

City of Colfax Policy Index

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**CITY OF COLFAX
ADMINISTRATIVE POLICY
MANUAL**

**PERSONNEL ADMINISTRATION TRANSPORTATION DRUG AND
ALCOHOL REGULATIONS AND TESTING PROCEDURES POLICY**

The Citywide Policy may be more restrictive and should be referred to for policy direction and guidance when so stated below and in the absence of specific direction not so defined within this Policy.

CITY OF COLFAX DRUG AND ALCOHOL REGULATIONS

A **PURPOSE**

1. To provide for a work environment free of drugs and alcohol among employees performing safety sensitive driving and driving-related functions and to ensure City compliance with federal regulations.
2. To meet the requirements of the Omnibus Transportation Employee Testing Act of 1991, including pre-employment, pre-placement, random post accident, reasonable suspicion, return to work and follow-up testing.

REFERENCES

B

1. United States Department of Transportation regulations, 'Procedures for Transportation Workplace Drug and Alcohol Testing Programs' 49 CFR Part 40.
2. United States Department of Transportation, Federal Highway Administration regulations 'Controlled Substances and Alcohol Use and Testing' 49 CFR Parts 382, et. al.
3. Federal Drug Free Workplace Act of 1988.
4. City of Colfax Drug and Alcohol Policy and Testing Procedure, Effective date: July 1, 1999.

C. **APPLICABILITY**

1. The operation of vehicles requiring a Commercial Drivers License is a safety sensitive function and employees performing this function are covered by this policy and the Federal Highway Administration (FHWA) regulations.
2. A listing of covered positions are maintained by the Personnel Services Agency, and a copy will be provided to the affected employees.

NOTE. Employees covered by these regulations are also covered by the CITY OF COLFAX 's Drug and Alcohol Policy, and its provisions which may be more restrictive than the Department of Transportation requirements.

D. DEFINITIONS

The following definitions are applicable to the safety sensitive positions which are maintained by the Personnel Services Agency and in addition to the definitions listed in the CITY OF COLFAX Drug and Alcohol Policy.

1. **ACCIDENT** - an accident involving either:
 - (a) the loss of human life; or (b) resulting in a moving violation citation to a covered employee from the law enforcement agency investigating the accident.

2. **ALCOHOL** - the intoxicating agent in beverage alcohol, ethyl alcohol, or other low molecular-weight alcohol, including methyl or isopropyl alcohol.

3. **ALCOHOL CONCENTRATION** - the alcohol in a volume of breath expressed in terms of grams of alcohol per 210 liters of breath as indicated by a breath test.

4. **ALCOHOL USE** - the consumption of any beverage, mixture, or preparation, including any medication, or food, containing alcohol.

5. **B.A.T** - a trained breath alcohol technician who operates the National Traffic Safety Administration approved evidential breath testing device.

6. **COMMERCIAL MOTOR VEHICLE** - is a motor vehicle or combination of motor vehicles used in commerce to transport passengers or property if the motor vehicle:
 - (a) has a gross combination weight of 26,001 or more pounds inclusive of a towed unit with a gross vehicle weight rating of more than 10,000 pounds.
 - (b) has a gross vehicle weight rating of 26,001 or more pounds.
 - (c) is designed to transport 16 or more passengers, including the driver.
 - (d) is of any size and is used in the transportation of hazardous materials requiring placards.

7. **CONTROLLED SUBSTANCES** - marijuana, amphetamine, opiates, phencyclidine (PCP), cocaine or methamphetamine.

8. **CONFIRMATION TEST** - for alcohol testing, is a second test that provides quantitative data of alcohol concentration following a screening test with a result of 0.02 grams or greater of alcohol per 210 liters of breath (0.08 % by weight of alcohol in his or her blood). For controlled substances testing, it is a second analytical procedure to identify the presence of a specific drug or metabolite which is independent of the screen test and which uses a different technique and chemical principal from that of the screen test in order to ensure reliability and accuracy.

***NOTE:** CITY OF COLFAX Drug and Alcohol Policy contains a "no tolerance" level for alcohol, which is more require than the DOT regulations.*

9. **COVERED EMPLOYEE** - an employee who is required as a condition of employment to operate, drive or maintain a commercial motor vehicle, possess the applicable commercial driver license, and perform safety sensitive driving and driving related functions.
10. **EVIDENTIAL BREATH TESTING DEVICE (EBT)** - is a device approved by the National Highway Traffic Safety Administration (NHTSA) or the evidential testing of breath and placed on NHTSA's "Conforming Products List of Evidential Breath Measurement Devices" (CPL), which produces a printout.
11. **FOLLOW-UP TESTING** - a procedure to test for the presence of alcohol and drugs required by the Substance Abuse Professional (SAP).
12. **MEDICAL REVIEW OFFICER (MRO)** - is a licensed physician (medical doctor or doctor of osteopathy) responsible for receiving laboratory results generated by an employer's drug testing program who has knowledge of substance abuse disorders, and has appropriate medical training to interpret and evaluate an individual's confirmed positive test result together with his or her medical history and any other relevant biomedical information.
13. **NEGATIVE TESTS** - tests results which is reported to the City and indicates that there are insufficient or no controlled substances and/or alcohol present in a sample in an amount sufficient to generate a positive result.
14. **ON-DUTY TIME** - as that phrase is defined by Federal regulations and this policy, means all of the time from the time a covered employee begins to work, is required to be in readiness to work, until the time he or she is relieved for work and all responsibility for performing work. It also includes all time spent providing a breath sample or urine specimen, including travel time to and from the collection site, in order to comply with the testing requirements. *NOTE: See also CITY OF COLFAX Drug and Alcohol Policy, Administrative Policy 'Subject to Call or Duty/Standby Duty'.*
15. **POSITIVE TEST** - a Confirmed test result which is at or above the positive test threshold for controlled substances pursuant to the Department of Health and Human Services (DHHS) guidelines or above 0.08 alcohol concentration for the covered employee. *NOTE: CITY OF COLFAX Drug and Alcohol Policy contains a "no tolerance" level for alcohol, which is more restrictive than the DOT regulations.*
16. **REFUSAL** - a failure to comply with the testing process including an inability to provide a urine specimen or breath sample without a valid medical explanation, a verbal refusal, obstructive behavior or physical absence which precludes completion of the test, or leaving the accident scene without a valid reason before the test has been conducted.
17. **SAFETY-SENSITIVE FUNCTION** - for purposes of this policy, shall mean any of the functions defined in Title 49 of the Code of Federal Regulations. More specifically, safety-sensitive functions include all functions performed by a covered employee during on-duty time and include:
 - (a) all time at a carrier or shipper plant, terminal, facility, or other property waiting to be dispatched, unless the driver has been relieved from duty by the employer.
 - (b) all time inspecting equipment as required by the Federal Motor Carrier Safety otherwise inspecting, servicing, or conditioning any commercial motor vehicle at any Regulations (FMCSR) or time.
 - (c) all time spent at the driving controls of a commercial motor vehicle.
 - (d) all time, other than driving time, spent of or in a commercial motor vehicle (except for time spent resting in the sleeper berth).

- (e) all time loading or unloading a commercial motor vehicle supervising or assisting in the loading or unloading, attending a vehicle being loaded or unloaded, remaining in a readiness to operate the vehicle, or in giving or receiving receipts for shipments loaded or unloaded.
- (f) all time spent performing the driver requirements associated with an accident.
- (g) all time repairing, obtaining assistance, or remaining in attendance upon a disabled vehicle.

18. **SUBSTANCE ABUSE PROFESSIONAL (SAP)**- is a licensed physician (medical doctor or doctor of osteopathy, or a licensed or certified psychologist social worker, employee assistance professional, or addiction counselor (certified by the National Association of Alcoholism and Drug Abuse Counselors Certification Commission) with knowledge of and clinical experience in the diagnosis and treatment of alcohol and controlled substances-related disorders.

E. PROHIBITED CONDUCT

1. No covered employee shall report for duty, or remain on duty requiring the performance of safety-sensitive functions, while having any alcohol concentration. **NOTE: See also CITY OF COLFAX Drug and Alcohol Page which contains a "no -tolerance" level for alcohol, which is more restrictive than the DOT regulations-**
2. No covered employee shall remain on duty, or operate a commercial motor vehicle, while that employee possesses alcohol, unless the alcohol is manifested and transported as part of a shipment. This includes the possession of medicines containing alcohol (prescription or over-the-counter), unless the packaging seal is unbroken.
3. Covered employees shall not use or consume alcohol, including medication or food, while performing safety sensitive functions.
4. No covered employee shall perform safety-sensitive functions within four hours after consuming alcohol.
 - (a) any covered employee who is required to be an stand-by duty and is called back to work, will be asked by his/her supervisor if he or she has consumed alcohol within the past 4 hours. If the employee states "yes", the employee will not be allowed to perform safety sensitive functions.
5. Covered employees shall not consume alcohol within eight (8) hours after an accident or until completion of a post-accident alcohol test, whichever occurs first.
6. Covered employees shall not refuse to submit to a post-accident, random, reasonable suspicion, or follow-up controlled substance and/or alcohol test.
7. Covered employees shall not report for duty or remain on duty when the employee has used any controlled Substance including over the counter and prescribed medication, unless a physician has advised the employee and the City has been notified in writing, of the use of the controlled substance; and has advised the City and the employee that the substance does not adversely affect the employee's ability to safely operate a commercial motor vehicle.
8. If an employee tests positive for controlled substances, that employee will be prohibited from performing any safety sensitive functions for the employer, or will be allowed to perform non-safety sensitive functions until such time that the employee is allowed to begin to perform safety sensitive functions by the means of follow-up testing or the passing of 24 hours, whichever is appropriate, and consistent with this policy. If the employee is prohibited from performing any job function, the employee shall be placed on paid administrative leave for the period of time he/she does not perform their usual job function.

F. NON-COMPLIANCE

(SEE CITY OF COLFAX Drug and Alcohol Abuse Policy for further information and direction)

1. A covered employee who violates any of the items listed in Section E may:
 - (a) be relieved of safety sensitive duties or of all duties;
 - (b) be referred to and submit to an examination by a SAP; and
 - (c) undergo treatment as indicated by the SAP. Employee accepts full responsibility for the cost of the SAP counseling; and
 - (d) be tested in compliance with Section L (Return to Duty Testing).
2. Refusal to submit to any required test shall be deemed a positive test result. The following actions shall constitute refusal to submit to a test:
 - (a) refusal to take a required test;
 - (b) inability to provide sufficient quantities of breath or urine to be tested without a valid medical explanation;
 - (c) tampering or attempting to adulterate the specimen or collection procedure;
 - (d) not reporting to the collection site in the time allotted; or
 - (e) leaving the scene of an accident without a valid reason before the tests have been conducted.
3. A covered employee who engages in any action described in Section O.3 shall be removed from duty, and is subject to disciplinary action, up to and including termination.
4. A covered employee who violates any Section of this document may be liable for penalties as provided in federal statute, and is subject to disciplinary action, up to and including termination.

G. TRANSPORTATION OF EMPLOYEE

1. If a covered employee must take a test pursuant to Sections K (Reasonable Suspicion Testing) or Section N (Post Accident Testing) of this policy for alcohol or drugs, the employee will be transported to the testing site by a supervisor or designated employee. The supervisor or designated employee will wait until the test is Completed and then transport the employee back to the job site or the employee's home, whichever is appropriate.
2. If a covered employee who takes a test pursuant to Sections I (Pre-Employment Testing), J (Random Testing), L (Return to Duty Testing), or M (Follow-Up Testing) of this policy and produces a test result indicating an alcohol concentration, the lab will contact the City immediately and have the employee stay there until that employee is transported by the City to the employee's home.

NOTE: CITY OF COLFAX Drug and Alcohol Policy contains a 'no tolerance' level for alcohol, which is more restrictive than the DOT regulations.

H. TESTING PROCEDURES

1. All tests conducted pursuant to this policy shall comply with the requirements of applicable Federal law. Specific testing procedures are maintained by the Personnel Services Agency.
2. In accordance with 49 CFR, 382.505, when an employee is tested pursuant to Sections I (Pre-Employment Testing), J (Random Testing), K (Reasonable Suspicion Testing), L (Return to Duty Testing), M (Follow-Up Testing), or N (Post Accident Testing) of this policy and the alcohol concentration is found to be positive, the employee shall not perform or continue to perform safety sensitive functions less than 24 hours following the administration of the test. The CITY OF COLFAX Drug and Alcohol Policy contains a '*no tolerance*' level for alcohol, which is more restrictive than the DOT regulations.
3. Before performing an alcohol or controlled substance test, the City shall notify the employee that law requires the alcohol or controlled substance test. No City representative shall require an employee to have tests done other than identified by these regulations and the CITY OF COLFAX Drug and Alcohol Policy.

I. PRE-EMPLOYMENT TESTING

1. An applicant seeking a Position which requires, as a condition of employment, the operation, driving, or maintenance of a commercial motor vehicle and Possession of a commercial driver's license shall be drug and alcohol tested. For further information; refer to Article IX, Section 2 of the CITY OF COLFAX Drug and Alcohol Policy.
2. A current employee applying for, and who does not Currently hold, a position in which the employee is required as a condition of employment to operate, drive, or maintain a commercial motor vehicle and possess a commercial driver's license shall be drug and alcohol tested.
3. A current employee who fails a pre-placement test will be referred to their Department Head for evaluation pursuant to these regulations and the City's Drug and Alcohol Policy.
4. The City shall obtain information from an applicant's former employer as a result of the Federal Highway Administration regulations (49, CFR Subtitle B, Chapter III, Part 382, Section 382.415(a) through (g).

J. RANDOM TESTING

1. The City shall randomly select covered employees for alcohol and controlled substances testing during each calendar year, in accordance with applicable Federal law. The minimum annual percentage rate for random alcohol testing shall be twenty five percent (25%) of the average number of covered employees, until further notification is received from the Federal Department of Transportation. The minimum annual percentage rate for controlled substances testing shall be fifty percent (50%) of the average number of covered employees, until further notification is received from the Federal Department of Transportation.
2. The selection of covered employees for random alcohol and controlled substances testing shall be made by a scientifically valid method. Under the selection process used, every covered employee shall have an equal chance of being tested each time selections are made.
3. The City shall ensure that the random tests are unannounced and that the dates for administering the random tests are spread reasonably throughout the calendar year. Every covered employee who is notified of selection for random testing shall cease to perform safety-sensitive functions and shall immediately proceed to the test site.
4. A covered employee shall be subject to random testing at the following times, while the covered employee is Performing safety-sensitive functions, just before the covered employee is performing safety-sensitive functions, or just after the covered employee has ceased performing such functions.

5. Extra-help, temporary, limited-term and provisional employees, if they are also covered employees, are subject to random testing.
6. In the event, a covered employee who is selected for a random test is on vacation or off-duty, the City can either select another driver or keep the original selection confidential until the driver returns.

K. REASONABLE SUSPICION TESTING

NOTE: Refer to the CITY OF COLFAX Drug and Alcohol Policy for further testing procedures information.

1. A covered employee shall be tested for alcohol or a controlled substance within two (2) hours from the observation, and under no circumstances later than eight (8) hours. Supervisors shall document the observations made, and if the testing is not completed within two (2) hours, such documentation shall include the cause for the delay. If the test is not administered within eight (8) hours, attempts to obtain a test shall cease and the reasons for not administering the test shall be recorded.
2. The observation and determination that a reasonable suspicion exists will be made by trained supervisors and managers in detecting the symptoms of alcohol misuse and use of controlled substances as per the regulations. The training shall consist of at least sixty (60) minutes of training on alcohol misuse and at least an additional sixty (60) minutes of training on controlled substance use.
3. After a reasonable suspicion assessment for alcohol has been made but no test is given within the prescribed time periods stated in Section K.1 above, a covered employee shall not return to work until the employee has a Return to Duty test with negative results for alcohol concentration or 24 hours have elapsed since the observation.

NOTE: The CITY OF COLFAX Drug and Alcohol Policy contains a "no tolerance" level for alcohol, which is more restrictive than the DOT regulations.

L. RETURN TO DUTY TESTING

1. Before a driver returns to duty requiring the performances of a safety-sensitive function, after engaging in Prohibited Conduct (Section E), he/she shall undergo a Return-to-Duty alcohol test with a negative result and/or a controlled substances test with a verified negative result.

NOTE: CITY OF COLFAX Drug and Alcohol Policy contains a "no tolerance" level for alcohol, which is more restrictive than the DOT regulations.

M. FOLLOW-UP TESTING

NOTE: Refer to Section P 'Substance Abuse Professional' for further information.

1. A covered employee who has been referred to a SAP pursuant to these regulations, shall be subject to unannounced controlled substance and/or alcohol testing as directed by the SAP.
2. There shall be at least six (6) tests within the first twelve- (12) months following return to duty. These tests shall be at no cost to the employee.
3. The period for follow-up testing shall not exceed five (5) years from the date of return to work
4. Follow-up testing is separate from and in addition to any testing required by Sections I (Pre-Employment Testing), J (Random Testing), K (Reasonable Suspicion Testing), L (Return to Duty Testing), or N (Post Accident Testing), of this policy.

N. POST ACCIDENT TESTING

1. After any accident, as defined in Section D.1 'Accident', involving a commercial motor vehicle, the covered employees) driving the vehicle(s) shall be tested for alcohol and controlled substances.
2. A covered employee shall remain readily available for testing after an accident until tests are completed pursuant to Section N-3 or Section N.4.
3. A covered employee shall be tested for alcohol within two (2) hours following the accident and under no circumstances later than eight (8) hours. If the testing is not completed within two (2) hours, the manager/supervisor shall document the cause for the delay. If the testing is not completed within eight (8) hours, the manager/supervisor shall document the reason the test was not conducted.
4. Employees shall be tested for controlled substances within thirty-two (32) hours following an accident. If the testing is not completed within 32 hours, the manager/supervisor shall document why the testing was not conducted.
5. Failure of the covered employee to remain available for testing as set forth in Section N.2 constitutes a refusal.
6. Nothing herein is intended to delay obtaining medical treatment after the accident, or to prohibit a covered employee from leaving the scene of the accident for the period necessary to obtain assistance in responding to the accident, or to obtain medical care.
7. An accident that does not involve a fatality or citation may result in reasonable suspicion testing of covered employee(s), as outlined in Section K (Reasonable Suspicion Testing) or in accordance with the CITY OF COLFAX Drug and Alcohol Policy.

O. MEDICAL REVIEW OFFICER (MRO)

1. If the controlled substance test produces a positive result, the MRO will review such results in accordance with 49 CFR 40.33.
2. Before making the decision to verify a positive test result for a covered employee, the MRO shall give the employee an opportunity to discuss the test result.
 - (a) If the employee chooses to have the split sample tested, the employer will pay for such testing.
3. If the MRO is unable to contact the employee, he/she shall call the City, who shall contact the employee and direct him/her to call the MRO immediately.
 - (a) The City shall document the time and date of the instruction to the employee to contact the MRO.
4. The MRO will notify the City as to whether or not the test is negative or positive, based on the review of the test results and communication or non-communication with the employee in accordance with 49 CFR 40.33.
5. If the test is positive, the MRO will immediately notify the designated City representative of the results and refer the case to the designated Substance Abuse Professional (SAP).

P. **SUBSTANCE ABUSE PROFESSIONAL (SAP) as Approved by-the City**

*** (Placer County Sheriff/Police Chief and his assignees as SAP Liaison Officer to the City of Colfax)**

NOTE: CITY OF COLFAX Drug and Alcohol Policy Contains a "no tolerance" level for alcohol, which is more restrictive than the DOT regulations.

1. An employee who tests positive for the presence of controlled substances or has an alcohol concentration, shall contact the City designated SAP * for evaluation and for treatment.
2. The SAP will determine what if any assistance the employee needs in resolving problems associated with alcohol misuse and controlled substance use.
3. If the SAP determines assistance is necessary, the follow-up testing program, as described in Section M ((Follow-up Testing) will be invoked.
4. The employee accepts the responsibility for the cost of the evaluation and rehabilitation provided for under the law.

Q. **RECORD RETENTION**

1. The City shall retain all records in accordance with applicable Federal law. Personnel Services Agency shall maintain the record retention schedule and ensure the confidentiality of records retained.

R. **EMPLOYEE-INFORMATION**

1. The City shall distribute an employee packet containing this Policy and its forms and schedules to each covered employee, on an individual basis, prior to the implementation of the alcohol and controlled substance testing procedures. The City shall also distribute this document to every covered employee hired after its adoption, and to every Covered employee transferred into a position requiring driving a commercial vehicle.
2. Employees will be required to sign a statement acknowledging receipt of this document.
3. Employees having questions concerning these regulations and procedures should contact the City Manager.

S. **EFFECT**

1. This policy shall take effect July 1, 1999

CITY OF COLFAX

ADMINISTRATIVE POLICIES AND PROCEDURES

09-01

Subject: *City Credit Card for Business Use*

Effective Date: February 2, 2009

City Manager: _____

POLICY

It is the policy of the city of Colfax that the credit cards will be kept in the safe at City Hall. They are to be used in lieu of personal credit cards for the purchase of equipment and supplies and for meeting/seminar/conference registration. They should be used for travel expenses as well as when attending meetings. There will be a sign out form for each card. The exception to this would be if one of the city cards were not available for use for some reason.

Use of the card does not change the policy of using and submitting the Meetings/Travel Advance & Reimbursement Request Form or any other appropriate reporting form. All receipts must still be maintained and submitted.

OBJECTIVES

To create better checks and balances and documentation for city expenditures and to eliminate as much as possible, the use of personal credit cards for business purchases.

CITY OF COLFAX

ADMINISTRATIVE POLICIES AND PROCEDURES

06-02

Subject: *Administrative Approval of Event Applications for City Facilities
(Except Street Closures)*

Effective Date: November 29, 2006

City Manager: _____

POLICY

It is the policy of the city of Colfax to require event applications to be completed for use of city facilities (parks, city hall, ball fields, etc.) and that approval of the events will occur at an administrative level by the city manager or his/her designee except for street closure applications. Street closure applications will be presented to the city council for approval.

OBJECTIVES

- A. To assure adequate review of the proposed use and the identification of any special conditions or other permits or approvals needed (i.e. Caltrans permits, other encroachment permits, Alcohol Beverage Control licenses)
- B. To provide a tracking system to provide for necessary staff and equipment availability
- C. To assure insurance requirements are met

PROCEDURES

- A. Event application form is to be filed with the city a minimum of 30 days prior to the date of the proposed event to provide for sufficient review and time for additional information or gathering of other approvals as deemed necessary.
- B. On filing of the application, it will be routed to police, fire and public works departments for review and determination of any conditions, equipment and/or personnel necessary to accommodate the request.
- C. On completion of department review, the application will be submitted to the city manager or his/her designee for review and authorization/denial or request for additional information
- D. Street closure requests will follow the same process but be submitted by the city manager to the city council for street closure approval.

Approved by City Council November 28, 2006

Attachment: Event Form

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ATTACHMENTS

- A. Program Review and Certification Log**
- B. Excavation Project Startup Checklist**
- C. Daily Excavation Log**

I certify that the Excavation Policy for the City of Colfax (Colfax) has been reviewed and revised as necessary.



Community Services Director

12/19/2016
Date Certified

1.0 Program Review and Certification

The Excavation Policy at the City of Colfax (Colfax) will be reviewed and revised as necessary to ensure the policy is current. All revisions are documented on Attachment A: Policy Review and Certification Log.

2.0 Purpose

This policy is designed to put in place work practices and procedures at the Colfax that will protect personnel from hazards that may be found in or around excavations and trenches. It provides guidance and instruction to personnel whose job requires working in proximity to or entry into excavation activities in accordance with California Code of Regulations, Title 8 (8 CCR), Sections 1540 – 1541.1.

3.0 Applicability

This Excavation Policy applies to all Colfax employees, contractors and visitors (personnel) who perform duties in and around excavations. Such persons whose duties involve work activities near excavations are required to comply with the rules of operations and accepted safety practices outlined within this policy.

4.0 Definitions

Based on California Code of Regulations, Title 8, Section 1541(b).

Affected employees – those employees who work in or around excavation projects.

Bell-bottom pier hole – a type of shaft or footing excavation with the bottom made larger than the cross section above to form a bell shape.

Benching (benching system) – excavating the sides of a dig to form one or more horizontal steps, usually with vertical or near-vertical surfaces between levels.

Cave-in – soil or rock movement into an excavation, or soil loss from under a trench shield or support system in amounts large enough to trap, bury, or injure and immobilize a person.

Competent Person – one who is capable of identifying existing and predictable hazards in the surroundings or working conditions which are unsanitary, hazardous, or dangerous to employees; and who has authorization to take prompt corrective measures to eliminate them (8 CCR, Section 1504(a)).

Cross braces – the horizontal members of a shoring system installed from side to side of the excavation. The cross braces bear against either uprights or wales.

Excavation – any man made cut, cavity, trench or depression formed by earth removal.

Emergency – unforeseen combination of circumstances, conditions or events requiring immediate corrective action to protect health, safety, the environment, or property.

Faces or sides – the vertical or inclined earth surfaces formed by excavation work.

Failure – the movement or damage of a structural member or connection that makes it unable to support loads.

Hazardous atmosphere – an atmosphere that is explosive, flammable, poisonous, corrosive, oxidizing, irritating, oxygen deficient, toxic, or otherwise harmful; which may cause death, illness, or injury.

High priority subsurface installation – high pressure natural gas pipelines with normal operating pressures greater than 315 kPA gauge (60 p.s.i.g.); petroleum pipelines; pressurized sewage pipelines; conductors; or cables that have a potential to ground of 60,000 volts or more, or hazardous materials pipelines that if damaged are potentially hazardous to employees or the public.

Personal protective equipment (PPE) – designed to protect the wearer from injury.

Project manager (work site supervisor) – individual in the organization that oversees excavation work and is responsible for ensuring compliance with this program.

Protective system – a method of protecting employees from cave-ins; from material that could fall or roll from an excavation face into an excavation; or from the collapse of adjacent structures. Protective systems include support systems, sloping and benching systems, shield systems, and other systems that provide the necessary protection.

Ramp – an inclined walking or working surface used to access one point from another. A ramp may be constructed from earth or, structural materials such as steel or wood.

Registered Professional Engineer – a person who is registered as a professional engineer in California.

Sheeting – the members of a shoring system that retain the earth in position and in turn are supported by other members of the shoring system.

Shield (shield system) – a structure used in an excavation to withstand cave-ins and which will protect employees working within the shield system. Shields can be permanent structures or portable units moved along as work progresses. Shields used in trenches are usually referred to as "trench boxes" or "trench shields."

Shoring (shoring system) – a structure that is built or put in place to support the sides of an excavation to prevent cave-ins.

Sides – See "Faces."

Sloping (sloping system) – sloping the excavation sides away from the excavation to protect employees from cave-ins. The required slope will vary with soil type, weather, and surface or near surface loads that may affect the soil in the area of the trench (such as adjacent buildings, vehicles near the edge of the trench and so forth).

Stable Rock – natural solid mineral material that can be excavated with vertical sides that will remain intact while exposed.

Structural ramp – a ramp built of steel or wood, usually used for vehicle access. Ramps made of soil or rock are not considered structural ramps.

Support system – the underpinning, bracing, or shoring structure providing support to an adjacent structure, underground installation, or the sides of an excavation.

Tabulated data – tables and charts approved by a registered professional engineer and used to design and construct a protective system.

Trench (trench excavation) – a narrow excavation (in relation to its length) made below the surface of the ground.

Trench box or shield – See "Shield".

Uprights – the vertical members of a trench shoring system placed in contact with the earth and usually positioned so that individual members do not contact each other. Uprights placed so that individual members are closely spaced, in contact with or interconnected to each other, are often called "sheeting."

Underground Service Alert (USA) – a national network that tracks all underground water pipes, gas lines, electrical conduits, television cables, etc. and will locate and mark these items at no charge. USA services must be contacted 48-hours prior to excavation and renewed every 28 days. USA's phone number is 811.

Wales – horizontal members of a shoring system placed in the direction of the excavation face whose sides bear against the vertical members of the shoring system or earth (the uprights or sheeting).

5.0 Responsibilities

5.1 The Community Services Director has the overall authority and responsibility for implementing the provisions of the Excavation Policy for Colfax.

Specific responsibilities include, but are not limited to

- Responsibility and authority for ensuring this program is fully implemented;
- Ensuring funding to successfully implement the program requirements;
- Ensuring that the policy and program requirements are enforced;
- Implementing all other relevant responsibilities as identified in the Injury; Illness Prevention Program (IIPP).

5.2 The City Clerk is responsible for

- Monitoring excavation policy effectiveness by performing a program review and completing the Program Review and Certification Form (Attachment A);
- Monitoring training to ensure its effectiveness and that it is provided in accordance with section 7.0 of this policy;
- Providing Managers and Supervisors guidance on the laws and regulations governing excavation activities and conducting the necessary research to determine those requirements and the standards that apply;
- Maintaining inspection, training and incident records.

5.3 The Community Services Director is responsible for

- Ensuring that affected employees are trained on excavation procedures;
- Ensuring that any reports of compromised or damaged emergency equipment is documented and repaired in a timely manner;
- Ensuring that at least one capable competent person authorized to take corrective action when needed is onsite when persons are in excavations;
- Ensuring the Underground Service Alert (USA) has been notified and that the job site is marked by the appropriate utilities.

5.4 Competent persons are responsible for

- Conducting safety briefings;
- Conducting inspections daily and when site conditions change and completing the Daily Excavation Log (Attachment C);
- Identifying soil classifications (8 CCR 1541.1, Appendix A);
- Taking action to remove personnel from the excavation when hazardous situations arise;
- Designing structural ramps if needed for access and egress into an excavation (8 CCR 1541(c));
- Ensuring that the proper worker protection system(s) are selected and installed (8 CCR 1541.1);
- Ensuring that site safety and security is maintained;
- Ensuring that pre-job planning has been properly completed and that all predictable hazards have been addressed and completing the Excavation Project Startup Checklist (Attachment B).

5.5 All Affected Employees are responsible for:

- Participating in safety meetings;
- Reporting any unsafe conditions to their immediate supervisor or the site competent person;
- Wearing required PPE when working around or in an excavation.

6.0 Training

6.1 Initial Training

- 6.1.1 Employees shall receive training on excavation safety before entering or working in an excavation site.
- 6.1.2 Competent persons shall receive training as needed to receive and maintain the competent person classification.
- 6.1.3 All personnel in the vicinity of an excavation shall be trained in the excavation notification system and identification of excavation hazards.

6.2 Refresher Training

- 6.2.1 Employees shall receive refresher training whenever Colfax has reason to believe that an employee is not following established guidelines.
- 6.2.2 Employees shall receive refresher training whenever new procedures, equipment or operational changes are introduced.

7.0 Pre-Work and Planning

7.1 Before excavation begins, it is important that plans are made to prevent the following

- Cave-ins;
- Falls;
- Materials falling onto people;
- People and vehicles encroaching into the work area;
- Hazardous atmosphere;
- Undermining nearby structures;
- Contact with underground services;
- Pedestrian and vehicular accidents.

7.2 Pre-work planning includes the following

- 7.2.1 Ensuring that the necessary equipment such as trench plates and pins, shores, shields, protective fencing, etc, are available on site.
- 7.2.2 Verifying that all personnel who may enter the excavation site have received the required training.
- 7.2.3 Conducting a pre-work site inspection to identify potential hazardous situations such as

- Surface encumbrances such as buildings, trees and rocks;
- Roadways including traffic conditions;
- Pedestrians;
- Vehicle access;
- Underground installations such as water, sewer, telephone, power, gas and liquid fuels.

7.2.4 Establishing requirements for maintaining public safety (e.g. barricades, trench plates, crossings, etc.).

7.2.5 Verifying access to emergency services and correct as needed before excavation starts

- Mobile telephone coverage;
- Access to land lines;
- Site access for emergency vehicles.

8.0 General Excavation Requirements

8.1 Underground Alerts

8.1.1 Verify that underground utilities are positively located and marked as specified in Government Code Section 4216.2.

8.1.2 Call Underground Service Alert (USA) 48-hours prior to excavation.

8.1.3 Have markings verified every 28 days or when no longer visible.

Note: Excavation may not begin until the excavator has received a positive response from all known owner/operators of subsurface installations within the boundaries of the proposed project.

8.2 Inspections

8.2.1 The on-site competent person shall conduct inspections as required, daily and when conditions change, prior to any personnel entering the excavation. The Competent Person has the authority to determine if the trench is safe to enter and is authorized to take immediate corrective measures to eliminate those hazards and/or to prevent entry until such hazards are corrected.

8.2.2 The Competent Person must inspect the excavation prior to personnel entry for indications of a failure of protective systems, hazardous atmospheres and other hazardous conditions. The inspection results shall be recorded and must indicate that all hazards were evaluated and mitigated before entry took place. In addition, a re-inspection is required

- After every rain;
- After other events that could increase hazards, e.g. windstorm, thaw, earthquake, etc.;
- When fissures, tension cracks, sloughing, undercutting, water seepage, excavation wall bulging, or other similar conditions occur;
- There are changes in the size, location, or placement of the spoil pile;
- When change/movement to adjacent structures is identified.

8.3 Fall Protection

8.3.1 If the use of fall protection equipment is required, the provisions of the Colfax's Fall Protection policy must be met. In no case shall employees enter an excavation area that requires the use of a fall arrest system without the proper fall protection PPE and without having completed fall protection training.

8.3.2 Walkways or bridges shall be provided when employees or equipment will cross over excavations deeper than 6 feet and wider than 30 inches. Walkways and bridges shall be constructed with standard guardrails, maintain a minimum clear width of 20 inches, and extend a minimum of 24 inches past the excavation edges.

8.3.3 Employees shall not cross excavations unless the above conditions are met.

8.4 Protection from loose rock and soil

- Spoils placement must be no closer than 2 feet from the excavation's edge.

8.5 Access and Egress

An acceptable means of access and egress shall be provided when necessary to meet the following conditions

8.5.1 A stairway, ladder, ramp or other safe means of access or egress shall be located in excavations 4 feet or more in depth. Do not use aluminum or other conduction material ladders when electrical utilities are present.

- 8.5.2 Ladders shall meet OSHA requirements for ladder construction.
- 8.5.3 The means of access or egress must be arranged so that the spacing shall not require more than 25 feet of lateral travel.
- 8.5.4 Ladders must be secured and extend a minimum of 3 feet above the landing or soil surface.

8.6 Hazardous Atmospheres

- 8.6.1 Atmospheric testing shall be conducted before personnel enter an excavation when the depth exceeds four feet and has an oxygen deficiency or other hazardous atmosphere or may reasonably be expected to develop a hazardous atmosphere.
- 8.6.2 Hazardous atmospheres may develop as a result of
 - Landfill waste;
 - Chemical contaminants or fuels that saturate the air or soil in and around an excavation;
 - An excess or lack of oxygen;
 - Equipment operating in or near the excavation;
 - Welding, cutting, or burning in or near the excavation;
 - Other chemical or hazardous materials;
 - Unusual excavations such as found in bell-bottom pier holes.
- 8.6.3 When testing for atmospheric contaminants
 - Air monitoring must be conducted before entering an excavation;
 - When ventilation or other controls are used to reduce the level of atmospheric contaminants, air monitoring must be performed as often as necessary to ensure that the atmospheric conditions remain safe;
 - This must be done in accordance with Colfax's Confined Space Policy.
- 8.6.4 If safe atmospheric conditions cannot be maintained, engineering controls (e.g. ventilation) and/or appropriate respiratory protection must be provided.
- 8.6.5 Emergency rescue equipment, such as breathing apparatus, a safety harness and line, or a basket stretcher shall be readily available where hazardous atmospheric conditions exist or may reasonably be expected to develop during work in an excavation.

8.7 Emergency Excavations

Emergency excavations are handled as an emergency first, attending to excavation protocols secondly.

8.7.1 When emergency excavation, maintenance or repairs are necessary, notify the call center or the owner/operator as soon as possible.

8.7.2 Situations dangerous to life, health or property shall be corrected immediately in order to continue public utility service or transportation.

9.0 High Priority Subsurface Installations

When excavations occur within 10 feet of a high priority subsurface installation, the following will be implemented

- 9.1 Colfax will notify the excavator through the USA process (see 9.1), that such installations exist in the project vicinity prior to the legal excavation start date and time.
- 9.2 Colfax and the excavator will hold an onsite meeting to determine if any action or activities are required to verify the installations' physical location.
- 9.3 Only qualified and specially trained persons will perform subsurface installation location activities.
- 9.4 Affected employees involved in high priority subsurface excavations will be trained in the excavator notification and excavation practices required by 8 CCR § 1541 and Government Code Sections 4216 through 4216.9.

10.0 Worker Protection

- 10.1 Personal Protective Equipment (PPE) shall be required at all times when personnel are around or in an excavation. Appropriate PPE includes, at a minimum, head, eye and foot protection. Additional PPE shall be required as needed based on site/job requirements.
- 10.2 Personnel in excavations shall be protected from cave-ins. Such protection shall be used in all cases except when the excavation is entirely in solid rock or when less than five feet in depth with no indication of potential cave in.

- 10.3 Worker protection systems include
- Sloping or benching systems;
 - Shoring per tabulated data;
 - Trench shields (trench boxes);
 - Systems designed by registered professional engineers.
- 10.4 Worker protection system use shall be documented and shall receive regular inspections by qualified individuals.
- 10.5 Personnel shall be protected from falling loads and shall not be permitted underneath loads handled by lifting or digging equipment. Personnel shall be required to stand away from any vehicle being loaded or unloaded to avoid being struck by any spillage or falling materials.
- 10.6 Employees exposed to vehicular traffic will wear warning vests or other suitable garments in accordance with 8 CCR §1598 and the Colfax traffic control procedures.

11.0 Document Control

11.1 Colfax shall maintain the following records for the life of the project plus three years and shall keep copies at the job site while each system is in use:

- Tabulated data used for designing worker protection systems (sloping, benching, shoring, shielding, etc.);
- Designs of any worker protection systems approved by a registered professional engineer;
- Manufacturer's specifications, recommendations, and limitations for support system, shield system or other protective systems based on the manufacturer's tabulated data;
- Any manufacturer's approval to deviate from the specifications, recommendations and design limitations based on the manufacturer's tabulated data;
- Designs of any worker protection systems designed by a registered professional engineer;
- USA ticket numbers and any received information regarding utility location.

ATTACHMENT B

Excavation Project Startup Checklist

Site Location:		
Date and Time:	Competent Person:	
Soil Type:		
Soil Classification:	Excavation Depth:	Excavation Length & Width:
Protective System In Use:		
USA Ticket #:	Call Date:	

For each item, indicate Yes, No or N/A

1. General Jobsite Inspection	
A. Excavations, adjacent areas, and protective systems inspected by a competent person daily before the start of work	
B. Competent person has the authority to remove employees from the excavation immediately	
C. Surface encumbrances removed or supported	
D. Employees protected from loose rock or soil that could pose a hazard by falling or rolling into the excavation	
E. Hard hats & PPE worn by all employees	
F. Spoils, materials, and equipment set back at least two feet from the edge of the excavation	
G. Barriers provided at all remotely located excavations, wells, pits, shafts, etc	
H. Walkways and bridges over excavations four feet or more in depth are equipped with standard guardrails and toe boards	
I. Warning vests or other highly visible clothing provided and worn by all employees exposed to public vehicular traffic	
J. Employees required to stand away from vehicles being loaded or unloaded	
K. Warning system established and utilized when mobile equipment is operating near the edge of the excavation	
L. Employees prohibited from going under suspended loads	
M. Employees prohibited from working on the faces of slopes or benched excavations above other employees	

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EXCAVATION POLICY**

01/01/17

2. Utilities	
A. Utility companies contacted and/or utilities located	
B. Exact location of utilities marked	
C. Underground installations protected, supported, or removed when excavation is open	
3. Means of Access and Egress	
A. Lateral travel to means of egress no greater than 25 feet in excavations four feet or more in depth	
B. Ladders used in excavations secured and extended three feet above the edge of the trench	
C. Structural ramps used by employees designed by a competent person	
D. Structural ramps used for equipment designed by a registered professional engineer (RPE)	
E. Ramps constructed of materials of uniform thickness, cleated together on the bottom, equipped with no-slip surface	
F. Employees protected from cave-ins when entering or exiting the excavation	
4. Wet Conditions	
A. Precautions to take to protect employees from the accumulation of water	
B. Water removal equipment monitored by a competent person	
C. Surface water or runoff diverted or controlled to prevent accumulation in the excavation	
D. Inspections made after every rainstorm or other hazard-increasing occurrence	
5. Hazardous Atmosphere	
A. Atmosphere within the excavation tested where there is a reasonable possibility of an oxygen deficiency, combustible or other harmful contaminant exposing employees to a hazard	
B. Adequate precautions taken to protect employees from exposure to an atmosphere containing less than 19.5% oxygen and/or to other hazardous atmospheres	
C. Ventilation provided to prevent employee exposure to an atmosphere containing flammable gas in excess of 10% of the lower explosive limit of the gas	
D. Testing conducted often to ensure that the atmosphere remains safe	
E. Emergency equipment, such as breathing apparatus, safety harness and lifeline, and/or basket stretcher readily available where hazardous atmospheres could or do exist	
F. Employees trained to use personal protective and other rescue equipment	

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G. Safety harness and lifeline used and individually attended when entering bell bottom or other deep confined excavations	
6. Support Systems	
A. Materials and/or equipment for support systems selected based on soil analysis, trench depth, and expected loads	
B. Materials and equipment used for protective systems inspected and in good condition	
C. Materials and equipment not in good condition have been removed from service	
D. Damaged materials and equipment used for protective systems inspected by a registered professional engineer (RPE) after repairs and before being placed back into service	
E. Protective systems installed without exposing employees to the hazards of cave-ins, collapses, or threat of being struck by materials or equipment	
F. Members of support system securely fastened to prevent failure	
G. Support systems provided in ensure stability of adjacent structures, buildings, roadways, sidewalks, walls, etc	
H. Excavations below the level of the base or footing supported, approved by an RPE	
I. Removal of support systems progresses from the bottom and members are released slowly as to note any indication of possible failure	
J. Backfilling progresses with removal of support system	
K. Excavation of material to a level no greater than two feet below the bottom of the support system and only when designed to support the loads calculated for the full depth	
L. Shield system placed to prevent lateral movement	
M. Employees are prohibited from remaining in shield system during vertical movement	
CORRECTIVE ACTIONS AND REMARKS:	

ATTACHMENT C
Daily Excavation Log

Date:	Signature:
USA Ticket #:	Call Date:
Weather:	Project:
Protective System In Use:	
Excavation Purpose:	
Were visual soil tests made: Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, what type?	
Were manual soil tests made: Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, what type?	
Type of soil: Stable Rock <input type="checkbox"/> Type A <input type="checkbox"/> Type B <input type="checkbox"/> Type C <input type="checkbox"/>	
Surface encumbrances: Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, what type?	
Water conditions: Wet <input type="checkbox"/> Dry <input type="checkbox"/> Submerged <input type="checkbox"/>	
Hazardous atmosphere exists: Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, follow confined space entry procedures policy; complete Confined Space Entry Permit; monitor for toxic gas(es))	
Is trenching or excavation exposed to public vehicular traffic (exhaust emission): Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, refer to confined space entry procedures; complete Confined Space Entry Permit; monitor for toxic gas(es))	
Measurements of Excavation: Depth <input type="text"/> Length <input type="text"/> Width <input type="text"/>	
Is ladder within 25 feet of all workers: Yes <input type="checkbox"/> No <input type="checkbox"/>	
Is excavated material stored two feet or more from edge of excavation: Yes <input type="checkbox"/> No <input type="checkbox"/>	
Are employees exposed to public vehicular traffic: Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, warning vests required)	
Are other utilities marked and protected: Yes <input type="checkbox"/> No <input type="checkbox"/> (Water, sewer, gas or other structures)	
Are sewer or natural gas lines exposed: Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, refer to confined space entry procedures policy; complete Confined Space Entry Permit; monitor for toxic gas(es))	
Periodic inspection: Yes <input type="checkbox"/> No <input type="checkbox"/>	
Did employees receive training in excavating: Yes <input type="checkbox"/> No <input type="checkbox"/>	
Notes:	

CITY OF COLFAX

ADMINISTRATIVE POLICIES AND PROCEDURES

07-2008

Subject: *Expense Guidelines and Reimbursement Policy for Legislative Body Members, Commissioners and Staff*

Effective Date: June 10, 2008

City Manager: _____

POLICY

Guidelines for the reimbursement of expenses incurred in the course of performing official duties for the city.

OBJECTIVES

To be in compliance with all legal requirements in reimbursing elected officials, appointed commissioners and staff for expenses incurred in the performance of their official duties. The policy meets the requirements of AB 1234.

PROCEDURES

A. Authorized Expenses

The following types of occurrences qualify any of the City's legislative body members, which include City Council members, Planning Commission members, Parks and Recreation Commission members, Economic Development Commission, and other Board and Committee members, to receive reimbursement for expenses incurred in the performance of official duties relating to travel, meals, lodging, and other actual and necessary expenses that constitute authorized expenses, provided the requirements of this policy are met:

- 1) Communicating with representatives of federal, regional, state and/or local government(s) on issues or matters affecting the City or on City adopted policy or political positions;
- 2) Attending conferences and/or educational seminars designed to improve the member's expertise and information levels, including, but not limited to, ethics training required pursuant to Government Cod Section 53234;
- 3) Participating in regional, state, and national organizations whose activities or interests may affect the City's interests;
- 4) Attending City sponsored or co-sponsored events or other community events; and
- 5) Implementing a City-approved strategy for City-related activities/business.

The following expenses require prior approval of the City Council:

- 1) Out-of-state or international travel;
- 2) Expenses which exceed any annual budgeted limits established for each member; and
- 3) Expenses exceeding \$1,500 per trip per member.

All other reimbursement expenses that are not specifically authorized by this policy shall be approved by the City Council in a public meeting before the expense is incurred.

Examples of personal expense that the City will not reimburse include, but are not limited to:

- 1) The personal portion of any trip taken at City expense;
- 2) Political contributions or events;
- 3) Travel companion expenses, including spouse, friend, or partner expenses when accompanying a member on City-related business, as well as children or pet-related expenses;
- 4) Charitable contributions;
- 5) Social or other recreational events, unless the event has a direct relationship to City business, if approved by the City Council or City Manager as appropriate and does not exceed \$250.
- 6) Entertainment expenses, including theater, movies (either in-room or at the theater), sporting events (including gym, massage, and/or golf related expenses), or other cultural events;
- 7) Non-mileage automobile expenses incurred, including repairs, traffic citations, insurance, or gasoline; and
- 8) Personal losses incurred while on City business (e.g., theft or property destruction).

Any questions regarding the propriety of a particular type of expense should be resolved before the expense is incurred.

B. Expense and Reimbursement Guidelines

To conserve City resources and keep expenses within appropriate standards for public agencies, expenditures, whether paid directly by the City or reimbursed to a member of the City's legislative bodies, should comply with the following guidelines. Unless otherwise specifically provided herein, reimbursement for travel, meals, lodging, and other actual and necessary expenses shall be at the Internal Revenue Service rates presently in effect as established in Publication 463 or any successor publication. All expenses not covered by this policy, or which

are in excess of the reimbursable rates set forth in this policy, shall not be reimbursable unless approved by the City Council at a public meeting before the expense is incurred.

Transportation

The most economical mode and class of transportation reasonably consistent with scheduling needs and space requirements must be used, using the most direct and time-efficient route. In the event that a more expensive transportation form or route is used, the cost borne by the City will be limited to the cost of the most economical, direct, efficient, and reasonable transportation form. Government and group rates offered by a provider of transportation services shall be used when available.

Airfare at the economy class rate is reimbursable.

Automobile mileage is reimbursable at Internal Revenue Service rates presently in effect; as such rates may be periodically adjusted (see www.irs.gov). These rates are designed to compensate the driver for gasoline, insurance, maintenance, and other expenses associated with operating the vehicle. This amount does not include bridge and road tolls, which are also reimbursable.

Reasonable and necessary charges for public transportation, taxi, or shuttle service are reimbursable at actual cost with receipts.

Rental vehicles may be used during out-of-County travel. Rental vehicles may be used when the efficient conduct of City business precludes the use of other means of transportation or when a car rental is the most economical mode available. Unless the prior approval of the City Manager is obtained, the reimbursable amount shall not exceed the best available rate for an intermediate or mid-sized car. Itemized receipts must be submitted with vehicle rental reimbursement requests.

Lodging

Lodging costs will be reimbursed or paid for when travel on official City business reasonably requires an overnight stay. Government and group rates offered by a provider of lodging services shall be used when available. In the event that government or group rates for lodging are not available at the time of booking, lodging rates that do not exceed the Internal Revenue Service (IRS) per diem rates for a given area (as established by IRS Publication 463, or any successor publication) are presumed reasonable and hence reimbursable.

If such lodging is in connection with a conference or organized educational activity, lodging costs shall not exceed the maximum group rate published by the conference or activity sponsor, provided that lodging at the group rate is available to the member at the time of booking. If the group rate for lodging in connection with a conference or organized educational activity is not available, the member shall use comparable lodging that is: (a) consistent with the IRS rates as set forth above; (b) at a government rate, if offered by a lodging provider; or (c) otherwise consistent with the limits set forth in this policy.

Non-reimbursable lodging-related expenses include, but are not limited to, costs for an extra person staying in the room, costs related to late check-out (unless related to City business) or uncanceled reservations, in-room pay-per-view movie rentals or mini-bar service, and non-City

business related telephone calls. Receipts must accompany all member requests for lodging reimbursements.

Meals

Meal expenses and associated gratuities should be moderate, taking into account community standards and the prevailing restaurant costs of the area. Actual meal expenses and associated gratuities will be reimbursed or paid when incurred by the member in the performance of official duties.

Reimbursable meal expense and associated gratuities may not exceed the following rates:

Breakfast:	\$20.00
Lunch:	\$35.00
Dinner:	\$60.00

These amounts will be reviewed annually and adjustments may be made to reflect changes in the cost of living in accordance with statistics published by the United States Department of Labor, Bureau of Labor Statistics Consumer Price Index, all urban consumers for the Sacramento Metropolitan Area. (The annual adjustment will be based on this area whether travel is within the area or not).

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

Telephone / Fax / Cellular / Computer

Legislative body members will be reimbursed for actual telephone, computer, internet and fax expenses incurred on City business, whether charged through a plan, a flat rate charge or otherwise. Telephone bills should, where practical, identify which calls were made on City business. For telephone calls when the member has a particular number of minutes included in the member’s calling plan or otherwise has a flat rate charge, the member can identify the percentage of calls made on City business. If other equipment charges are imposed as part of a plan or flat rate charge, the member may similarly identify the percentage of use attributable to City business.

Airport Parking

Long-term airport parking should be used for travel exceeding 24-hours. Actual airport parking expenses and associated gratuities will be reimbursed or paid when incurred by the member in the performance of official duties.

Other

Baggage handling fees of up to \$2.00 per bag and gratuities of up to 15 percent will be reimbursed or paid when incurred by the member in the performance of official duties.

Miscellaneous expenses for registration, tuition, parking, educational materials provided at conferences, and telephone charges are reimbursable for City authorized business. All miscellaneous expenses must be supported with itemized receipts.

Expenses for which members receive reimbursement from another agency are not reimbursable.

C. Expense Report Content and Submission Deadline

Expense reimbursement requests must be submitted on a form provided by the City. Expense reports must document that the expense in question meets the requirements of this expense reimbursement policy.

Members must submit their expense reports within 45 days of an expense being incurred, which shall be accompanied by receipts documenting each expense. Restaurant receipts, in addition to any credit card receipts, are also part of the necessary documentation. Receipts for gratuities and tolls under \$15.00 are not required.

D. Audits of Expense Reports

All expenses are subject to verification of compliance with this policy.

E. Brief Reports to Legislative Body

At the next regularly scheduled meeting of the legislative body following the event for which expenses are incurred, the member shall briefly report, orally or in writing, on the meeting attended at City's expense. If multiple members attended the meeting at the City's expense, a joint report may be made to the legislative body.

F. Compliance with Laws

Members should keep in mind that some expenditure may be subject to reporting under the Political Reform Act and other laws. All documents related to reimbursable agency expenditures, including, but not limited to, expense reports, receipts, and written evidence of direct City advances or payments for expenses, are public records subject to disclosure under the Public Records Act.

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- 9.0 Ladders
- 10.0 Scaffolding
- 11.0 Elevating Work Platforms & Aerial Devices
- 12.0 Openings
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- A. Program Review and Certification Log
- B. Cal/OSHA Fall Protection Trigger Heights
- C. Fall Protection Equipment Inspection Form
- D. Fall Hazard Analysis Form
- E. Fall Protection Plan and Guidelines
- F. Ladder Inspection Checklist
- G. Fall Rescue Plan Checklist
- H. Fall Protection: Training & Competency Checklist
- I. Fall Hazard Analysis

I certify that the Fall Protection Policy for the City of Colfax (Colfax) has been reviewed and revised as necessary.



Community Services Director

12/19/2016
Date Certified

1.0 Program Review and Certification

The Fall Protection Policy (FPP) at the City of Colfax (Colfax) will be reviewed and revised as necessary to ensure the program is current. All revisions are documented on Attachment A: Program Review and Certification Log.

2.0 Purpose

The fall protection policy is designed to identify the procedures Colfax employees, contractors and visitors will follow to prevent falls from elevated work areas, ladders, and from falling into lower levels through openings in walking/working surfaces. This policy establishes uniform requirements designed to ensure that personnel is adequately equipped and trained in safe work practices in accordance with Cal/OSHA Title 8, Sections 3209 – 3213, 3231, 3234, 3275 – 3280, 3648, 1541 and 1670.

3.0 Applicability

The following safety precautions and requirements apply to all work areas, including off-site work areas, where there is a risk of falling. It applies to all Colfax employees, visitors, inspectors, contractors, and temporary employee(s) when performing work activities at, or above, any Cal/OSHA fall protection trigger heights (see Attachment B) and/or when exposed to fall hazards into a floor or wall opening.

4.0 Definitions

Aerial Lift Device - Powered platforms, vehicle-mounted elevated and rotating work platforms, extensible boom platforms, aerial ladders, articulating boom platforms, vertical towers and powered industrial truck platforms.

Anchor Point - A secure point of attachment for lifelines, lanyards or deceleration (grabbing) devices.

Body Belt - A strap with means for securing it both about the waist and for attaching it to a lanyard, lifeline, or deceleration device.

Body Harness/Full-body Harness - An interconnected set of straps that may be secured about a person in a manner that distributes the fall arrest forces over at least the thighs, pelvis, waist, chest, and shoulders with a means for attaching the harness to other components of a personal fall arrest system.

Competent Person - One who is capable of identifying existing and predictable fall hazards in the workplace and has authorization to implement corrective measures.

Connector - A device that is used to couple parts of a personal fall arrest system or positioning device system.

Deceleration Device - Any mechanism, such as a rope, grabbing device, rip stitch lanyard, specially woven lanyard or automatic self-retracting lifeline/lanyard, which serves to dissipate a substantial amount of energy during a fall arrest, or otherwise limits the energy imposed on an employee during fall arrest.

Elevating Work Platform - A device designed to raise the worker to the work.

Extension Ladder - A non-self-supporting portable ladder that is adjustable in length.

Fall Protection Plan – the system designed by the qualified person to protect workers at height from fall hazards.

Fixed Ladder - A ladder, including an individual rung ladder, which is permanently attached to a structure, building, or equipment.

Floor Hole - Any opening in any floor or platform which is smaller than a floor opening.

Floor Opening - An opening in any floor or platform, 12 inches or more in the least horizontal dimensions. It includes stairway floor openings, ladderway floor openings, hatchways, and chute floor openings.

Guardrail - A barrier erected to prevent personnel from falling from working levels more than 30 inches above the floor, ground, or other working areas of a building. Standard guardrails include of top rail at 42-45 inches above the floor and a mid rail.

Horizontal Lifeline - Designed, installed and used under supervision of a qualified person to support an employee working in the horizontal plane.

Ladder - A device typically used to gain access to a different elevation consisting of two or more structural members crossed by rungs, steps, or cleats.

Lanyard - A flexible line of rope or strap that generally has a connector at each end for connecting the body harness to a deceleration device, lifeline or anchor point.

Leading Edge - The edge of a floor, roof, or formwork for a floor or other walking/working surface (such as the deck) that changes location as additional floor, roof, decking, or formwork sections are placed, formed, or constructed. A leading edge is considered to be an "unprotected side and edge" during periods when it is not actively and continuously under construction.

Lifeline - A component consisting of a flexible line for connection to an anchorage at one end to hang vertically (vertical lifeline), or for connection to anchorages at both ends to stretch horizontally (horizontal lifeline). This serves as a means for connecting other components of a personal fall arrest system to the anchorage.

Lower Levels - Those areas or surfaces to which an employee can fall. Such areas include, but are not limited to, ground levels, floors, platforms, ramps, runways, excavations, pits tanks, material, water, equipment, structures, or portions thereof.

Personal Fall Arrest System - A system used to arrest an employee in a fall from working level. It consists of an anchorage, connectors, and body harness and may include a lanyard, deceleration device, lifeline, or suitable combinations of these.

Personal Fall Protection System – Personal fall protection systems include personal fall arrest, positioning device systems, fall restraint systems, safety nets and guardrails.

Personal Fall Restraint System - A system that restrains the worker from falling off the leading edge of a structure. Cal-OSHA requires the anchorage for fall restraint to support 4 times the intended load plus tools and clothing.

Positioning Device System - A body harness system rigged to allow an employee to be supported on an elevated vertical surface such as a wall and work with both hands free while leaning.

Qualified Person - A person who by reason of training, experience or instruction has demonstrated the ability to safely perform all assigned duties and is properly licensed in accordance with federal, state, or local laws and regulations. (8 CCR 1504).

Restraint Line - A device which is attached between the employee and an anchorage to prevent the employee from walking or falling off an elevated surface.

Safety Monitor System - A system that allows a worker to perform tasks on elevated surfaces and at leading edges without the use of conventional fall protection systems. The safety monitor must be trained to identify potential fall hazards, and must be in verbal and visual communication with the worker performing the leading edge work. In addition, the safety monitor can have no other responsibilities during the time that the worker is performing the leading edge work.

Scaffold - Any temporary elevated or suspended platform, and its supporting structures, used for supporting employees or materials or both.

Self-retracting Lifeline/Lanyard - A deceleration device containing a drum-wound line which can be slowly extracted from, or retracted onto, the drum under minimal tension during normal movement and which, after onset of a fall, automatically locks the drum and arrests the fall (within two feet or less).

Stairs/Stairway - A series of steps and landings having 2 or more risers leading from one level or floor to another.

Snap Hook - A connector consisting of a hook-shaped member with a normally closed keeper, or similar arrangement, which may be opened to permit the hook to receive an object and when released automatically closes to retain the object. Only locking snap hooks are permitted at Colfax.

Toeboard - A vertical barrier erected along the open edges of floor openings or floor holes, platforms, and runways.

Tie-Off - A procedure of connecting directly or indirectly to an anchorage point.

Unprotected Sides and Edges - Any side or edge (except at entrances to points of access) of a walking/working surface, e.g., floor, roof, ramp, or runway where there is no wall or guardrail system at least 42 inches high.

Vertical Lifeline - A component consisting of a vertically hanging flexible line for connection to an anchor point at one end that serves as a means for connecting other components of a personal fall arrest system to the anchor point.

Walking/Working Surface - Any surface, whether horizontal or vertical, on which an employee walks or works including, but not limited to floors, roofs, ramps, bridges and runways. Does not include ladders, vehicles, or trailers on which employees must be located to perform their work duties.

Wall Opening – An opening in a wall or partition not provided with a glazed sash, having a height of at least 30 inches and a width of at least 18 inches, through which a person might fall to a level 30 inches or more below.

Warning Line System - A barrier (lines/ropes/barricades/warning tape) erected on a roof or structure to warn workers that they are approaching a leading edge or unprotected side or edge.

5.0 Responsibilities

5.1 The Community Services Director has the overall authority and responsibility for implementing the provisions of the Fall Protection Policy for Colfax. Specific responsibilities include, but are not limited to:

- Responsibility and authority for ensuring this program is fully implemented; Providing funding to successfully implement the program requirements
- Ensuring that the policy and program requirements are enforced;
- Implementing all other relevant responsibilities as identified in the Injury Illness Prevention Program (IIPP).

5.2 The Community Services Director is responsible for:

- Monitoring the effectiveness of the Fall Protection program by performing a program review and completing the Program Review and Certification Form (Attachment A)
- Monitoring fall protection training to ensure its effectiveness and scheduling refresher training for affected departments if necessary.
- Providing Managers and Supervisors guidance on the laws and regulations governing the Fall Protection Program. Conducting the necessary research to determine those requirements and the standards that apply
- Assisting in the development of training programs for use by Competent Persons and Supervisors in matters concerning fall protection.

5.3 Supervisors are responsible for

- Ensuring that each employee under their direct supervision understands the fall protection; requirements in this policy as they relate to their job activities and associated fall hazards;
- Ensuring fall protection equipment and systems are used, as required;
- Ensuring fall protection equipment is removed from service if damaged or defective;
- Ensuring that lifelines or lanyards that have been subject to impact loading are immediately removed from service and destroyed to prevent accidental use by employees;
- Performing a fall hazard analysis, when required;
- Preparing a fall rescue plan & conducting a pre-job briefing on it, when required;
- Assisting in providing affected employees with fall protection training when required;
- As a resource for questions on specific fall hazards & protective systems.

5.4 Fall Protection Competent Person is responsible for

- Inspecting all personal fall arrest equipment twice a year or more;
- Supervising the fall prevention plan implementation;
- Assisting the supervisors in performing the fall hazard analysis, as required;
- Providing assistance and/or conducting job-specific fall protection training for all affected employees.

5.5 Fall Protection Qualified Person is responsible for

- Developing and/or approving a fall protection plan, if used;
- Reviewing and approving the fall protection rescue plan, when required;
- Supervising and directing the erection and dismantling of scaffolds.

5.6 All Colfax employees are responsible for

- Following the work practices described in this document, including the use of appropriate fall protective equipment, fall protection systems, and other required personal protective equipment (PPE);
- Maintaining work areas free from slip, trip & fall hazards;
- Correcting or immediately reporting slip, trip and fall hazards;
- Inspecting fall protective equipment and systems (i.e. ladders, personal fall protection equipment, etc.) prior to use;
- Reporting any damaged fall protection equipment or systems to their immediate supervisor and removing such systems from service until they have been repaired and/or replaced;
- Following all administrative and engineering controls where provided;
- Wearing fall prevention and arrest equipment when administrative controls and/or engineering controls are not provided or cannot be used.

6.0 Fall Hazard Analysis

- 6.1 Prior to working at unprotected heights, a fall hazard analysis will be conducted by the Supervisor and/or Competent Person to determine if fall hazards have been identified and to determine if the appropriate engineering, administrative or personal protective equipment controls have been implemented.
- 6.2 If performed by a Supervisor, a fall protection Competent Person will review and approve the fall hazard analysis to determine that potential fall hazards; abatement measures; fall protection equipment requirements and a rescue plan (when needed) have been addressed.

7.0 Fall protection Equipment, Systems & Rescue:

7.1 Fall Arrest

If using a fall arrest system, the following will be used as a minimum safeguard

- Full body harness with dorsal "D" ring
- Locking snap hook
- Suitable anchor point that will sustain a static load applied in the direction of the fall of at least 5,000 pounds. The anchor point shall not be at a level lower than the employee's waist. The anchor point shall not be a hoist unless approved for that purpose, or a guardrail. Note: Foot level tie-off is acceptable provided the equipment is designed for the additional free fall
- A means of rescue (e.g. approved hoist, self-rescue device, etc.) for prompt rescue of employees in the event of a fall.

7.2 Work positioning

If using a work positioning system, the following shall be used as a minimum safeguard:

- Full body harness with dorsal "D" ring
- Lifeline or lanyard that limits free falls to 2 feet or less
- Locking snap hook
- Suitable anchor point that is capable of supporting two times the intended load or 3,000 pounds, whichever is greater.

7.3 Fall Restraint

If using a fall restraint system, the following shall be used as a minimum safeguard

- Full body harness with center "D" ring or a body belt that is at least one and five-eighths inches wide.
- Restraint protection (e.g. lanyard, rope) allows the movement of employees only as far as the sides of the working level or working area in all directions.
- Suitable anchor points will support four times the intended load.

7.4 Other Fall Protection Equipment

The following includes (not limited to) other fall protection equipment devices that should be used as needed for maximum fall protection, or when required.

- Lanyards – must be secured to a substantial member of the structure or to securely rigged lines
- Connectors
- Lifelines
- Self-Retracting Lifelines

7.5 Equipment Inspections:

- 7.5.1 Colfax employees will inspect personal fall protection systems prior to each use. These inspections must follow the manufacturer's guidelines for determining wear, damage and other deterioration. Remove defective components from service and tagged as being unusable.
- 7.5.2 A competent person will inspect all personal fall arrest systems not less than twice annually in accordance with the manufacturer's recommendations using the Fall Protection Equipment Inspection Form (Attachment C), or similar.
- 7.5.3 Identify defective equipment and immediately removed from service.
- 7.5.4 Any lifelines or lanyards that have been subject to impact loading must immediately be removed from service and shall not be used again for employee safeguarding.
- 7.5.5 Before using personal protective equipment or fall arrest equipment each person must perform a pre-donning inspection of that equipment.

7.6 Fall Protection Plan

For general industry employers, a site-specific fall protection plan (FPP) may be used under very specific conditions as long as conventional fall protection systems or other approved protective measures cannot be used. If a Fall Protection Plan for the following types of activities is used, a qualified person will verify and authorize that other conventional fall protection systems or approved protective measures were not possible using Attachment E.

- Construction Activities (CCR Title 8, Article 24, §1671.1): When performing construction operations where using conventional fall protection equipment is impractical or creates a greater hazard, a site-specific fall protection plan may be used.
- Skylights (CCR Title 8, §3212(e): When it can be demonstrated that fall protection methods for skylights (Attachment B) are impractical or creates a greater hazard, a Fall Protection Plan may be used.

- 7.6.1 The fall protection plan must:
 - Be prepared by a qualified person
 - Be kept up to date
 - Identify the qualified person
- 7.6.2 Any changes to the FPP must be approved by the qualified person.
- 7.6.3 A competent person must supervise the FPP implementation.
- 7.6.4 The plan shall identify the competent person responsible for implementation. Use attachment E to develop the fall protection plan.
- 7.6.5 The fall protection plan will identify the location(s) where conventional fall protection methods cannot be used and such locations shall be classified as a controlled access zone.
- 7.6.6 Refer to 8 CCR 1671.1 Fall Protection Plan for details.
- 7.6.7 If using a fall protection plan, a controlled access zone will be implemented to include the following requirements:
 - Signs shall be posted to warn unauthorized employees to stay out of the control zone;
 - Control lines or other barriers shall be erected not less than 6 feet nor more than 25 feet from the unprotected or leading edges;
 - The control line shall extend along the entire length of the unprotected or leading edge and shall be approximately parallel to the unprotected or leading edge;
 - The control line shall be securely anchored on each end;
 - Control lines shall be at least 39 inches in height and have a minimum breaking strength of 200 pounds.

7.7 Fall Rescue Plan

Prior to performing a non-routine job activity that requires the use of fall arrest, work positioning, or fall restraining systems, the Supervisor or Lead shall prepare a fall rescue plan.

- 7.7.1 The fall rescue plan shall include the rescue type based on the elevated work being done, the location, and the rescue equipment available.
- 7.7.2 The fall rescue plan shall be aligned with the emergency procedures outlined in the site Emergency Action Plan.
- 7.7.3 The fall rescue plan must include procedures for assisting a worker who has fallen and is unable to rescue him/herself.

- 7.7.4 The fall rescue plan will identify equipment at the facility that could be used to help an employee perform a self-rescue (i.e. ladders, scissors lift, aerial device, etc.).
- 7.7.5 If self-rescue is not possible, call 911.
- 7.7.6 The Fall Protection Rescue Plan Checklist (Attachment G) will be used to document the fall rescue plan.

8.0 Elevated Work Areas & Stairways

8.1 Open-Sided Floors, Platforms, and Runways (CCR, Title 8, §3210)

- 8.1.1 Buildings: Unenclosed elevated work locations such as: roof openings, balconies, porches, platforms, runways, ramps, or other working levels that are 30 inches or more above the adjacent floor or ground level shall be guarded by standard guardrails on all open sides, except where there is an entrance to a ramp, stairway, or fixed ladder.
- 8.1.2 Other elevated locations: The unprotected sides of an elevated work location that is not a building structure, but where employees are exposed to a fall of four feet or more, must be protected with guardrails, except where there is an entrance to a ramp, stairway or fixed ladder.
Exception: Fall restraint or arrest systems can be used in lieu of guardrails if the elevated locations are used infrequently (i.e. 12 times or less per year) by employees.

8.2 Stairs (CCR, Title 8, §3214, §3231, §3234)

- 8.2.1 Every flight of stairs with four or more risers shall have handrails or stair rails as specified in CalOSHA, section 3214.
- 8.2.2 Fixed industrial stairs shall be provided for access to and from places of work where operations necessitate regular travel between levels.

8.3 Roofs (CCR, Title 8, §3212)

- 8.3.1 Guardrails shall be provided at locations where there is a routine need for any employee to approach within 6 feet of an unprotected edge of a roof. For the purpose of this requirement, routine need means more than four times a year.
- 8.3.2 When employees approach within 6 feet of an unprotected edge of a roof to perform intermittent work (i.e. 4 times a year, or less) safety belts and lanyards, or an approved fall protection system (restraint or arrest) may be used instead.

8.4 Toeboards (CCR, Title 8, §3210)

- 8.4.1 Toeboards shall be provided at all elevated locations that are 6 feet or more above places where employees normally work or pass to prevent a hazard from falling tools, materials, or equipment. A standard toeboard is 4 inches nominal in vertical height, with not more than ¼-inch clearance above floor level.

9.0 Ladders (CCR, Title 8, §3276 - §3280)

The chief hazard when using a ladder is falling. A poorly designed, maintained, or improperly used ladder may collapse under the load placed upon it and cause the employee to fall. The following safety practices, in addition to any other applicable requirements found in CalOSHA, sections 3276-3280, shall be followed

9.1 Fixed Ladders

- 9.1.1 When accessing structures via fixed/stationary ladders, employees must be protected from falls if the fixed ladder is over 20 feet in height. If no cage or ladder climbing system exists, a self-retracting lifeline or a ladder climbing system can be used for fall protection.
- 9.1.2 Fixed ladders on all tanks and/or structures shall be inspected prior to use and any deficiency reported immediately to a supervisor.

9.2 Extension Ladders

- 9.2.1 Extension ladders must be inspected prior to use.
- 9.2.2 Documented inspections must be performed quarterly using Attachment F, the "Ladder Inspection Checklist," or similar.
- 9.2.3 If the ladder is defective, it must be immediately removed from service and destroyed.
- 9.2.4 Employees accessing high places using extension ladders must place the ladder on firm footing.
- 9.2.5 Extension ladders must extend 3 feet past the landing and when practical, be tied off to the structure.
- 9.2.6 Employees must maintain three-point contact when climbing extension ladders.
- 9.2.7 For each four feet in height, extension ladders should be placed in such a manner that the slope is one foot from the structure (i.e. maintain a slope of 4:1 or 75 degrees).

9.3 Step Ladders

- 9.3.1 Step ladders must be inspected prior to use.
- 9.3.2 Documented inspections must be performed quarterly using Attachment F, the "Ladder Inspection Checklist," or similar.
- 9.3.3 If the ladder is defective, it must be removed from service and destroyed.
- 9.3.4 Review the manufacturers' requirements for use of steps and load capacities. Step ladders must be fully open and both spreaders locked.

9.4 Ladder classifications:

The ladder must support the combined weight of the person, materials and tools. Ensure the ladder is properly rated for the type of work being performed.

- 9.4.1 Ladders must be in good condition and of Class I duty rating or higher or rated for the expected load, which ever is higher. Ladders Duty Rating and their Maximum Weight Capacities

Type	Work Load	Duty Rating
IAA	375 lbs	Special Duty
IA	300 lbs	Extra Heavy Duty
I	250 lbs	Heavy Duty
II	225 lbs	Medium Duty
III	200 lbs	Light Duty

10.0 Scaffolding (CCR, Title 8, §3275)

In addition to the following guidelines, scaffolds shall be constructed at least equivalent to that required by sections 1635.1 – 1667 of the Construction Safety Orders and shall be suitable for the work to be performed.

- 10.1 The erection and dismantling of scaffolds may only be performed under the supervision and direction of a qualified person.
- 10.2 The footing or anchorage for scaffolds shall be sound, rigid and capable of carrying the maximum intended load without settling or displacement. Unstable objects, such as barrels, boxes, loose brick, or concrete blocks shall not be used to support scaffolds or planks.
- 10.3 Scaffolds shall not be overloaded. Materials shall not be allowed to accumulate to the extent that a scaffold is subjected to a loading it is not designed to support.
- 10.4 Anchorage & bracing prevent the scaffold from swaying, tipping, or collapsing.

- 10.5 Scaffolds shall be maintained in a safe condition and shall not be altered or moved horizontally while they are in use or occupied.
- 10.6 Damaged or weakened scaffolds shall be immediately repaired and shall not be used until repairs have been completed.
- 10.7 A safe means must be provided to gain access to the working platform level through the use of a ladder, ramp, etc.
- 10.8 Overhead protection must be provided for personnel on a scaffold exposed to overhead hazards.
- 10.9 Guardrails, mid-rails, and toeboards must be installed on all open sides and ends of platforms more than 7½ feet above the ground or floor. Wire mesh must be installed between the toeboard and the guardrail along the entire opening, where persons are required to work or pass under the scaffolds.
- 10.10 Employees shall not work on scaffolds during storms or high winds or when covered with ice or snow.

11.0 Elevated Work Platforms and Aerial Devices

11.1 Scissor Lift or Other Elevating Work Platforms (CCR, Title 8, §3642)

- 11.1.1 If the guardrails on scissor lifts or other elevated work platforms are between 39 and 42 inches in height, no fall protection is required.
- 11.1.2 If guardrails on scissor lifts or other elevated work platforms are less than 39" high, an approved personal protection system must be used.
- 11.1.3 Employees are not permitted to stand on the side rails or use planks/ladders to gain greater working height.
- 11.1.4 In the event that the work platform is to be moved while occupied in a raised position, the occupants must be connected to the platform using a shock absorbing lanyard that limits free fall to a maximum of 6 feet.

11.2 Aerial Devices (CCR, Title 8, §3648)

- 11.2.1 Employees are required to wear a full-body harness with a 6-foot shock-absorbing lanyard when working from aerial devices. Body positioning belts are not permitted.
- 11.2.2 Employees elevated in a crane personnel basket are required to wear a full-body harness with a 6-foot shock-absorbing lanyard. The personnel basket must be inspected prior to use and trial lift procedures followed as per Cal-OSHA requirements in California Code of Regulations Title 8, General Industry Safety Orders, Article 98, Section 5004.

11.3 Elevating Employees with Lift Trucks (Forklifts) (CCR, Title 8, §3657)

- 11.3.1 Work platforms shall be large enough to accommodate the employee and materials, but not less than two (2) feet by two (2) feet.
- 11.3.2 The platform must be secured to the boom, forks or mast to prevent tipping, slipping or falling and have standard guardrails and toe boards.
- 11.3.3 If clearance restrictions or the nature of the work prohibits the use of guardrails, and an employee is exposed to a fall of four feet or more, a personal fall arrest system, fall restraint system, or work positioning device shall be used as an alternate means of protecting employees from falling. The lanyard length shall allow the operator freedom of movement in the working area, but shall be rigged so that an employee can neither free fall more than four feet nor contact any lower level.
- 11.3.4 Elevating employees using variable reach, boom-type, rough-terrain industrial trucks must be within limitations of the load chart, or shall not exceed 1/3 of rated capacity.
- 11.3.5 Work platform back guards must extend from foot level to 7 feet with openings less than 1" to keep the occupant from the forklift machinery.
- 11.3.6 The lift truck must be equipped with a means to prevent the raised platform from lowering at a rate in excess of 135 feet per minute in case of a failure in the load supporting hydraulic control circuits.

12.0 Openings (Ground, floor, wall, pits) (CCR, Title 8, §3211, §3212, §3213)

12.1 Floor and Wall Openings

Floor openings and holes, wall openings and holes, and the open sides of platforms may create hazards. People may fall through the openings or over the sides to the level below. Objects, such as tools or parts, may fall through the holes and strike people or damage machinery on lower levels.

- 12.1.1 Every floor opening into which persons can accidentally walk or fall through shall be protected by either
- A standard guardrail (to include toe boards where people may pass below the opening)
 - A cover of standard strength and construction. When the floor opening cover is removed, a temporary guardrail shall be in place, or an attendant stationed at the opening to warn of the hazard.

- Wall openings or partition not provided with a glazed sash, having a height of at least 30 inches and a width of at least 18 inches, through which a fall more than 30 inches is possible shall be protected by
- A standard guardrail, or
- A barrier that is capable of withstanding a force of at least 200 pounds applied horizontally at any point.

12.1.2 **Ladderway floor openings:** Every floor opening or platform that is accessed by a ladder, (including a ship ladder) must be protected by guardrails and toeboards on all exposed sides. The ladderway opening must have a swinging gate or equivalent protection, or the passageway must be offset so that a person cannot walk directly into the opening.

12.1.3 **Manholes:** Whenever a manhole cover is removed, the opening shall be constantly attended by someone, or shall be protected by removable covers or by portable railings.

12.2 Open Pits

Whenever a cover is removed or opened which exposes employees to an unprotected open pit (i.e. no guardrails or other effective barriers), the opening shall be constantly attended by someone, or shall be protected by removable covers or removable railings that provide protection equivalent to that provided by a guardrail. If entering a pit greater than four feet deep, confined space procedures shall be followed.

12.2.1 Unused portions of service pits and pits not in actual use must be either covered or protected by portable guardrails which meet the requirements of standard guardrails.

12.2.2 Permanent yard surface openings such as pits or sumps must be guarded in accordance with section 12.1

12.2.3 Trench or conduit covers must be designed to carry a truck rear-axle load of at least 20,000 pounds when located in roadways.

12.2.4 Manhole covers must be designed to comply with standard highway requirements; or they must be designed to carry a truck rear-axle load of at least 20,000 pounds.

12.3 Skylights

Whenever it is necessary for employees to approach within 6 feet of a skylight, they will be protected from falling through the skylight (or skylight opening) by one of the following means:

- Skylight screens which are capable of safely supporting the greater of 400 pounds or twice the weight of the employees. The design will be of grillwork with openings not more than four inches by four inches or of slat work with openings not more than two inches wide
- Standard guardrails
- Covers that are capable of safely supporting the greater of 400 pounds or twice the weight of the employees;
- A fall protection plan as outlined in section 7.6.

13.0 Training & Documentation

13.1 Initial Training

- 13.1.1 New Employees will receive introductory (awareness level) training on fall protection as part of New Employee Orientation.
- 13.1.2 Employees whose job activities expose them to fall hazards will be provided with job-specific fall protection training prior to performing that activity. A competent person designated by Colfax will assist with job-specific fall protection training.
- 13.1.3 Employees designated as competent persons and/or qualified persons will receive the required level of training necessary to perform their respective duties as described in this policy.
- 13.1.4 The type of training will be suitable to the type of work being performed and the associated fall hazards that they may be exposed to. Training elements will include the following, as applicable:
- Colfax's written program for fall protection
 - Type of fall hazards in the workplace
 - Selecting, using & inspecting fall protection equipment
 - Rescue procedures
 - Ladder and scaffold safety
 - Fall protection when working from elevated work areas
 - Fall protection when working on platforms and aerial devices
 - The use and operation of guardrail, personal fall arrest, and lifelines as they apply to the worksite and/or job activity.

13.2 Refresher Training

13.2.1 Refresher training will be conducted at a frequency necessary for personnel to remain proficient and informed of these procedures. Additionally, retraining shall be initiated under any of the following conditions:

- Changes in the workplace that renders previous training obsolete
- Changes in the types of fall protection systems or equipment to be used that renders previous training obsolete
- The addition of new fall protection equipment
- Whenever a periodic inspection, or general observations by the employer, reveals that there are deviations from or inadequacies in the employee's knowledge or use of fall protection equipment or procedures.

13.3 Training Documentation

13.3.1 Attachment H "Fall Protection: Training & Competency Checklist", or similar, will be used to document all "End User" fall protection training by the Competent Person conducting this training. New employee awareness training will be documented as part of the New Employee Orientation program.

ATTACHMENT A
Program Review and Certification Log

Date	Section Revised	Initial

ATTACHMENT B

Cal-OSHA Fall Protection Trigger Heights

List of common fall protection heights above which guardrails or a personal fall protection system must be used

Height Trigger	Work Location/Type	Requirement	CalOSHA Section
30 Inches	Buildings: Open sides of unenclosed elevated work locations	<ul style="list-style-type: none"> • Guardrails if location is accessed frequently (> 12 times each year) • Infrequent work – may use personal fall protection system instead 	§ 3210(a)
4 Feet	Other elevated locations: Unprotected sides where an employee can fall 4 feet or more.	<ul style="list-style-type: none"> • Guardrails if location is accessed frequently (> 12 times each year) • Infrequent work – may use personal fall protection system instead 	§ 3210(b)
7 ½ Feet	When construction work activities expose employees to falling more than 7 ½ feet from the perimeter of a structure, unprotected sides and edges, leading edges, through shaftways and openings, sloped roof surfaces steeper than 7:12 or other sloped surfaces steeper than 40 degrees.	<ul style="list-style-type: none"> • Personal fall arrest • Personal fall restraint • Positioning system. 	§1670 (a)
No height trigger	Skylights or skylight openings where employees approach within 6 feet	<ul style="list-style-type: none"> • Skylight screens that support 400 lbs or 2x the weight of an employee • Guardrails • Covers that support 400 lbs or 2x the weight of an employee • Fall Protection Plan 	§ 3212(e)
30 inches	Wall or partition opening (without a glazed sash) that is at least 30 inches in height and 18 inches in width	<ul style="list-style-type: none"> • Guardrails • Other barrier capable of withstanding a force of at least 200 pounds applied horizontally at any point 	§ 3211(a)
6 Feet	Crossing over trenches/excavations wider than 30 inches	<ul style="list-style-type: none"> • Walkways or bridges with standard guardrails 	§ 1541(l)

ATTACHMENT C

Fall Protection Equipment Inspection Form

All fall arrest equipment must receive documented inspections at least twice annually by a competent person

Inspected by: _____ Date: _____

Check all fall protection equipment for the following:

- Cuts
- Chemical Damage
- Broken Fibers
- Pulled Stitches
- Frayed Edges
- Swelling or Discoloration of Webbing
- Unusual Wear Patterns
- Excessive UV Damage
- Cracks in D-Rings
- Loose, Distorted or Broken Grommets
- Broken or Distorted Snap hooks
- Latch and Keeper Springs/Locks

Equipment	Identifier/Serial #/location	Condition (Okay/Replace)
Shock-Absorbing Lanyards		
Non-Shock Absorbing Lanyards		
Anchor Devices/Tie Off Straps		
Retractable Lanyards		

Harness Inspection Checklist: Check as Okay or Replace

Make/model	Identifier/serial #	Harness webbing	Stitches	Rivets/eyelets	D-rings, buckles, etc.	Body pads	Lanyards	Safety latch/hook	Cert. Tag is legible

Findings

All equipment inspected found to be in good condition (Yes/No):

The following equipment was removed from service:

ATTACHMENT D
Fall Hazard Analysis Form

This form is intended to be used to perform a fall job hazard analysis (JHA). The person completing this form must be trained and competent to recognize fall hazards and be familiar with fall protection systems that are available, or can be accessed, by the agency.

Name: _____

Date: _____

Location/Activity: _____

Part 1: Fall Hazard Survey:

a. Identify fall hazards associated with this activity or location.

- Elevated building location > 30 inches **without** standard guardrails or other barrier 42 inches high
- Other elevated location > four feet **without** guardrails or other barrier 42 inches high
- Skylight **without** a properly rated guardrail, cover, or screen (rating: 400 lbs or two x weight of an employee, or if glazed with translucent materials not certified by an engineer in the State of California)
- **Uncovered** wall or partition opening that is least 30" (height) and 18" (width)
- **Unprotected** floor opening
- Open pit (e.g. wetwell hatchway, uncovered hole, chutes, pits and similar sunken locations)
- Ladderway with **exposed** sides, or the opening **does not have** a swinging gate, offset, or equivalent protection
- Other: _____
- **No fall hazards due to the following** (describe): _____

b. Identify any condition that may impact the use of **conventional fall protection systems** (fixed or portable guardrails, personal fall protective systems) or use of an **alternate method** identified above:

- No fixed anchor point meeting the requirements for a fall arrest systems (5,000 lbs), work positioning device (3000 lbs) or fall restraint systems (4 times intended load).
- Using an elevated platform is not feasible or hazardous (describe): _____
- Using a ladder is not feasible or hazardous because: _____
- Using scaffolding is not feasible or hazardous because: _____
- Environmental factors that may adversely impact the installation, use, maintenance and dismantling of the alternative system or fall protection system (e.g. soft or sloped ground, wet slippery conditions, uneven or unstable conditions, adverse weather, etc)
- Nearby hazards that adversely impact the installation, use, maintenance and dismantling of the alternative system or fall protection system (electrical hazards, impalement hazards, obstruction hazards, etc).
- Other: _____

c. Identify **alternative** methods to perform this work to eliminate or reduce fall hazards:

- Will perform work using an aerial lift or other approved elevated work platform
- Will perform work using a ladder
- Will perform work using scaffolding
- NA
- Other _____

Part 2: Construction Activities: Describe the fall protection measures to be used for this project when performing construction activities. See "OSHA Construction Fall Protection Requirements" matrix on the following page to help determine appropriate fall protection options.

Part 3: Non-construction activities: Describe the fall protection measures to be used for this project for performing non-construction activities.

- Portable standard guardrails meeting requirements in CalOSHA §3209
- Fall Arrest System with fixed anchor that is capable of supporting at least 5,000 pounds per employee attached
- Work positioning device with fixed anchor that can support two times the intended load or 3,000 pounds, whichever is greater
- Fall Restrain System with a fixed anchor that support 4 times the intended load
- Personal Fall Protective System (fall arrest, work positioning, fall restraint) using a portable weighted anchor that is capable of supporting the required load
- Covers that are capable of supporting 400 lbs or 2x the weight of an employee, whichever is greater
- Skylight screens that are capable of supporting 400 lbs or 2x the weight of an employee, whichever is greater
- Other: _____

Part 4: Route this form to the following for review and filing:

Community Services Director

If a Fall Protection Plan (FPP) is used, attach a copy of this form to the Fall Protection Plan for each location that is evaluated.

ATTACHMENT E

Fall Protection Plan and Guidelines

How to Use this Form: A Fall Protection Plan should rarely be used and only if there are no other feasible options to safeguard employees from fall hazards. Furthermore, a site-specific fall protection plan (FPP) may only be used by general industry employers when employees are performing the job activities listed below. If a Fall Protection Plan is used, a Qualified Person must verify and authorize by signature that other conventional fall protection systems or approved protective measures were impractical or creates a greater hazard.

- Construction Activities (building, installing, repairing, etc. Does not include routine maintenance)
- Skylights

This plan must be prepared by a Qualified Person and implemented by the Competent Person (see definitions).

1. Name of Qualified Person preparing this plan: _____
2. Date Fall Protection Plan completed: _____
3. Name of Competent Person responsible for implementing this Plan: _____
4. Location and description of work (activities being performed, type of structure, access, etc)

-
5. Describe the Fall Hazards: (Complete Attachment D and attach to this Plan)
 6. Reasons why conventional fall protection (fall arrest, positioning, or restraining) is infeasible or creates a greater hazard (Note: All conditions must be checked to use this Fall Protection Plan)
 - There is no adequate anchor point
 - It is more hazardous or infeasible to install conventional fall protection systems
 - It is more hazardous to use portable fall protection systems (i.e. guardrails, weighted anchors, etc)
 - Short duration exposure
 - Non-repetitive task
 - Fall protection equipment vendor was contacted and unable to provide feasible options for a portable or alternate system
 - Other: _____
 7. Alternative equipment or measures will be taken to reduce or eliminate the fall hazard for workers who cannot be provided with conventional fall protection systems. (See Fall Hazard Analysis--attached).
 8. If a Controlled Access Zone (CAZ) is used under the Fall Protection Plan to control access on low sloped roofs to areas where leading edge and other operations are taking place, the following CAZ procedures must be implemented.
 - The controlled access zone will be defined by a control line or by any other means to restrict access that is not less than 6 feet nor more than 25 feet from the unprotected or leading edge
 - Signs will be posted to warn unauthorized employees to stay out of the controlled access zone
 - The control line will extend along the entire length of the unprotected or leading edge and will be approximately parallel to the unprotected or leading edge
 - The control line will be connected on each side to a standard railing or wall, or securely anchored on each end
 - Control lines will be flagged or otherwise clearly marked
 - Control lines will be rigged and supported such that its lowest point (including sag) is not less than 39 inches from the working level and its highest point is not more than 45 inches

- The control line will have a minimum breaking strength of 200 pounds
- 9. A safety monitoring system will be used if employees are required to work on low slope roofs within the Restricted Zone.
 - Duties of Safety Monitor:
 - The safety monitor shall be competent to recognize fall hazards.
 - Must be in visual and verbal communication with worker performing tasks under Fall Protection Plan.
 - Instructs worker performing leading edge task/s as to:
 - How close to leading edge worker is at all times.
 - Location of tools and equipment.
 - Only allows authorized workers to perform task/s in Controlled Access Zone.
 - Have no other responsibilities during the time that work is performed under Fall Protection Plan.
 - Name of designated Safety Monitor:

- 10. Rescue Procedures: Complete and attach the Fall Rescue Plan Checklist (Attachment G).
- 11. Plan Changes: A Qualified Person shall approve any revisions to the FPP. The reasons for revisions shall be documented. Revision changes can be verbal and then followed up by written confirmation.
- 12. Plan Documentation: A copy of the Fall Protection Plan for each location where used, and all revisions to the plan, must be on-site.

Signature of Qualified Person Preparing this Plan: _____

In signing, I verify that I am trained and competent in recognizing fall hazards and implementing fall protection systems and hereby authorize this Fall Protection Plan to be implemented by the Competent Person. I understand that I am responsible for the proper use of this Fall Protection Plan.

ATTACHMENT F
Ladder Inspection Checklist

Inspected by: _____

Date: _____

Inspection Guidelines:

- Are rungs, cleats or steps intact and free from damage?
- Are rails free from cracks/splitting?
- Is ladder free from accumulation of paint/debris/etc.?
- Are dividers free from defects?
- Are ropes and pulleys in good condition?
- Feet present and in good condition?

Condition

Ladder # , ident. or location	Step Ladder	Extension Ladder	Condition OK	Condition Faulty

Comments: _____

ATTACHMENT G
Fall Rescue Plan Checklist

General Information

The supervisor or lead will conduct a pre-job briefing before conducting any work that requires employees to wear conventional fall protection (fall arrest, work positioning, or fall restraining), or have a fall protection plan. A Fall Rescue Plan is not required if the employee is attached to an approved mechanical hoist in a vertical space that allows for non-obstructed non-entry rescue. The briefing will include all work procedures, a specific rescue plan and the work location. If working conditions change significantly, the lead employee will stop the work and conduct a revised briefing.

Step 1: List the method available to call for off-site help (i.e. 911): _____

Step 2: List who is trained and immediately available to provide initial first aid/CPR procedures:

Step 3: Person(s) designated to direct emergency responders to the work location: _____

Step 4: List the location of the nearest first aid kit: _____

Step 5: Besides calling 911, who else will be contacted in the event of a fall or medical emergency. List in order of priority and the mode of communication (i.e. how the contacts will be made; cell, land line, radio, etc)

#1 Contact Name: _____ Phone # _____ Mode _____

#2 Contact Name: _____ Phone # _____ Mode _____

#3 Contact Name: _____ Phone # _____ Mode _____

Step 6: Work details:

a. Location where work will be performed. Name of process, building, structure and specific areas is necessary.

b. Type of Work (job activities being performed): _____

Step 7: Describe rescue equipment available to assist the victim with self-rescue, or with assisted rescue.

Type/Name of Equipment	Location	Onsite & Available?	Qualified person available to operate it? (or NA)

**City of Colfax
FALL PROTECTION POLICY**

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Step 8: Rescue Plan: Circle the type of fall protection being used and describe the rescue plan that will be implemented to assist the victim in the event of an emergency fall incident.

Fall arrest Work positioning Fall Restraining Fall Protective Plan

Fall Incident Notification Worksheet I certify that the rescue plan has been discussed with all employees involved

Emergency Assessment:

In the event of an emergency, the employee on this project should be prepared to answer the following questions and be able to describe the emergency to emergency responders.

Location: _____

Injured Person: _____

Type of Injury: _____

Communicate following to dispatch:

- Is the work environment safe for responders to enter? ___ yes ___ no
- Is the worker accessible to EMS personnel? ___ yes ___ no
- Are the injuries life-threatening? ___ yes ___ no
- Is the injured worker conscious? ___ yes ___ no
- Is the victim breathing? ___ yes ___ no
- Does the victim have a heart beat? ___ yes ___ no
- Do the injuries require First Aid? ___ yes ___ no
- Are fire services needed to provide additional rescue equipment? ___ yes ___ no

and that all parties have had the opportunity to ask questions and fully understand their responsibilities in the event of an emergency.

Signed: _____ Date: _____

Supervisor or Lead on this project

ATTACHMENT H

Fall Protection: Training & Competency Checklist

1. **Employee Name:** _____ **Dept/Section:** _____
2. **Training Objectives:**
 - Types of fall protection equipment – uses and limitations
 - Demonstrate understanding through hands-on exercise
 - Demonstrate attachment and anchor points through discussion
 - Other (describe content): _____
3. **Training on Conventional Fall Protection Systems included the following (check all that apply)**
 1. **Body Harness Inspections:** Employee was able to inspect the following
 - Labels – to ensure they are secure and easy to read.
 - Belts and Straps – for fraying, broken fibers, pulled stitches, cuts, discoloration, charring, etc.
 - D Rings – for distortion, cracks, breaks, and rough sharp edges.
 - Buckles – for sharp edges, corrosion, burrs, cracks, dents or distortion.
 2. **Lanyard Inspection:** Employee was able to inspect the following
 - Labels – to ensure they are secure and easy to read.
 - Hardware (Snaphooks) – for hook and eye distortions, cracks, corrosion or pitted surfaces. Inspect latch and keeper spring/lock.
 - Shock Absorber – to see that it is intact and free of cracks or splits.
 - Web Lanyard – for tears, cuts, fraying, knots, swelling, discoloration, charring, etc.
 - Rope Lanyard – for fuzzy, worn, broken, change of diameter or cut fibers.
 3. **Anchor Strap Inspection:** Employee was able to inspect the following
 - Labels – to ensure they are secure and easy to read.
 - Web Strap – for tears, cuts, fraying, swelling, discoloration, charring, etc..
 - Dee Rings – for distortion, cracks, breaks and rough or sharp edges.
 4. **Anchor Points:** Employee was able to inspect the following
 - Anchorage – Must support 5,000 lb. for fall arrest, four times intended load for fall restraint.
 - Snap Hooks – must be locking type. Never hook two snap hooks together.
 - Lanyards – hook directly to an anchorage device – never wrap around an anchorage and tie-off the lanyard to itself
 5. **Rescue Plan:** How to develop and complete a fall rescue plan
4. **Training on developing and/or implementing a Fall Protection Plan**
 - Controlled Access Zones: How to establish a Controlled Access Zone
 - Safety Monitor duties
 - Rescue Plan: When and how to develop and complete a fall rescue plan
5. **Training on other Fall Protection Policy elements**
 - Ladders; Scaffolds
 - Elevated work platforms
 - Roof and wall openings
 - Other: _____

Employee was trained and demonstrated competency on the above as noted: Date: _____

Instructor Name

Signature

ATTACHMENT H
Fall Hazard Analysis

Colfax to insert Fall JHA, or location of the Fall JHA

CITY OF COLFAX
ADMINISTRATIVE POLICIES AND PROCEDURES

Subject: Financial Policies
Effective Date: October 8, 2014
Resolution: Resolution №. 29-2014

PURPOSE

The City of Colfax is accountable to the community for the use of public dollars. Municipal resources will be used wisely to ensure adequate funding for the services, public facilities and infrastructure necessary to meet the community's present and future needs.

This policy document establishes a comprehensive set of financial guidelines for the City that will assist elected officials and staff in the development of fiscal management practices and serve as a guideline for operational and strategic decision-making related to financial management of the City.

These policies will be reviewed annually as part of the budget process and amended as necessary to guide the City in maintaining its financial stability.

GOALS AND OBJECTIVES

- Guide the City Council and management policy decisions that have significant fiscal impact
- Maintain and protect City assets and infrastructure
- Employ balanced and fair revenue policies that provide adequate funding for desired programs
- Set forth operating principles that minimize the cost of government services and minimize financial risk
- Promote sound financial management by providing accurate and timely information on the City's financial condition
- Ensure the legal use of financial resources through an effective system of internal controls
- Promote cooperation and coordination with other governments and the private sector in the financing and delivery of services
- Protect the City's credit rating and provide for adequate resources to meet the provision of the City's debt obligations on all municipal debt
- Maintain appropriate financial capacity for present and future needs

PROCEDURES AND GUIDELINES

This document discusses the most important elements of financial management in one comprehensive centralized format and is organized into the following areas of discussion:

- A. Operating Budget
- B. Revenues
- C. Expenditures
- D. Cash Management and Investments
- E. Capital Financing and Debt Management
- F. Fund Accounting and Reserve Fund Policies
- G. Financial Reporting

A. Operating Budget

1. The budget will be adopted by the City Council no later than June 30th of each year.
 - a. The City Manager will develop and present a biennial budget.
 - b. The City should strive to develop a multi-year financial plan that is updated as part of the periodic budget process.
2. A calendar of events related to budget development will be presented to City Council by April 1st of each year.
 - a. Scheduled activities will encourage early involvement with the City Council and the public.
3. A balanced provisional budget will be presented to City Council for review and adoption with total projected expenditures not exceeding total estimated revenues.
 - a. The budget will be developed in a way that facilitates public study and effectively communicates key economic and fiscal issues to City Council and the public.
 - b. Actual revenues, expenditures, reserve balances and fund balances for the prior fiscal year and estimates for the current year will be provided.
 - c. Forecasts require clearly stated assumptions. Estimations should be conservative but reasonable.
 - d. The City budget must comply with the annual determination of the City's appropriations limit calculated in accordance with Article XIII B of the Constitution of the State of California and must adopt an annual resolution to this effect.
 - e. One-time revenue sources are not to be relied upon to fund ongoing operations.
 - f. Should it be necessary, City Council may approve a planned use of accumulated fund balances in prior years for inclusion in the budget.
 - g. A multi-year capital improvement plan should be developed so that project priorities and debt capacity can be analyzed.
4. The Finance Department will maintain a system for monitoring the City's budget performance.
 - a. The City Manager will provide the City Council with a mid-year review of the City's financial activities. The review will be presented in February and compare annual budget projections with actual results.

B. Revenues

1. The City will strive to maintain a diversified and stable revenue base to minimize the impact of economic fluctuation.
 - a. Revenue forecasts shall be realistically estimated and based on the best information available. The City will follow a vigorous policy of collecting revenues.
 - b. Trends analyzing the dependence on distinct revenue sources shall be included in the budget documents for consideration by the City Council.
2. The City will seek out, apply for, and effectively administer federal, state, and other grants that address the City's current operating and capital priorities.
 - a. All potential grants will be carefully examined for matching requirements.
 - b. Grants may be rejected if programs must be continued with local resources after grant funds are exhausted.
3. The City shall develop and maintain a comprehensive list of various fees and charges.
 - a. The City should strive to cover the full cost of providing non-tax and discretionary fee-based service operations except to the extent that City Council approves defined subsidy levels by program area.
 - b. Enterprise funds will have revenues sufficient to meet all cash operating expenses, capital expenses, approved cash reserves and any debt service.
 - c. Rate studies should be conducted periodically (three to five years) to ensure the proper balance of costs and service charges.
4. Economic downturns and gaps in cash flow will be addressed as soon as recognized.
 - a. Council may approve inter-fund loans to address short term downturns in revenues or temporary gaps in cash flow.
 - b. Deficit financing and borrowing to support on-going operations is not the policy of the City as a response to long-term revenue shortfalls
 - i. Revenue forecast will be revised and expenses will be reduced to conform to the revised long-term forecast
 - ii. Revenue increases will be considered as appropriate.
5. The City will review contracts and leases, which result in revenues to the City on a timely basis in order to provide for careful evaluation by the City Council.

C. Expenditures

1. The City will propose operating expenditures, which can be supported from ongoing revenues.
 - a. Before the City undertakes any agreements that would create fixed on-going expenses, the cost implications of such agreements will be fully determined for current and future years.
 - b. The City will invest in technology and other efficiency tools to maximize productivity
 - c. The City will hire additional staff only after the need of such positions has been demonstrated and documented.
 - d. The City will strive to pay competitive market level compensation to its employees.
 - e. All compensation planning and collective bargaining will focus on the total cost of compensation, which includes salary, health care benefits, paid leave, pension contribution and other benefits.

2. The City will maintain expenditure categories according to state statute and administrative regulation.
3. Costs of service will be budgeted and charged to the fund performing the service. Cost allocation methodology will be reviewed and approved in the annual budgeting process.

D. Cash Management and Investments

1. The City's investment policy will be reviewed annually as part of the budget process.
2. The responsibility of investing City funds rests with the City Manager and Finance Director who are to exercise due diligence to adhere to the investment policy. Quarterly (or more frequent) reports will be provided to City Council presenting a summary of the portfolio status and compliance with the conditions set forth in the investment policy.
3. Investments shall be made in conformance with the City's investment policy with the primary objectives of:
 - a. Preservation of Capital and protection of Principal
 - b. Maintenance of sufficient liquidity to meet operating needs
 - c. Security of City Funds and investments
 - d. Maximization of return on the portfolio

E. Capital Financing and Debt Management

1. The City will seek to maintain a high credit rating through sound financial practices as a basis for minimizing borrowing costs.
2. Major capital improvement projects will be funded using the most financially prudent method available.
 - a. The City will make every effort to use pay-as-you-go financing for capital improvement projects. Debt financing for a project can be used if the overall project cost exceeds anticipated available resources and/or if the cost of financing is favorable as compared to the use of City investment holdings over the financing term.
3. The City will monitor all forms of debt annually in conjunction with the budget preparation process and report concerns and remedies, if necessary, to City Council. The City will diligently monitor its compliance with bond covenants.
4. The City will not issue long-term debt to finance current operations. Debt financing should only be used for long-term capital improvement projects with a useful life exceeding the term of the financing and for which the project revenues or specific identified revenue sources are sufficient to service the long term debt.
5. The City will use a lease-purchase method of financing for equipment if the lease rates are more favorable than the City's expected overall investment rate of return.

F. Fund Accounting and Reserve Fund Policies

1. The City will use Governmental Accounting Standards Board (GASB) definitions of fund balance for the annual financial reports (audits) and for all other financial reporting.
2. Fund Descriptions are as follows:
 - a. Governmental Funds

- i. General Fund – The General Fund is the primary operating fund of the City. It accounts for all financial resources of the general government, except those required to be accounted for in another fund.
 - ii. Special Revenue Funds – Used to account for revenues derived from specific taxes or other earmarked revenue sources. They are usually required by statute or other local ordinance to finance particular governmental functions or activities.
 - iii. Capital Projects Funds – Used to account for and report financial resources that are restricted, committed or assigned to expenditures for capital outlays
 - iv. Debt Service Funds – Used to account for and report financial resources that are restricted, committed or assigned to expenditure for principal and interest, even if it is being accumulated for future year’s payments.
 - b. Business Activity Funds
 - i. Enterprise Funds (Sewer) – Used to account for the operations of self-supporting governmental activities that render services or goods to the public.
 - 1. The intent of the City is that the costs of providing goods and services to the general public on a continuing basis be financed and recovered primarily through user charges.
- 3. The City will maintain Reserve Fund Balances in an effort to stabilize the City’s fiscal base for unpredictable fluctuations in major revenues, protect against reducing service levels or raising taxes and fees due to revenue shortfalls or unpredicted one-time expenditures, and provide for innovative opportunities for the betterment of the community.
 - a. General Fund Revenue Reserve – The City’s fiscal goal is to maintain annual expenditure increases at a sustainable growth rate, and to limit expenditures to anticipated revenue in order to maintain a balanced budget. The City target is to maintain an unrestricted fund balance of 25% of annual operating expenditures for the fiscal year. This target will:
 - i. Provide liquidity necessary to accommodate the City’s uneven cash flow, which is inherent in its periodic tax collection schedule.
 - ii. Provide approximately three (3) months of operating expenses,
 - iii. Adhere to Government Finance Officers Association (GFOA) recommendation that a minimum General Fund unrestricted fund balance to be maintained of no less than either two (2) months of regular operating revenues or expenditures.
 - iv. Provide liquidity to respond to contingent liabilities.
 - b. Sewer Revenue Reserve – The City target is to maintain a fund balance reserve of 17% of annual operating expenditures for the fiscal year. This target will:
 - i. Provide approximately two (2) months of operating expenses which is the same as the bi-monthly billing cycle.
 - c. General or Sewer Fund revenues remaining at the end of the City’s fiscal year, unless encumbered, will be allocated to the revenue reserves.
 - i. Additional reserve funds may be established by the City Council based on recommendation of the City Manager such as:
 - 1. Capital Improvement Reserve
 - 2. Equipment Reserves
 - 3. Community Fund Reserve
 - d. City Council action is required for appropriation of reserves (except replacement reserves).

G. Financial Reporting

1. The City's accounting and financial reports are to be maintained in conformance with Generally Accepted Accounting Practices (GAAP) as applied to governmental units.
2. An annual financial audit will be performed by an independent public accounting firm familiar with municipal government activities. The independent auditor will issue an audit opinion and will present the audit report and discuss audit findings to the City Council. The City encourages the rotation of audit service providers on a periodic basis.
3. A fiscal impact statement will be provided in each staff report submitted to the City Council as part of the City Council agenda process.
4. The City has established Capitalization thresholds as follows:
 - a. Land purchases at any value
 - b. Equipment - \$5,000
 - c. Buildings and facility improvements - \$25,000
 - d. Infrastructure - \$100,000
5. All grants and other federal and state funds shall be managed to comply with the laws, regulations, and guidance of the grantor.

HARASSMENT DISCRIMINATION AND RETALIATION PREVENTION

The City is an equal opportunity employer. The City is committed to providing a work environment free of harassment, discrimination, retaliation, and disrespectful or other unprofessional conduct based on sex (including pregnancy, childbirth, breastfeeding or related medical conditions), sex stereotype, race, religion (including religious dress and grooming practices), color, gender (including gender identity, gender expression and transgender), national origin (including language use restrictions and possession of a driver's license issued under Vehicle Code section 12801.9), ancestry, physical or mental disability, medical condition, genetic information, marital status, registered domestic partner status, age, sexual orientation, military and veteran status or any other basis protected by federal, state or local law or ordinance or regulation. It also prohibits discrimination, harassment, disrespectful or unprofessional conduct based on the perception that anyone has any of those characteristics, or is associated with a person who has or is perceived as having any of those characteristics.

HARASSMENT PREVENTION

The City's policy prohibiting harassment applies to all persons involved in the operation of the City. The City prohibits harassment, disrespectful, or unprofessional conduct by any employee of the City, including supervisors, managers and co-workers. The City's anti-harassment policy also applies to vendors, customers, independent contractors, unpaid interns, volunteers, persons providing services pursuant to a contract and other persons with whom you come into contact while working.

Prohibited harassment, disrespectful or unprofessional conduct includes, but is not limited to, the following behavior:

- Verbal conduct such as epithets, derogatory jokes or comments, slurs or unwanted sexual advances, invitations, comments, posts or messages.
- Visual displays such as derogatory and/or sexually-oriented posters, photography, cartoons, drawings or gestures.
- Physical conduct including assault, unwanted touching, intentionally blocking normal movement or interfering with work because of sex, race or any other protected basis.
- Threats and demands to submit to sexual requests or sexual advances as a condition of continued employment, or to avoid some other loss and offers of employment benefits in return for sexual favors.
- Retaliation for reporting or threatening to report harassment.

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- Communication via electronic media of any type that includes any conduct that is prohibited by state and/or federal law or by City policy.

Sexual harassment does not need to be motivated by sexual desire to be unlawful or to violate this policy. For example, hostile acts toward an employee because of his/her gender can amount to sexual harassment, regardless of whether the treatment is motivated by sexual desire.

Prohibited harassment is not just sexual harassment but harassment based on any protected category.

INTIMIDATING OR HARASSING BEHAVIOR

Threats or other conduct which in any way create a hostile environment, impair agency operation; or frighten, alarm, or inhibit others are prohibited. Psychological intimidation or harassment includes making statements which are false, malicious, disparaging, or derogatory, rude, disrespectful, abusive, obnoxious, insubordinate, or which have the intent to hurt others' reputations.

In addition, the City prohibits retaliation against individuals who raise complaints of discrimination or harassment or who participate in workplace investigations. All such conduct violates City policy.

NON-DISCRIMINATION

The City is committed to compliance with all applicable laws providing equal employment opportunities. This commitment applies to all persons involved in City operations. The City prohibits unlawful discrimination against any job applicant, employee or unpaid intern by any employee of the City, including supervisors and coworkers.

Pay discrimination between employees of the opposite sex or between employees of another race or ethnicity performing substantially similar work, as defined by the California Fair Pay Act and federal law, is prohibited. Pay differentials may be valid in certain situations defined by law. Employees will not be retaliated against for inquiring about or discussing wages.

ANTI-RETALIATION

The City will not retaliate against you for filing a complaint or participating in any workplace investigation or complaint process, and will not tolerate or permit retaliation by management, employees or co-workers.

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REASONABLE ACCOMMODATION

Discrimination can also include failing to reasonably accommodate religious practices or qualified individuals with disabilities where the accommodation does not pose an undue hardship.

To comply with applicable laws ensuring equal employment opportunities to qualified individuals with a disability, the City will make reasonable accommodations for the known physical or mental limitations of an otherwise qualified individual with a disability who is an applicant or an employee unless undue hardship would result.

Any job applicant or employee who requires an accommodation in order to perform the essential functions of the job should contact the City Clerk and discuss the need for an accommodation. The City will engage in an interactive process with the employee to identify possible accommodations, if any, that will help the applicant or employee perform the job. An applicant, employee or unpaid intern who requires an accommodation of a religious belief or practice (including religious dress and grooming practices, such as religious clothing or hairstyles) should also contact the City Clerk and discuss the need for an accommodation. If the accommodation is reasonable and will not impose an undue hardship, the City will make the accommodation.

The City will not retaliate against you for requesting a reasonable accommodation and will not knowingly tolerate or permit retaliation by management, employees or coworkers.

COMPLAINT PROCESS

If you believe that you have been the subject of harassment, discrimination, retaliation

or other prohibited conduct, bring your complaint to your supervisor, any other City supervisor, the City Manager, City Attorney, or Finance Director as soon as possible after the incident. You can bring your complaint to any of these individuals. If you need assistance with your complaint, or if you prefer to make a complaint in person, contact the City Clerk. Please provide all known details of the incident or incidents, names of individuals involved and names of any witnesses. It would be best to communicate your complaint in writing, but this is not mandatory.

The City encourages all individuals to report any incidents of harassment, discrimination, retaliation or other prohibited conduct forbidden by this policy immediately so that complaints can be quickly and fairly resolved.

You also should be aware that the Federal Equal Employment Opportunity Commission and the California Department of Fair Employment and Housing investigate and prosecute complaints of prohibited harassment, discrimination and retaliation in
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employment. If you think you have been harassed or discriminated against or that you have been retaliated against for resisting, complaining or participating in an investigation, you may file a complaint with the appropriate agency. The nearest office can be found by visiting the agency websites at www.dfeh.ca.gov and www.eeoc.gov. Supervisors must refer all complaints involving harassment, discrimination, retaliation or other prohibited conduct to the City Manager so the City can try to resolve the complaint.

When the City receives allegations of misconduct, it will immediately undertake a fair, timely, thorough and objective investigation of the allegations in accordance with all legal requirements. The City will reach reasonable conclusions based on the evidence collected.

The City will maintain confidentiality to the extent possible. The City cannot promise complete confidentiality. The employer's duty to investigate and take corrective action may require the disclosure of information to individuals with a need to know.

Complaints will be:

- Responded to in a timely manner.
- Kept confidential to the extent possible.
- Investigated impartially by qualified personnel in a timely manner.
- Documented and tracked for reasonable progress.
- Given appropriate options for remedial action and resolution.
- Closed in a timely manner.

If the City determines that harassment, discrimination, retaliation or other prohibited conduct has occurred appropriate and effective corrective and remedial action will be taken in accordance with the circumstances involved. The City also will take appropriate action to deter future misconduct. Any employee determined by the City to be responsible for harassment, discrimination, retaliation or other prohibited conduct will be subject to appropriate disciplinary action, up to and including termination.

Employees should also know that if they engage in unlawful harassment, they can be held personally liable for the misconduct.

CITY OF COLFAX
ADMINISTRATIVE POLICIES AND PROCEDURES

Subject: Investment Policy
Effective Date: October 8, 2014
Resolution: Resolution No. 29-2014

SCOPE AND AUTHORITY

The purpose of this policy is to establish a prudent and systematic Investment Policy, and to organize and formalize investment-related activities.

The City's Investment Policy is authorized under the California Government Code, section 53600, et, seq.as it applies to the investment of public funds.

It is intended that this policy cover all funds and investment activities under the direct authority of the City of Colfax. Investments authorized by Fiscal Agents pursuant to bonded debt are controlled by the terms and conditions of the specific bond, and may not necessarily coincide with the Investment Policy outlined herein. Investments must conform to Government Code Section 53600.5 concerning safekeeping of purchased securities by financial advisers, fiscal agent, or consultants. Wherever practical, investments made by a Fiscal Agent on behalf of the City will be consistent with this Policy.

INVESTMENT OBJECTIVES

Safety – It is the primary duty and responsibility of the City Staff to protect, preserve and maintain cash and investments on behalf of the citizens of Colfax.

Liquidity – An adequate percentage of the City's investment portfolio should be maintained in liquid short-term securities which can be converted to cash if necessary to meet disbursement requirements. Since all cash requirements cannot be anticipated, investments in securities with active secondary or resale markets is highly recommended. Emphasis should be on marketable securities with low sensitivity to market risk.

Yield – Yield should become a consideration only after the basic requirements of safety and liquidity have been met.

- A. The overall yield should be designed to attain a market-average rate of return throughout budgetary and economic cycles, taking into account the City's risk constraints, the cash flow characteristics of the portfolio, and State and local laws, ordinances or resolutions that restrict investments.

Public Trust – All participants in the investment process shall act as custodians of the public trust. Investment officials shall recognize that the investment portfolio is subject to public review and evaluation. The overall investment program shall be designed and managed with a degree of professionalism that is worthy of the public trust.

Diversification – The investment portfolio will be diversified to avoid incurring unreasonable and avoidable risks regarding specific security types or individual financial institutions.

- A. In a diversified portfolio it must be recognized that occasional measured losses are inevitable, and must be considered within the context of the overall portfolio's investment return, provided that adequate diversification has been implemented.

Prudence – The City adheres to the "prudent person rule" which obligates a fiduciary to insure that: "...investments shall be made with the exercise of that degree of judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation but for investment considering the probable safety of their capital as well as the probable income to be derived."

INVESTMENT STRATEGY

The most effective method of increasing investment yields without sacrificing safety is to extend the investment horizon commensurate with the City's cash requirements. To that end, improved cash forecasting and management is the preferred investment strategy for the City.

- A. Cash management activities include accurate cash projections, the expeditious collection of revenue, the control of disbursements, cost-effective banking relations, and a short-term borrowing program, when needed, that coordinates working capital requirements and investment opportunity.

ALLOWABLE INVESTMENT INSTRUMENTS

The Government Code, Sections 53601, 53601.1 and 53635 shall govern the City's allowable investments, and the length of those investments, unless specifically limited by this policy. Although the maximum maturity for any deposit or investment is five years, most investments should be for no longer than 2-3 years. All investments of City funds shall be made in accordance with California Government Code Sections 53601, et seq. and 53635 et seq., or in accordance with California Government Code 16429.1 authorizing investments into the State Local Agency Investment Fund (LAIF). Investments will be authorized by the City Manager, City Treasurer, Finance Director or Mayor only.

REPORTING REQUIRMENTS

City staff shall submit a quarterly investment report to the City Council. The report must be submitted to the City Manager for the agenda within 30 days following the end of the month covered by the report, and is required under Government Code Section 53646. Such report shall include at least the following information:

- Types of investments;
- Name of the institution in which funds are invested or deposited;
- Date of maturity, if applicable;
- Par and dollar amount investment for all securities;
- Percent distribution of each type of investment or deposit; current market value as of the date of the report, including source of the valuation except those under LAIF;
- Rate of interest;

- Average weighted yield of all investments;
- A statement relating the report to the City's Investment Policy; and
- A statement that there are sufficient funds to meet the City's next six months' financial obligations.

Staff shall also submit the above information annually to the external auditors.

Periodic reports shall be prepared as required by circumstances or as directed by Council. Such circumstances include, but are not limited to, notification that any City investment may be in jeopardy or a sudden and significant drop in the current market value of any City investment.

INTERNAL CONTROLS AND GENERAL GUIDELINES

A system of internal control shall be implemented to prevent losses of public funds arising from fraud, employee error, misrepresentation of third parties, unanticipated changes in financial markets, or imprudent actions by employees and officers of the City.

Controls deemed most important include:

- The control of collusion and separation of duties;
- Custodial safekeeping of funds invested or on deposit;
- Minimizing the number of authorized Investment Officers; and
- Written documentation of procedures and transactions.

In selecting financial institutions for the deposit or investment of City funds, the City shall consider the credit-worthiness of the institution. Such credit-worthiness shall be monitored on a regular basis throughout the period in which City funds are deposited or invested.

- A. Any deposit or investment of funds shall be in writing, signed by the City and the authorized representative of the institution.
- B. All transfers must be made by authorized personnel and properly logged and documented.

City staff shall encourage peer review of the City's investments and investment practices. In addition, the City's cash management and investment practices shall be included in any outside financial audit of the City.

An annual Cash Flow Forecast may be prepared by the City, and would be used to assist in the development of the annual operating budget for the City.

This Investment Policy shall be reviewed by the City Council on an annual basis as part of the budget process.

CITY OF COLFAX

CITY MANAGER DIRECTIVES

2009-01

Subject: Smoking in City Buildings and City Vehicles

Effective Date: September 2, 2009

State of California Government Code 7597 (a) states that no public employee or member of the public shall smoke any tobacco product inside a public building, or in an outdoor area within 20 feet of a main exit, entrance, or operable window of a public building, or in a passenger vehicle, as defined by Section 465 of the Vehicle Code.

This will serve to restate the law and remind everyone that smoking must be done outside of any public building at a minimum distance of 20 feet and smoking will not be allowed in any city-owned vehicles effective immediately.

Please sign and return to City Hall to be included in your personnel file.

Employee Signature

CITY OF COLFAX
ADMINISTRATIVE POLICIES AND PROCEDURES

Subject: Technology Policy
Effective Date: September 9, 2015
Resolution: Resolution No. 36-2015

PURPOSE

The purpose of this policy is to provide guidelines to City employees and volunteers regarding the appropriate use of internet, email, text messaging and other electronic devices.

POLICY

Employees are expected to use electronic communication devices legally, ethically and in an appropriate manner that best represents the City of Colfax. Employees have no right or expectation of personal privacy in any matter stored in, created, received, or sent over the City's electronic communication systems. Employees understand and acknowledge that any electronic device provided by the City and internet usage or communication utilizing that device may be subject to monitoring, whether or not the form of usage or communication is specifically mentioned in this policy. The use of City electronic communication resources is primary to the business of the City. Any personal use is secondary and employees have no expectation of privacy related to any and all use of City electronic communication resources used to gain access to personal web-based email accounts, social networks, blogs, and personal websites. The City of Colfax, in its discretion, reserves and may exercise the right to monitor, access, retrieve, and delete any matter stored in, created, received, or sent over the City's informational technological or electronic communication resources including e-mails, text messages, instant messages, faxes, voicemails, scanners, copiers, blogs, websites, and computers, for any reason and without the permission of any employee. The City reserves the right to review Internet usage.

The City of Colfax's policies against sexual or other harassment apply fully to the e-mail, text, instant messaging, and internet system, and any violation of those policies is grounds for discipline including discharge. In addition, employees are prohibited from sending, receiving, displaying, printing, or otherwise disseminating material that is fraudulent, harassing, embarrassing, sexually explicit, profane, obscene, intimidating, defamatory, or otherwise unlawful, inappropriate, offensive, or disruptive to City activities. Employees are also prohibited from downloading such material from the Internet or displaying or storing such material in the City's computers. Employees encountering or receiving this kind of material should immediately report the incident to their supervisor, Human Resources, or the City Manager. Employees are expected to remain respectful of the City, its managers and employees, and the public in any electronic communications.

Any employee who discovers misuse of the e-mail system or Internet should immediately contact Human Resources or the City Manager. Violations of any of these provisions may result in disciplinary action including discharge.

USE OF CITY PROPERTY, EQUIPMENT, AND TECHNOLOGY

Employees understand that they do not have a reasonable expectation of privacy in their use of City property/equipment or technology. Individuals utilizing property, equipment including vehicles, office space, cubicles, desks, building access cards, computers, e-mail, internet, telephones, cell phones, and voicemail systems expressly consent to monitoring of their activities for business needs. Employees should not use any City property or equipment (including vehicles and technology) for their personal use, except when it is reasonable so as not to interfere with the performance of job duties or does not violate other City policies. Employees are responsible for the condition and care of City equipment. Careless use of City property, equipment, vehicles and technology which results in loss, damage or any other violation of policy or procedure may result in disciplinary action including termination.

TELEPHONES AND CELL PHONES

The City recognizes that employees will occasionally need to place and receive personal phone calls or text messages during the workday. In all cases, personal calls and text messages should be minimal and appropriate so as not to interfere with the performance of duties. The City may review usage of City-issued cell phones for calls and text messages made during working hours, to determine if the employee's personal use is excessive. Excessive personal use of City cell phones may result in reimbursement of charges to the City and employees may be subject to disciplinary action.

Employees are not permitted to make personal long-distance telephone calls using City telephones, except in emergencies. Employees may place personal long-distance calls if they use their personal calling card, call collect, or use lines 3 or 4 at City Hall. Employees may use City cell phones for occasional and appropriate text messaging within reason.

Employees with cell phones must refrain from using their phones, while driving on City business, without proper hands-free technology. Safety must come before all other concerns. Regardless of the circumstances, including slow or stopped traffic if hands-free options are not available, employees should proceed to a safe location off the road and safely stop the vehicle before placing or accepting a call

Employees who are charged with traffic violations resulting from the use of their phone while driving will be solely responsible for all liabilities that result from such actions.

CITY OF COLFAX
ADMINISTRATIVE POLICIES AND PROCEDURES

Subject: Travel Policy
Effective Date: September 9, 2015
Resolution: Resolution No. 36-2015

PURPOSE

The City of Colfax will provide reasonable travel and expense funds for authorized travel to attend business or professional conferences, training seminars, meetings, or other authorized City business travel.

APPLICATION

The travel policy applies to all City Employees, including part-time and temporary (seasonal) employees, City Council Members, Board and Committee Members, and Volunteers herein after "Traveler."

ACCOUNTABILITY

- A. Travelers are required to use fiscal prudence in the conduct of City business. The location and cost of the travel, and any available alternatives, should be reviewed to ensure the best use of City funds.
- B. Each traveler is required to receive authorization prior to making any travel arrangements, obtain all necessary travel documents, complete Travel Expense Reimbursement Request forms and provide these forms and documents to the Finance Director within established timelines.
- C. Personal business should not be mixed with official City business if it will result in any cost to the City, result in lost work time, or cause harm to the City's reputation or interest.

GENERAL

- A. Non-Local travel should be on an as-needed basis. City Travelers shall work with their supervisors to determine if a local venue or webinar will have the same or similar event within a reasonable time frame before scheduling non-local travel.
- B. All travel costs including registration, airfare, hotel, and rental car should be made, whenever possible, by City purchase card. The City purchase card should not be used for items which will be covered by per diem or mileage reimbursement.
- C. For all travel related expenses, City Travelers shall obtain a receipt and if necessary additional documentation.

D. The Traveler must complete a Travel Expense Reimbursement Request, when there have been expenses that require reimbursement or have been advanced, have it signed by their manager and/or Department Head, and submit it to the Finance Division within ten (10) working days of their return. A Travel Expense Reimbursement Request is not required when approved charges associated with the event have been paid by City purchase card.

E. Travel Expense Reimbursement Requests shall include a copy of the registration, flight itinerary (when applicable), location, dates and purpose of the travel, and the original itemized receipts for expenses (except those that will be covered by per diem or mileage reimbursement). For a receipt that covers more than one Traveler, the names of all Travelers should be included on the receipt.

F. An individual may not authorize or approve reimbursement for his/her own travel. Travel Expense Reimbursement Requests and City purchase card statements must be approved by the Traveler's manager and/or Department Head. The City Manager will approve travel expenses for City Council Members. The Finance Director will approve travel expenses for the City Manager.

G. A Traveler may be accompanied by a companion who is not a City employee/board member if his/her presence does not detract from the attendee's performance of City duties. The City will not reimburse any expenses attributable to any companion.

TRANSPORTATION

A. The most economical and reasonable form of transportation, based on distance, time and total cost to the City, shall be utilized.

B. City employees should use a City vehicle rather than a personal vehicle whenever practical. Other travelers will use personal vehicles.

C. Personal Vehicle: When a Traveler must use their personal vehicle for transportation, accurate mileage records must be kept by the Traveler, and the most direct route that is practical must be used. Mileage reimbursement rate is established annually by the City, based on the IRS rate. Mileage will be computed either from City offices or from the Traveler's home, whichever is less.

Mileage must be verified by MapQuest or similar means, showing the starting location and destination. Documentation regarding the purpose of the trip must accompany the Mileage Reimbursement Form. Mileage reimbursement shall not exceed the cost of the most economical combination of airfare, shuttle and parking, relative to the destination for non-local travel. Travelers shall be reimbursed at the lesser amount of the actual mileage reimbursement or combination of airfare, shuttle and parking cost. Any additional lodging and meal expense

resulting from the Traveler's selection to drive shall be paid by the Traveler. To use a personal vehicle, the Traveler must:

- a) Possess a valid California driver's license;
- b) Have proof of insurance on file with the City; and
- c) Understand that any services or repairs to their personal vehicle and any automobile or other insurance claims that result from travel on authorized City business shall be the Traveler's responsibility.

D. The City will pay all expenses, such as bridge tolls and parking fees, incurred as the result of a Traveler's authorized use of a City or personal vehicle while traveling on City business. It is the Traveler's responsibility to request receipts for these expenses. Transportation expenses, such as bridge tolls and parking fees, can be reimbursed through petty cash if under \$50 or included on a Travel Expense Reimbursement Request.

E. If the Traveler receives a monthly auto allowance, mileage reimbursement will not be paid for travel within a thirty-five mile radius of Colfax. Mileage reimbursement will not be paid for travel in City vehicles.

F. The use of a rental vehicle is allowed only when no other means of transportation is available, or when alternate transportation would be more expensive or impractical. Transportation within the destination city shall be accomplished by courtesy buses, local shuttle services or taxi service if available and reasonable. When a rental vehicle is used, the least expensive vehicle that is appropriate based on travel needs shall be selected. Rental vehicles shall not be authorized for personal use.

G. When transportation by air is the most appropriate form of travel, a copy of the flight itinerary must accompany the Travel Expense Reimbursement Request form or City purchase card statement. Parking at the airport is reimbursable with the original receipt. Mileage to and from the Sacramento International Airport will be reimbursed at the current mileage rate set annually by the City. Mileage to and from the airport will be computed either from City offices, or from the Traveler's home, whichever is less. Mileage must be verified by MapQuest or similar means.

LODGING

A. The City will pay reasonable lodging expenses, including applicable taxes and mandatory resort fees when business travel requires overnight stays.

B. Hotel receipts must be itemized, and the original, itemized receipt must be turned in to the City along with related Travel Expense Reimbursement Requests and/or City purchase card statements.

C. The Traveler shall request a standard single room at the conference or government rate, whichever is lower. Lodging costs shall not exceed the group rate published by the event sponsor, unless group rate rooms are sold out.

D. The City will pay for lodging for the evening preceding and/or subsequent to a business related event when the Traveler would have to travel unreasonably early or late in order to reach the destination.

E. Conference/meeting time is for the actual business related event and not for optional tours, sporting or social events.

F. Lodging expenses will not normally be reimbursed for local travel except in the following conditions:

- The length of the conference is more than one day and the distance is more than 100 miles from the Traveler's residence; or
- The Traveler will be required to be away for more than twelve (12) hours; or
- The Traveler's presence is required for activities before or after the regular conference hours; or
- In special circumstances approved by the City Manager or his designee.

G. The City will pay for business telephone calls and internet service if needed for work during travel on official City business. The City shall not pay for personal telephone calls or other optional hotel services that are not required for work.

MEAL AND INCIDENTAL REIMBURSEMENT

A. Per IRS regulations (Publication 463, Travel, Entertainment, Gift and Car Expenses), reimbursement shall only be given when the trip includes an overnight stay.

B. The City provides a reimbursement of expenses up to \$60 per day for a Traveler's meals and incidental expenses during an overnight trip:

- Incidentals include baggage handling and gratuities.
- Receipts for per diem meals and incidentals are required.
- If the Traveler spends an amount in excess of the allowed amount, the excess expense is not eligible for reimbursement.

UNAUTHORIZED EXPENSES

A. The following are examples of unauthorized expenses:

- Alcoholic beverages
- In-room movies
- Spa/gym services
- Tours

- Laundry
- Dry cleaning
- Supplemental insurance on rental cars
- Personal entertainment and other personal expenses
- Sports events or other activities offered through the conference or other business related event as an additional cost to registration
- Costs applicable to spouses or guests who accompany the Traveler during travel on City business

B. Unauthorized expenses are solely at the discretion of the Traveler. They will be considered a personal expense and shall be paid by the Traveler.

C. If a Traveler elects to travel in advance or stay longer on personal business or vacation, the City shall pay only the expenses for the authorized event. Any additional expenses shall be considered a personal expense and shall be paid by the Traveler.

CITY OF COLFAX
ADMINISTRATIVE POLICIES AND PROCEDURES

Subject: Use of City-Owned Vehicles
Effective Date: September 9, 2015
Resolution: Resolution No. 36-2015

PURPOSE

The purpose of this policy is to provide guidelines to City employees and volunteers regarding the appropriate use of City-owned or leased vehicles in the performance of their assigned duties.

POLICY

It is the policy of the City to provide, at its discretion, vehicles for use by employees to assist in the efficient performance of their duties. It is the goal of the City to procure and provide those vehicles that are best suited for their intended purpose. It shall remain a management right to determine if a vehicle will be provided and the types and numbers of vehicles to be provided.

The provision of City-owned vehicles is generally to facilitate the work of the employee within the City limits or within the immediate area. It shall be the responsibility of the department head to determine when it is more effective for City vehicles to be used outside of the jurisdiction for an extended period of time as opposed to the employee's use of their personal vehicle or the use of alternative transportation. Authorized use of a personal vehicle for City business shall be reimbursed at the rate set periodically by the IRS for business travel.

City vehicles shall only be used to perform such functions as are included in the user employee's job duties or related duties as may be assigned. City vehicles shall not be used and shall not be allowed to be used for personal business or personal use by the employee. The City Manager may waive this restriction in limited circumstances by prior agreement.

Authorization for take-home of a City vehicle shall be limited to special instances only when formally approved by the supervisor prior to such use.

The use of City vehicles shall be authorized for the following purposes:

- 1) Performance of assigned duties;
- 2) Transportation between work locations;
- 3) Transportation inside and outside of City to attend meetings, seminars, special events, and conferences that have been appropriately authorized;
- 4) Transportation to procure supplies, equipment, materials or services for City use;
- 5) Transportation to make deliveries related to City business.

City employees may transport non-City employees in City vehicles only when required by the specific assignment.

Non-City employee volunteers may be authorized to operate a City vehicle under limited circumstances and only for the specific event for which they have volunteered. Each such volunteer must provide evidence of a valid operator's license appropriate for the type of vehicle to be driven. A copy of the license should be retained by the Division utilizing the volunteer.

All drivers who operate a City vehicle on a street or highway shall assume responsibility for the following:

- 1) Compliance with all state vehicle codes;
- 2) Security of the vehicle by not leaving keys in unattended vehicles and locking vehicles when not in use;
- 3) Immediately reporting mechanical failures or safety device malfunctions to the Fleet Manager;
- 4) Not operating a City vehicle after consuming an alcoholic beverage or any other substance or medication that may impair the ability to safely operate the vehicle;
- 5) Immediately reporting any accident, collision, theft, or damage to the vehicle to the employee's immediate supervisor, the appropriate law enforcement agency and to the Fleet Manager;
- 6) Parking the vehicle in a proper and/or safe location at all times;
- 7) Possession of a valid driver's license appropriate to the type of vehicle being operated;
- 8) Proper appearance of vehicle; i.e., cleanliness both interior and exterior.

DEPARTMENT OF MOTOR VEHICLES (DMV) PULL PROGRAM

The City is enrolled in the DMV Employer Pull Notice Program to improve public safety and reduce liability from employees who drive while performing their job. The City is sent a driver record upon enrollment of a new employee and an annual update from the date of enrollment or 12 months from the last action/activity notice. This helps the City ensure employees who drive frequently (i.e., at least once per month) have a valid driver's license and do not have problem driving behaviors (e.g., accidents, driver license suspensions or revocations, or any other action taken against their driving privilege). The City has established a policy and practices to ensure the confidentiality of employee driving records and only shares information that impacts an employee's ability to perform his/her job on an as needed basis. Employees who wish to elect to drive in a City vehicle, even if they do not drive frequently, will be required to sign the authorization to be enrolled in the DMV Pull Program.

In accordance with our insurance company's requirements, the City of Colfax shall institute and enforce the employee driving eligibility standards as set forth in this policy and procedure. An employee who fails to adhere to these standards may be subject to termination if that employee's job duties regularly require driving a motor vehicle.

City employees will use the City gas card to fill ONLY City vehicles at an approved fuel station and maintain a general mileage log for maintenance records.

CITY OF COLFAX
ADMINISTRATIVE POLICIES AND PROCEDURES

Subject: Whistleblower Policy
Effective Date: October 8, 2014
Resolution: Resolution №. 29-2014

PURPOSE

It is critical that the City foster and maintain a workplace with a high ethical standard of conduct in all activities and conduct its business in a fair, effective, efficient, and transparent manner. Further, the City must protect its assets and resources from fraudulent, illegal, and dishonest activities by protecting its assets and resources, by maintaining effective internal controls and by identifying and investigating any possibility of fraud or other improper activities. To this end, this Whistleblower Policy (“Policy”) establishes procedures for City employees and the Colfax community to report alleged illegal, fraudulent, and/or improper activity by City employees and to assure that such reports do not result in retaliation by the City.

POLICY

Community members and City employees are encouraged to report good faith suspicions of misconduct by City employees and any misuse of City property or resources. Any City employee who makes such a good faith report is protected against adverse employment actions by the City for raising such allegations, and shall not suffer any reprisals or retaliation by the City for making the report, whether or not the allegations are sustained. The whistleblower must exercise sound judgment to avoid baseless allegations. The intentional filing of a false report is itself considered an improper governmental activity which the City has the right to act upon.

PROHIBITED ACTIVITIES

Any person should report information related to one of the following prohibited activities which includes, but is not limited to:

- A. Violation of any law, regulation, ordinance.
- B. Conflict of interest.
- C. Fraud, waste, or misuse of City property, resources, or time.
- D. Abuse of authority.
- E. Creation of a specific and substantial danger to public health or safety by failing to perform duties required by the City position held.
- F. Theft, misuse of, or misappropriation of City resources, property, information, assets or funds, or an attempt to do any of the same.
- G. Intentional falsification of records (including failure to disclose material facts or making of false or misleading entries or statements with the intent to deceive on any City document or other official document, report, or form, including but not limited to, City financial records and environmental regulatory reporting), or the willful and unauthorized destruction and/or mutilation of any City document or other official document, report, or form, including City financial records.

- H. Intentionally submitting false claims for payment or reimbursement.
- I. Knowingly submitting and/or signing a timesheet that contains false information.
- J. Forgery or intentional unauthorized alteration of a City document or other official document, application, report, or form, including but not limited to, City financial documents.
- K. Improprieties in the handling or reporting of financial transactions for the City.
- L. Authorizing or receiving payment by the City for goods not received or services not performed.
- M. Computer-related activity involving unauthorized alteration, destruction of data, forgery, or manipulation of data or misappropriation of City-owned software.

PROCEDURES

A. When to report

A complaint filed under this Policy should be filed within 45 days of the date of the act or event which is subject of the complaint.

B. Whom to report to

If a City employee is making the report, all reports should first be made to the employee's supervisor, unless the report involves alleged misconduct of the supervisor. If the complaint is not against the supervisor, and action is within the supervisor's authority, the supervisor should take all actions necessary to curtail the behavior and determine the appropriate consequences and then inform the City Manager. If the action is not within the supervisor's authority, the supervisor should immediately report the matter to the City Manager.

If a City employee is making the report that involves alleged misconduct of her/his supervisor, the employee should report the matter directly to the Finance Director, the City Attorney, or the City Manager.

If someone other than a City employee is making the report, the report should be made to the Finance Director, the City Attorney, or the City Manager who will then follow up on the matter.

Although every effort will be made to protect the anonymity of the whistleblower, there may be situations where anonymity cannot be guaranteed.

C. How to Report

Use of the "Whistleblower Complaint Form" is desirable (located on the City website "Complaint Handling Process"; or in City Hall; see attached form). Submit the form to one of the following:

whistleblower@colfax-ca.gov ;

or mail to:

City of Colfax,
Attention Whistleblower Program,
PO Box 702
Colfax, CA 95713.

PROTECTION FROM RETALIATION

A. Retaliation Prohibited

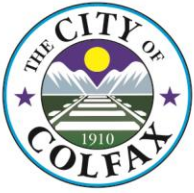
No City officer or employee shall use or threaten to use any official authority to influence, restrain, or prevent any other person who is acting in good faith and upon a reasonable good faith belief as a whistleblower. No City officer or employee shall use or threaten to use any official authority or influence to cause any adverse employment action (including discharge, demotion, suspension, harassment, or other forms of discrimination) as retaliation against a City officer or employee who acts as a whistleblower in good faith and with reasonable belief that improper conduct has occurred. However, this Policy does not prohibit the City from taking an adverse action for legitimate or non-discriminatory reasons due to a mere causal connection to the protected Whistleblower activity. Such legitimate or non-discriminatory actions may include discipline for a legal cause or refusing to hire/promote/transfer or to take any other legitimate personnel action based on inadequate qualifications or poor performance reviews.

B. Investigation of Complaints

Depending upon on the nature of the complaint, the City Manager or her/his designee will investigate the complaint to determine if misconduct and/or violation of this Policy has occurred. To the extent permitted by personnel privacy laws, the City Manager or her/his designee will meet with the complainant to discuss the findings of the investigation and will use best efforts to ensure timely resolution of the matter.

C. Penalties

Any City officer or employee who violates this Policy shall be subject to discipline, up to and including dismissal. Under Section 8547.8 of the Government Code, any officer, manager, or supervisor who violates this Policy with malicious intent may be subject to a fine not to exceed \$10,000 and imprisonment in county jail for up to a period of one year. In addition to all penalties provided by law, any local officer, manager, or supervisor who has been found by a court to have violated this Policy and the State law under which it is promulgated may be individually liable for damages in an action brought against him or her by the injured employee.



CITY of COLFAX

C A L I F O R N I A

CITY HALL, 33 SOUTH MAIN STREET, COLFAX, CA



WHISTLEBLOWER COMPLAINT FORM

Instructions:

Complete this form and return it to a supervisor, the Finance Director, or the City Manager. This is a confidential format to report any wrongdoing; however, if your report results in criminal prosecution, you may be called upon to testify and confidentiality may not be maintained.

Name (Optional): _____

Address (Optional): _____

Are you a City of Colfax employee? Yes No

If yes, what is your position or relationship to the City (Optional)? _____

Work Phone (Optional): _____

Home/Cell Phone (Optional): _____

1. Identify the person or persons against whom your allegations are made.

2. Describe the nature of your complaint, the incident(s) or event(s), date(s), time(s), and place(s). Attach additional pages to this complaint if necessary.

3. Identify others who may have observed or witnessed the incident(s) that you described.

4. Do you have any documents that support your allegation? (Please list and attach copies).

Submit the completed form to one of the following:

Whistleblower@colfax-ca.gov

or mail to:

City of Colfax

Attention Whistleblower Program,

PO Box 702

Colfax, CA 94503.