement for use of personal auto is limited to the currently authorized rate per mile and cannot exceed the cost of coach air fare.

B. Lodging

Reimbursement is limited to the hotel's quoted single rate for a room plus tax.

C. Meals

Reimbursement includes tips and tax.

1. Within the District Service Area.

Meals generally will not be reimbursed for Commissioners or staff. Exceptions are limited to the following:

- a. Where meal cost is included in the registration fee of a local meeting, seminar, or conference.
- b. Meal expenses for selection committees which include external, subject matter experts assisting the District in evaluating candidates for employment.
- c. On special occasions where courtesy requires a staff member to dine with individuals providing support or assistance to the District or with visiting personnel from other regulatory or governmental agencies.
- d. Meals will be reimbursed for maintenance employees and their supervisors working in operations when required to work in an emergency situation more than three hours beyond their scheduled work day. The amount of reimbursement allowed is to be established by the Executive Director.
- e. Meals will be reimbursed for an employee who staffs a District exhibit and



# Commission Policy

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works more than two hours beyond their scheduled work day without compensation. The amount of reimbursement allowed is to be established by the Executive Director.

2. Outside the District Service Area

The District shall use the annually published General Services Administration's (GSA) guidelines to determine reimbursement rates. For the State of Wisconsin, outside of the District service area, the standard Continental United States rate shall be used. Reimbursement for meals and miscellaneous expenses is limited to actual expense incurred up to a maximum permitted amount equaling the number of days required outside the District service area multiplied by the federal GSA guidelines published for meal reimbursement for the city of destination per day. If an additional day or more is required for travel to and from the destination outside the District service area, reimbursement for meals and miscellaneous expenses shall be limited to actual expense incurred or the GSA guideline, subject to appropriateness and approval. For example, if the number of days required outside the District service area is four days (Monday through Thursday), the maximum reimbursement for meals and miscellaneous expenses shall be limited to actual expense incurred up to a maximum of the GSA daily meal allowance times four. If the number of days required outside the District service is five (Monday through Friday) and travel occurs on Sunday and Saturday, the maximum reimbursement for meals and miscellaneous expenses shall be limited to actual expense incurred up to a maximum of the GSA daily meal allowance multiplied by five .

Receipts for meals are to be provided. If no receipts are provided, a written explanation as to why the receipts are missing must be provided. A final determination as to reimbursement will be made by the Division Director, Executive Director, or Commission Chairperson, depending on the employee's reporting relationship.

C. Parking and Related Expenses

Parking expenses incurred while conducting District business outside the normally assigned

# Commission Policy

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		Effective:	10/26/2020

work location will be reimbursed.

D. Other Expenses

1. Registration fees
2. Internet services
3. Miscellaneous

Includes tips for hotel employees, one personal call per day, and other expenses approved by the Finance Division or outlined in administrative policy or procedure. This amount is included with the meal expenses and is subject to the maximum amount allowable under paragraph II.C.2. above.

III. Expenses in Excess of Maximum Allowable Expenses

In the event that unusual circumstances cause meals and miscellaneous expenses to exceed the maximum amount allowable under paragraph II.C.2. above, or other expenses not identified as reimbursable are incurred, supporting receipts and explanation must be provided for all expenses. Approval must be obtained by the employee's supervisor (at least Division Director level) to reimburse these expenses.

IV. Expense Approval

Expense reports shall be approved by the employee's Cost Center Manager or, in the case of the Cost Center Manager, the Division Director, and, for the Division Director, the Executive Director.

The Commission Chairperson shall approve expense reports for Commissioners and others reporting directly to the Commission. The expense reports for the Commission Chairperson shall be approved by the Commission Vice Chairperson.

Staff travel expenses that exceed a Cost Center's approved training budget must be approved by the Executive Director.

It is impermissible for anyone to approve an expense report for another individual on which the reported expenses were all or partially incurred for the approving person.



# Commission Policy

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V. Commission Oversight

The Policy, Finance, and Personnel Committee may review expense records as necessary to ensure compliance with policy guidelines.



# Commission Policy

Subject: Memberships, Subscriptions, Licenses and Certifications	Index: 1-73.22
Authority: Statute:	Page: 1 of 1
Resolution: 95-016-1(02), 81-020-5D, 98-138-9(02) 02-136-7, 18-097-9, 20-157-10	Issued: 05/21/81
	Last Revised: 10/26/2020
	Effective: 10/26/2020

Policy Purpose: This policy outlines the District's position on reimbursing staff on professional memberships, subscriptions, licenses, and certifications.

- I. Importance of Professional Memberships, Subscriptions, Licenses, and Certifications  
To contribute to general professional growth, to provide contact with peers sharing similar issues, and to participate in organizations supporting similar interests before legislative groups, the District encourages memberships and subscriptions to such organizations and publications that will provide these benefits. The Commission will provide a reasonable and appropriate level of funding for such memberships and subscriptions.
- II. Required Licenses and Certifications  
The District recognizes that, in certain cases, position descriptions specify a particular license or certification as part of the job requirement. In those cases, the fee for such licensing or certification and associated continuing education credits and training will be paid by the District through an appropriate administrative procedure. The District also realizes that, while other non-required professional licensing fees do indirectly benefit the District by ensuring that its employees are properly accredited in their particular discipline, the main benefit and responsibility lies and is transferable with the employee. For this reason, payment of professional licensing or certification fees which are not specifically indicated as part of the employee's job description will be the responsibility of the individual employee.
- III. Reimbursement Review  
A detailed review of membership, license, certification, and subscription payment requests shall be the responsibility of the Executive Director. A list of anticipated memberships, subscriptions, licenses, and certifications shall be made available to the Commission upon request.



# Commission Policy

Subject: Retroactive Capital Charges for Property Added into the District's Sanitary Sewer Service Area	Index: 1-73.24
Authority Statute: 200.55 Resolution: 12-040-3; 20-157-10	Page: 1 of 1 Issued: 3/26/2012 Last Revised: 10/26/2020 Effective: 10/26/2020

Policy Purpose: This policy outlines how retroactive capital charges are assessed for properties added to the District's sanitary sewer service area.

## I. Retroactive Capital Charges

The District's sanitary sewer service area (SSSA) is referenced in the most recently adopted facilities plan. As properties are added to the SSSA they are subject to capital charges for all capital costs incurred by the District for system improvements planned, in progress or in place.

In those instances where capacity is provided for areas projected to expand during the term of the most recently adopted facilities plan and the area is not within the District's approved SSSA, as referenced in the most recently adopted facilities plan, when service is proposed to be provided, such area shall be charged, and the municipality shall pay to the District, a retroactive amount equal to the equalized value of the land, excluding improvements, times the annual rate per \$1,000 of equalized value charged each year to the municipality since the adoption of the most recent facilities plan. Payment shall be a condition precedent to connection to the District's Metropolitan Interceptor System, including all District sewers and the Inline Storage System.

All retroactive capital charges shall be deposited in accounts intended for use to finance capital costs of the District.

Properties added to the SSSA as part of a facilities planning process will not receive retroactive capital charges.

For the years after the year in which the property is added to the District's SSSA, the municipality will be charged for the added property on the same basis, including improvements, as properties already included in the District's sanitary sewerage service area for that municipality.

## II. Authority

The Executive Director is authorized to develop such administrative policies and procedures as the Executive Director deems necessary to carry forth and implement this policy.





# Commission Policy

Subject: Business Continuity Plan	Index: 1-73.27
	Page: 1 of 1
Authority: Statute:	Issued: 10/24/16
Resolution: 16-135-10; 20-157-10	Last Revised: 10/26/2020
	Effective: 10/26/2020

Policy Purpose: This policy establishes the District's Business Continuity Plan

I. Business Continuity Plan Objectives

The purpose of the District's Business Continuity Plan is to ensure the continuation of District operations when a catastrophic event causes a loss of administrative or operational facilities.

The objectives of the Business Continuity Plan are to:

- A. Minimize operations disruption in the event of a catastrophic loss;
- B. Prepare the District to restore services to the widest extent possible after an incident as quickly as possible;
- C. Avoid confusion during a crisis;
- D. Reduce downtime and associated costs;
- E. Identify mission essential functions; and
- F. Ensure management has adequate tools to cope with the fluid nature of a catastrophic loss.

II. Responsibility

Responsibility for coordinating all aspects of the District's Business Continuity Plan is assigned to the District's Risk Manager.

III. Approval and Amendments

The Business Continuity Plan may be amended from time to time upon approval by the Executive Director, consistent with the principles outlined herein and all other Commission and Administrative policies.

IV. Authority

The Commission authorizes the Executive Director to declare an emergency and invoke and declare an end date to the emergency requiring use of the District's Business Continuity Plan. The Executive Director is authorized to assign employees tasks that are outside of their established job description or department as needed to support continuing District operations.