



TriCo Regional Sewer Utility

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Board of Trustees Meeting Agenda

Monday, July 8, 2019 @ 7:00 p.m.

John W. Hensel Government Center

10701 N. College Avenue, Indianapolis, IN 46280

- 1. Roll Call**
- 2. Public Comment**
- 3. Approval of Meeting Memorandum**
 - a. Board Meeting June 10, 2019
- 4. Approval of Claims Docket**
- 5. Attorney's Report**
 - a. Easement Acquisitions
- 6. Utility Director's Report**
- 7. Committee Reports**
 - a. Budget & Finance Committee
 - b. Personnel & Benefits Committee
 - i. Employee Handbook Revision
 - c. Capital & Construction Committee
 - i. Dedication of IU Health North Parking Expansion sanitary sewer
 - ii. Jackson's Grant Sewer Service Agreement Amendment 5
 - iii. Office Improvements and Design Agreement
 - iv. Little Eagle Creek Interceptor Temporary Service
 - v. Crossfields Gravity Sewer Dedication
 - vi. #1902 WRRF Expansion Design Contract Modification
 - d. Office Improvements Special Committee
- 8. Old Business**
- 9. New Business**
- 10. Adjourn**



BOARD OF TRUSTEES MEETING

Monday, June 10, 2019 7:00 p.m.

Memorandum

ROLL CALL

Present: President Marilyn Anderson, Vice President Steve Pitman, Treasurer Jane Merrill, Members Barb Lamb, Jeff Kimbell, and Carl Mills. Others in attendance: Utility Director Andrew Williams, Legal Counsel Anne Poindexter, Engineering Manager Wes Merkle, District Engineer Ryan Hartman, and Controller Cindy Sheeks.

Absent: Board Members Chuck Ryerson, Michael McDonald, and Eric Hand.

Ms. Anderson called the meeting to order at 7:00 p.m.

PUBLIC COMMENT

Robert Hawk, a Larkspur neighborhood resident, requested an engineer contact him to review questions about the proposed sewer extension project.

APPROVAL OF MEETING MEMORANDUM

Board Meeting May 13, 2019

Ms. Merrill made a motion to approve the May 13, 2019 Board of Trustee's Meeting Memorandum. The motion was seconded by Mr. Pittman and approved unanimously.

APPROVAL OF CLAIMS DOCKET

Ms. Sheeks stated the summary sheet attached to the monthly claims docket listed the capital spending and other significant expenses. If the Board wishes, it will continue to be included with the monthly docket.

Mr. Mills made a motion to approve the claims docket. The motion was seconded by Ms. Merrill and approved unanimously.

ATTORNEY'S REPORT

Easement Acquisitions

Mrs. Poindexter stated Ms. Artest has finally contacted her and is considering the offer for the easement. Ms. Artest stated that she did not get the paperwork mailed to both addresses we had for her. Mrs. Poindexter indicated that the Court appointed appraisers have started and the Utility will likely have to pay for what has been completed.

Mrs. Poindexter reported that she has given Duke a 30-day extension to work with the Utility in good faith to resolve the pole conflict issue along Spring Mill Road.

UTILITY DIRECTOR'S REPORT

Mr. Williams stated TriCo will again be participating at CarmelFest. The booth will be at the entrance to the festival as you cross over the Monon Trail. He encouraged Board Members and those in attendance at the meeting to stop by the booth.

Mr. Williams reported that the staff has exceeded 3,400 days without a lost time accident.

Ms. Anderson acknowledged the good job by staff for receiving the Lab Excellence Award and the Safety Award again this year. Mr. Williams said he would pass the comments along to the staff.

COMMITTEE REPORTS

Ms. Anderson asked for a motion to reorder the agenda, moving the C&C Committee to the first committee report. A motion was made by Ms. Lamb to reorder the agenda. The motion was seconded by Ms. Merrill and approved unanimously.

Capital & Construction Committee

Mr. Hartman indicated three dedications were discussed at the committee meeting. However, only the Copper Run and Goodman Campbell project sewers are ready for acceptance. Mr. Pittman made a motion to accept the sanitary sewer dedication. The motion was seconded by Ms. Merrill and approved unanimously.

Mr. Pittman stated the next item was the neighborhood sewer extension project. Ms. Anderson indicated that she had a public comment card from Mr. James Hall. Ms. Anderson asked Mrs. Poindexter how this should be handled since he did not come up during public comments. Mrs. Poindexter stated it was at Ms. Anderson's discretion to allow him to speak. Ms. Anderson asked Mr. Hall to come to the podium and speak.

Mr. James Hall indicated that he lives in Lakewood Gardens and has a failing septic system. He is in favor of the project.

Mr. Hawk asked to speak again. The Board granted his request. He asked when the contractor would start the project in his neighborhood. Mr. Merkle indicated that if the contract was approved this evening, the contractor would start work in several weeks. Mr. Merkle was not sure which subdivision they would start in until staff meets with the contractor.

Mr. Pittman made a motion to approve the contract with TPI Utility Construction for \$330,887 and increase the project budget to \$400,000. The motion was seconded by Ms. Merrill. Mr. Mills stated that he attended the C&C Meeting and believe the B&F Committee would be agreeable with the increase project budget. The motion was approved unanimously.

Budget & Finance Committee

Ms. Merrill said the Budget and Finance Committee did not meet in April and had no action items before the Board.

Personnel & Benefits Committee

Ms. Lamb stated that the Personnel and Benefits Committee had no action items before the Board.

Office Improvement Special Committee

Mr. Pittman said the Committee met and was presented information on three options. He indicated the staff was directed to get details on leasing terms. Staff was also directed to update the budget number for the expansion at the plant.

Since Mr. Merkle had stepped out of the meeting to talk with the homeowners about the sewer project, Mr. Williams provided an update. Mr. Merkle has met with a designer to layout the space at the Penn office. He has made a few comments on her first version. He has also requested proposals from CSO and Blackline for the design at the plant.

Ms. Lamb asked where the plant was located in relation to the service area. Mr. Williams said it is at the far western edge.

There was discussion about the impact an office relocation would have on customers. Ms. Merrill believes leaving the drop box in this location would be helpful. Mr. Williams stated leasing space in a commercial office park could confuse some customers because they might assume TriCo is a private company and no longer a government agency. Even with the name change, Mr. Williams stated customer service staff still get calls for trash pickup.

Mr. Mills commented it appears staff's desire is to move out of the Government Center. The City of Carmel has an interest in the space. He asked staff to move quickly on getting information together so that the Committee can hopefully make recommendations to the Board at the next meeting.

New Business

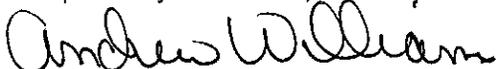
Mr. Williams stated at one point in the past the Board met at 7:30 p.m. The Board desired to start the meetings earlier and after some discussion, the Board settled on 7:00 p.m. which has been the meeting start time for many years. There has been some discussion about an earlier start time. He asked Board members to think about what works for each of them. Since there are three absent members, Mr. Williams recommended waiting until next month to decide if the Board wants to change the start time.

Adjournment

Ms. Lamb made a motion to adjourn the meeting. The motion was seconded by Mr. Mills and approved unanimously. The meeting adjourned.

The next Board of Trustees Meeting is scheduled for Monday, July 8 at 7:00 p.m.

Respectfully submitted,



Andrew Williams
Utility Director

Approved:

_____ as Presented

_____ as Amended

Michael McDonald, Secretary

Marilyn Anderson, President

The TriCo Connection

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MONTHLY NEWSLETTER

FINANCIAL UPDATE -CINDY SHEEKS-

May 2019 Total Revenues was \$665,441 which is above the projected revenue of \$621,848 by \$43,593. Residential sales were \$411,221 and 1.93% higher than expected. Commercial sales totaled \$204,460 which is 5.50% higher than expected. Total operating expenses were \$438,939 in May which is .82% under the monthly budget. Wages and benefits spending were above budget by \$10,510 for a total of \$186,554 during the month. Administration spending was \$58,654 in May and over budget by \$2,100. Treatment costs totaled \$160,298 which was over budget by \$14,880. Collection costs totaled \$33,939 in May which was \$31,145 under budget. Net income in May was \$216,530 after depreciation and amortization of CIAC and was over projections by \$62,268 for the month.

Spending Breakdown in May:

Wages – 42.5%
Administration – 13.36%
Treatment Costs – 36.52%
Collection Costs – 7.73%

Spending Breakdown YTD:

Wages - 38.60%
Administration – 13.95%
Treatment Costs - 38.80%
Collection Costs – 8.65%

Cash generated for May shows a net increase in all funds by \$381,714. Capital spending was \$203,988 for the month. It included spending for WWTP Expansion, Plant Outfall, Haver Way, 106th St, Neighborhood Sewers, PLC upgrades, flow meter replacements, pump rebuilding table and Admin office remodel. Cash on hand at 05/31/19 was \$10,172,894. The balances in the funds are listed below:

Operating \$2,769,908
Plant Expansion \$4,437,213
Reserve for Replacement \$493,764

Interceptor \$279,6105
Operating Reserve \$2,192,400

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Calendar of Events

July 8	Board Meeting	7:00 p.m.
July 10	Staff Meeting	10:00 a.m.
July 26	B&F Meeting	7:30 a.m.
July 24	P&B Meeting	7:30 a.m.
August 5	C&C Meeting	4:30 p.m.

CONSTRUCTION AND ENGINEERING-WES MERKLE

Engineering staff completed 450 locates, 79 I&I inspections and 43 lateral inspections in June. 2,546 locate requests were received and reviewed. There were seven failed I&I inspections – staff found a connected downspout, a damaged cleanout, and other construction related issues. Sam is helping Kermin and Nate with inspection and locate duties respectively, which has been a big help during a very busy summer. Eric finished observing sewer construction at the Aria Apartments development, continued warranty and punch list inspections on various projects, and began observing sewer construction for the Waterfront at West Clay project. Several other private development projects have begun or will begin construction shortly.

Ryan had multiple plan reviews for development projects as strong growth continues in our service area, especially commercial development. He attended the Midwest Trenchless Technology Seminar which presented many new products and technologies on sewer installation and rehabilitation. Ansley Park, located near Michigan Road and Greenfield Road/121st Street, is finally getting finished with a new drive entrance and gate for Lift Station 17. Ryan is also driving dedication of private sewers in the Bridges and Crossfields developments, both of which have issues requiring repairs. Ryan and Wes continued coordination with developers and property owners north of Brookhaven and Fieldstone who want TriCo to extend the Little Eagle Creek Interceptor into the large unserved area north of 146th Street/300 South.

Jeff, Ryan and Wes continued efforts to identify I&I sources in Basin 8. One major source was repaired this month after staff found an open cleanout draining a large field off of Towne Road. Nate, Sam, Jeff and Kermin searched the area north of Lift Station #26 (Jackson's Grant) to identify I&I sources after the lift station received abnormally high wet weather flows. The area received over nine inches of rain in five days. Jeff and Ryan continued work on the estate lot sewer service study. Jeff is working to clean up GPS data at the plant. He also read flow meters after the previously mentioned wet weather events.

Part of the remaining force main relocation work at 96th Street and Keystone was completed in June, the last part will be completed in July. Haver Way sewer and lift station improvements design will be finished shortly. This year's neighborhood sewer project includes Brandywine, Crossfields, Larkspur, Oak Tree, North Augusta and part of Lakewood Gardens. Work begins later this month and will be complete in November. One remaining easement is needed on both the Lift Station #14 (Austin Oaks) Parallel Force Main project and the Outfall Sewer project. Each project will proceed to bidding once easements are acquired. Plant expansion design is expected to be complete in July. Design of the new plant office will begin shortly.

Thank you to the following employees
for their participation in CarmelFest:

Scot Watkins

Jason Lewin

Maggie Crediford

Colleen Byrnes

Joe Hood

Ryan Hartman

Cindy Ferrulli

Loren Prange

David Isenberg and Drew Williams



PRESENTED BY CARMEL ROTARY

COLLECTIONS REPORT – AARON STRONG

Significant rain events across the service area totaled 7.01 inches of rain making it the 14th wettest June on record. Collections Staff monitored rain totals and lift station flows throughout each event, splitting flows between Lift Station #1 and the WRRF from Lift Station #2. Overall, the system operated as expected with no major issues to report. Collections and Engineering staff will review the storm data and tweak operations going forward.

Staff witnessed higher than expected flows from Lift Station #26 during each of the rain events. Some of this flow was expected as this was the first major rain event since Lift Station #4 was decommissioned, with flow diverted to Lift Station #26. Engineering Staff canvassed Basin 26 looking for open manholes and other sources of inflow, while Collections Staff focused on Basin 4 interceptors. Missing manhole bolts in low lying areas were the majority of the issues noted during these post storm inspections. Corrective action is in progress and is expected to be completed within the week.

Between rain events, staff was able to televise 12,760 feet of gravity main and repaired 21 manholes, primarily in basin 8. Ongoing pump and lift station inspections continued in the month of June with 12 pumps receiving their yearly preventative maintenance. Pump 2 failed at Lift Station #11 and was diagnosed by staff as having a bad stator which was later confirmed by Xylem. A spare pump was installed, and the station is once again operating at full capacity. The status of the pump is currently being evaluated by Engineering as the pump may be beyond economical repair.

Preventative maintenance was performed on all HVAC units located throughout the Utility, a condenser fan failed at Lift Station #2 and will be replaced under warranty. Yearly flowmeter calibrations have been completed with no major issues to report.

Collections Staff expects to wrap up manhole repairs in the month of July and transition to line cleaning and easement maintenance.

PLANT REPORT-SCOT WATKINS

In June there were 121 FOG inspections; seven facilities were giving a first notice of violation for device capacity. All seven had their devices serviced and are now in compliance. Schafer Powder Coating exceeded the Zinc limits and has been working with the Utility to resolve the issue. The Budget and Finance Committee has recommended giving them a time extension to adequately investigate the situation. Bob presented at the Zionsville Christian Lutheran Church VBS program about the TriCo's FOG program and what we do as a Water Resource Recovery Facility. Bob also serves as the Chair of the IWEA Wastewater Challenge Committee which is charged of all aspects of putting together the annual Challenge each spring. This includes all the logistics of the event as well as getting Challenge information from each committee that participates. This month, site visits were made to the Fishers WWTP, Speedway WWTP and West Central Conservancy District to determine the location of the 2020 Challenge.

The plant had all the quarterly HVAC preventative maintenance performed; the laboratory air conditioner was found to be not working properly and has been repaired. Two of the variable frequency drives (VFD) control panel air conditioners were also found to have failed; parts have been ordered and should be back in service shortly. A mixer in the VLR failed; the Utility had a spare mixer and staff was able to remove and install the spare in the same day. The failed unit has been repaired and will be placed back into stock. Annual flow meter calibrations have been performed; no issues were found.

The laboratory performed 420 CBOD5 tests, 230 Total Suspended Solids tests, 138 Phosphorus tests, 132 Ammonia tests and 48 E.Coli tests. We recorded over seven inches of rain (the majority in the third week of the month) and averaged right at 3 million gallons a day for the month; in June of 2018 we averaged 2.2 million gallons. Unfortunately, a solids violation occurred but staff believes they have found the issue. The clarifier splitter structure seems to be undersized and will be evaluated during the plant expansion project.



Photo to the left: Illegal connection of a downspout into the cleanout.

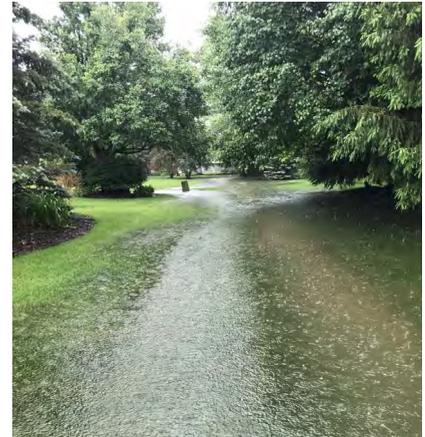


Photo to the right: The intense rain fall created creeks in backyards where no creeks existed.

CUSTOMER SERVICE—SHELLY KEEFE

The Hamilton County spring payment was received for \$11,303.93 and the Boone County spring payment for \$2,563.22. Eighty-nine liens were filed during June for a total of \$13,057.65. The current lien balance is \$27,414.24.

Both Carmel Utilities and Citizens meter reads were received for balanced billing, which will be reflected on the August 31 statements for August service.

In June, 33 new customers were added to billing and 36 permits were issued.

SAFETY UPDATE - LOREN PRANGE

TriCo had no reportable injuries and has gone 3411 days without a lost time accident.

The following safety tailgate sessions were held:

- 05/21/19 Lockout / Tag Out Water under pressure
- 05/28/19 Texting and working don't mix
- 06/11/19 Weld well to end well

Safety Plus training has started. Each department had its own training list created to cover a variety of job duties. With each department utilizing the web-based training our goal is to maximize the amount of safety training with less interference with work flow.

The summer employees have started, and they are issued Personnel protection equipment "PPE" just like full-time employees. Their list includes safety boots, traffic vest, hard hats and gloves. They are required to read the safety manual and participate in safety training when available.



Birthday
Maggie Crediford July 31

Docket Report Information

CIP-Proj 1906 Outfall easement - PE	\$	4,840.00
CIP-Proj 1901 Easement	\$	4,700.00
CIP-Proj 1908 Drainage crossing	\$	2,100.00
CIP-Plant PLC Upgrades R4R	\$	36,800.00
CIP-Proj 1802 Haver Way Interceptor	\$	6,375.00
CIP-Digester #2 Aeration System	\$	15,071.61
Total Capital Spending	\$	69,886.61

District Insurance	\$35,312.90
Carmel May Flow	\$105,063.83

Other Expenses	\$291,545.44
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TriCo Regional Sewer Utility
Register of Claims
For the period 06/05/2019-07/02/2019

Payment date	Check number	Bank name	Payee name	Amount	Amount Allowed	Description
6/7/2019	13220	Operating	IPL	\$50.81	\$50.81	LS 22
6/7/2019	13220	Operating	IPL	\$91.91	\$91.91	LS 12
6/7/2019	13220	Operating	IPL	\$84.22	\$84.22	LS 24
6/7/2019	13221	Operating	Merrell Brothers, Inc.	\$11,263.77	\$11,263.77	Biosolid disposal
6/7/2019	13222	Operating	Chris J Carvin	\$2,408.34	\$2,408.34	Refund-10320 N Delaware
6/7/2019	13223	Operating	Bruce L Bickle	\$28.89	\$28.89	Refund-1028 Princeton Gate
6/7/2019	13224	Operating	Bruce or Carol Hansen	\$41.48	\$41.48	Refund-506 E 106th St
6/11/2019	13225	Operating	Graybar Electric Company	\$177.83	\$177.83	Lift station R & M
6/12/2019	13226	Operating	Boone County Recorder	\$100.00	\$100.00	4 liens
6/13/2019	13227	Plant Expansion	J Butz Inc	\$4,500.00	\$4,500.00	CIP-Proj 1906 Outfall easement - PE
6/18/2019	13228	Interceptor	Kimsha Artest	\$4,510.00	\$4,510.00	CIP-Proj 1901 Easement
6/24/2019	13229	Operating	Boone County Recorder	\$125.00	\$125.00	4 liens, 1 release
6/24/2019	13231	Operating	Boone County Recorder	\$200.00	\$200.00	8 lien releases
6/25/2019	13232	Operating	AFLAC	\$504.04	\$504.04	Insurance
6/25/2019	13233	Operating	AT & T	\$698.93	\$698.93	Internet
6/25/2019	13234	Operating	Carmel Utilities	\$13.45	\$13.45	LS 1
6/25/2019	13234	Operating	Carmel Utilities	\$13.45	\$13.45	LS 2
6/25/2019	13234	Operating	Carmel Utilities	\$27.35	\$27.35	LS 26
6/25/2019	13235	Operating	Kinetrex Energy	\$192.68	\$192.68	Plant
6/28/2019	13236	Operating	Cindy Sheeks	\$5.99	\$5.99	B & F meeting
6/28/2019	13237	Operating	Jason Lewin	\$70.18	\$70.18	Mileage
6/28/2019	13238	Operating	Maggie Crediford	\$26.10	\$26.10	Mileage - packet delivery
6/30/2019	13239	Interceptor	Hamilton County Treasurer	\$2,100.00	\$2,100.00	CIP-Proj 1908 Drainage crossing
6/30/2019	13240	Operating	Aaron Strong	\$30.00	\$30.00	June cell phone
6/30/2019	13241	Operating	Eric Luis Delacruz	\$30.00	\$30.00	June cell phone
6/30/2019	13242	Operating	Jeffrey Martin	\$30.00	\$30.00	June cell phone
6/30/2019	13243	Operating	Kermin Huntley	\$30.00	\$30.00	June cell phone
6/30/2019	13244	Operating	Nathan Crowder	\$30.00	\$30.00	June cell phone
6/30/2019	13245	Operating	Sam Johnson	\$30.00	\$30.00	June cell phone
6/30/2019	13246	Operating	William E Wood	\$30.16	\$30.16	Refund-11039 Broadway
6/30/2019	13247	Operating	Berkshire Hathaway Indiana Rea	\$23.47	\$23.47	Refund-3231 Willow Bend Trail
6/30/2019	13248	Operating	Boles Gendy	\$14.14	\$14.14	Refund-1073 Pimlico Circle
6/30/2019	13249	Operating	Cathryn Harmon	\$37.88	\$37.88	Refund-11557 Willow Bend Dr
6/30/2019	13250	Operating	Charlotte Jensen	\$104.90	\$104.90	Refund-4464 Repass Dr
6/30/2019	13251	Operating	Christina Alderice	\$5.68	\$5.68	Refund-3803 Cole Ct
6/30/2019	13252	Operating	Eyas M or Rania H Hattab	\$43.48	\$43.48	Refund-713 Suffok
6/30/2019	13253	Operating	Maria Montenegro	\$28.24	\$28.24	Refund-4766 Austin Trace
6/30/2019	13254	Operating	Ryan Korkos	\$65.81	\$65.81	Refund-2802 High Grove
6/30/2019	13255	Operating	Sara McNew	\$23.17	\$23.17	Refund-11977 Creekstone Way
6/30/2019	13256	Operating	Karin Kelley	\$28.31	\$28.31	Refund-13490 Dunes Dr
6/30/2019	13257	Operating	Ian Smith	\$29.47	\$29.47	Refund-10725 English Oaks Dr
6/30/2019	13258	Operating	Wayne Feest	\$25.18	\$25.18	Refund-13651 Singletree Ct
6/30/2019	13259	Operating	Jeff McGaha	\$37.76	\$37.76	Refund-10732 Bunker Hill Dr
6/30/2019	13260	Operating	Panayotis G Iatridis	\$18.82	\$18.82	Refund-11573 Weeping Willow Dr
6/30/2019	13261	Operating	Jo Ellen Krupp	\$11.61	\$11.61	Refund-14235 Camden Lane
6/30/2019	13262	Operating	Jeff Kasher	\$6.17	\$6.17	Refund-12221 Leighton Ct
6/30/2019	13263	Operating	Robin Brinkman	\$21.58	\$21.58	Refund-2959 Brooks Bend
6/30/2019	13264	Operating	AT & T	\$90.38	\$90.38	Phone service
6/30/2019	13264	Operating	AT & T	\$698.93	\$698.93	Internet service
6/30/2019	13265	Operating	Clay Township Trustee	\$3,369.25	\$3,369.25	June expenses
6/30/2019	13266	Operating	IPL	\$56.18	\$56.18	Valve Vault
6/30/2019	13266	Operating	IPL	\$71.14	\$71.14	LS 20
6/30/2019	13266	Operating	IPL	\$48.62	\$48.62	LS 22
6/30/2019	13266	Operating	IPL	\$50.37	\$50.37	LS 25
6/30/2019	13266	Operating	IPL	\$88.57	\$88.57	LS 12
6/30/2019	13266	Operating	IPL	\$648.76	\$648.76	LS 8
6/30/2019	13266	Operating	IPL	\$137.64	\$137.64	LS 3
6/30/2019	13266	Operating	IPL	\$320.48	\$320.48	LS 9
6/30/2019	13266	Operating	IPL	\$826.78	\$826.78	LS 10
6/30/2019	13266	Operating	IPL	\$49.76	\$49.76	LS 18
6/30/2019	13267	Operating	Barbara Lamb	\$200.00	\$200.00	June Board fees
6/30/2019	13268	Operating	Carl S. Mills	\$350.00	\$350.00	June board fees
6/30/2019	13269	Operating	Charles Ryerson	\$50.00	\$50.00	June board fees
6/30/2019	13270	Operating	Eric Hand	\$50.00	\$50.00	June Board fees

Payment date	Check number	Bank name	Payee name	Amount	Allowed	Description
6/30/2019	13271	Operating	Jane B. Merrill	\$150.00	\$150.00	Board fees
6/30/2019	13272	Operating	Jeffrey Kimbell	\$200.00	\$200.00	June Board fees
6/30/2019	13273	Operating	Marilyn Anderson	\$350.00	\$350.00	June board fees
6/30/2019	13274	Operating	Michael A. McDonald	\$100.00	\$100.00	June board fees
6/30/2019	13275	Operating	Steve Pittman	\$200.00	\$200.00	June Board Fees
6/30/2019	13276	Reserve for Replaceme	ACE Technologies, LLC	\$36,800.00	\$36,800.00	CIP-Plant PLC Upgrades R4R
6/30/2019	13277	Interceptor	MS Consultants, Inc	\$6,375.00	\$6,375.00	CIP-Proj 1802 Haver Way Interceptor
6/30/2019	13278	Interceptor	Simplifile	\$190.00	\$190.00	CIP-Proj 1901 Easement Interceptor
6/30/2019	13280	Plant Expansion	Simplifile	\$340.00	\$340.00	CIP-Proj 1906 Plant Expansion
6/30/2019	13281	Operating	Simplifile	\$4,110.00	\$4,110.00	Filing fees
6/30/2019	13282	Operating	A Sign By Design	\$372.50	\$372.50	Front door sign
6/30/2019	13283	Operating	ACE Technologies, LLC	\$7,578.67	\$7,578.67	Plant support
6/30/2019	13283	Operating	ACE Technologies, LLC	\$735.00	\$735.00	Collections support
6/30/2019	13283	Operating	ACE Technologies, LLC	\$4,983.75	\$4,983.75	Plant support
6/30/2019	13283	Operating	ACE Technologies, LLC	\$1,418.00	\$1,418.00	Collections support
6/30/2019	13284	Operating	Altman, Poindexter & Wyatt, LLC	\$139.50	\$139.50	Legal fees - Duke
6/30/2019	13284	Operating	Altman, Poindexter & Wyatt, LLC	\$287.50	\$287.50	Legal fees - Deutsche Bank
6/30/2019	13284	Operating	Altman, Poindexter & Wyatt, LLC	\$1,425.00	\$1,425.00	Legal fees - Artest
6/30/2019	13284	Operating	Altman, Poindexter & Wyatt, LLC	\$1,540.00	\$1,540.00	Legal fees
6/30/2019	13285	Operating	B&W Plumbing and Heating	\$405.00	\$405.00	Plant R&M
6/30/2019	13286	Operating	Bio Chem, Inc.	\$3,770.24	\$3,770.24	Chemicals
6/30/2019	13287	Operating	Brehob Corporation	\$734.19	\$734.19	Plant R&M
6/30/2019	13288	Operating	C & J Well Co	\$4,443.95	\$4,443.95	Plant R&M
6/30/2019	13289	Operating	Carmel Utilities	\$105,063.83	\$105,063.83	June flow to Carmel
6/30/2019	13289	Operating	Carmel Utilities	\$1,036.50	\$1,036.50	June reads
6/30/2019	13290	Operating	CHEMSEARCHFE	\$1,227.55	\$1,227.55	Plant R & M
6/30/2019	13291	Operating	Commercial Sewer Cleaning Co.	\$460.00	\$460.00	Plant R&M
6/30/2019	13292	Operating	Community Occupational Health	\$47.00	\$47.00	Drug Screen
6/30/2019	13293	Operating	Connect Electric Inc	\$470.00	\$470.00	Service call & repair 1106th & Ditch
6/30/2019	13294	Operating	Cummins Sales and Service	\$1,883.33	\$1,883.33	LS14 Generator repair
6/30/2019	13295	Operating	DLZ Indiana, LLC	\$225.00	\$225.00	Const Insp-Goodman Campbell
6/30/2019	13296	Operating	Eco Infrastructure Solutions, Inc.	\$1,270.48	\$1,270.48	Install lateral launch in CCTV truck
6/30/2019	13297	Operating	Element Materials Technology Da	\$331.00	\$331.00	Sewer sampling
6/30/2019	13298	Operating	Environmental Systems Research	\$8,100.00	\$8,100.00	ARC Gis software maintenance 9/19-9/20
6/30/2019	13299	Operating	Fastenal Company	\$528.80	\$528.80	Safety
6/30/2019	13299	Operating	Fastenal Company	\$846.72	\$846.72	Plant R&M
6/30/2019	13299	Operating	Fastenal Company	\$985.67	\$985.67	Plant R&M
6/30/2019	13299	Operating	Fastenal Company	\$168.52	\$168.52	Plant R&M
6/30/2019	13299	Operating	Fastenal Company	\$98.38	\$98.38	Plant R & M
6/30/2019	13300	Operating	Ferguson Enterprises Inc #1480	\$24.01	\$24.01	Plant R&M
6/30/2019	13300	Operating	Ferguson Enterprises Inc #1480	\$31.95	\$31.95	Plant R & M
6/30/2019	13301	Operating	Garage Doors of Indianapolis	\$252.50	\$252.50	Plant R&M
6/30/2019	13302	Operating	Graybar Electric Company	\$92.34	\$92.34	LS R&M
6/30/2019	13303	Operating	Horner Industrial Services, Inc.	\$207.47	\$207.47	LS 17 R&M
6/30/2019	13304	Operating	HRD Advisors Group	\$3,095.00	\$3,095.00	Productive Conflict Workshop
6/30/2019	13305	Operating	Hutch & Son, Inc	\$918.73	\$918.73	LS R&M
6/30/2019	13306	Operating	IT Indianapolis	\$550.00	\$550.00	June charges
6/30/2019	13307	Operating	Kirby Risk Corporation	\$388.75	\$388.75	LS R&M
6/30/2019	13308	Operating	Kokosing Industrial Inc	\$15,071.61	\$15,071.61	CIP-Digester #2 Aeration System
6/30/2019	13309	Operating	Nalco Water Pretreatment Solutio	\$313.22	\$313.22	Sewer sampling
6/30/2019	13310	Operating	Nature Turf Services	\$350.00	\$350.00	Lawn Service
6/30/2019	13311	Operating	Office Depot	\$11.49	\$11.49	Office supplies
6/30/2019	13311	Operating	Office Depot	\$45.14	\$45.14	Binders
6/30/2019	13312	Operating	Office360	\$147.16	\$147.16	Office supplies
6/30/2019	13313	Operating	Pings Tree Service	\$215.00	\$215.00	Tree work
6/30/2019	13314	Operating	Praxair Distribution, Inc.	\$30.05	\$30.05	Operating supplies
6/30/2019	13315	Operating	Quench USA, Inc.	\$1.98	\$1.98	Water cooler rental
6/30/2019	13315	Operating	Quench USA, Inc.	\$99.00	\$99.00	Water cooler rental
6/30/2019	13315	Operating	Quench USA, Inc.	\$99.00	\$99.00	Water cooler rental
6/30/2019	13315	Operating	Quench USA, Inc.	\$99.00	\$99.00	Water cooler rental
6/30/2019	13316	Operating	Republic Services #761	\$472.67	\$472.67	Trash service
6/30/2019	13317	Operating	Shrewsbury & Associates, LLC	\$412.50	\$412.50	Const Ins- Aria Apartments
6/30/2019	13318	Operating	Signius Communications	\$86.23	\$86.23	Office services

Payment date	Check number	Bank name	Payee name	Amount	Allowed	Description
6/30/2019	13319	Operating	Structured Solutions, LLC	\$1,685.00	\$1,685.00	Manhole cleanout
6/30/2019	13320	Operating	TNTechnical LLC	\$4,230.00	\$4,230.00	Calibration
6/30/2019	13321	Operating	Utility Supply Company	\$58.23	\$58.23	Plant R & M
6/30/2019	13321	Operating	Utility Supply Company	\$636.04	\$636.04	Lift station R & M
6/30/2019	13321	Operating	Utility Supply Company	\$166.08	\$166.08	Lift station R & M
6/30/2019	13321	Operating	Utility Supply Company	\$705.00	\$705.00	Manhole cleanout
6/30/2019	13321	Operating	Utility Supply Company	\$1,692.00	\$1,692.00	Manhole cleanout
6/30/2019	13322	Operating	Vasey Commercial Heating & AC	\$254.00	\$254.00	Plant R & M
7/2/2019	13323	Operating	IT Indianapolis	\$698.00	\$698.00	Office 365
7/2/2019	13323	Operating	IT Indianapolis	\$1,586.86	\$1,586.86	Monthly billing - July
7/2/2019	13323	Operating	IT Indianapolis	\$4,531.10	\$4,531.10	Server management plan
7/2/2019	13323	Operating	IT Indianapolis	\$874.18	\$874.18	Batteries & Network cards
7/2/2019	13324	Operating	Quench USA, Inc.	\$101.97	\$101.97	Water cooler rental
7/2/2019	13325	Operating	Rook Security LLC	\$2,503.00	\$2,503.00	MDR Service - July
7/3/2019	13326	Operating	ACE Technologies, LLC	\$6,910.15	\$6,910.15	Plant/LS Support
7/3/2019	13327	Operating	Allison Payment Systems	\$8,630.75	\$8,630.75	Postage & mailing
7/3/2019	13328	Operating	Black Tie Courier	\$260.00	\$260.00	Mail courier service
7/3/2019	13329	Operating	Carmel Utilities	\$40.27	\$40.27	Stormwater fees
7/3/2019	13330	Operating	IUPPS	\$2,638.15	\$2,638.15	Monthly locates
7/3/2019	13331	Operating	Landmark	\$101.25	\$101.25	Gardening service-plant
7/3/2019	13332	Operating	Taylor Oil Company Inc	\$1,228.74	\$1,228.74	Fuel
7/3/2019	13333	Operating	Vasey Commercial Heating & AC	\$921.00	\$921.00	Maintenance contract
6/13/2019	20190271	Operating	ADP	\$59,231.18	\$59,231.18	Payroll PPE 05/30/19
6/4/2019	20190272	Operating	Empower Retirement (Hoosier S	\$7,856.48	\$7,856.48	401a, 457b, Roth
6/17/2019	20190273	Operating	ADP	\$55,642.27	\$55,642.27	PPE 6/14/19
6/17/2019	20190274	Operating	Empower Retirement (Hoosier S	\$7,350.19	\$7,350.19	401a, 457b, Roth
6/17/2019	20190275	Operating	Principal Life Insurance Compan	\$178.60	\$178.60	Fica match-Odom
6/14/2019	20190276	Operating	ADP	\$133.28	\$133.28	Workforce Now Payroll Solutions Bundle
6/24/2019	20190277	Operating	IPL	\$5,210.70	\$5,210.70	LS 2
6/24/2019	20190278	Operating	AT&T Mobility	\$1,304.96	\$1,304.96	LS cell phones
6/24/2019	20190279	Operating	Vectren Energy Delivery	\$46.65	\$46.65	LS 2
6/24/2019	20190280	Operating	Vectren Energy Delivery	\$18.32	\$18.32	LS 10
6/21/2019	20190281	Operating	Vectren Energy Delivery	\$151.74	\$151.74	Plant
6/25/2019	20190282	Operating	Travelers	\$1,024.00	\$1,024.00	Auto policy payment
6/21/2019	20190283	Operating	Wex Bank	\$154.96	\$154.96	Fuel
6/25/2019	20190284	Operating	AT&T Mobility	\$1,340.60	\$1,340.60	Cell phone
6/28/2019	20190285	Operating	ADP	\$252.67	\$252.67	Payroll & time and attendance
6/30/2019	20190286	Operating	Duke Energy	\$3,074.16	\$3,074.16	LS 1
6/30/2019	20190287	Operating	Duke Energy	\$295.57	\$295.57	LS 11
6/30/2019	20190288	Operating	Duke Energy	\$54.12	\$54.12	LS 6
6/30/2019	20190289	Operating	Duke Energy	\$1,223.31	\$1,223.31	LS 17
6/30/2019	20190290	Operating	Duke Energy	\$600.82	\$600.82	LS 26
6/30/2019	20190291	Operating	Duke Energy	\$225.95	\$225.95	LS 19
6/30/2019	20190292	Operating	Duke Energy	\$434.35	\$434.35	LS 23
6/30/2019	20190293	Operating	Duke Energy	\$20,631.50	\$20,631.50	Plant
6/30/2019	20190294	Operating	Duke Energy	\$1,060.20	\$1,060.20	LS 14
6/30/2019	20190295	Operating	Duke Energy	\$280.49	\$280.49	LS 16
6/30/2019	20190296	Operating	Duke Energy	\$282.42	\$282.42	LS 21
6/30/2019	20190297	Operating	Duke Energy	\$155.49	\$155.49	LS 5
6/30/2019	20190298	Operating	Wex Bank	\$235.38	\$235.38	Fuel-June
6/25/2019	20190299	Operating	Anthem Blue Cross Blue Shield	\$31,981.63	\$31,981.63	Insurance - July 2019
7/1/2019	20190300	Operating	Principal Life Insurance Compan	\$3,331.27	\$3,331.27	July insurance
7/1/19	20190301	Operating	Citizens Energy Group	\$110.76		

\$501,808.78 \$501,808.78

ALLOWANCE OF CLAIMS

We have examined the claims listed on the foregoing Register of Claims, consisting of 3 pages, and except for claims not allowed as shown on the register, such claims are hereby allowed in the total amount of

\$501,808.78

Selected Statistics 2019	January	February	March	April	May	June	2019 Monthly Average	2019 YTD	2018 Total Through June
Maintenance Information									
Lateral Inspections	17	23	43	40	37	43	34	203	221
Certified I&I Inspections	26	21	54	53	52	72	46	278	321
Failed I&I Inspections	0	0	2	0	0	7	2	9	4
Sewer Locates	284	363	498	538	647	450	463	2,780	3,393
Manholes Added	1	3	0	0	6	0	2	10	50
Total # of Manholes	5,849	5,852	5,852	5,852	5,858	5,858	NA	5,852	5,822
Manholes Inspected	66	704	700	368	46	34	320	1,918	1,787
Feet of Sewer Added	21,687	497	0	2,196	1,277	0	4,276	25,657	16,980
Total Footage of Sewers	1,652,834	1,653,331	1,653,331	1,655,527	1,656,804	1,656,804	NA	1,655,527	1,647,406
Feet of Sewer Televised	4,862	13,441	30,592	25,559	20,123	12,760	17,890	107,337	144,775
Feet of Sewer Cleaned	440	0	0	0	0	0	73	440	6,114
Overflows	0	0	0	0	1	0	0	1	1
Station 1 to Carmel Utilities									
Rainfall/Precipitation (inches)	2.4	3.84	4.00	4.96	5.53	7.01	4.6	27.7	16.90
Total Flow (gallons)	61,408,530	68,878,012	66,012,786	76,532,259	68,859,498	69,004,316	68,449,234	410,695,401	344,668,539
Maximum Daily Flow (gallons)	3,197,275	2,979,329	3,563,156	3,857,564	3,422,487	4,142,014	NA	4,142,014	3,929,994
Average Daily Flow (gallons)	1,980,920	2,173,951	2,129,445	2,551,075	2,221,274	2,300,144	2,226,135	NA	11,446,853
Minimum Daily Flow (gallons)	1,150,531	1,173,951	1,556,890	1,885,976	1,902,004	1,569,690	NA	1,150,531	1,248,989
Michigan Road WWTP									
Total Flow (gallons)	86,922,000	83,180,000	81,694,000	91,138,000	85,733,000	89,754,000	86,403,500	518,421,000	464,353,000
Maximum Daily Flow (gallons)	5,134,000	6,199,000	3,298,000	4,300,000	3,089,000	4,705,000	NA	6,199,000	7,867,000
Average Daily Flow (gallons)	2,803,935	2,970,714	2,635,290	3,037,933	2,765,581	2,991,800	2,867,542	NA	15,397,047
Minimum Daily Flow (gallons)	2,404,000	2,430,000	2,343,000	2,415,000	2,517,000	2,426,000	NA	2,343,000	1,637,000
Total Flow to Both Plants	148,330,530	152,058,012	147,706,786	167,670,259	154,592,498	158,758,316	154,852,734	929,116,401	809,021,539
Biosolids Handling (gallons)									
Wasted (Biosolids)	1,667,480	2,107,310	2,301,830	2,225,420	1,729,930	1,589,000	1,936,828	11,620,970	6,964,250
Dewatered	735,000	480,000	460,000	832,000	769,000	750,000	671,000	4,026,000	1,956,000
Digested Sludge Withdrawn	787,000	715,400	853,800	83,170	811,600	780,800	671,962	4,031,770	5,097,600
Customer Information							Total Billed Accts	15,582	
New Sewer Service Accounts	24	26	18	36	39	33	29	176	164
Permits Issued	24	31	31	40	35	36	33	197	255



BUDGET & FINANCE COMMITTEE

Friday, June 28, 2019 at 7:30 a.m.
Memorandum

Members Present: Michael McDonald and Carl Mills. Others in Attendance: Legal Counsel Anne Poindexter, Utility Director Andrew Williams, Controller Cindy Sheeks, Engineering Manager Wes Merkle, Plant Superintendent Scot Watkins, Lab Coordinator Bob Roudebush, and Administrative Assistant Maggie Crediford.

Committee Chair Jane Merrill was absent.

PUBLIC COMMENT

There was no one present from the public.

SCHAFFER POWDER COATING FINE

Mr. Williams stated Schaffer Powder Coating is the only industrial user in TriCo's service area. IDEM required specific language in the Sewer Use Ordinance that states a minimum fine for discharge violations. Mr. Watkins stated the fine for the first occurrence can be no less than \$1,000, but no more than \$2,500. The fine for a second occurrence can be no more than \$7,500. In this case, Schaffer exceeded the levels of Zinc in their discharge. Since there is a range for the fine, the Board must decide on the amount.

Mr. Watkins stated Schaffer Powder Coating has been cooperative and is taking steps to mitigate the issue.

Mr. McDonald asked if this is a situation where it is cheaper for the customer to pay the fine than fix the problem. Mr. Watkins said the fines are assessed per day per occurrence and can add up quickly.

Mr. Roudebush said levels can be batch oriented and depend on what is being powder coated. Schaffer brought in a mass spectrometer to test their levels in hopes of mitigating the issues.

Mr. Williams asked Mr. Watkins and Mr. Roudebush to explain to the committee how zinc levels impact the plant. Mr. Watkins stated even with the elevated levels from Schaffer, the plant is still under 25%. Zinc ends up in the biosolids and if the zinc levels become too high the biosolids cannot be land applied and would need to be disposed of in a landfill, which would incur additional disposal costs. Mr. Roudebush stated the issue is that IDEM requires action when zinc levels are elevated.

Schaffer requested a 45-60-day extension to adequately investigate the situation before fines are assessed. Specifically, the requested extension would allow Schaffer to perform the following (but not limited to):

- Opportunity to obtain retains or additional information on the two (2) elevated sample results from Element Labs
- Opportunity to further evaluate all incoming waters from the City of Carmel
- Opportunity to split future samples with TriCo
- Opportunity to physically audit the Element Labs location in Fort Wayne, IN
- Opportunity to obtain and evaluate the Quality Manual of Element Labs
- Opportunity to obtain and evaluate the SOPs of Element Labs associated with Inductivity Coupled Plasma Emissions Spectroscopy 2007-6010 (13)
- Opportunity to evaluate sample/analytical results collected on June 26, 2019
- Opportunity to obtain and review TriCo sampling methodology
- Opportunity for SPC to conduct more in-house testing of the wastewater process
- Opportunity to make more general observations, conduct further investigations, and clearly identify the problem

Mrs. Poindexter suggested granting an extension contingent on results being sent to TriCo of the physical audit within 48 hours of obtaining the information.

Mr. McDonald made a motion to grant the extension requested contingent on Schafer Powder Coating, Inc. providing TriCo a copy of the results of the physical audit within 48 hours of receipt of the information. Mr. Mills seconded the motion. The motion was approved unanimously.

FINANCIAL STATEMENTS

Ms. Sheeks stated the Utility is below projections for the year in commercial revenue, but those numbers should be coming back up. The Utility is above projections for the year in operating income. Cash balances are coming up. Ms. Sheeks is considering moving money so the Utility can optimize earned interest.

Mr. McDonald questioned the amount of money paid to Rook Securities for the month. Ms. Sheeks indicated it was a timing issue and two bills came in at the same time.

Mr. Mills said the Federal Reserve interest rates are projected to decrease. He suggested Ms. Sheeks investigate CD ladders if there is money available. Mr. Mills mentioned 18-month money market rates are good at this time as well.

Mr. McDonald asked about flows during the recent wet weather. Mr. Williams described collection system performance and an issue that arose at the plant. Mr. Merkle stated the splitter structure that divides flow sent between the clarifiers at the TriCo plant was not functioning properly and overloading one of the clarifiers. Mr. Merkle questioned the splitter's ability to handle the flow once it is doubled to reach the rated capacity of the plant. The issue will be addressed during the plant expansion project.

OFFICE IMPROVEMENTS UPDATE

Mr. Merkle continued working with our broker to negotiate lease terms with Pennwood. They are offering a 7-year lease with two 5-year options to extend. The lease terms came in a little higher than expected. Pennwood is asking TriCo to pay for part of the tenant improvements. TriCo's broker feels that is unnecessary and could be negotiated.

Mr. Mills said the Office Improvement Committee met earlier in the week. The Committee recommends uniting all staff at the plant instead of leasing. The next step is to choose an architect to design and bid the office unification project. That Committee asked the C&C Committee to choose an architect, either Blackline or CSO, to move forward so quotes can be presented to the Board for consideration.

Mr. McDonald asked if relocating the office staff is out of concern for not having enough space in the current location. Mr. Williams explained he wants all employees at one location and to separate TriCo from the City of Carmel in the event consolidation between Carmel and Clay Township moves forward. The City of Carmel has expressed interest in the space currently occupied by the TriCo administrative staff. Mr. Callahan, the Clay Township Trustee, has offered to purchase TriCo's interest in the building. An appraisal came in at \$980,000 for the current space. TriCo will have an appraisal done as well and the two appraisals will be averaged to reach a sale price for the space.

Mr. Mills told Mr. McDonald interest rates are favorable over the next six months. He believes TriCo should consider financing the administrative office relocation and the plant expansion project at the same time.

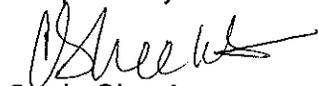
Mr. Williams explained the Office Improvement Committee had asked for a more detailed breakdown of the administrative office relocation. However, the project would consist of a building addition, a remodel of the existing office, and a conversion of garage bays. It would be very difficult to separate out costs as the construction would be intermingled.

OTHER BUSINESS

Mr. Merkle said property owners and developers north of 146th Street in Zionsville have shown interest in developing roughly 175 acres. Serving this area requires extension of the Little Eagle Creek Interceptor, which is estimated to cost \$1.5 million. A developer indicated they would be willing to pay more Interceptor Fees upfront to cover approximately 30 percent of TriCo's cost. Mr. Merkle and Mr. Hartman suggested 50 percent of the costs be paid upfront. The Board will need to consider a Sewer Service Agreement for the area, with money upfront from the developers to put toward extending sewers to that area and help pay for any condemnation proceedings that may need to occur.

The meeting adjourned at 8:45 a.m.

Respectfully submitted



Cindy Sheeks
Controller



June 27, 2019

Scot Watkins
Trico Regional Sewer Utility
10701 North College Avenue, Suite A
Indianapolis, IN 46280

RE: Elevated Wastewater Discharge Sampling Results

Background

On May 31, 2019, Schafer Powder Coating (SPC) was informed that two (2) samples collected by the Trico Regional Sewer Utility (TRSU) yielded results above the City of Carmel Sewer Use Ordinance limit of 2.5^{mg/L} for Zinc. Specifically, a follow-up sample collected by TRSU on April 25, 2019, yielded a result of 10.2^{mg/L} and a sample on May 10, 2019, yielded a result of 5.5^{mg/L}. SPC has never received such elevated sample results in the 12-year history of the facility. Thus, upon notification of the sample results, SPC immediately launched an investigation to determine the root cause of the conveyed exceedances.

In October of 2018, SPC contractually retained Environmental Management Solutions, Inc. (EMS) to manage all components of the facilities Environmental, Health and Safety (EHS) programs. Additionally, SPC contractually retained EMS to provide a State of Indiana, Licensed Wastewater Treatment Operator to oversee the wastewater program. SPC has taken a very proactive approach and obviously considers EHS matters to be a top priority. SPC spends hundreds of thousands of dollars a year to ensure the EHS program is in constant compliance.

Response Steps

On June 1, 2019, as a matter of routine practice, SPC confirmed there were no changes to chemical usage, preventative maintenance, production schedules, production process or regulatory driven sampling and testing. SPC increased daily "in-house" testing/monitoring of all wastewater process baths, the wastewater discharge and incoming city waters. Since June 1, 2019, nearly 100 additional samples have been collected and analyzed using the current *US EPA Zinc Method 8009* on a Hach DR 2800-Mass Spectrometer. None of the nearly 100 additional samples collected from different locations within the wastewater process yielded a result higher than 1.12^{mg/L}, most results were below 0.50^{mg/L}. SPC also sampled/analyzed the in-coming city water approximately 20 times and on four (4) occasions results were over 0.50^{mg/L}.

On June 6, 2019, SPC invited TRSU to conduct a “side-by-side” sampling event. Each party conducted an independent sampling event using individual sampling equipment, the same sampling methodology and samples collected were submitted to separate labs. The “side-by-side” sampling event yielded much different results, TRSU sampling yielded a result of 1.83^{mg/L} and SPC’s yielded a result of 0.12^{mg/L}. SPC proactively engaged Microbac (a certified and accredited 3rd party lab) to sample and analyze the wastewater discharge two (2) additional times for Zinc, yielding results of 0.38^{mg/L} on May 31, 2019 and 0.26^{mg/L} on June 18, 2019. To further investigate, SPC engaged Microbac to perform a third (3rd) sampling event on June 26, 2019 and “split” the sample with TRSU (analytical results are pending). SPC notified TRSU of each of the aforementioned sampling events providing the opportunity to conduct follow-up “side-by-sides” or to obtain “split samples”.

In summary, as a response to the elevated sample results conveyed by TRSU, SPC performed the following tasks (but not limited to):

- Conveyed “open-door” policy to TRSU concerning site visits and sampling events
- Numerous meetings/conference calls with the TRSU Staff
- Verification of preventative maintenance, production schedules and chemical usage
- Evaluated past production schedules for possible product related trends
- Increased daily in-house sampling events with the use of a Mass Spectrometer
- Conducted five (5) additional third (3rd) party sampling events at a total expense of \$1,200.00
- Evaluated Quality Control/Quality Analysis procedures of the SPC lab (Microbac)
- Evaluated the Standard Operating Procedures of the SPC lab (Microbac)
- Numerous conference calls with the TRSU lab (Element Labs)
- Requested “retains” of the two (2) elevated samples from Element Labs
- Requested Element Labs to reanalyze the June 6, 2019 sample collected by TRSU using the ICP Method 200.7 and the ICP-MS Method 200.8
- “Split” the June 26, 2019 24-hour composite sample collected by Microbac with TRSU

Additionally, SPC gathered/compiled ALL wastewater sampling analytical results from the past three (3) years specific to the current Industrial Wastewater Pretreatment Permit (INP000267). Please find the information summarized in the table and graph provided as **Attachment A**. Furthermore, please find tables and graphs summarizing the additional “in-house testing” conducted by SPC during June-2019 as **Attachment B**.

Preliminary Conclusions

At this time, concrete conclusions cannot be established. There are several items that could potentially be impacting or causing the elevated sample results. Possible impacts could include (but not limited to):

- Improper sampling methodology
- Cross contamination of sampling equipment
- Improper use/application of sample preservatives

- Improper shipping/handling and Chain of Custody controls
- Possible lab errors, dilution/prep factors
- Possible improper SOPs of Element Labs
- Possible improper QA/QC controls by Element Labs
- Possible improper training of Element Lab employees
- Elevated Zinc levels concerning in-coming city water

Request for Extension

Due to the brief timeline associated with this issue (25 days), SPC is requesting an extension in order to adequately investigate the situation. Thus, allowing for educated dialog/discussions and decisions by all involved parties. Specifically, the requested extension would allow SPC to perform the following (but not limited to):

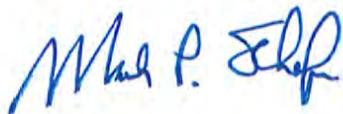
- Opportunity to obtain retains or additional information on the two (2) elevated sample results from Element Labs
- Opportunity to further evaluate all in-coming waters from the City of Carmel
- Opportunity to split future samples with TRSU
- Opportunity to physically audit the Element Labs location in Fort Wayne, IN
- Opportunity to obtain and evaluate the Quality Manual of Element Labs
- Opportunity to obtain and evaluate the SOPs of Element Labs associated with Inductivity Coupled Plasma Emissions Spectroscopy 2007-6010 (13)
- Opportunity to evaluate sample/analytical results collected on June 26, 2019
- Opportunity to obtain and review TRSU sampling methodology
- Opportunity for SPC to conduct more in-house testing of the wastewater process
- Opportunity to make more general observations, conduct further investigations and clearly identify the problem

Closing

During SPC's twelve (12) year history, Astbury Labs, Microbac Labs, nor "in-house" testing have yielded such elevated Zinc results (10.2mg/L or 5.5mg/L). SPC and EMS have done everything possible to duplicate the elevated results by increasing production schedules, scaling back preventative maintenance and etc., with zero success. The elevated sample results simply appear to be skewed or inaccurate. Since neither of the two (2) elevated sample results caused a process upset of any economic value for the City Publicly Owned Treatment Works Plant, SPC feels it would be in the best interest of both parties to consider the elevated test results as inaccurate. SPC and TRSU could continue to "split" all future samples and address any potential future permit exceedances accordingly. Should ruling out the two (2) elevated sample results not be an option, SPC respectfully requests an extension of 45-60 days in order to perform adequate due diligence.

Sincerely,

Schafer Powder Coating, Inc.



Mark P. Schafer
President

EMS, Inc



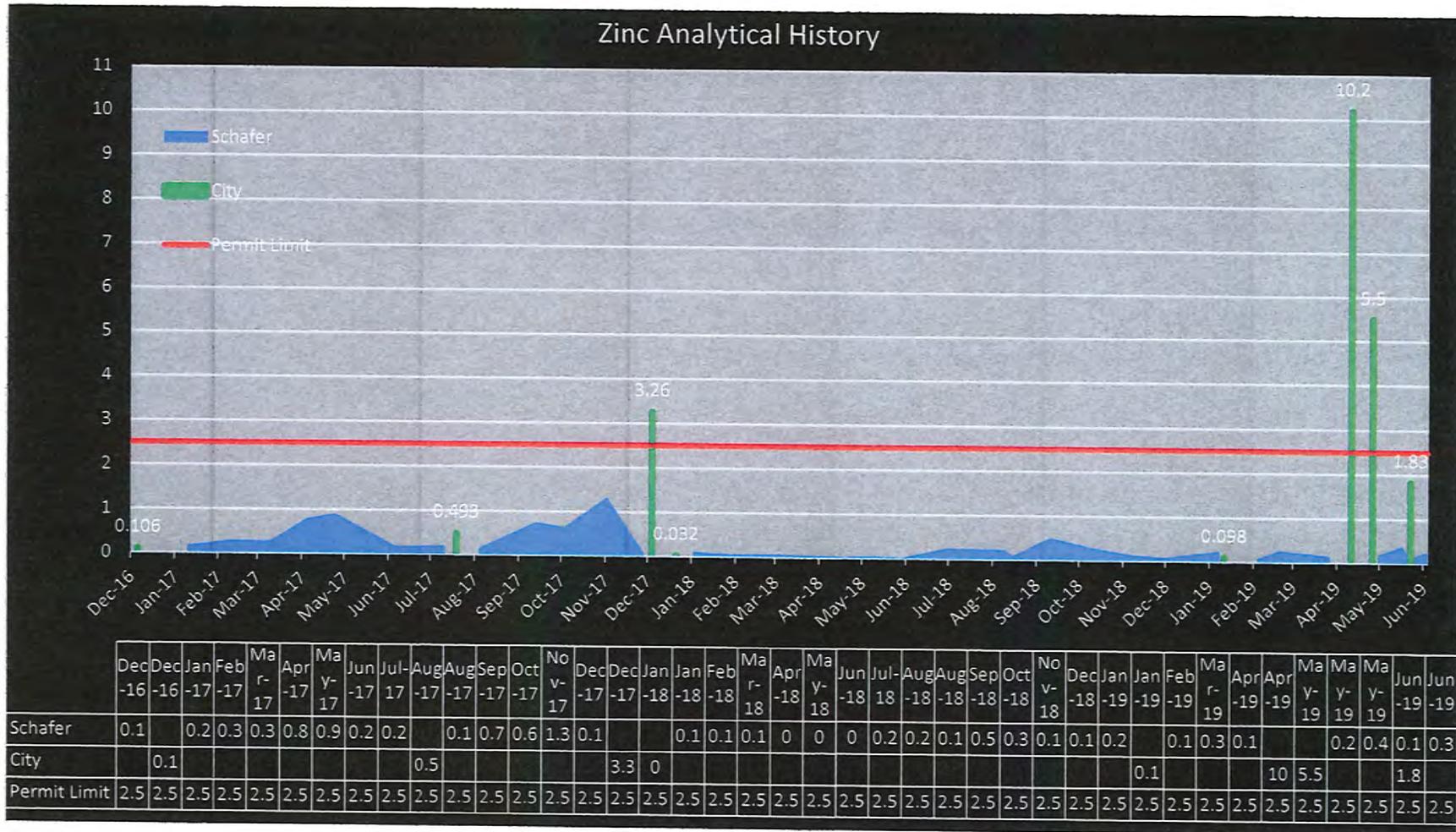
Vincent A. Stennett
President

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Attachment A

Permit Compliance History

Permit Analytical History

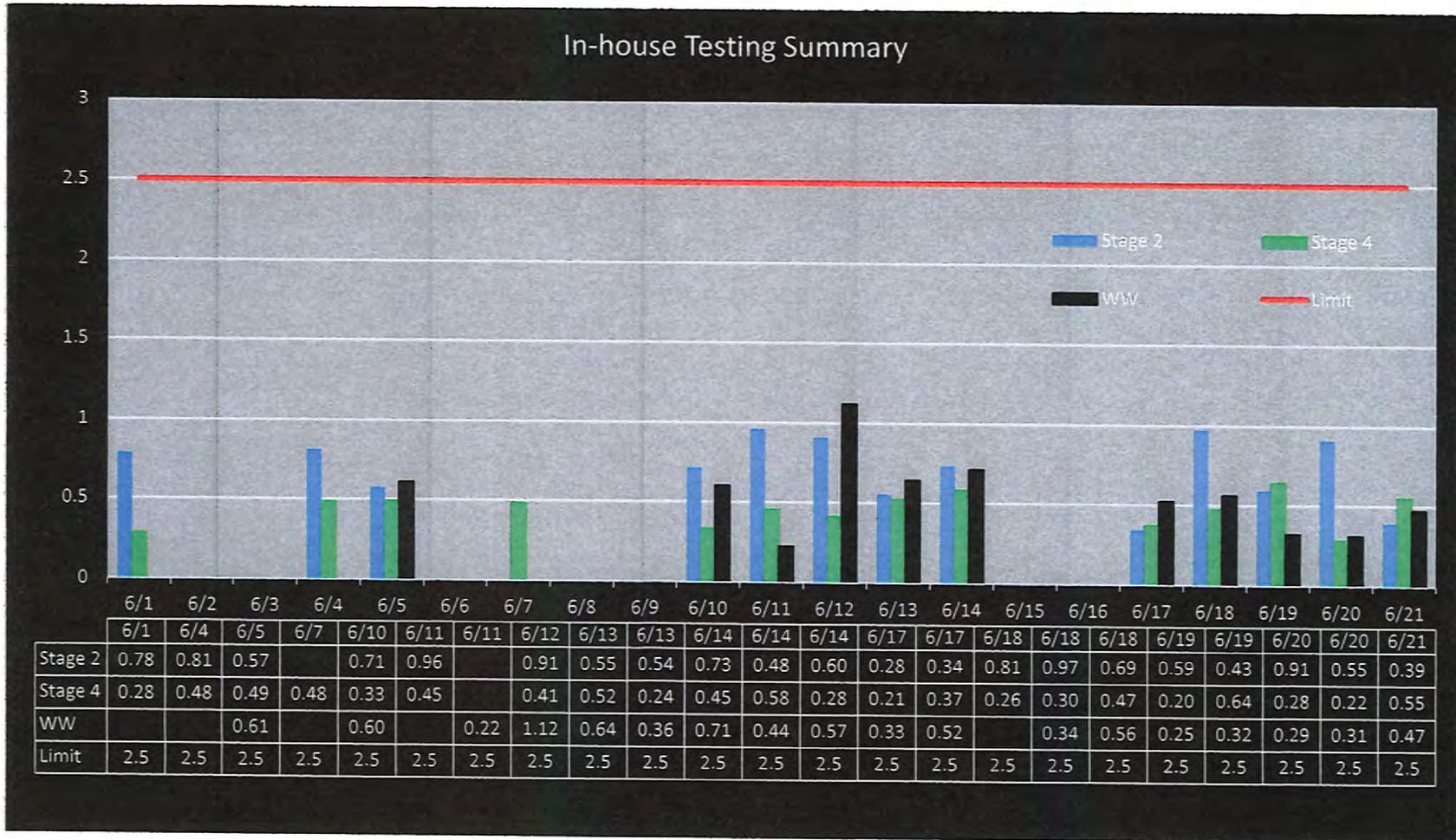


*Please note: there are 51 individual third (3rd) party sampling events summarized above. Sampling/testing by Schafer's third (3rd) party labs (Astbury Labs and Microbac) have NEVER yielded a result over 1.32mg/L during the past three (3) years. However, sampling/testing by TRSU's third (3rd) party lab (Element Labs) has yielded three (3) results over the permit limit of 2.5mg/L (3.26mg/L on 12/18/17, 10.2mg/L on 4/25/19 and 5.5 mg/L on 5/10/19).

Attachment B

SPC June "In-house testing"

SPC June 2019 In-house Testing Summary



*Please note: There were over 100 additional samples taken/analyzed during June, over 60 are summarized above. During "in-house" testing no sample analyzed yielded a result over 1.12^{mg/L} for Zinc. On average, all results are below 0.50 ^{mg/L}.



PERSONNEL AND BENEFITS

Wednesday, June 26, 2019 at 7:30 a.m.
Memorandum

Members Present: Committee Chair Barb Lamb, Members Chuck Ryerson and Jeff Kimbell. Others in Attendance: Utility Director Andrew Williams and Administrative Assistant Maggie Crediford.

Ms. Lamb called the meeting to order at 7:35 a.m.

Public Comment

There was no one present from the public.

Safety Update

Mr. Williams stated employees have been completing online safety training courses. The Utility has gone 3,411 days without a lost time incident. TriCo should receive the IWEA Safety Excellence award for the 12th year in a row at the annual conference.

Employee Handbook

Ms. Lamb stated all updates suggested at the last meeting had been made, including the policy regarding personal relationships involving an employee and management. She noted the absentee policy was updated to reduce the allowable number of unexcused absences by three occurrences in each category.

Mr. Williams relayed changes in the policy regarding personal relationships between an employee and management was acceptable to TriCo's labor attorney. The reduction in the number of unscheduled absences was suggested by the managers. Six unscheduled absences before a verbal warning was issued was excessive.

Ms. Lamb pointed out two items still in need of updating. On page 5, the word "inappropriate" needs to be removed and updated to, "Examples of Prohibited Conduct." Ms. Lamb asked that "prohibited conduct" not be capitalized in the description below the heading. On page 54, under the heading, "Medical Leave of Absence," she asked for the word "continuous" to be removed after the number 12 as it is repetitive in the sentence.

Mr. Kimball asked Mr. Williams to provide the Board with a comparison Word document showing the changes from the original document to the updated version.

The Committee will recommend the Board of Trustees approve the updated Employee Handbook at the July 8, 2019 meeting.

Other Business

Mr. Williams said there will be a meeting at noon to discuss the office relocation proposal. CarmelTech Office Park is no longer an option. The owners have not been responding to TriCo's leasing agent. The two options being discussed at the meeting will be leasing office space at Pennwood or adding office space and relocating to the plant. The Clay Township Trustee had his appraisal updated for the Government Center and the value has increased since the last time an acquisition was discussed. TriCo will have an appraisal done for comparison.

The meeting adjourned at 8:05 a.m.

Next scheduled meeting is Wednesday, July 24, 2019 at 7:30 A.M.

Respectfully submitted,

A handwritten signature in cursive script that reads "Andrew Williams".

Andrew Williams
Utility Director



MEMORANDUM

To: Board of Trustees
From: Andrew Williams
Date: July 5, 2019
Subject: Handbook Revisions

TriCo hired the law firm of Ogletree Deakins to handle labor related matters. Attorney Katherine Erdel was assigned as our main contact. Ms. Erdel was asked to review the Employee Handbook to ensure we comply with current employment law. Ms. Erdel made some recommended changes related to ordinances passed by Zionsville and Carmel. Management had requested changes relating to attendance and the B&P Committee made several wording revisions. Below is a list of the substantive changes.

Page 4: Revisions to the equal employment opportunity section to add categories.
Page 4: Rewording of the section on Reasonable Accommodation
Page 5: Rewording of the section Examples of Prohibited Conduct
Page 7: Rewording of the section title for the Anti-Retaliation Policy
Page 8: Changed the responsibility for reporting personal relationships at work to the supervisor and added the consequences should such a relationship exist.
Page 9: Revisions to the non-discriminatory service policy to add categories.
Page 27: Changed Time Clock Policy to Time Keeping Policy
Page 34: Changed the disciplinary action schedule under the Absenteeism/Tardiness section.
Page 51: Under long-term and short-term disability, deleted an unnecessary sentence. This is addressed in the policy.
Page 54: Removed a redundant word.
Page 66: Removed "Confidentiality Agreement" from the acknowledgment page.

Recommended Action: Approve the Revised Employee Handbook



TriCo Regional Sewer Utility

www.TriCo.eco Phone (317) 844-9200 Fax (317) 844-9203

EMPLOYEE HANDBOOK

Pending Approval by the Board of Trustees

Date , 2019

This handbook supersedes all prior policies, procedures and practices – verbal or written.

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NOTICE

Nothing in this Handbook does or is intended to create an express or implied contract of employment or to guarantee employment for any term or to promise that any specific procedures must be followed by TriCo. There is no contract of employment between TriCo and any of its employees unless the employee has an employment contract that has been signed by TriCo's Board of Trustees.

While TriCo hopes that each employee's relationship with TriCo will be a satisfactory one, an employee may resign from employment with TriCo at any time for any reason, with or without notice. TriCo may similarly terminate an employee's employment at-will.

**See the employee bulletin board for contact information for the
Chair of the Board's Personnel and Benefits Committee**

TriCo Regional Sewer Utility

EMPLOYEE HANDBOOK

I. INTRODUCTION

A. Introduction to TriCo Regional Sewer Utility (“TriCo” or the “Utility”)

TriCo, formerly Clay Township Regional Waste District, was created in 1975 as a non-profit municipal corporation, a political entity organized and existing under the environmental laws of the State of Indiana. TriCo is governed by State statutes and by a 9-person appointed Board of Trustees. Day-to-day operations are managed by the Utility Director, who is appointed by the Board.

The Utility has operations in two different locations. The administrative offices are located in the John Hensel Government Center in Carmel, Indiana. The water resource recovery facility is located in Zionsville, Indiana.

B. Purpose of the Handbook

The purpose of TriCo’s handbook is to (1) answer many of the questions employees have; (2) provide information TriCo believes employees should know about their employment, including TriCo’s expectations for employee performance and behavior; and (3) inform employees of some of the rules, procedures and policies related to their employment.

The matters discussed in this handbook are of great importance, but are not, and are not intended to be, a complete list of all of TriCo’s policies and procedures. TriCo reserves the right to modify its policies and procedures periodically. Every employee is expected to comply with each of the procedures and policies discussed in this handbook, as well as any others adopted by TriCo in the course of exercising its right to manage its

business. Questions about TriCo's policies and procedures should be directed to the Utility Director. Violation of any of TriCo's policies or procedures may result in discipline up to and including termination.

C. TriCo's Purpose, Vision, Mission, Core Values, And Guiding Principles

Purpose: To provide effective and efficient sanitary service to TriCo's customer base in an environmentally sensitive manner.

Vision: To become a model regional utility.

Mission: To provide high quality, cost-effective sanitary sewer service to TriCo's community. This Mission is accomplished by:

- Providing equipment and facilities that are safe, environmentally sound, and up-to-date.
- Maintaining a professional workforce that performs job responsibilities professionally.
- Continuously evaluating and improving structures, systems and following industry best practices.
- Diligently collaborating and cooperating with community planners, utilities, developers and the public.

Core Values:

- Integrity
- Responsibility
- Community focus
- Environmental stewardship

Guiding Principles:

- To act with integrity at all times.
- To act with responsibility in all fiscal matters.
- To protect the environment in all instances.
- To provide a balance of service and accountability to all stakeholders.
- To act in an equitable and reasonable manner at all times and with all Stakeholders.

D. Code of Ethics

Public Image. All business is to be conducted in a manner that creates and maintains an excellent opinion of TriCo and its employees. Employees must conduct themselves in a manner to avoid any public perception of criminal activity or conflict of interest, either real and/or perceived.

Avoiding Problems. Employees are to avoid situations that would jeopardize their reputation and possibly their TriCo career. An employee is subject to disciplinary actions and/or prosecution for engaging in unlawful acts while both on-duty and off-duty.

Gifts/Courtesies. TriCo personnel may accept certificates, mementos and similar awards of recognition for their contributions and achievements in government, civic, professional and comparable activities. An employee may also accept minimal courtesies extended in the spirit of hospitality such as meals or holiday/special recognition gifts that can be shared with staff. When any type of gratuity (such as attendance at special events) is offered, the offer must be reported to the Utility Director before it is accepted so that the Director can determine whether the gratuity may be accepted and/or who will be permitted to participate. If in doubt about the propriety of accepting any gratuity, including meals and shared gifts, talk to the Utility Director. An employee shall not solicit a gift, gratuity, or benefit of any kind from any individual or entity conducting business with TriCo. Keep in mind that this policy

is intended to avoid even the appearance of impropriety.

Disclosure Of Interest. Any employee having a financial interest or investments in an entity having dealings with TriCo must disclose in writing such interest to the TriCo's Utility Director promptly upon becoming aware of such entity's dealings with TriCo. An employee must avoid any conflict of interest. Failure to do so may result in termination.

Politics/Campaigning. An employee may not use his or her position and/or working hours to assist in any political campaign. An employee may volunteer his or her personal time to assist in political campaigns. However, an employee must avoid any behavior that suggests that TriCo supports any particular candidate or issue.

E. Equal Employment Opportunity/Anti-Harassment Policy

Equal Employment Opportunity

TriCo's Policy

TriCo, as required by law, makes equal employment opportunities available to all persons without regard of their race, sex, age, color, religion, national origin, ~~ancestry,~~ disability, ~~citizenship status, military status, genetic disposition, sexual orientation, gender identity,~~ or any other protected status ~~category protected under federal, state, or local law.~~

This policy applies to applicants and employees and to all aspects of employment including hiring, promotion, demotion, treatment during employment, rates of pay or other forms of compensation, and termination of employment.

Reasonable Accommodation

TriCo complies with the Americans with Disabilities Act ("ADA") and provides equal employment opportunities to qualified individuals with disabilities. TriCo will engage in an interactive process to provide reasonable accommodation(s) to qualified individuals with disabilities so long as doing so does not cause an undue hardship. If ~~you need the employee~~

needs accommodation to enable you~~the~~ employee to perform the essential functions of your~~their~~ position, ~~please~~the employee shall provide notice, preferably in writing, that describes, your~~their~~ situation and ~~your~~needs to the Utility Director, ~~who~~. The Director will contact you~~the~~ employee to discuss your~~the~~ request. TriCo may request that you~~the~~ employee provide information from a medical provider to help both parties engage in a meaningful interactive process.

Anti-Harassment

TriCo is committed to providing a workplace free of unlawful harassment or other inappropriate treatment of any employee because of the employee's race, sex, age, color, religion, national origin, disability, citizenship status, military status, genetic disposition, sexual orientation, gender identity, or any other category protected under federal, state, or local law. TriCo therefore prohibits unlawful harassment and inappropriate treatment of others.

To be unlawful, conduct must be so severe and pervasive that it unreasonably interferes with an employee's ability to work. TriCo does not, however, condone or tolerate any other inappropriate conduct based on an race, sex, age, color, religion, national origin, disability, citizenship status, military status, genetic disposition, sexual orientation, gender identity, or any other category protected under federal, state, or local law.

TriCo is committed to protecting employees from unlawful harassment and other inappropriate conduct whether from other employees or non-employees such as visitors, vendors, suppliers, contractors, or members of the public.

Examples of Prohibited ~~Inappropriate~~ Conduct

~~Inappropriate conduct~~Examples of prohibited conduct by TriCo may include, among other things:

- (1) Epithets, slurs, stereotyping, or threatening, intimidating, or hostile acts that relate to race, sex, age, color, religion, national origin, disability, citizenship status, military status, genetic disposition, sexual orientation, gender identity, or any other category protected under federal, state, or local law; and
- (2) Written or graphic material that denigrates or shows hostility or aversion toward an individual or group because of race, sex, age, color, religion, national origin, disability, citizenship status, military status, genetic disposition, sexual orientation, gender identity, or any other category protected under federal, state, or local law.

TriCo is specifically committed to providing a workplace free of unlawful harassment or other inappropriate conduct of a sexual nature. Such conduct may include a range of subtle and not so subtle behaviors and may involve individuals of the same or different gender. Such conduct also may include, among other things:

- (1) Unsolicited and unwelcome comments or conduct of a sexual nature or that are demeaning to women or men as a group (for example, offensive or vulgar jokes, name-calling, comments about one's body or sex life, stereotyping based on a person's sex, touching, leering, ogling, patting, pinching, indecent exposure, physical gestures, or displaying sexually explicit photographs or objects that interfere with a reasonable person's work);
- (2) Unsolicited and unwelcome demands or requests for sexual favors or social or sexual encounters;
- (3) An explicit or implicit promise of preferential treatment with regard to a person's employment in exchange for sexual favors or sexual activity; and
- (4) The use of an employee's or applicant's submission to or rejection of sexual conduct

as the basis for making, influencing, or affecting an employment decision that has an impact upon the terms and conditions of the individual's employment (for example, hiring, firing, promotion, demotion, compensation, benefits, or working conditions).

Failure to comply with this policy may result in discipline, up to and including immediate termination.

Internal Reporting Procedure

TriCo expects and requires all employees to comply with the anti-harassment policy and to report suspected violations of the policy as soon as possible. An employee who believes that any employee is being subjected to behavior that is not consistent with these policies by either a non-employee or another employee must immediately report the matter to the Utility Director. Additionally, any employee who believes an employee or non-employee's behavior violates this policy should promptly report the offending conduct to the Utility Director. Supervisors are required to immediately report any potential violations of the anti-harassment policy to the Utility Director. If for any reason an employee or supervisor does not feel comfortable reporting the matter to the Utility Director, or if the concern relates to the behavior of the Utility Director, the employee or supervisor may contact the Chair of the Personnel and Benefits Committee, who will also inform the Board President.

Failure to report potential violations of the Anti-Harassment policy will result in appropriate discipline, up to and including termination.

TriCo's Commitment When Reports Are Made – Anti-Retaliation Policy

TriCo does not retaliate against employees who make reports of potential violations of TriCo's anti-harassment policy. No action will be taken against any employee merely

because the employee reports behavior believed to violate this Policy. TriCo will promptly investigate and take appropriate remedial action(s) to address complaints. TriCo is committed to maintaining an environment free of discrimination, harassment, and inappropriate conduct.

Violations of this anti-retaliation policy will not be tolerated and will result in appropriate disciplinary action, up to and including termination.

F. Personal Relationships at Work

TriCo does not employ individuals related by blood, adoption, or marriage (including step- relationships) in any capacity where (1) one relative is supervised by or within the chain of command of another or (2) one relative indirectly reports to the other or one relative has effective input into decisions concerning the terms and conditions of the other's employment.

TriCo will not consider applications, transfers, promotions, etc., if the resulting employment situation would violate this policy. All employees must immediately report a familial relationship to the Utility Director so that appropriate steps may be taken, including reassignment of personnel. In many cases, TriCo can readily ascertain whether employees are related (by, for instance, shared last names). However, if you know or suspect that TriCo is unaware of such a relationship, you must report the relationship to the Utility Director so that appropriate steps may be taken.

~~An employee~~ A supervisor involved in a personal/romantic/sexual relationship and/or cohabitation with another employee must promptly report the relationship to the Utility Director. The purpose of this notice is to ensure that TriCo can take appropriate steps to avoid the potential for the personal relationship or cohabitation to adversely affect employees in the event that the relationship is or becomes between (1) a supervisor and

an employee in the supervisor's chain of command or (2) a supervisor and an employee if the employee indirectly reports to the supervisor or the supervisor has effective input into decisions concerning the terms and conditions of the employee's employment (direct or indirect relationship, or an individual serving in a temporary supervisor capacity). The supervisor that is in such a relationship will be demoted or reassigned if a position exists in order to avoid a direct chain of command conflict. Termination will result if no positions exist.

A supervisor's failure to report dating, a personal/romantic/sexual relationship or cohabitation may result in immediate termination.

The Utility Director is responsible for implementation of this policy and determining whether a relationship constitutes a violation. Any questions as to whether a particular relationship violates this policy should be directed to the Utility Director.

G. Non-Discriminatory Service Policy

TriCo is committed to ensuring that all customers are treated with respect regardless of their race, sex, age, color, religion, national origin, ~~ancestry~~, disability, citizenship status, military status, genetic disposition, sexual orientation, gender identity, or any other protected status category protected under federal, state, or local law. An employee must treat all customers equally when providing service.

All customers will receive the same rights, privileges, and services to the extent that such equality is consistent with ensuring that there is no risk or threat to (1) anyone's health or safety or (2) the orderly flow of business or service. Upon request, TriCo will take appropriate steps to provide reasonable accommodation to customers and other third-parties with disabilities so long as doing so does not cause TriCo undue hardship. All facilities are to be accessible to those challenged by physical or mental disabilities, so all

employees must be responsive to requests for assistance or to the observation of any needed assistance. Responses can include physically assisting outside or inside the plant, removing physical barriers, and rearranging items to provide easy access and movement throughout the plant.

H. Drug-Free/Alcohol-Free Workplace

The use and abuse of drugs and alcohol can seriously impair an employee's ability to perform assigned duties safely and efficiently and undermine public confidence in the quality of TriCo's services. Because a drug- or alcohol-impaired employee can pose a significant threat to the safety of the public, co-workers, and him- or herself. TriCo has adopted this policy as part of its ongoing efforts to maintain a drug- and alcohol-free workplace.

An employee is expected to report to work ready and capable to perform his or her duties, free of alcohol and illegal drugs. Employees may not sell, distribute, dispense, possess, be under the influence of, or use an illegal drugs or alcohol on TriCo's premises or during working time, nor may employees conspire in any such activities. Likewise, an employee may not distribute, or misuse any prescription or nonprescription medications on TriCo's premises or elsewhere during work time. An employee should be aware that distributing controlled substances, including prescription medications, to co-workers not only violates TriCo's policy but may also be a crime.

TriCo expects its employees to support this policy for the sake of the safety, health, productivity, and welfare of all. Employees must cooperate in TriCo's efforts to enforce this policy and to investigate any suspected violation.

Alcoholic Beverages.

An employee who is on-call is to abstain from consuming alcohol for four hours

before and during the scheduled on-call period. Failure to do so is a violation of this policy and may result in discipline up to and including discharge.

An employee who may be subject to emergency call-ins must decline a call to report to work if he or she has consumed alcohol within four hours of being contacted or believes he or she is impaired. Declining to report because of alcohol consumption on an occasional basis will not reflect negatively on the employee or the employee's employment record.

Prescription Drugs.

An employee using a prescription drug that may impair mental or motor functions so as to affect the employee's ability to safely perform his or her duties must report the use of that prescription drug to his or her supervisor or the Utility Director before reporting to work after its use. For the safety of all employees, TriCo may place persons using such prescription medications in a less hazardous job assignment, provided such assignment is available, or place them on temporary medical leave until released as fit for duty by the prescribing physician. TriCo reserves the right to have a physician it selects determine if a medication produces hazardous effects that are not consistent with the safety, health, and other business needs of TriCo.

Pre-Employment Testing.

Each individual who is offered employment must take and pass a drug test as a condition of employment.

Reasonable Cause Testing.

When there is reasonable cause to believe that an employee has used a controlled substance in violation of this policy or that may otherwise interfere with the employee's ability to perform his or her job, the employee will be required to submit to a drug test. Testing may also be required when there is reasonable cause to believe that the employee

has used or is under the influence of alcohol during working hours.

“Reasonable cause” testing may be based upon such things as:

- (1) Specific observations concerning the appearance, behavior, speech, or body odors of the employee, including observation of drug use, drug possession, or possession of drug paraphernalia, physical signs or symptoms of being under the influence of a drug or alcohol, and signs and symptoms of chronic and/or withdrawal effects of drugs;
- (2) A pattern of abnormal or erratic behavior as evidenced by the employee’s work time actions, appearance, or conduct; or
- (3) Arrest or conviction for a drug and/or alcohol-related offense. An employee must notify the Utility Director in writing within three (3) calendar days of any such arrest or conviction, or immediately upon reporting to work following such arrest or conviction, whichever is earlier.

If practical, two supervisors will witness the employee’s conduct. If that is not practical, one supervisor’s observations are sufficient. Reasonable cause can be based on a third-party observer’s report if the report is independently corroborated or if the employee frequently works in an unsupervised environment.

An employee who is required to submit to a reasonable cause drug or alcohol screen will be suspended until TriCo receives the results of the test. If the test result is negative, the employee will be paid for regularly scheduled hours missed because of the suspension.

In any reasonable cause situation, TriCo will ensure that the employee is transported to an appropriate facility and then transported back to the work site, where an individual identified by the employee will be contacted to transport the employee home. If the employee refuses to agree to any of these procedures and attempts to operate his or her

own vehicle, TriCo will make appropriate efforts to discourage the employee from doing so, up to and including contacting law enforcement officials. Any employee failing to cooperate with any of the procedures described above will be subject to termination.

Post-Accident and Random Testing.

TriCo will conduct drug and alcohol testing consistent with all federal and state guidelines covering designated positions—for example, those covered by Department of Transportation guidelines.

Positive Drug or Alcohol Test.

An employee testing positive for illegal drugs will be terminated. An employee whose test results show an alcohol concentration of .04% or greater will be terminated. An alcohol concentration of less than .04% but at least .02% will constitute evidence of intoxication and will result in disciplinary action. Refusal to submit to a drug or alcohol test or to execute any requested documentation will be treated as a positive test and result in termination. Similarly, an employee who switches, tampers, or attempts to switch or tamper with any screening test or sample will be terminated.

Voluntary Identification and Rehabilitation/Treatment.

Any employee who voluntarily identifies himself as having a drug- or alcohol-related problem will not be subject to discipline for volunteering that fact. Rather, the employee will be permitted to take unpaid personnel leave of absence to undergo rehabilitation or treatment to overcome dependence on drugs or alcohol or to participate in other treatment programs recommended by a substance abuse professional. This leave will be in accordance with the terms and conditions of TriCo's leave policies. If the employee has successfully completed a rehabilitation/treatment program as verified in writing by the program's administrator, the employee will be allowed to return to work when works is

available for which the individual possesses the skills, qualifications and experience. Return from rehabilitation may also be conditioned upon the employee's compliance with individual responsibilities, which may include follow-up counseling and/or treatment.

Since the key to TriCo rehabilitative efforts is an employee's willingness to admit and seek to remedy the problem, this provision is not available to an employee who requests protection (1) after being asked to submit to testing or (2) after the employee's use of drugs or alcohol becomes a personnel issue based on direct observation or evidence obtained from an arrest or criminal conviction for a drug- or alcohol-related offense.

Furthermore, an employee who volunteers such information and participates in a rehabilitation/treatment program is not relieved of his or her obligation to comply with applicable rules and policies concerning alcohol and drugs and will be subject to disciplinary action, including termination, for his or her violation.

Any costs associated with the voluntary rehabilitation/treatment program will be at the employee's expense unless the cost is wholly or partially covered under TriCo's health insurance program and the employee is eligible for that coverage.

I. Monitoring of Information Assets

TriCo owns and operates computer, electronic and other resources, systems, and networks that may be used by employees in the course of performing their job duties. Accordingly, TriCo has the right at any time, for any purpose, and without providing prior notice, to access, monitor, intercept, inspect, and/or disclose to TriCo-approved third parties:

- (1) The use of any computer, electronic, or other resources connected to the company network,
- (2) All data and information located on or associated with such networks, and

- (3) All other resources, systems, and networks owned and/or operated by TriCo.

This right is subject to applicable laws and applicable TriCo procedures and will be performed by authorized personnel. This may include, but not limited to access:

- (1) During regular maintenance of the system.
- (2) When TriCo has a business need to access the employee's electronic mail or computer files – for example, if the employee is absent from the office and the supervisor has reason to believe that information relevant to the day's business may be located in these files. While electronic systems may accommodate the use of passwords for security, confidentiality is not guaranteed.
- (3) When TriCo receives a legal request to disclose electronic information.
- (4) When TriCo has reason to believe that employees are using its electronic information systems or other technical resources in violation of TriCo's policies.

J. Protection of Information Assets

Passwords that protect access to TriCo information assets must not be shared. Access to information and systems must be traceable to the actual individual. Users are accountable for all actions taken under or using their identification information, such as passwords, pass codes, access codes, and electronic signatures.

Users must:

- (1) Maintain the confidentiality of their individual account access information, such as passwords,
- (2) Respect all restrictions imposed by TriCo on access to TriCo information, and
- (3) Store account access devices securely, such as remote access cards.

When managing or using TriCo information assets, users must not:

- (1) Violate laws, TriCo's policies, or TriCo's values,

- (2) Be fraudulent or deceitful,
- (3) Engage in activities that interfere with job performance, otherwise adversely affect TriCo or its employees or customers, or people, or
- (4) Circumvent security controls, such as passwords and virus protection.

When managing or using TriCo information assets, users must not promote or engage in a personal business venture or in any other activity for personal gain or profit (including, for example, gambling) or the private gain or profit of others.

K. Electronic Communication Systems Policy

E-mail, computer, and voice mail systems are TriCo's property and are intended for business use. Incidental and occasional use of TriCo's electronic communication systems for personal use is permitted only when such use does not generate a direct cost to TriCo including the cost of loss of time during scheduled work hours. Employees have no right of privacy regarding information or files maintained in or on TriCo's property or transmitted or stored through TriCo's electronic information systems or other technical resources.

TriCo prohibits the use of its electronic information systems in ways that are unlawful, disruptive, offensive to others, or harmful to morale. For example, the display or transmission of images, messages, and cartoons that may offend others because of their sex, race, age, national origin, disability, religion, or any other category protected by law is prohibited.

An employee should remember that when he or she is using TriCo's electronic information systems, he or she is creating documents that belong to TriCo. These documents are not private and may be read by other employees and, under some circumstances, by others outside the workplace.

An employee should also be aware that even though a message may be deleted

from the system, a record of it may remain either on the daily backups of all data or in other ways. It is possible to re-create a “deleted” message. Therefore, ultimate privacy of messages is not assured to anyone.

Because TriCo is sensitive to employees’ privacy concerns, it will try – but cannot guarantee – to access electronic information systems in a respectful and responsible manner. The Utility Director is responsible for the implementation and enforcement of this policy.

Computer Viruses/Unauthorized Software.

Employees may not install software on computers used by TriCo without the approval of the Utility Director. Use of streaming media applications introduces security risks that can overwhelm TriCo’s network and systems causing interruption of TriCo’s business. All TriCo employees are prohibited from accessing any streaming media programs, feeds, material, and content unless the subject matter being streamed is directly required for fulfilling job responsibilities. No streaming media sites are to be accessed nor are any streaming media programs or applications to be downloaded, installed, or operated by an employee for entertainment purposes using TriCo-provided computers, phones, servers, systems, or networks.

Because of the rapidly changing nature of the use of electronic communication systems, this policy cannot address every possible situation. Instead, it expresses TriCo’s philosophy and sets forth general principles to be applied to the use of electronic communication systems and other technical resources. This policy may be modified from time to time with appropriate notice.

Violations of this policy may result in disciplinary action up to and including termination. If an employee becomes aware of inappropriate use of TriCo’s information

assets, the employee must notify his or her supervisor or the Utility Director immediately.

L. Social Media Policy

All employees must act professionally and refrain from behavior, both on and off the job, which could adversely impact the organization's reputation and mission. Employees are expected to treat co-workers and customers respectfully at all times, including when posting and transmitting information through social media. Social media includes, but is not limited to, social networking websites (e.g., Facebook, Twitter, etc.), chat rooms, mailing lists, and web logs ("blogs").

The use of social media is prohibited during work hours. Exceptions may be made when management sponsors a website for business reasons or otherwise approves a legitimate business use.

The following restrictions apply to an employee's use of social media:

- (1) An employee must not represent him or herself as an agent representative of TriCo. Social media profiles or communications indicating place of employment must include a disclaimer that the opinions provided do not represent TriCo's views. Content placed on social media regarding the workplace or its officers, management, employees, customers must be free of any impression that the views expressed are anything more than personal opinion. In other words, the content must make clear the views are not those of TriCo or its management.
- (2) An employee must not post disparaging or derogatory comments about TriCo, its officers, management, employees, vendors, or customers, either by name or by implication.
- (3) An employee must at all times respect other employee's' privacy and refrain from posting photographs, opinions, or other information that may portray other

employees, TriCo or business relationships with TriCo in a negative manner.

- (4) An employee must not post information that could identify a co-worker, customer, or other individual with whom TriCo has a business relationship unless the employee has an independent relationship with that individual.
- (5) An employee must not place content on social media that violates TriCo's policies, including but not limited to its Equal Employment Opportunity/Anti-Harassment, Confidential Information, Outside Work, Workplace Violence, and Employee Conduct Policies.
- (6) An employee must not publish confidential information, including, but not limited to all non-public information and data about TriCo and its business. If employees are uncertain whether information is confidential, ask the Utility Director.
- (7) An employee must not use TriCo logos and trademarks.

An employee who learns of social media use that is inconsistent with the requirements of this policy should immediately notify the Utility Director. This policy does not prohibit legally-protected speech and conduct.

M. Issue Resolution Procedure

Employees are encouraged to proactively and professionally address issues that arise in the workplace. An employee who has an unresolved work-related issue should approach resolution through the following procedures:

Equal Employment Opportunity/Anti-Harassment Policy

If you have concerns related to discrimination, inappropriate behavior or comments based on race, sex, age, color, religion, national origin, disability, citizenship status, military status, genetic disposition, sexual orientation, gender identity, or any other category protected under federal, state, or local law, or retaliation, those concerns should be reported

under the procedures specified in the Equal Employment Opportunity/Anti-Harassment Policy.

Disciplinary Action

An employee who has concerns related to disciplinary action should take the following steps: First, the employee should discuss the concern with the supervisor, who, in most cases, will be able to resolve the situation. If this first step does not result in satisfactory resolution, the employee should bring the concern to the attention of the Utility Director, in writing, within 5 business days of the date of the supervisor's decision. The written statement should include (1) the reason the employee disagrees with the disciplinary action and (2) the facts supporting this reason, including names of others who have information related to the relevant facts and circumstances. In other words, the written statement should include the "who," "what," "where," "when," "how" and "how often." The Utility Director will review the matter and, if necessary, meet with involved parties to address the concern. The Utility Director's review of the disciplinary action is final.

Other Issues or Concerns

If a work-related concern does not involve an issue under the Equal Employment Opportunity/Anti-Harassment Policy or disciplinary action, the employee should first discuss the concern with the supervisor, who, in most cases, will be able to address the concern.

If this first step does not result in satisfactory resolution (or the employee is uncomfortable addressing the concerns with the supervisor), the employee should bring the concerns to the attention of the Utility Director in writing. The written comments should include the names of the involved parties, dates of prior meetings or attempts to resolve the matter, and reasons given for lack of attention or resolution. In other words, the written

statement should include the “who,” “what,” “where,” “when,” “how” and “how often.” The Utility Director will review the matter and, if necessary, meet with involved parties to address the concern. The Utility Director’s decision is final.

Concerns about the Utility Director’s Conduct

If any employee believes that the Utility Director has behaved in any way that is unethical or illegal or inconsistent with any specific policy in this Handbook, the employee should report this concern in writing to the Chair of the Personnel and Benefits Committee, who will also inform the Board President. The Chair of the Personnel and Benefits Committee will initiate an investigation of the concerns raised and take appropriate action.

N. Policy for Reporting Compliance Concerns (Whistleblowing)

1. Overview

These procedures are for employees to identify concerns about actual or potential violations of any legal and regulatory requirements regarding financial reporting and disclosure requirements, preparation of financial statements, accounting practices, internal accounting controls, financial audit matters, matters concerning fraud against TriCo, or inappropriate use of its resources. Failure to report a violation of this type may subject an employee to discipline up to and including termination.

2. Submitting a Report

An employee should report concerns through the chain of command. If an employee cannot resolve the concerns through the chain of command, he or she may report them through the following procedure.

- (1) The employee may submit a confidential written report through internal mail, regular mail, email or delivered in person to the President of the Board of Trustees. The envelope should be marked “*Confidential and Private*” and should

include a telephone number at which the employee may be contacted.

(2) All reports should be factual and contain specific information to allow the President to make a proper assessment.

3. Handling Reports

(1) The President, or a designee, will determine whether a reasonable basis exists for beginning an investigation. To assist in making this determination, the President may conduct an informal inquiry. To the extent possible, all reports will be handled confidentially.

(2) The President will report to the Board all reports submitted since the last report, including the determination and results, if any, of any informal investigations.

(3) If the Board determines that a reasonable basis exists for initiating a formal investigation, the Board will appoint a member of the Board to lead an investigation. In conducting the investigation, the Board may retain outside legal or accounting expertise. The President of the Board will oversee all investigations. When appropriate, the employee submitting the report will be informed of the status of the investigation and the outcome.

(4) The Board appointee together with input from management, if requested, will determine any appropriate corrective action. It is the responsibility of the Board appointee to report to the full Board any noncompliance with legal and regulatory requirements and to assure that management takes the corrective action as directed by the Board.

4. Regulatory Reporting

TriCo also respects its employees' legal right to report this type of actual or

suspected unlawful activity directly to government agencies or management. TriCo will not retaliate or discriminate against an employee for reporting in good faith to federal or state authorities or to TriCo or for participating in or assisting in any proceeding or investigation of a report.

O. FLSA Safe Harbor Statement

Deductions from Exempt Employees' Salaries

Exempt employees work as many hours as are necessary to perform their job. For this reason, and subject to the exceptions below, TriCo' does not reduce an exempt employee's predetermined compensation for **any** partial-day absence; any partial-week absence occasioned by TriCo or its operating requirements, including holidays and partial-week shutdowns; or because of variations in the quality of work performed.

Deductions from salary may occur in the following circumstances:

- (1) Full-day absences for personal reasons, other than sickness or disability;
- (2) Full-day absences due to the employee's own sickness or injury (including work-related injuries and medical leave-related absences). Such deductions will be made in accordance with TriCo's paid time off plans and state worker's compensation laws and regulations;
- (3) A penalty imposed for infraction of a safety rule of major significance;
- (4) Full-day absences for unpaid disciplinary suspensions under TriCo's disciplinary action policy for infractions of TriCo's workplace conduct rules; and
- (5) When no work is performed in a work week.

NOTE: TriCo's attendance and disciplinary action policies are applicable to an absence even though the absence may not be one for which a deduction from salary will be taken.

NOTE: TriCo reserves the right to require an employee to utilize paid time off benefits for full-day absences occasioned by personal reason or the employee's own illness or injury.

TriCo encourages any exempt employee who believes his or her salary has been improperly reduced to report the problem immediately to the Utility Director. TriCo is committed to comply, and expects all supervisors to comply, with this policy and not to make improper deductions from salary.

TriCo will reimburse an employee for any improper deduction.

II. GENERAL INFORMATION

A. Employment Classifications

For the purpose of designating eligibility for certain benefits and the payment of overtime, employment classifications fall into one of each of the following categories:

Regular/Temporary. A regular employee is an individual who has been hired to perform work of an ongoing nature for an indefinite period of time. A temporary employee is an individual who has been hired for work of purely temporary nature for an indefinite period of time.

Full-Time/Part-Time. A full-time employee is regularly scheduled to work 37.5 or more hours per week. A part-time employee is any individual who is regularly scheduled to work fewer than 37.5 hours per week. Part-time employees may occasionally be required to work full-time hours because of business needs. These occasions will not alter the employee's part-time status unless management determines that the requirements of the position warrant converting the position to full-time status.

Exempt/Non-Exempt. An exempt employee is one whose duties and responsibilities are of an executive, administrative, or professional character (or other exempt work) as described under the Fair Labor Standards Act (FLSA) and who is paid on a salary basis and is, therefore, exempt from the overtime and certain other provisions of the FLSA. Exempt employees may be required to perform work in excess of the standard 37.5 hour workweek without additional compensation or overtime compensation. A non-exempt (hourly) employee is covered by the provisions of the FLSA, including the provision for payment of all hours worked over 40 in a given work week at a rate of 1.5 times the employee's regular rate of pay.

B. Orientation Period

An employee hired for regular part-time or full-time employment must complete a minimum 90-day orientation period. During the orientation period, an employee may decide that the new job is not suitable, or the employee's supervisor may conclude that the employee is not qualified to perform the job. The 90-day orientation period provides employees a chance to demonstrate their ability, skills, and interest and to determine for themselves whether the position is suitable. TriCo will give the employee feedback on performance and conduct after 30, 60, and 90 days.

If management determines that the employee is not performing according to expectations during or at the end of the initial 90 days, the employment relationship will be terminated at that time unless management concludes that a 30-day extension of the orientation period is appropriate.

Once management determines that an employee has successfully completed the orientation period, the employee will be notified of the change to regular employment status. Successful completion of the orientation period does not alter the at-will nature of the employee's employment with TriCo and does not guarantee that employment will continue for any specified or definite period of time.

Transfer/Reassignment. Any employee who is transferred, voluntarily or involuntarily, to a different position must complete a minimum 90-day orientation period under the same terms and conditions as a new hire.

Wage Increases. TriCo reviews compensation annually and to ensure that the wage range for all positions is appropriate and competitive. Wage increases and other forms of compensation are based upon job performance, compliance with TriCo policies, attendance, punctuality, ability to cooperate with other employees and other relevant

factors. All employees'

questions concerning earnings should be addressed to his/her supervisor.

C. Performance Reviews

Performance reviews are conducted to provide both the employee and supervisor an opportunity to discuss the employee's job responsibilities, identify weaknesses, encourage and recognize strengths, and discuss methods for improving performance. In the course of performance reviews, TriCo aims to provide employees with the opportunity to improve their performance and consistently meet TriCo's expectations. A positive performance review does not guarantee an increase in salary, a promotion, or even continued employment. Compensation increases and the terms and conditions of employment, including job assignments, transfers, promotions, and demotions, are determined by and at TriCo's discretion.

D. Pay Periods and Payday

All employees are paid bi-weekly. If an employee believes there is a paycheck error, the employee should report it to the Controller immediately. TriCo will release a paycheck to the employee only unless the employee submits written authorization for TriCo to release the paycheck to another individual.

E. Time ~~Clock~~Keeping Policy

All employees are required to maintain an accurate record of all time worked through the approved time keeping method for their respective work area.

Clocking In/Out

- If an employee forgets to clock in or out or is unable to due to an offsite activity, the employee must report the time worked on the log posted next to

the time clock. It is the employee's responsibility to report time that is not logged on the time clock in a timely manner, as employees will not be paid for time that is not recorded and reported in this manner.

- No work should be performed while clocked out for lunch. (If the time clock is not available, lunches must be recorded on the Missed Punch Sheet and submitted to the Controller.)
- An employee must clock out or record on the Missed Punch Sheet all non-productive time in excess of 15 minutes.
- Clocking in or out for another employee is strictly forbidden and is grounds for termination.

Reports

- Employees have online access to their time card with their pay stub bi-weekly. Employees must access their time card report online on the Monday before each payroll period to approve their time record. This report must be approved by the employee and the employee's supervisor by 10:00 a.m. on the Monday of the payroll week.

F. Lunch

Each non-exempt employee receives an unpaid lunch period at a time designated by the supervisor. Non-exempt employees

- must take lunch away from their work areas,
- may not work during lunch breaks without their supervisor's approval; and
- must record the time they leave and return from lunch on their time record.

G. Payroll Deductions

TriCo is required by law to withhold from each employee's pay federal, state, and local income taxes, the employee's portion of Social Security/Medicare taxes, and court ordered deductions. Additional deductions must be approved in writing by the employee consistent with federal, state and local law.

H. Hours

Administrative office hours are 7:30 a.m. to 4:00 p.m. and Wastewater Treatment Plant hours are 7:00 a.m. to 3:30 p.m., Monday through Friday, unless otherwise stipulated or approved by the supervisor.

I. Flex Hours Policy

This policy allows employees flexibility in scheduling their work hours within the policy requirements established below. For TriCo to successfully fulfill its purpose, it must maintain adequate staffing levels so that it can meet its operational needs. It will allow flexible hours if the Utility Director and the employee's supervisor determine that operational needs will not be adversely affected. TriCo will determine which positions are eligible for flexible hours.

TriCo's standard hours are 7:30 a.m. to 4:00 p.m. The core hours, i.e., the time all employees must work, are 8:30 a.m. to 3:00 p.m. Flexible schedules must be between the hours of 7:00 a.m. to 4:30 p.m. A minimum of one-half hour lunch must be scheduled. Flexible schedule requests must be approved by the employee's supervisor. Schedules changes do not take effect until approved by the supervisor.

TriCo can cancel or modify this policy at any time. It may make temporary adjustments for special circumstances on an individual basis.

K. Overtime

For purposes of overtime compensation, non-exempt employees who work more than 40 hours during a work week will be paid overtime at a rate of one and one-half times the employee's regular hourly rate of pay. Paid days off such as holidays and paid time off are not considered hours worked for purposes of computing overtime. Supervisors may schedule overtime when it is deemed necessary. An employee may not work over his or her scheduled hours without the prior approval of his or her supervisor. Hours worked on a holiday will be paid at double the regular hourly rate of pay.

Notwithstanding the paragraph above, as an employee benefit, the following time shall always be compensated at the overtime (time and one-half) rate.

- All hours worked on an emergency call-out basis, if: a) the assignment commences outside the employee's regularly scheduled work hours b) there is no prior notification of the assignment; and c) the employee does not have the option of declining the assignment. If the call-out assignment continues into the employee's regularly scheduled work hours, the employee shall revert to his regular rate of pay during the regularly scheduled hours.
- All hours that are an extension of the employee's work day, if the work is unscheduled, of an emergency nature and cannot reasonably be delayed until the next scheduled shift. Emergencies will generally involve threats to public health and safety and/or major equipment failures that impact operational capabilities and are determined at the discretion of the Utility Director.
- Work-related phone calls and other forms of communication, like text messages and email, handled from home or from another off-site location will be considered work time, but will not automatically qualify for the time-and-one-half rate.

L. On-Call Assignment

The “On Call” Program ensures that after hours coverage is provided for emergency situations, including calls from the after-hours answering service, the SCADA system, lift station dialer calls, and others that may arise. The program establishes a schedule for emergency responsibilities through designation of a “Primary On-Call” person. However, because of TriCo’s small staff, all available staff may be called to respond to emergency situations.

The Primary On-Call designee is the first one responsible for answering and investigating after hours emergencies. This person will typically be first on the scene to investigate and assess the situation.

The Primary On-Call responds and investigates as much as possible by phone then follows up to investigate in the field as necessary. In the field, the Primary On-Call person resolves problem if possible or calls the Superintendent for assistance. If the Superintendent is not available, then the Utility Director is called. The Superintendent provides direction for field staff and additional assistance as necessary. In all cases, a work order must be completed by the end of the call out period. The work order is then given to the Superintendent. Any necessary maintenance follow-up should be recommended on the work order and discussed with the Superintendent.

The Superintendent ensures that the on-call schedule is completed and appropriately staffed. The Primary On-Call person must respond to all emergencies. Any On- Call designee’s failure to respond promptly to an emergency call will result in disciplinary action.

TriCo vehicles are available for on-call use. The vehicles are located at the Michigan Road WWTP and at the Administrative office on College Avenue. On-Call responders will

be reimbursed for actual miles driven in their personal vehicle per the vehicle assignment policy. Take home vehicle assignments must be authorized by the Utility Director.

M. Attendance

1. Policy Statement

It is essential for each employee to make every effort to attend work on a daily basis. To encourage positive attendance, the following policy will be enforced for all non-exempt employees. Management expects each employee to be at his or her work station and ready to begin work at the start of each scheduled work day and at the end of lunch periods.

Failure to adhere to this policy will result in disciplinary action.

Exempt employees are allowed some flexibility due to work demands outside of normal business hours. However, excessive absences or tardiness will result in disciplinary action.

2. Excused Absences

Absences due to the following reasons are considered excused and are not used as a basis for discipline:

- (a) Jury duty;
- (b) Time off because of a subpoena or because of a trial/hearing/deposition if the employee is a party to the action and provides appropriate documentation to the Utility Director immediately upon receipt;
- (c) Medical leave;
- (d) Absences due to a work-related injury even if not medical leave-eligible;
- (e) Bereavement or personal leave;
- (f) Military leave;
- (g) Pre-scheduled paid time off;

- (h) Lack of work as determined by management; and
- (i) Extreme weather conditions as determined by management or the inability to travel to work because a road on the employee's normal commute has been closed by law enforcement.

3. Absenteeism/Tardiness

An employee is considered absent when he or she is not present for work as scheduled.

Frequent or patterned absences are subject to disciplinary action up to and including termination. Examples of pattern absences include but are not limited to:

- Absence on scheduled weekends or holidays;
- Absence the day before or after a scheduled holiday or scheduled time off;
- Absence the scheduled workday after a payday;
- Use of PTO as quickly as it accrues, especially if used one day at a time;
- Coincidence of absence with unapproved requested days off;
- Coincidence of absence with days of heavy or light work load; and
- Repeated or pattern absence on a specific day of the week.

Excessive absenteeism is having six or more unscheduled absences in any rolling 12-month period.

An employee must submit his or her PTO requests to his or her supervisor for approval as soon as possible and no later than 10 hours before the start of the scheduled shift so that management may evaluate business needs, resolve any conflicting requests, and authorize requests. Under some emergency circumstances, with the Utility Director's approval and discretion, PTO may be approved without advance notice.

Unscheduled absence is defined as:

- Failure to report to work on a scheduled day without prior approval.
- Leaving work before the shift ends without prior approval.
- Reporting to work more than one (1) hour after the scheduled start time without prior approval.

4. **Disciplinary Action**

- ~~Six~~Three unscheduled absences in a rolling 12-month period will result in a verbal warning.
- ~~Eight~~Five unscheduled absences in a rolling 12-month period will result in a written warning.
- ~~Ten~~Seven unscheduled absences in a rolling 12-month period will result in a one-day suspension without pay.
- ~~Twelve~~Nine unscheduled absences in a rolling 12-month period will result in termination.

Supervisors, after consulting with the Utility Director, may accelerate an employee's discipline from the normal progressive disciplinary steps if attendance patterns warrant.

5. **Proper Notification of Absences Policy**

An employee must report all unscheduled absences no later than 30 minutes prior to the start of the employee's scheduled shift by the employee speaking directly to the employee's supervisor or the Utility Director or leaving a timely voicemail message on their supervisor's cell phone. If the employee's absence continues for a period of days, the employee must call in every day of the absence unless the employee is on an approved leave of absence.

6. **Voluntary Resignation**

An absence of three consecutive days without appropriate notice and/or

documentation, unless due to the excused reasons above, is considered voluntary resignation.

N. Inclement Weather

Under most conditions, TriCo will remain open during its regularly scheduled hours. Each employee is expected to make a reasonable effort to come to work. For personal safety, an employee may decide not to come to work or arrive later than regular starting time. However, to avoid taking unscheduled time off, an employee must notify his or her supervisor at least 30 minutes before his or her regular scheduled start time of the employee's delay and anticipated arrival time. An employee may choose to use PTO for such absences or take time off without pay.

In severe weather conditions, the Utility Director may close the plant or office or adjust normal work schedules. Employees should consult with the supervisor concerning the latest information regarding weather-related changes in working status.

Due to the nature of the wastewater business, the following staff is deemed essential during severe weather:

Ice/Snow

Field Operations Specialist, Field Operations Technician, Superintendent, Utility Director, Chief Operator, and Operator(s)

Rain/Flood

Customer Service Manager, District Engineer, Field Operations Specialist, Field Operations Technician, Superintendent, Chief Operator, Technical Specialist, and Utility Director

Tornado

Customer Service Specialist, Field Operations Specialist, Field Operations Technician, Superintendent, Utility Director, Customer Service Manager, Chief Operator, and

Operators.

O. Changes in Employment Information

To keep personnel records up to date, an employee must promptly inform the Utility Director, in writing (email is acceptable), of any change in any of the following: name, home address, home telephone number, marital status, status affecting an employee's legal right to work in the United States, licenses (to the extent they are required to perform job responsibilities), person to contact in the case of an emergency and that person's contact information, number of dependents, designated physician or health care provider, voluntary payroll deductions, military status, or beneficiary designee.

P. Personal Injury / Property Damage

An employee must immediately report all workplace incidents, including potentially unsafe conditions, actual or potential injury, and/or property damage, to his or her supervisor or member of management using appropriate forms. Where the potential for injury or damage exists, an unsafe working condition form must be submitted. TriCo will investigate all such reports in an effort to prevent conditions and acts determined to be unsafe.

Employees must promptly report any injury or illness incurred while on the job, no matter how slight, to a supervisor so the employee may receive prompt and proper medical attention. The supervisor must promptly report the incident to the Utility Director. Employees may be required to go to a TriCo-chosen physician for initial treatment and any required follow-up examination. If the TriCo-chosen healthcare provider and/or management determine that the employee needs medical attention, the employee must comply with that decision.

When a work-related injury requires being absent from work or incurs medical costs,

the employee must contact the Utility Director for the appropriate forms to be completed and processed for worker's compensation purposes.

Q. Driver Responsibility

1. Guidelines for Use of Personal/TriCo Vehicles

An employee using his or her personal or TriCo vehicles to conduct TriCo business, even occasionally, must have a current driver's license, carry liability insurance, and abide by all traffic laws. TriCo's liability insurance covers only claims against TriCo; it does not cover an employee or the employee's personal vehicle even when used to conduct TriCo business. If an employee is injured as a result of an accident while conducting TriCo business, the employee may be entitled to certain worker's compensation benefits, depending on the circumstances and Indiana law.

2. Traffic Violations

Employees driving on TriCo business are expected to drive safely and follow all traffic-related regulations and postings. An employee is responsible for any traffic citation received while driving on TriCo business.

3. Revoked Or Suspended Driver's License

An employee whose job requires driving, even occasionally, must immediately report to a supervisor any change in driving privileges, such as a driver's license being revoked, suspended, or restricted for any reason. Failure to do so will result in disciplinary action. Supervisors must promptly report any changes to the Utility Director. Following a voluntary report, management may re-assign the employee to a job that does not involve driving. The work may be in a classification and at a pay rate that is different from the employee's regular classification and pay rate. If for whatever reason, management does not re-assign the employee to a job that does not require driving; the employee may be placed on a leave of

absence without pay or may be administratively terminated.

TriCo will typically verify each employee's driving record and the status of the employee's driver's license through the Bureau of Motor Vehicles ("BMV") annually. All employees must obtain or authorize TriCo to obtain a BMV report annually or upon reasonable request at any time.

4. Use of Electronic Devices

Personal electronic devices such as cell phones and pagers have been identified as contributing factors in traffic accidents. Consequently, employees are prohibited from using electronic devices while driving on TriCo business. Except in an emergency, an employee operating a motor vehicle should park in a safe area (i.e. removed from the flow of traffic) before making or receiving telephone calls or otherwise using electronic devices.

Furthermore, employees must be familiar and comply with the laws of the jurisdiction in which they are driving as those may be more restrictive than this policy.

5. Safe Driving

- (1) All occupants must use seat belts in TriCo vehicles or a personal vehicle used for TriCo business. The driver must ensure that all occupants fasten their seat belts prior to operating the vehicle. Any non-functioning seat belt must be repaired and replaced immediately. Failure to comply with this policy will result in disciplinary action up to and including termination.
- (2) Every employee must drive defensively when driving on TriCo business.
- (3) Transportation of flammables and fuel must be in compliance with DOT requirements.

6. Insurability

Employment may be administratively terminated if an employee becomes uninsurable through the TriCo's insurance coverage.

An employee must notify the Utility Director in writing within three calendar days or immediately upon reporting to work, whichever is earliest, of an arrest for all drug/alcohol-related offenses or felony driving offenses or anything adversely affecting insurability of the employee whether the event occurred on or off duty. An employee who is arrested for any of the offenses that result in a loss of liability coverage will be immediately suspended without pay. Pending final disposition of the arrest, the following will occur:

- (a) For the first four weeks following the arrest, the employee's position will be filled temporarily. At the end of the initial four weeks, the position may be filled.
- (b) If within the next eight weeks following the arrest, charges are not filed, it has been determined that charges will not be filed or charges are disposed of other than through a guilty plea or through a conviction, an employee will be considered for return to work after the Utility Director conducts an independent investigation of the facts and circumstances underlying the arrest and determines whether, based on management's assessment and discretion, the employee is eligible to return to work. Return to work will be on the basis of qualifications, prior performance, and its business and personnel needs. If there is no position available, the employee's position may be administratively terminated at that time.
- (c) At the conclusion of twelve weeks, if the charge is still pending, an employee's employment may be administratively terminated.

R. Job Selection Procedure

TriCo tries to transfer and promote from within, when possible, to fill existing

vacancies. Employees can prepare for transfer and advancement by performing well in their current role, mastering new skills, and obtaining additional education and training in fields related to their work or work in which the employee is interested.

Employees should notify his/her supervisor when he/she have completed any educational or training courses so that this information can be included in the employee's personnel record.

S. Personal Telephone Use, Mail, and Visitors

Prompt and efficient telephone service is an important part of TriCo's office operation. Family members and friends should be instructed not to call during working hours. Personal calls should be limited, made only on break, during lunchtime or for exceptional circumstances. (See discussion of cell phones in next section.) Under no circumstances should an employee make or charge a long-distance call unless it is work-related and approved by the supervisor.

Good telephone etiquette is important when dealing with the public. Employees should identify themselves and their department in a pleasant manner. Employees should conduct themselves in a courteous and professional manner at all times.

No employee is allowed to use TriCo stationery, stamps, postage meters, facsimile machines, or other equipment and supplies for personal correspondence. All personal correspondence should be sent to the employee's home.

Personal visits by individuals not employed by TriCo to the work areas are also restricted subject to the supervisor's approval.

T. Personal Equipment/Cell Phones/Electronic Devices

An employee must limit his or her use of personal equipment such as cell phones and tablets during work time unless management has authorized use of those personal devices

for business use. This applies to all functions of the cell phone, or other personal equipment including but not limited to camera functions, web-browsing, games, and audio recording.

The use of personal taping devices, video equipment, or other personal audio or video surveillance is prohibited during working time. This prohibition includes the use of a cell phone for audio, video surveillance, or photography.

To promote open communications, an employee may not record his or her managers or co-workers during meetings, telephone calls, or any other conversations. Management does not secretly record conversations with employees.

U. Personal Appearance

Employees must use good judgment and maintain high standards in personal cleanliness and attire.

Supervisors may establish specific guidelines for appearance and dress. Safety and protective items may also be required in some areas. TriCo reserves the right to determine that particular attire is inappropriate for its business and to instruct employees to change inappropriate attire.

Uniforms furnished to employees are not for use outside TriCo premises; TriCo uniforms are not a substitute for personal attire.

V. Courtesy

Courtesy is important to good customer service and employee relations, creating a pleasant work environment and TriCo's success. All employees are expected to maintain a cooperative demeanor toward customers and co-workers.

W. No Smoking Policy

TriCo prohibits employees from smoking anywhere in its office or plant facilities or in its vehicles at any time and while in view of the public. Smoking is permitted in the following

areas only: outside the building structures at the administrative office and wastewater treatment facility in a location more than 8 feet from any entrance and not in the front of any public building.

In fairness to all employees, individuals who smoke are expected not to permit smoking time to interfere with work time.

An employee violating the policy in non-smoking areas will be subject to disciplinary action. Smokers who wish to quit are encouraged to contact the Utility Director for information on smoking cessation options available to them.

X. Firearms

An employee may not bring a firearm or ammunition onto TriCo property or carry a firearm or ammunition while on work-related business unless (1) the employee legally possesses the firearm and/or ammunition and (2) the firearm or ammunition is stored in the employee's vehicle's locked trunk (if the vehicle has a trunk release in the driver's cabin, the vehicle must also be locked), kept in the glove compartment of the locked vehicle, or stored out of plain sight in the locked vehicle. Carrying firearms or ammunition in TriCo-owned or leased vehicles is prohibited. TriCo requires strict compliance with the policy, and violations of this policy will result in discipline up to and including termination.

Y. No Solicitation or Distribution

TriCo prohibits solicitation for any activity while either the employee(s) doing the soliciting or the employee(s) being solicited is on working time. "Working time" does not include scheduled meal periods. There shall be no distribution of literature (i.e., printed matter of any kind) by employees on working time or in working areas at any time. Occasional emails to employees, sent with the Utility Director's approval, regarding charitable fundraising activities do not violate this policy. An employee must submit in

writing a proposed charitable solicitation to the Utility Director. If the Utility Director approves this request, the email may be transmitted to all employees.

Non-employees are prohibited from soliciting or distributing literature to TriCo employees in any of its facilities.

Z. Bulletin Boards

Bulletin boards are used by TriCo to provide official, work-related information such as announcements, program changes, and new or revised personnel policies. The Utility Director must approve all materials before they are posted. Employees are responsible for checking the bulletin board regularly. Bulletin boards are for TriCo business only.

AA. Confidential Information

All information regarding an employee's medical records or health status will be kept in separate files and shall be treated confidentially by those with access to this information. Unauthorized disclosure of confidential information will subject an employee to immediate discipline or termination and possible criminal and civil penalties. This policy, however, does not prohibit disclosures protected or required by federal law.

BB. Cooperation with Investigations

From time to time when problems such as suspected theft, dishonesty, destruction of property, or alcohol or drug use arise, TriCo may require each employee's full cooperation in an investigation. All employees asked to cooperate in such an investigation are expected to comply. This may include submitting to searches of personal property and TriCo property.

This rule is for the protection of employees and customers.

CC. Searches

TriCo reserves the right to conduct searches to monitor compliance with rules

concerning safety of employees, security of its individual property, drugs and alcohol, and possession of other prohibited items. "Prohibited items" includes illegal drugs, alcoholic beverages, prescription drugs or medications not used or possessed in compliance with a current valid prescription, weapons, any items of an obscene, harassing, demeaning, or violent nature, and any property in the possession or control of an employee who does not have authorization from the owner of such property to possess or control the property. "Control" means knowing where a particular item is, having placed an item where it is currently located, or having any influence over its continued placement. In addition to its premises, TriCo may search an employee's work areas, lockers, personal vehicles if driven to work or parked during work time and other personal items such as bags, purses, briefcases, backpacks, lunch boxes, and other containers. In requesting a search, TriCo is not accusing anyone of theft or any other form of improper conduct.

Employee's should have no general or specific expectation of privacy in the workplace, either in TriCo's facilities or while on duty. In general, an employee should assume that what he or she does while on duty or on TriCo's premises is not private. Any area may be searched at any time, with or without the employee's presence or permission. As a general rule, with the exception of items relating to personal hygiene or health, no employee should bring anything to work or store anything at work that he would not be prepared to disclose and/or possibly turn over to TriCo and/or law enforcement. If any part of the workplace is secured by an employee's lock or other security device, the employee must provide TriCo with a duplicate key or the combination at the time the lock is installed. In TriCo's sole discretion, any employee lock or other security device may be removed or otherwise disabled at any time at the employee's cost and expense.

The search must be authorized by the Utility Director, conducted by the manager

authorized by the Utility Director, and observed by a second manager or supervisor. To the extent that a situation allows, TriCo will explain the reason for the search and permit the employee to observe the search. An employee may be required to empty his or her pockets, but the employee's person may not be searched except by a police officer in the course of police business. No employee will ever be physically forced to submit to a search. However, an employee who refuses to cooperate with a search request will face disciplinary action up to and including termination of employment. An employee who feels that he or she has been the subject of an improper search may file a complaint after the fact with the Chairperson of the P&B Committee.

DD. Outside Work

An employee may not hold any other employment or engage in any personal business, including as an independent contractor, which would create an actual or a potential conflict of interest (or the appearance of a conflict) with employment at TriCo. If outside work would involve services or customers similar to those of TriCo or involve a person or an entity that has a business relationship with TriCo, this could create a conflict of interest. An employee who is considering engaging in outside work and who is uncertain whether the work would create a conflict of interest or involve a person or entity doing business with TriCo, the employee must promptly discuss the situation with the Utility Director. TriCo will ultimately decide whether there is a conflict of interest or the appearance of conflict, and whether an employee will be allowed to remain employed by TriCo while holding the other position.

Even for outside work that is permissible, an employee should consider whether the demands of that work will interfere in any way with his or her employment here. Outside work will not be considered an excuse for poor job performance, absence, tardiness,

leaving early, refusing to travel, or refusing to work overtime or a changed schedule.

EE. Workplace Violence

The safety and security of TriCo employees is of the utmost importance. We will not tolerate threatening, intimidating, malicious, or violent behavior directed toward employees or other individuals by anyone on TriCo property or during work time. TriCo will take decisive and appropriate action in response to inappropriate behavior. This may include, but is not limited to, heightened security, suspension and/or termination of a business relationship, reassignment of job duties, suspension or termination of employment, and/or criminal prosecution of the person(s) involved.

All employees are responsible for immediately notifying their supervisor or the Utility Director of any possible violations of this policy or other threats to workplace security that they have experienced, witnessed, or otherwise become aware. Possible violations include threatening, intimidating, malicious, or violent behavior that is or was job-related. All employees are responsible for reporting this behavior regardless of the relationship between the individual who initiated the inappropriate behavior and the person who was the target of the behavior.

If employees receive or overhear any threatening communications from an employee or outside third party, report it to a supervisor immediately. Employees shall not engage in either physical or verbal confrontation with a potentially violent individual. If employees encounter an individual who is threatening immediate harm to an employee or anyone else in the public, contact an emergency agency (911) immediately. Also, immediately report the concern to the Utility Director.

All reports of work-related threats will be kept confidential to the extent possible, investigated, and documented. Employees are expected to report and participate in an

investigation of any suspected or actual cases of workplace violence.

Violations of this policy, including failure to report or fully cooperate in TriCo's investigation (unless applicable law provides such reporting is not required), may result in disciplinary action up to and including immediate termination.

TriCo expects all employees to maintain a safe and secure work environment and reduce the risk of threatening, intimidating, malicious, or violent behavior that may affect TriCo's employees and those who interact with its employees by complying with the letter and spirit of this policy.

FF. Duty To Report Arrests, Convictions, And Guilty Pleas

Employees are required to notify the Utility Director in writing within the earlier of three (3) calendar days or immediately reporting to work of any arrest, conviction, or entry of a guilty plea for any criminal offense, or immediately upon reporting to work following such arrest, conviction, or plea entry, whichever is earlier. This reporting obligation includes drug- or alcohol-related offenses but does not apply to minor traffic tickets or citations, unless the employee has an independent obligation to report under CDL or insurance-related regulations. Employees must also comply with reporting obligations in this handbook's Workplace Violence Policy. Failure to report under this policy subjects an employee to discipline, up to and including discharge.

GG. Resignation of Employment

If an employee chooses to resign from employment, TriCo requests that the employee give the supervisor a two-week notice and participate in an exit interview.

HH. Outside Reference Requests

All requests for information about current or former employees must be directed to the Utility Director. No one else is to provide information on current or prior

employees. Specifically, supervisors are not to provide letters of reference for any former employee unless approved by the Utility Director.

II. Safety

Every employee is responsible for safety. To achieve TriCo's goal of providing a safe workplace, TriCo has a safety manual with corresponding forms for reference and expects employees to follow all safety practices. Employees are expected to report any unsafe or hazardous condition directly to a supervisor or the Chief Operator, who acts as the Safety Coordinator, immediately.

In case of an accident involving a personal injury, regardless of how serious, the employee is expected to notify the supervisor immediately. Failure to report accidents can result in a violation of legal requirements and can lead to difficulties in processing insurance and benefit claims or result in disciplinary action.

JJ. Revisions to Employee Handbook

Revisions to this handbook will be distributed and/or made available to each employee.

KK Lactation in the Workplace

TriCo will comply with applicable lactation-related laws and provide, to the extent reasonably possible, a private location where an employee can express breast milk.

1. Scheduling

An employee who needs to express breast milk should contact the Utility Director to arrange a time and location to do so. An employee will be allowed reasonable paid breaks (typically, not to exceed 20 minutes) to express breast milk.

2. Storage

An employee may keep expressed breast milk in the designated refrigerator until

the end of the workday. An employee must store the expressed milk in her own containers. Each container must be clearly labeled with the employee's name and the date.

III. BENEFITS AND SERVICES

NOTE: Many of the benefit plans sponsored through TriCo have a plan description booklet or other informational materials. An employee may obtain a copy of this information upon request. When an employee becomes eligible for a benefit plan, the employee will receive a copy of the plan information. The terms of TriCo's benefit plans are described in detail in these materials. In the event the description of benefits in this handbook conflicts with anything stated in a plan document, the latter will govern and supersede this handbook.

A. Statutory Benefits

In accordance with applicable law, the following benefits are provided to all employees:

- 1. Worker's Compensation Insurance**

Worker's compensation insurance provides financial protection in case an employee is injured or becomes ill as a result of his or her employment. This coverage complies with applicable State worker's compensation laws, and TriCo pays the entire cost of this protection.

- 2. Unemployment Compensation**

TriCo pays for unemployment benefits. These benefits are administered to an employee by the State of Indiana per Indiana Code.

- 3. Social Security/Medicare**

Coverage under FICA entitles employees and their family members to certain health and retirement benefits upon retirement or disability. TriCo pays the employer's FICA obligations and the employee pays their required portion.

B. Insurance Programs

TriCo periodically reviews the features of its insurance programs, including

coverages, carriers and employee participation requirements. Any significant changes in insurance plans will be communicated to covered employees prior to the effective date of the changes.

Any questions about insurance programs should be directed to the Utility Director. Copies of summary plan descriptions can be obtained from the Utility Director.

1. Group Health and Dental Insurance

TriCo provides a group health, dental, and vision insurance plan for full-time employees. A full-time employee is eligible to apply for group health insurance after meeting the service requirements specified in the Plan. Employees must pay a portion of the premium as determined annually by the Board.

2. Life Insurance

TriCo provides group life insurance to full-time employee in accordance with the terms of the Plan.

3. Long-Term and Short-Term Disability Insurance

~~After a full-time employee has completed 60 days,~~ TriCo provides long-term and short-term disability coverage. The program provides monthly benefits after periods of disability caused by non-occupational injury or illness. Covered, eligible employees will receive a weekly benefit during the continued disability periods as specified in the plans. TriCo pays the entire premium for these benefits.

C. Paid Time Off (PTO)

Responsibility

Eligible employees may schedule PTO at times mutually agreeable to management. TriCo reserves the right to reschedule any employee's vacation if business needs require.

PTO pay will be based on the employee's current regular hourly rate or salary and

paid on the regular pay schedule.

PTO may be scheduled only in ½-hour increments by non-exempt employees and full-day increments by exempt employees.

Employees must submit their PTO requests to their supervisor for approval as soon as they know but they must be submitted at least 10 hours prior to the start of the scheduled shift so that management may evaluate business needs and authorize PTO with conflicts resolved based on length of service. Under some emergency circumstances, with the Utility Director's approval and at his discretion, PTO may be approved without advance notice.

Eligibility

All regular full-time employees with up to 5 years of continuous service will be awarded a total of 24 days (7.5 hours/day) of PTO per year. In the first year of employment, PTO will accrue at the rate of 2 days per month but may not be used before completion of the first month of employment.

For each year of continuous service after the completion of 5 years, the PTO benefit will increase one day per year, up to a maximum total annual accrual of 29 days. PTO may be used for illness, vacations, and other time needed to attend to personal matters and may be taken in increments as small as ½ hour for non-exempt employees. An employee may not carry over more than 30 days (225 hours) of PTO from one anniversary year to the next. Should the total accumulated PTO exceed 30 days (225 hours) on the employee's anniversary day, TriCo will pay the employee a rate equivalent to 50% of the employee's current rate of pay for the days over 30 and any remaining time/compensation will be forfeited. This payment, which includes a forfeiture of half of the PTO accumulated over 30 days, is an incentive for employees to manage his or her PTO wisely and to reward them for excellent attendance, will be made with the paycheck containing the employee's

anniversary day.

Upon termination of employment, an employee will be paid for all accrued unused PTO.

D. Holidays

The holiday schedule is set annually by the Board of Trustees.

If a recognized holiday falls on a weekend, TriCo may observe either the preceding Friday or the following Monday as a holiday. TriCo will issue a schedule early each calendar year of the recognized holidays to be observed in that year.

An employee required to work on the actual holiday (December 25, for example) will be paid double time. An employee required to work on the observed holiday (December 26, for example) will be paid 1½ times the employee's regular hourly rate of pay. These enhanced hourly rates will be paid even if the employee would not otherwise be entitled to overtime.

E. Tuition Assistance

Support for staff's continuing education is important to TriCo and an incentive for staff members to continually improve their skills. Full-time staff will be eligible for reimbursement of pre-approved educational expenses after one continuous year of employment.

Reimbursement is limited to \$3,000 per fiscal year. An employee must submit an Educational Assistance Request form to the Utility Director.

IV. LEAVES OF ABSENCE

An employee may not engage in other work while on leave (other than work performed for the military while on military leave), nor may he or she take part in non-work-related activities that are inconsistent with his or her qualifying reasons for any type of medical or personal leave. An employee abusing leave may lose his or her entitlement to leave and will also be subject to discipline up to and including termination.

If any type of leave exceeds one full month, the employee will be responsible for his or her full group health insurance premium after one full calendar month's absence.

A. Medical Leave of Absence

If an employee becomes unable to work because of a medical condition due to illness or injury (work-related or non-work-related) for more than five consecutive work days, the employee will be placed on a medical leave of absence. Absences related to illness or injury of five or fewer consecutive work days will be addressed under the Attendance and Paid Time Off policies. Eligible employees are also entitled to disability benefits in accordance with the terms of TriCo's plan(s).

For employees who have been employed continuously for more than 12 ~~continuous~~ weeks and less than one-year, medical leave may be renewed for successive periods up to a maximum of six weeks during the first 12-month period of employment. For employees who have been employed continuously for more than one year, the leave may be renewed for successive periods up to a maximum of 10 weeks during a "rolling" 12-month period.

A "rolling" 12-month period is measured backward for each employee from the date the employee uses a medical leave.

For employees employed fewer than 12~~continuous~~ weeks, medical leave will be granted only in the following circumstances:

- (1) The employee is a qualified individual with a disability and granting a reasonable medical leave would be a reasonable accommodation that would not cause undue hardship.
- (2) The employee will be granted up to 6 weeks of medical leave for maternity purposes.
- (3) The employee will be granted one period of medical leave for an absence of between 6 and 10 consecutive work days.

Any medical leave granted during the first 12 weeks of employment will be treated as part of the medical leave available to employees during his or her first year of employment.

Medical Documentation

Employees must request a medical leave of absence in writing and provide the Utility Director appropriate medical documentation confirming that they are medically unable to work and the anticipated length of the absence. Employees may be (a) asked the status of any medical condition, (b) required to provide medical evidence from their health care provider or from a health care provider of TriCo's choice concerning any medical condition, (c) denied a request for medical leave or a request for renewal if the Director determines from the medical evidence that the employee is able to perform the employee's work, or (d) placed or continued on medical leave if the Director determines from the medical information that the employee is not able to perform the essential functions of the employee's job with or without reasonable accommodation. If an employee is granted a medical leave, the employee must use all available paid time off concurrently with the leave.

Expiration of Leave

An employee must notify the Utility Director at least 5 scheduled working days before

the expiration of a medical leave whether the employee will return to work or whether the employee needs a renewed medical leave. In either case, the employee must provide medical documentation confirming his or her ability to return to work or the basis for the need for a renewed medical leave. Failure to provide this notice may cause a delay in the employee returning to work or result in the administrative termination of his/her employment.

Conclusion of Leave

At the conclusion of a medical leave, an employee will generally be restored to an equivalent position with equivalent benefits, pay, and other terms and conditions of employment. However, the employee may be reassigned or the position may be changed based on business and personnel needs, and, if the employee is a qualified individual with a disability, the availability of any reasonable accommodation that would not cause undue hardship on operations. If the employee returns to work after a medical leave, the employee will resume employment on the same terms and conditions applicable to employees generally without having to satisfy any benefit plan waiting periods applicable to new employees. Upon the employee's release to return to work after more than 6 weeks, if there is no available position for which the employee is qualified and the employee has exhausted all available leave time, employment will be administratively terminated at that time unless an evaluation of the employee's circumstances indicates that the employee is a qualified individual with a disability for whom a reasonable extension would be an accommodation, and TriCo can provide that accommodation without causing an undue hardship on its operation.

Paid time off is not earned after a medical leave of more than four consecutive weeks off.

B. Personal Leave of Absence

At its discretion, TriCo may grant an unpaid personal leave of absence upon an employee's written request to the Utility Director after the employee has used all earned paid time off. A request for a leave of absence must clearly state the reason for the leave and the amount of time requested. Requests will be granted only for urgent and exceptional circumstances, and personal leave cannot be used to extend a medical leave of absence. Personal leaves of absence will be granted in one-week increments and will not typically exceed four weeks during a rolling 12-month period. A "rolling" 12-month period is measured backward for each employee from the date he or she uses personal leave of absence.

At TriCo's discretion, upon written request to the Utility Directory made at least three working days before the expiration of the initial approved personal leave, a personal leave may be extended, but in no event will personal leave of absence be extended beyond eight weeks in a rolling 12-month period.

At the conclusion of a personal leave of absence of up to four weeks, an employee will generally be restored to an equivalent position with equivalent benefits, pay, and other terms and conditions of employment.

At the conclusion of a personal leave of absence of more than four weeks, an employee will be considered for return to work on the basis of the employee's qualifications, prior performance, and TriCo's then current business and personnel needs.

Failure to return to work at the end of a personal leave of absence or the unavailability of a position if an employee has a leave of more than four weeks will result in the administrative termination of employment.

Paid time off is not earned during a personal leave of absence of more than four

weeks.

C. Bereavement Leave

Subject to timely approval, in the event of the death of a spouse or child, an employee will be eligible to receive up to 5 paid days off. In the event of the death of other immediate family members (sister, brother, mother, father (including such step relationships) and any other family member living in same household as employee), an employee will be eligible to receive up to 3 paid days off. Also subject to timely approval, in the event of the death of a non-immediate family member (mother-, father-, sister-, or brother-in-law and grandparents), an employee will be eligible for up to 2 paid days off. These days may only be taken at the time of the death, and an employee will not be entitled to additional compensation if these days are not used. In the event of the death of other family or friends, with timely approval, time off may be given without pay or PTO may be used. Proof of death, such as a copy of an obituary, and verification of the relationship to the deceased may be required.

D. Military Family Leave Policy

In accordance with Indiana's Military Family Leave Act, TriCo provides leave to eligible family members of individuals on active duty in the United States Armed Forces or the Indiana Army or Air National Guard. "Active duty" means full-time service on active duty orders for a period of at least 90 consecutive calendar days.

Eligible employees include the following relatives of the individual on active duty:

- spouse;
- biological, adoptive or step parent;
- court-appointed guardian or custodian;
- biological grandparent;

- sibling (by blood or adoption); or
- child (by blood, adoption or step relationship).

To be eligible for Military Family Leave, an employee

- must have been employed by TriCo for at least 12 months and
- must have worked at least 1,500 hours during the 12-month period immediately preceding the date that the leave is to begin.

1. Leave Entitlement

Eligible employees may take up to 10 days off work per year as Military Family Leave. For these purposes, a year is a “rolling” 12-month period measured backward for each employee from the date the employee uses Military Family Leave. Leave can be taken during:

- the 30 days before active duty orders are in effect;
- during a leave provided to the one on active duty while the active duty orders are in effect; and
- the 30 days after the termination of the active duty orders.

2. Notification Requirements

An employee must provide a written request for Military Family Leave to the Utility Director and provide a copy of active duty orders, if available, before taking leave. This request must be made at least 30 days before the date the requested leave is to begin unless the active duty orders are issued fewer than 30 days prior to the date the requested leave is to begin.

3. Substitution of Paid Leave

Generally, Military Family Leave is unpaid. If, however, an employee also has

accrued paid time off and if the employee's leave request meets the requirements to use that paid time off, the employee will receive paid time off while on Military Family Leave.

4. Continuation of Benefits

TriCo will maintain an employee's coverage under its Health Plan on the same conditions during Military Family Leave as if the employee had been employed continuously during the leave period. An employee who wishes to continue health coverage must continue to pay the employee share of the premiums during the leave period to maintain coverage.

5. Job Restoration/No Retaliation

Upon return from Military Family Leave, an employee will generally be restored to his or her position. No action will be taken against an employee because of the use of Military Family Leave. If, during the leave, a layoff or other event occurs that would have changed or even eliminated the employee's job had leave not been taken, the employee will have no greater rights than if he had been continuously employed during the leave.

E. Military Leave

TriCo will comply with all applicable laws regarding military leaves of absence.

F. Jury or Witness Duty

TriCo recognizes that jury or witness duty is the obligation of all citizens and encourages its employees to fulfill this obligation. If an employee is called for jury duty or subpoenaed as a witness in a court or administrative agency action, the employee will be granted excused time away from work. The employee is expected, however, to return to his or her duties any time he or she is not needed in the courtroom. If an employee is called for jury duty or subpoenaed as a witness, the employee should advise his or her supervisor

and give the supervisor a copy of the summons or subpoena as soon as possible after learning of the requirement to serve.

If a non-exempt employee is called for jury duty, the employee will receive the difference between his or her average straight time hourly rate up to 7.5 hours per day and the payment he or she receives for jury service for time he or she would otherwise have been regularly scheduled to work for up to a maximum of four weeks. The employee must present proof of the amount of jury pay received. Non-exempt employees will not be compensated for time spent as witnesses. If the employee is an exempt employee and is called for jury duty or witness duty, the employee will receive his or her normal salary for partial workweeks in which the employee performs jury service or witness duty, offset by any amount received as jury or witness fees. The employee must present proof of the amount of jury pay received. If an exempt employee misses up to four full workweeks for jury service, that employee will be paid his or her normal salary, less any jury fees received, but additional full weeks of jury service will be without pay.

V. EMPLOYEE CONDUCT

A. Corrective Action/Work Rules

TriCo hopes that every employee's working relationship with TriCo will be mutually satisfactory. However, an employee's employment will continue only so long as the employee is satisfied with TriCo, and TriCo is satisfied with the employee's performance. Just as an employee may resign at any time, TriCo may terminate an employee's employment at any time. TriCo cannot promise continued employment or employment for a specific period of time.

We expect all employees to follow TriCo established policies, procedures, and rules and to act in a professional manner at all times. TriCo also expects employees to perform his or her assigned duties in an efficient, effective, and competent manner. There may be occasions, however, where employees perform at an unsatisfactory level, violate policy, or behave inappropriately. TriCo will try, when it deems appropriate, to provide employees with reasonable opportunities to correct deficiencies.

Nevertheless, TriCo may choose in certain cases to use forms of corrective action that are less severe than termination. Examples of such less severe forms of discipline include oral counseling, written counseling, suspension with or without pay, and probation. Disciplinary suspensions as to salaried exempt employees will be consistent with the requirements of the FLSA. Additionally, employees may be placed on investigatory leave to allow TriCo time to review fully the circumstances related to a potential disciplinary matter. Investigatory leave is typically paid and is not disciplinary and will not be reflected in the employee's performance review or personnel file although the results of the investigation may lead to documentation in the employee's file.

Because circumstances vary in each case involving possible corrective action, each situation will be handled on an individual basis with the severity and frequency of the conduct taken into consideration. Although one or more of the steps described above may be taken in connection with a particular employee, no formal order or system is necessary. Whenever a corrective action is documented, the employee will be asked to acknowledge that the employee has reviewed the documentation and received a copy of the document by signing the original. The employee's signature will not necessarily signify agreement with the contents of the document.

The policies set forth below as well as in prior sections of this Handbook are intended to provide each employee with fair notice of what is expected of the employee. It is not possible, however, to provide an exhaustive list of all types of impermissible conduct and performance, and the following are only examples of behaviors that are unacceptable and, if found to exist, can result in corrective action up to and including immediate termination. An employee should, therefore, be aware that conduct not specifically listed below, but which adversely affects or is otherwise detrimental to the interests of TriCo, other employees, or customers may also result in corrective action, including termination.

- **Attendance** – Engaging in a pattern of absenteeism/tardiness/leaving early/taking unauthorized or extended breaks.
- **Confidential Matters** – Discussing or revealing confidential information with individuals outside or within TriCo who are not authorized to have such information.
- **Criminal Activity** – Being convicted of or pleading guilty to a crime that reflects unfitness for the job or constitutes a threat to the safety or well-being

of TriCo or its employees, customers, or property or failing immediately to report an arrest, conviction, or guilty plea for any criminal conduct. Arrest for such conduct may also result in an unpaid suspension of job duties or termination based on TriCo's independent investigation.

- **Customer, Public, and Co-worker Relations** – Mistreating, abusing, or intimidating customers, visitors, or other employees; improper interactions or communications with a supervisor; mistreating or inappropriate use of property belonging to a customer, co-worker, or the public; or otherwise engaging in conduct that does not support TriCo's goals and objectives.
- **Detrimental Behavior** – Unlawful or improper statements about other employees, TriCo, or its practices that affect TriCo's reputation and goodwill or that of other employees.
- **Dishonesty** – Falsifying, altering, or omitting information on an employment application, time record, or any other TriCo record; giving false information to management personnel or concealing defective or erroneous work, damage, or other matters that may affect TriCo's customers and reputation.
- **Drugs and Alcohol** – Violating TriCo's and/or Department of Transportation's Drug and Alcohol Abuse Policy.
- **Equal Employment Opportunity/Anti-Harassment** – Failing to comply with TriCo's Equal Employment Opportunity/Anti-Harassment Policy.
- **Fighting** – Verbal or physical fighting, baiting, or other behavior that instigates fighting or other conduct that violates Section II. EE.
- **Mishandling TriCo Property** – Mishandling, misusing, stealing or improperly accounting for TriCo money, funds, or property.

- **Insubordination** – Failing to follow or comply with instructions or work orders in a timely manner.
- **Failure to Cooperate** – Failing or refusing to cooperate in an investigation conducted by TriCo (excluding issues arising under the National Labor Relations Act).
- **Poor Performance** – Failing to produce quality and timely work or meet performance expectations.
- **Safety** – Failing to use equipment, materials, and supplies in accordance with TriCo policies and practices; violating safety or health rules or practices or engaging in horseplay or other conduct that creates a safety or health hazard.
- **Unauthorized Use of TriCo Time/Property** – Using TriCo time or property for non-work-related activities such as gambling, soliciting, misusing TriCo electronic communications systems, etc.
- **Failing to Remain Alert** – Failing to remain alert at all times while on duty.
- **Non-Compliance with Laws/Regulations** – Failing to comply with local, state and federal laws and/or regulations or failing to report such non-compliance.
- **Other Policies, Procedures, and Practices** – Failing to comply with other expectations for performance and behavior set forth in this Handbook or by management.

<p>Any questions about the information included in this handbook should be directed to an employee's supervisor or to the Utility Director.</p>
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This handbook is not a contract of employment.

Acknowledgment of Receipt of Employee Handbook

~~and Confidentiality Agreement~~

July 8, 2019 Version

I have received a copy of the TriCo' Employee Handbook dated [_____] and agree to read and keep the handbook for future reference and to direct any questions about the contents of the handbook to the Utility Director. I understand that as a term and condition of my employment I am to comply with and abide by the policies in the handbook. I understand that this handbook is not a contract of employment and does not alter my at-will employment relationship with TriCo. further understand that TriCo may modify, change, delete, or add to, as it deems appropriate, the policies, procedures, benefits, and other general information in this handbook.

Employee Signature

Employee Printed Name

Date



CAPITAL & CONSTRUCTION MEETING

Monday, July 1, 2019 at 4:30 p.m.
Memorandum

Members Present: Committee Chair Steve Pittman, Members Marilyn Anderson and Eric Hand. Others in Attendance: Legal Counsel Anne Poindexter, Utility Director Andrew Williams, Engineering Manager Wes Merkle, Utility Engineer Ryan Hartman, and Administrative Assistant Maggie Crediford.

Mr. Pittman called the meeting to order at 4:32 p.m.

PUBLIC COMMENT

There was no one present from the public.

DEDICATION

Mr. Merkle stated the IU Health North Hospital Parking Expansion sanitary sewers are complete and ready for dedication. Staff recommended acceptance of the dedications. There was no discussion or questions. The committee will recommend acceptance of the IU Health North Hospital Parking Expansion sanitary sewers.

#1909 ADMIN OFFICE IMPROVEMENTS

Mr. Merkle said the Office Improvements Committee (OIC) met on June 26, 2019 to discuss office renovation, leasing a new administrative office, and uniting both offices at the plant. The OIC recommended proceeding unification at the plant.

The OIC decided to ask the B&F Committee to reallocate the \$200,000 budgeted for renovations at the admin office to fund the architecture and engineering design at the plant.

The OIC is asking the C&C Committee to choose an architect for the project. Proposals for architectural and engineering design services were received from Blackline and CSO. Both are local well-respected firms; staff would be comfortable with either choice. Fees from the firms came in very close to each other. Both firms have said they can meet the proposed fall 2019 schedule for design and bidding. Both projects would run simultaneously with plant expansion, allowing staff to incorporate site design work into the plant expansion project design.

Mr. Pittman said he is familiar with both firms and would be comfortable with either firm doing the design.

Ms. Anderson asked if the design Blackline created a few years ago is the plan staff is still considering.

Mr. Hand asked if there would be a schedule advantage by choosing one firm over the other.

Mr. Merkle said CSO is confident they could meet the timeline. Blackline created the original plans, so they have a head start regarding the timeline.

Ms. Anderson asked if employees are satisfied with their proposed workspace. She said she would like input from employees.

Mr. Williams said Blackline met with managers when they created the design and received input at that time. The preliminary design is a good start although changes are likely going forward.

Mr. Merkle indicated that CSO was concerned that the Utility may be challenged to get plan reviews completed in a timely manner in order to meet the deadlines. Mr. Williams recommended that the staff work with the OIC during the design process in order to speed up the response time. Waiting a month to meet with the Board will slow the project down. Ms. Anderson said she would be comfortable with the OIC making final design decisions. She suggested asking the Board if they could delegate final design decisions to that committee. Mr. Pittman and Mr. Hand were also comfortable with the OIC making a final decision regarding design plans.

Mr. Williams asked the Committee to choose one of the two architects for the project.

Mr. Pittman recommended choosing Blackline since they worked on the project in the past and they are a little further along in the design stage. Ms. Anderson and Mr. Hand agreed.

OTHER BUSINESS

Jackson's Grant Sewer Service Agreement Amendment 5

Mr. Merkle presented a handout for the Jackson's Grant Sewer Service Agreement Amendment 5 to the committee. The amendment covers additional costs incurred for Section 6 and the lift station, and reduced costs for Section 2. Less granular backfill was used in the construction of deep sewer for Section 2 resulting in a credit of approximately \$42,000. The Section 6 deep sewers were installed in 2018 getting the interceptor closer to Lift Station 4 and enabling its eliminating earlier this year. The Section 2 sewers extend west towards Clay Center Road. It is a deep sewer and will eventually be extended further north taking two other lift stations offline. Amendment 5 represents final costs for the three components.

Mr. Pittman, Ms. Anderson, and Mr. Hand agreed to recommend approval of the Jackson's Grant Sewer Service Agreement Amendment 5.

I&I/Wet Weather Update

Mr. Merkle said heavy rainfall hit the district over the past few weeks. In a five-day time span the utility experienced 5" or more of rain. The heaviest rainfall in the vicinity of Main Street and Spring Mill Road, which received over 9" of rain. High flows went through Lift Station 26 (Jackson's Grant), which now serves all of the area to the north that was previously served by Lift Station 4, taken offline last year. This area has not shown severe I&I in many years. Staff did inspect sewers in low lying areas and found several likely

sources of I&I that will be corrected shortly. Mr. Pittman asked if the system was able to handle the additional flow. Mr. Merkle said the lift station was maxed out but handled the flow. The lift station is built for four pumps, currently there are only two pumps at that station, and only one of the two force mains is in service.

Ms. Anderson asked if the suspected I&I issues are something staff needs to address. Mr. Merkle said the issues found are easy fixes, including bolting down manholes and other small items.

Mr. Merkle said there were no issues with conveying the flow sent to the Carmel treatment plant other than it being higher than normal. The TriCo WRRF had a suspended solids violation which has occurred in several recent heavy wet weather events. Staff found that one of the clarifiers was overloaded due to a hydraulic loading issue in a splitter structure. Staff is looking at making changes to the splitter structure and incorporating those into the plant expansion project, where modifications are already planned for this structure.

Growth and Plant Expansion Need

Mr. Merkle said he will have updated EDU numbers for the Committee this fall. The Utility has added over 400 EDUs through May of 2019; 500 EDU were projected for the year. The Utility is also ahead in Interceptor Fees collected for the year.

Mr. Merkle said Mr. Mills has suggested looking into rolling the construction of the final two clarifiers planned for 2025 into the plant expansion project. Mr. Mills feels borrowing rates are becoming more favorable and the Utility will be much better off financially to get the work done now. Mr. Merkle will get a proposal from GRW to add more clarifiers to the plant expansion design and to present to the Board.

Mr. Merkle said staff will begin updating the Capital Budget next month in preparation for determining the Utility's financing needs for the plant expansion project.

Developer Request

Mr. Merkle said a request was received from a developer to add a temporary lift station. The potential project is in the northwest corner of the Utility's service area in Zionsville as an alternative to extending the Little Eagle Creek Interceptor. The developer has secured two parcels and is trying to work with neighboring property owners to extend sewers to all the properties. Gravity sewer would need to extend across neighboring properties to service his development; however, not all property owners are cooperating. Other property owners in the area are interested in either selling or developing their properties. The developer is asking for the option to build a lift station and short force main to temporarily get service to his development in case negotiations with the downstream neighbor fall through. In the interim, it would allow development to move forward. As the area downstream develops, TriCo would extend the Little Eagle Creek Interceptor as planned and take the lift station offline.

Ms. Anderson asked if the developer is proposing to pay for the construction of the lift station. Mr. Williams confirmed. Mr. Williams assured the committee that Mr. Merkle will negotiate the contract with the developer to make sure costs are covered. Mr. Williams also stated Staff will be sure that gravity sewers are installed when connecting in the area

so the lift station can be taken offline in the future. The developer will be required to cover maintenance and decommissioning costs of the temporary lift station.

Mr. Hand asked if the temporary lift station will be oversized in anticipation of other developers wanting to hook into the system or will it be built to meet the needs of this one developer. Mr. Merkle said it will be a very small lift station serving all the properties west of the station and connection will be controlled by TriCo.

Mr. Merkle asked the Committee to either recommend or not recommend service to these properties via temporary lift station to the Board of Trustees at the July 8, 2019 meeting. The Committee will recommend the Board direct staff to negotiate an agreement for the installation of a temporary lift station by the developer. The proposed agreement will need to be brought back to the Board for approval.

Crossfields

Mr. Merkle explained that a developer had installed a gravity sewer to service his new house in the Crossfields neighborhood about 20 years ago. It was installed in a haphazard manner and serviced his property along with several others in the neighborhood. The sewers were never dedicated to the Utility and there are no easements. Mr. Merkle said the rest of the neighborhood will be served by low pressure sewers later this year when the neighborhood sewer project is complete.

Since multiple homes are connected to the existing sewer, it poses the issue of who will be financially responsible when something goes wrong with the system. Staff is trying to get the property owners to turn over bills of sale, easement documents, maintenance agreements, and agree to repair several issues recently identified by staff. The homeowners have been resistant, there are a couple thousand dollars of work needing. It will also cost a few thousand dollars to draw up easement paperwork. The homeowners have asked TriCo to pay for the repairs needed in their sewers, the cost to draft the easement documents, or both. Staff asked for guidance from the Committee.

Mr. Hand asked if acquiring the private sewer would be a benefit to the Utility or would it be more trouble than it is worth. Mrs. Poindexter said it would be more trouble if there were a backup since IDEM would be looking at the Utility to correct the matter. She encouraged the Utility to incur the expense of having the easements created to help homeowners with the dedication. The homeowners are not capable of repairs and TriCo is serving them. If a repair is needed, TriCo can make the repair and lien the properties until the costs are covered if they are not being covered in a timely manner. The sewers need to be dedicated and cleaned up.

Mr. Pittman asked how it would work if TriCo payed for the easement descriptions and the repairs and placed liens on the properties for the costs. Mrs. Poindexter asked if the repairs needed to the system can be attributed to individual properties. Mr. Hartman said repairs should be attributed to function of the overall sewer system.

Mr. Williams suggested TriCo have the easement documents drawn up, make the repairs, and do a special assessment for those property owners, billing them an extra \$20 or so per month until the costs are recouped. Mrs. Poindexter agreed and suggested the issue

be reviewed further to determine how much of the costs should be passed onto the property owners. The Committee recommends offering to prepare the easement documents and complete needed sewer repairs, using a monthly surcharge on homeowner's sewer bills to recover costs, to dedicate these sewers to TriCo.

CAPITAL PROJECT UPDATES

96th Street and Keystone Sewer and Force Main Relocation

Mr. Merkle said the last part of the force main relocation project should be completed in the next week or so.

Michigan Road Lift Station 14 Parallel Force Main

The Artest Easement has been secured. The McClain easement has not yet been acquired; Staff is still hoping to avoid condemnation. The Committee is recommended anticipated condemnation cost be taken into consideration on a counter offer to Mr. McClain.

Outfall Sewer Project

Staff is working to secure the DOW property easements. DOW staff verbally committed to granting easements earlier this year however staff turnover and company reorganization has slowed things down. All other easements have been secured.

Neighborhood Sewer Projects

Mr. Hartman and Mr. Merkle had a preconstruction meeting with the contractor earlier in the afternoon. Mr. Merkle said it looks like the project will move forward on schedule and be completed by November.

The meeting adjourned at 5:50 p.m.

Respectfully submitted



Wes Merkle
Engineering Manager



MEMORANDUM

To: Board of Trustees
From: Wes Merkle
Date: July 2, 2019
Subject: Dedication

IU Health North Hospital Parking Expansion sanitary sewers are complete and ready for dedication. The C&C Committee and staff recommend acceptance of Copper Run sanitary sewers.

Recommended Action: Accept the dedication of IU Health North Hospital Parking Expansion sanitary sewers.



MEMORANDUM

To: Board of Trustees

From: Wes Merkle

Date: July 2, 2019

Subject: Jackson's Grant Sewer Service Agreement Amendment 5

Jackson's Grant is a residential development located north of 116th Street, west of Spring Mill Road, east of Clay Center Road, and south of Claybridge at Springmill subdivision. The first section of development was completed three years ago and included construction of regional Lift Station 26, along with three interceptor sewers, allowing TriCo to eventually eliminate four smaller lift stations as interceptor sewers are extended. This work was completed through the original sewer service agreement with the developer.

The developer later extended interceptor sewer across Section 2 of the Jackson's Grant development towards Clay Center Road northwest of the lift station. Last year the developer extended sewer northeast from the lift station across Section 6 of the Jackson's Grant development. The final section of sewer extension was included in Project #1801, which crossed the Book property and Williams Creek to eliminate Lift Station 4 (Springmill Ridge).

Last October the Board approved Amendment 5 to the Jackson's Grant Sewer Service Agreement. Amendment 5 included additional costs incurred by the developer to install deep sewer in Section 6, where crews encountered heavy ground water and sand seams, as well as costs for a fence, gate, paving, landscaping, and fence sealing at the lift station. Those items were not included in the original agreement or previous amendments.

Since last year staff has been working with the developer and sewer contractor to finalize construction costs. Substantially less granular backfill was used in construction of deep sewer for Section 2 resulting in a credit of \$42,447. Also, the developer incurred an additional cost of \$4,187 for erosion control related to Section 6 deep sewers, and an additional cost of \$8,599 for lift station fence construction, grading, seeding and erosion control.

More information is provided in the attached copy of the amendment. This will be the final amendment. The C&C Committee recommends approving the revised Amendment 5.

Recommendation: Approve the revised Amendment 5 to the Jackson's Grant Sewer Service Agreement.



TriCo Regional Sewer Utility

www.trico.eco Phone (317) 844-9200 Fax (317) 844-9203

SEWER SERVICE AGREEMENT AMENDMENT No. 5

Project: Jackson's Grant Oversized Facilities
 Date: 6/28/2019
 From: Wes Merkle, TriCo Regional Sewer Utility
 To: Doug Wagner, Jackson's Grant Real Estate Company

Pursuant to Sections 10 and 12 of the Jackson's Grant Sewer Service Agreement, TriCo Regional Sewer Utility (formerly known as Clay Township Regional Waste District) and Developer agree to amend the Jackson's Grant Sewer Service Agreement as follows:

1. For construction of the Jackson's Grant lift station, force main, and Phases 1A and 1B gravity sewers, Developer incurred an additional cost of \$72,443.13 to construct a security/privacy fence, gate, paving, landscaping, and fence sealing at the lift station. Those items were not included in the original agreement. The cost for these items will be applied 50% to Oversizing Cost and 50% to As-Needed Cost. The Project Cost Table in Exhibit D of the Sewer Service Agreement is revised as follows:

Lift Station Project Cost \$1,108,726.73
 Lift Station As-Needed Cost \$350,721.57
 Lift Station Oversizing Cost \$758,005.16
 Total Project Cost \$2,501,516.73
 Total As-Needed Cost \$1,231,911.57
 Total Oversizing Cost \$1,269,605.16
 Total Oversizing Reimbursement \$923,673.16

- 2. For construction of Jackson's Grant Section 6 sanitary sewers, Developer incurred an additional cost of \$61,357.09 for dewatering and erosion control that was attributed to construction of deep/oversized sewer installation. Developer also incurred an additional cost of \$3,129.29 in engineering fees that was attributed to as-needed sewer construction. Therefore, Amendment 4 costs are revised as follows:

Project Cost is \$455,867.38
As-needed Cost is \$198,264.29
Oversizing Cost is \$257,603.09

- 3. For construction of Jackson's Grant Section 2 sanitary sewers, Developer incurred less cost for granular backfill that was attributed to construction of deep/oversized sewer installation, in an amount of \$42,449. Therefore, Amendment 3 costs are revised as follows:

Project Cost is \$278,308.00
Oversizing Cost is \$212,614.00
Oversizing Reimbursement is \$128,461.17

Developer and TriCo agree all terms and conditions of the 2014 Sewer Service Agreement still apply unless specifically modified above.

TriCo Regional Sewer Utility

By: _____
Marilyn Anderson
President, Board of Trustees

Jackson's Grant Real Estate Company

By: _____
Printed: _____
Title: _____



MEMORANDUM

To: Board of Trustees

From: Wes Merkle

Date: July 2, 2019

Subject: Office Improvements and Design Agreement

The Office Improvements Committee (OIC) met June 26 to discuss office renovation, leasing a new administrative office, and uniting both offices at the plant. The Committee recommended proceeding with uniting all staff at the plant.

The C&C Committee discussed selecting an architect. Staff received proposals for architectural and engineering design services from Blackline and CSO. Both firms are local, respected, and well-qualified to do the work. Proposed fees are nearly the same and both firms have availability to complete design and bid construction by this fall. CSO is a larger firm with more depth and broad experience. Blackline has already completed field work and the first phase of design. The C&C Committee recommends approving a design contract with Blackline. The C&C Committee also recommends the Board delegate design decisions to the OIC and the OIC meet regularly to keep design work on schedule.

Staff will request a fee proposal from GRW to incorporate site design into the plant expansion project design. Site design will provide additional parking and related improvements to accommodate the new unified office at the plant. All of the same trades are included in the much larger plant expansion project, which will happen simultaneously, so combining the work will result in substantial savings.

The Administrative Office Renovation project would effectively be cancelled. The 60-day bid hold for construction expires July 7. Construction would have to be rebid if this project is to be considered again in the future.

Recommended Action:

1. Reject all bids for the Administrative Office Renovation construction contract,
2. Approve the design contract with Blackline in an amount not to exceed \$80,000, and
3. Continue regularly scheduled meetings of the OIC and delegate design decisions to the OIC between Board meetings.



MEMORANDUM

To: Board of Trustees

From: Wes Merkle

Date: July 2, 2019

Subject: Little Eagle Creek Interceptor Temporary Service

The Little Eagle Creek Interceptor Extension project was last discussed by the Board in March. Staff has continued to work with multiple property owners and developers in the northwest corner of TriCo's service area who have requested sewer service. All of the parties are willing to help shoulder the cost of extending sewers.

The attached service area map shows the proposed project location. Once TriCo extends the interceptor sewer, developers are expected to extend the sewers westward to reach the other properties requesting service. A developer has acquired the properties highlighted in yellow and he is working to acquire nearby properties as well. The owners of the properties highlighted in purple have been reluctant to sell or allow him to extend the interceptor sewer across their property, reportedly leveraging sewer access for a higher sale price. He asked if TriCo would allow a temporary lift station to serve his properties and those closer to Michigan Road, allowing development to go forward, should negotiations fall through.

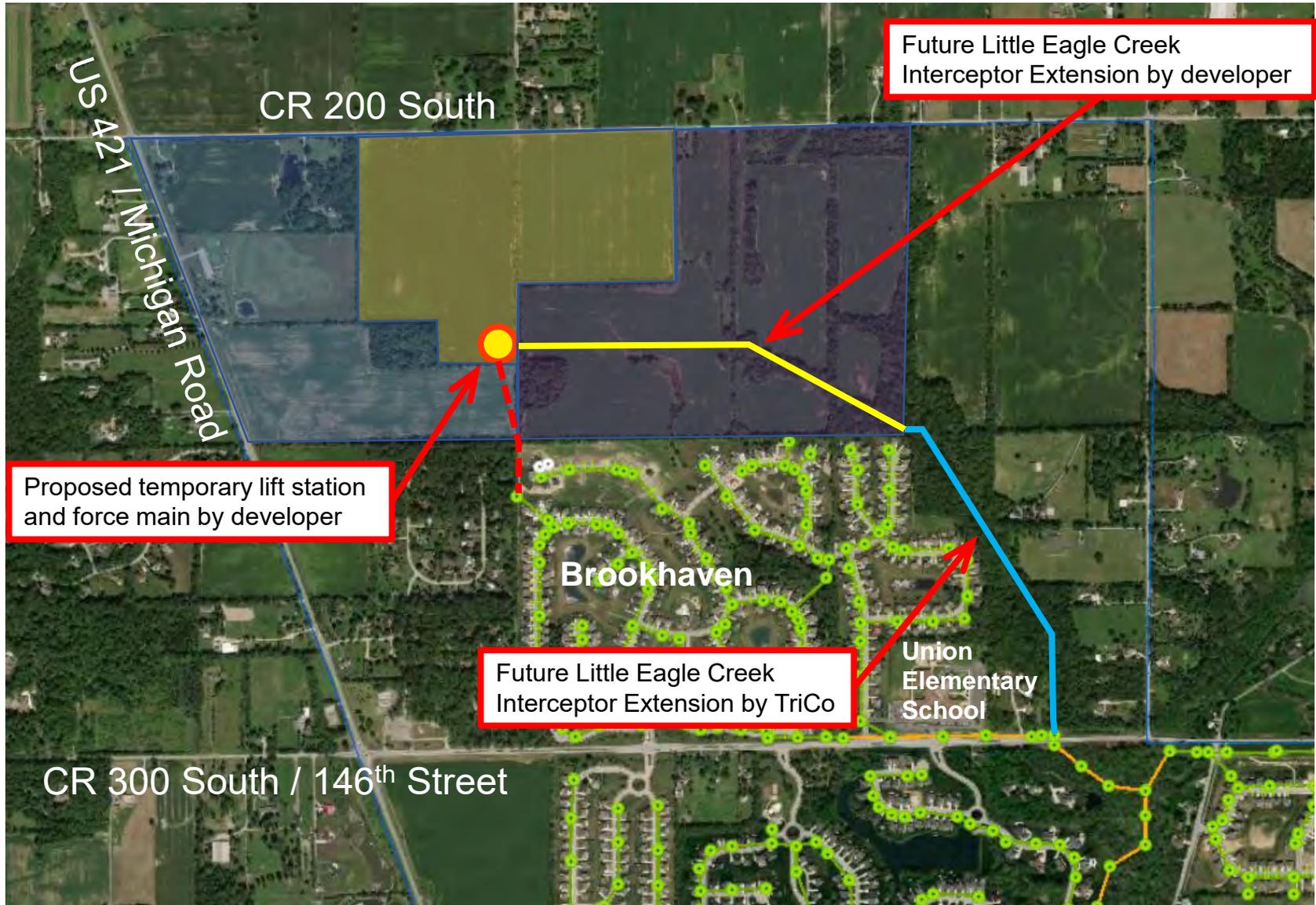
The purple properties would likely develop in the next 10 years. Those properties will not be served by the temporary lift station; instead the interceptor sewer will be extended by TriCo and the developer as shown and the lift station will be taken offline.

The C&C Committee recommends allowing the developer to construct a temporary lift station and force main to TriCo's standards at his own expense. The developer will pay up front the estimated operation and maintenance costs of the lift station and the cost to take the lift station offline in the future. Sewers should be laid out in accordance with TriCo's master plan so the entire area can be served by gravity to the Little Eagle Creek Interceptor sewer in the future.

Recommended Action: Allow construction of a temporary lift station and force main as previously described.

TriCo Service Area Map

7.c.iv.





MEMORANDUM

To: Board of Trustees
From: Wes Merkle
Date: July 2, 2019
Subject: Crossfields Gravity Sewer Dedication

Crossfields neighborhood is located at Towne Road and 116th Street. The developer originally installed a gravity sewer to serve 12 homes of the 50 homes. The remaining 38 homes are on septic and will be served by low pressure sewers to be installed with this year's neighborhood sewer project.

The gravity sewers were never dedicated to TriCo and remain privately owned by the homes connected to it. There are no easements for this sewer. Easements are required for dedication and the documents must be prepared by a licensed surveyor. Staff recently inspected these sewers and found several issues requiring correction. Homeowners are responsible for maintaining their privately-owned sewers. Repairs will be required regardless of dedication status. Several homeowners requested TriCo pay for the cost to prepare easement documents and needed sewer repairs. Total cost is estimated at \$5,000 to \$10,000.

The C&C Committee recommends offering to prepare the easement documents and complete needed sewer repairs, using a monthly surcharge on homeowner's sewer bills to recover costs.

Recommended Action: Direct staff to negotiate dedicating the private sewers to TriCo, offering for TriCo to prepare the easement documents and complete needed sewer repairs, using a monthly surcharge on their sewer bills to recover costs.



MEMORANDUM

To: Board of Trustees

From: Wes Merkle

Date: July 3, 2019

Subject: #1902 WRRF Expansion Design Contract Modification

Staff requested a fee proposal from GRW to incorporate the following items into the current plant expansion project design:

1. Office unification site design. Site design will provide additional parking and related improvements to accommodate the new unified office at the plant. All of the same trades are included in the much larger plant expansion project, which will happen simultaneously, so combining the work would result in substantial savings.
2. Construct remaining secondary clarifiers at the WRRF. The B&F and C&C Committees recommended adding construction of the last two secondary clarifiers to the current plant expansion project design to take advantage of low interest rates, to provide long-term savings to the Utility, to improve plant operations and plant performance. These clarifiers were previously scheduled to be constructed in the final 2025 plant expansion project. One of the two clarifiers is needed for buildout capacity; the other clarifier replaces the three existing small clarifiers that are tied to the Orbal oxidation ditch process. These small clarifiers have performance problems in wet weather. As they approach 30 years in service, the clarifiers are coming due for costly overhauling of equipment.

For the plant expansion project, GRW was scheduled to submit final plans for staff review and IDEM permitting later this month with bidding planned for October. Adding clarifiers requires a schedule adjustment. If these changes are approved, final plan and permitting submittals would instead be due at the end of August. Office unification bidding must happen at the same time since office site construction work will happen under the plant expansion construction project. Bids would be received in early December for construction of both the office unification and plant expansion projects. This change allows more time for office unification project design, which may be needed anyways given the short design schedule.

GRW is reviewing information provided by staff to accommodate these changes. They provided budget pricing for consideration. Staff recommends approving a contract modification with GRW to accommodate the fast-paced schedule to complete design work for both plant expansion and office improvements, rather than waiting for the August Board meeting. Staff will negotiate final pricing with GRW once a formal proposal is received.

Recommended Action: Approve a contract modification with GRW in an amount not to exceed \$110,000, which includes \$20,000 for office site design and \$90,000 for additional clarifiers.



OFFICE IMPROVEMENTS COMMITTEE MEETING

Thursday, June 26, 2019 at 12:00 p.m.
Memorandum

Members Present: Members Carl Mills and Jeff Kimbell, Board President Marilyn Anderson. Others in Attendance: Utility Director Andrew Williams, Engineering Manager Wes Merkle, Controller Cindy Sheeks, and Administrative Assistant Maggie Crediford.

Mr. Pittman was absent.

Mr. Mills called the meeting to order at 12:05 p.m.

Public Comment

There was no one present from the public.

Office Improvement Options

Mr. Merkle presented updates to the Committee. Pennwood has verbally agreed to a longer lease term of seven years with two five-year renewal options. Staff is waiting for a formal response from the owner. The lease would be full service. CarmelTech has not been responsive. If leasing is the direction the Board would like to go, Mr. Merkle is comfortable with the option available at Pennwood.

At the last meeting, the Committee asked for budget estimates and architect proposals. Proposals for architectural and engineering design services were received from Blackline and CSO Architects. Blackline provided an updated and detailed cost estimate based on several recently bid projects and contractor input. Both architects suggested a budget of \$1.3 million for the building itself. Using the architect's estimate for the building addition and all building improvements, site work, furnishings and equipment, architecture and engineering design fees, and other work needed to successfully complete this project, a total project budget of \$1.9 million should be considered. However, staff recommends a total budget of \$2.25 million based on additional input from contractor Summit Construction. Leasing has the lowest up-front costs and uniting has the lowest long-term costs (chart attached).

Mr. Merkle said Mr. Callahan, the Clay Township Trustee, provided staff with an updated appraisal for the current administrative office space. Based on the Trustee's appraisal, TriCo's interest in the Government Center building is worth \$989,000. TriCo will also have the space appraised and the two appraisals will be averaged to reach a sales price for TriCo's interest in the Government Center.

Mr. Williams stated at the last Board Meeting he got the impression the Board is ready to move out of the Clay Township Government Center and now needs to decide between expanding the office at the plant or leasing an office space. Mr. Mills agreed.

Mr. Williams said he feels leasing would be a step towards unification of all staff at the plant in the future. Mr. Kimbell questioned the value of leasing if the goal is to end up with all employees at one location. Mr. Kimball pointed out there is work planned for at the plant already. He feels it could be cost effective to do plant expansion and office building work simultaneously. Mr. Merkle agreed, adding that any site work for the building project should be added to the plant expansion project because it includes all of the same trades.

Mr. Kimbell asked for the square footage being added at the plant to accommodate the administrative staff. Mr. Merkle said the addition would be roughly 3,000 square feet. Mr. Kimball said the proposed building budget cost per square foot seemed very high to him. Mr. Merkle said the proposed building budget includes a building addition, a conversion of existing shop space to office, a redo of the existing office, and modifications to the existing building including replacement of aging building systems such as the roof, windows and façade. Mr. Kimball still felt the costs seemed high.

Mr. Mills questioned moving the entire staff to the plant from a customer service standpoint. Mr. Mills is interested to see the final numbers on leasing at Pennwood. There was discussion about the pros and cons of keeping a customer service office in the general vicinity of the current office. Ms. Anderson asked staff to collect a count of customers that come in daily, excluding developers and contractors.

There was discussion on which parts of the proposed plan could be pulled out of the relocation costs because they are needed at the plant independent of staff relocation. Mr. Kimbell said that while he believes the proposed budget is high, he feels the proposed numbers are safe. It is currently an expensive market to build in, but he feels confident that what needs to be done should be easily covered by the proposed budget.

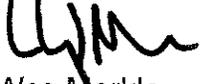
Mr. Kimbell asked what the next step would be if the committee is generally in favor of moving forward with unifying all staff at the plant. Mr. Williams and Mr. Merkle said the next steps would be as follows: Capital and Construction would need to recommend an architect; Budget and Finance would need to recommend revisions to the Capital Budget; Staff would move forward negotiating the sale of the current location. Site work would be added to the plant expansion project. Ms. Anderson asked for a breakdown of building project costs, including items that are needed at the plant regardless of the relocation.

Mr. Mills asked if the plant expansion project can run simultaneously with this project. Mr. Merkle said the projects could run simultaneously. Mr. Mills suggested if bonding is needed for the plant expansion that the building project and other projects be funded together. Mr. Merkle said plant expansion design should be done in July and staff will have an updated budget at that time. Staff will begin updating the capital budget next month. Mr. Mills suggested considering moving future plant expansion projects up and bonding more to take advantage of favorable interest rates.

Mr. Kimbell and Mr. Mills recommended moving forward with work to locate all staff at the plant.

The meeting adjourned at 12:52 p.m.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Wes Merkle', written in a cursive style.

Wes Merkle
Engineering Manager



MEMORANDUM

To: Office Improvements Committee

From: Wes Merkle

Date: June 26, 2019

Subject: Office Improvement Options

Please review the following additional updates for discussion at Wednesday's Committee meeting. Updated costs are shown in the attached spreadsheet for comparison with other options.

Leasing Option

The Pennwood owners agreed to provide a turn-key solution, meaning they agreed to pay for costs to construct requested changes shown in the proposed space plan. The plan includes over 3,300 square feet of Class-A office space. The space is expected to comfortably accommodate administrative, customer service and engineering staff. It includes a conference/training room to accommodate staff needs, public bid openings and other construction-related meetings, committee meetings, and most Board meetings.

Our broker asked Pennwood to provide a 7-year lease term with two 5-year renewal options, and the owner agreeable to a longer-term lease. Unfortunately, staff continues to wait for a formal response from the owner. The lease will be full service and TriCo will be responsible for telephone, internet/IT, and security system services separately. Anticipated costs are shown in the attached spreadsheet comparing options. Actual costs are expected to be within 5-10 percent of what is shown.

Unification Option

Proposals for architectural and engineering design services were received from Blackline and CSO. Both firms are local, respected, and well-qualified to do the work. Proposed fees are comparable.

Budget construction pricing for this option was discussed with both design professionals and contractors. Blackline provided an updated, detailed estimate based on multiple recently bid projects and contractor input; their estimate was in line with CSO's estimate. Using the architect's estimate for the building addition and all building improvements, site work, furnishings and equipment, architecture and engineering design fees, and other work needed to successfully complete this project, a total project budget of \$1.9 million should be considered. However, staff recommends a total budget of \$2.25 million based on additional input from contractor Summit Construction.

As requested at the previous Committee meeting, staff separated the costs associated with uniting everyone at the plant from costs that would be otherwise incurred regardless with the plant expansion project or replacement of aging building systems so that the Committee could see the actual cost to move the administrative staff. Staff believes the actual cost to unite everyone under one roof is \$280,000 less, or \$1,970,000. Costs are shown in the attached spreadsheet comparing options. Leasing has the lowest up-front cost and uniting has the lowest long-term cost. The breakeven point is 8 years. When the architect's estimate is used, the breakeven point is less than 5 years.

The Township Trustee provided staff with an updated appraisal, reflecting a substantial increase in value of TriCo's share of the Government Center Building. Staff has requested an update to TriCo's appraisal, which is anticipated next month. While the attached spreadsheet includes an administrative office sale price based on the Trustee's updated appraisal, note that TriCo's previous appraisal was much higher than the Trustee's previous appraisal.

Staff respectfully requests the Committee recommend an option to move forward:

1. Lease: Recommend the Board via B&F Committee approve lease costs and amend the operating budget accordingly; instruct staff and legal counsel to negotiate lease terms as well as a sale of TriCo's share of the Government Center Building to the Township Trustee.
2. Unite: Recommend the Board via C&C Committee approve an agreement with an architect for design services; recommend the Board via B&F Committee amend the capital budget accordingly; instruct staff to modify the plant expansion design scope to include site work; instruct staff and legal counsel to negotiate a sale of TriCo's share of the Government Center Building to the Township Trustee.

TriCo Regional Sewer Utility
Office Improvement Options Comparison

Options Summary

- Option 1 - lease new admin office, renovate plant office
- Option 2 - renovate admin office, renovate plant office
- Option 3 - renovate & add on to plant office (unite/consolidate offices)
- Option 4 - buy new admin office + renovate plant
- Option 5 - sell and lease back admin office + renovate both locations
- Option 6 - build to suit/lease new admin office + renovate plant office

Assumptions

- 84,000 annual lease for option 1 w/ all expenses, phone, internet
- 2.5 lease escalation rate
- 90 renewal option lease rate (%)
- 65,000 furnishings for lease option
- 52,000 annual admin office expenses
- 989,000 admin office sale price
- 280,000 admin office renovation cost
- 200,000 plant office renovation cost
- 20,000 plant office annual estimated utilities/maintenance/repair budget (options 1+2)
- 47,000 plant office annual estimated utilities/maintenance/repair budget (option 3)
- 1,970,000 build at plant / unite offices
- 40,000 annual savings w/ united offices (see separate calculation)
- 3.0 cost inflation rate
- 4.0 TriCo ROR

Notes on options

Staff worked with broker to identify potential office space options.
Renovation plan developed by architect, bids received in May.
Project partially designed, put on hold in 2017. Updated budget estimates were utilized here.
Per broker little inventory available. Not feasible when renovation costs are considered at new location.
There is little desire to stay in a building that we will no longer have any control over.
Per broker and builder lease cost would be much higher and cost prohibitive.

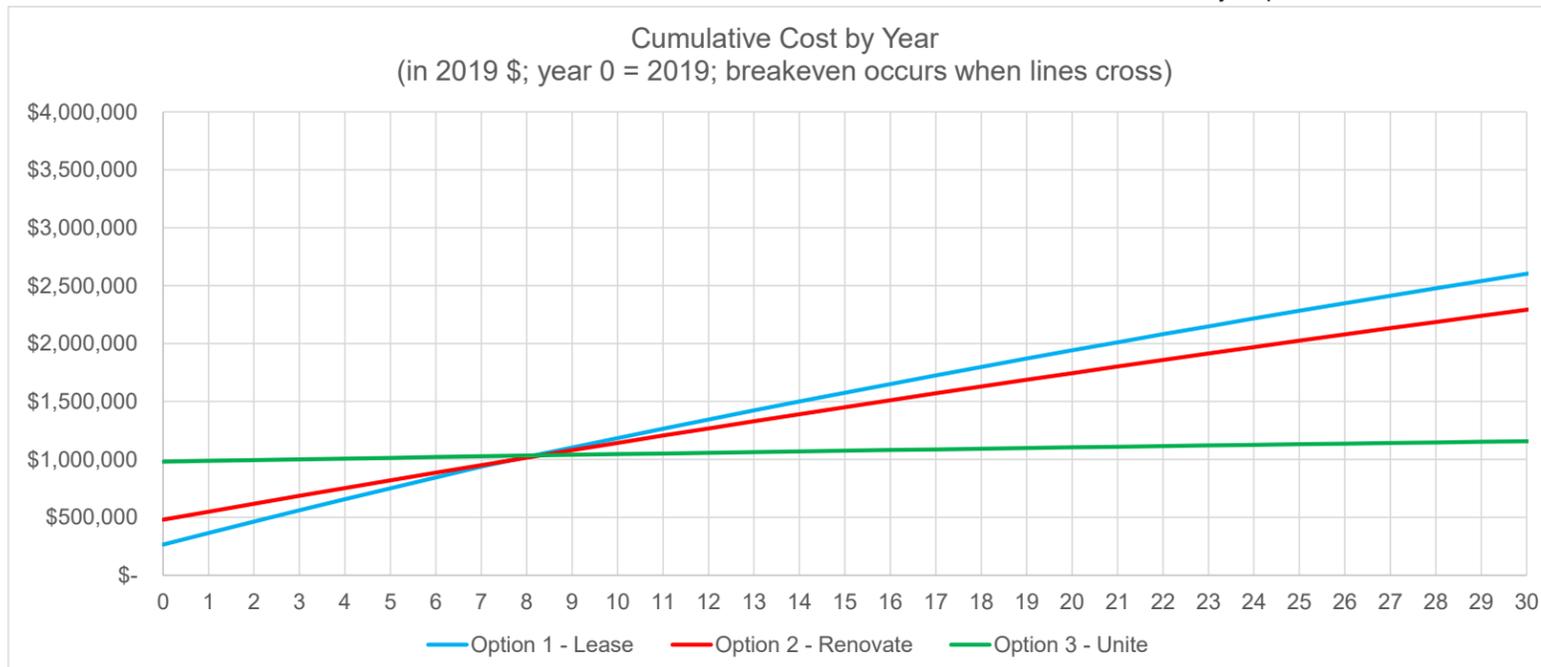
Notes on assumptions

per negotiation with broker - Pennwood option costs/terms were utilized here.
per negotiation with broker - Pennwood option costs/terms were utilized here.

budget per quotes from 2 reps
per current operating budget and previous 6 years of expenses
per recent appraisal by Trustee. Updated TriCo appraisal pending, was previously higher than Trustee's appraisal.
per bids received for construction. Includes A/E fees and furnishings.
per budget estimate for future project unless offices are united.
estimated 1.5\$/sft/yr for utilities + 1.5\$ for janitorial + repair/replacement (2300 sft office + 4900 sft shop)
estimated 1.5\$/sft/yr for utilities + 1.5\$ for janitorial + repair/replacement (7800 sft office + 2200 sft shop)
per budget estimate by architect and contractor, with modifications noted below (*), includes furnishings
see separate sheet for lost staff time calculation
escalation rate for all expenses
cash use 0%, investment return 2%, borrow at 4%

Admin and plant offices are not depreciating assets and have FV under options 2+3. To account for this the sale price of the current admin office is excluded in the option 1 calc below. Alternatively the sale price can be added as a PV under option 1, FV under option 2, and FV for the future larger office under option 3.
PV = present value, FV = future value, ROR = rate of return

*Revise site work & roll into plant expansion project. Delete vector bay and modify biosolids building instead.
Delete patio and overhead glass/insulated doors. Add budget-conscious educational and outreach components.
Note the budget amount here excludes improvement and replacement work we would do anyways and not necessarily required to unite offices at the plant.



TriCo Regional Sewer Utility
 Project #1910 Office Unification
 Budget/Estimate Breakdown

	Required for office project	Not required for office project	Total budget
Building (addition + conversion + remodel)	1,490,000	130,000	1,620,000
Site improvements	205,000	95,000	300,000
Architecture/engineering design fees	80,000		80,000
Fixtures, furnishings and equipment	135,000	55,000	190,000
Biosolids building modifications	30,000		30,000
Miscellaneous costs	30,000		30,000
Total budget	\$ 1,970,000	\$ 280,000	\$ 2,250,000

The existing building contains:

2,300 square feet of office space

5,000 square feet of shop/garage space

The proposed project includes:

3,100 square feet of building addition for new office space

2,700 square feet of existing shop/garage space will be converted to new office space

1,900 square feet of existing office space will be completely remodeled

The proposed building will have:

8,100 square feet of office space

2,300 square feet of garage/shop