



Our Vision: People and Business Succeeding with Quality Water **Our Mission:** Quality Water for Southwest North Dakota

SOUTHWEST WATER AUTHORITY BOARD POLICY MANUAL

Section I	Aims/Ends Policies
Section II	Executive Limitations Policies
Section III	Board Governance
Section IV	Board Manager/Chief Executive Officer Relationship

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MONITORING METHODS

Internal Reports

Manager/CEO Internal Report

Chairperson Internal Report

Board of Directors Internal Report

External Report

Direct Inspection

FREQUENCY

Quarterly

Bi-Annually

Annually

The board policy should be reviewed in the month it is to be monitored.

I. POLICY TYPE: AIMS/ENDS

A. POLICY TITLE: MISSION STATEMENT

Adopted 4/2/01 - Amended 5/3/04; 11/1/04; 8/6/07; 5/4/11; 6/6/11; 3/5/12; 4/7/14; 5/7/18; 5/3/21; 5/1/23

GENERAL MISSION: Quality water for southwest North Dakota.

- A. Specifically, SWA exists so that there is high quality water for the health of southwest North Dakota. (Quality is defined as meeting the recommended levels in the SDWA- Safe Drinking Water Act), including its amendments. Refer to attached.

And

Also, there is an integration of both rural and urban accessibility to water. (Guideline for interpretation - feasibility criteria.) Refer to attached.

- B. The priorities for accessibility to water are:

2021-2023 secure funding to expand main transmission facilities to increase capacity, strategic hydraulic improvements to address waiting list users, and provide water service to the Burt and Hebron Service Areas including Lake Tschida.

2023 - 2025 secure funding to expand the Southwest Water Treatment Plant to full capacity in preparation of decommissioning of Dickinson Water Treatment Plant, prioritize strategic hydraulic improvements to address waiting list users, determine feasibility and a phased approach to serving underserved areas such as Burt, Hebron Service area including Lake Tschida, and to expand main transmission facilities to increase capacity. Address limitations with current intake capacity.

2025 and beyond – continue three-pronged approach to meet the ever-growing need for quality water.

- C. Water is available for support of both rural and urban economic development.

- D. Water is available and accessible at a reasonable and equitable cost now and in the future to the user.

Guidelines/values/philosophy for defining reasonable: explainable to the person on the street.

Guidelines/values/philosophy for defining equitable: fair, no preference within categories of users, same application of fees.

- E. A dependable supply of water now and in the future.

- F. Southwest North Dakota has a voice and influence in the statewide decision-making on water.

There will be favorable and adequate legislation for water in North Dakota. The Board will specify what legislation it will support during each legislative session, but will not be limited to this legislation. When necessary, the Board authorizes the Executive Committee to act on its behalf.

There will be state-wide, long-term coordination of water development.

MONITORING:

Method: Manager/CEO Internal Report

Frequency: Annually

Month: May

ATTACHMENT TO

I. POLICY TYPE: AIMS/ENDS

A. POLICY TITLE: *MISSION STATEMENT*

Safe Drinking Water Act (SDWA) Summary

The Objective:

The purpose of the SDWA is to protect the quality of drinking water in the United States, including all waters actually or potentially designated for drinking water use, whether from above ground or underground sources. It does not regulate private wells providing water for fewer than 25 people.

The SDWA is Title XIV of the Public Health Services Act, one of the early statutes for protecting public health and the environment. The SDWA was enacted by Congress in 1974 and amended in 1986, 1996, 1998 and 2002. The SDWA required EPA to publicize National Primary Drinking Water Regulations (NPDWR) for contaminants that may have an adverse impact on public health. The 1986 Amendments required EPA to set maximum contaminant levels (MCLs) for 83 contaminants deemed harmful to humans. The 1996 Amendments require actions to protect drinking water sources – rivers, lakes, reservoirs, springs, ground water, etc.

Who must comply:

SDWA applies to every public water system in the United States. There are currently more than 150,000 public water systems providing water to almost all Americans at some point in their lives. The SDWA does not apply to bottled water, which is regulated by the Food and Drug Administration.

1974 Act:

The SDWA was one of several pieces of environmental legislation in the 1970's. Discovery of organic contamination in public drinking water and the lack of enforceable, national standards persuaded Congress to take action. The SDWA was signed by President Gerald Ford on December 16, 1974.

1986 Amendments:

The 1986 Amendments required EPA to apply future NPDWRs to both community and non-transient non-community water systems when it evaluated and revised current regulations. The 1986 amendments were signed into law by President Ronald Reagan on June 19, 1986. In addition to requiring more contaminants to be regulated, the 1986 amendments included:

1. Setting standards for 83 contaminants by June 1989 and for an additional 25 contaminants every three years thereafter.
2. Designating best available technology for each newly regulated contaminant.
3. Disinfection of all public water supplies and criteria for mandating filtration of surface water supplies.
4. Monitoring for contaminants that are not regulated to determine if additional regulation is necessary.
5. Banning lead solders, lead flux, and lead pipe in water systems.
6. Implementing new programs for protecting wellheads and sole-source aquifers and preventing contamination of groundwater sources from waste-injection wells.

1996 SDWA Amendments:

In 1996, Congress amended the SDWA to emphasize sound science and risk-based standard setting, small water supply system flexibility and technical assistance, community-empowered source water assessment and protection, public right-to-know, and water system infrastructure assistance through a multi-billion-dollar state revolving loan fund. The amendments were signed into law by President Bill Clinton on August 6, 1996.

The main points that the 1996 amendments covered were:

1. Consumer Confidence Reports: All community water systems must prepare and distribute annual reports about the water they provide detailing detected contaminants, possible health effects, and the water source.
2. Cost-Benefit Analysis: EPA must conduct a thorough cost-benefit analysis for every new standard to determine whether the benefits of a drinking water standard justify the costs.
3. Drinking Water State Revolving Fund: States can use this fund to help water systems make infrastructure or management improvements or to help systems assess and protect their source water.
4. Microbial Contaminants and Disinfection Byproducts: EPA is required to strengthen protection for microbial contaminants including cryptosporidium, while strengthening control over the byproducts of chemical disinfection.
5. Operator Certification: Water system operators must be certified to ensure that systems are operated safely. EPA issued guidelines in 1999 specifying minimum standards for the certification and recertification of the operators of community and non-transient, noncommunity water systems.
6. Public Information and Consultation: SDWA emphasizes that consumers have a right to know what is in their drinking water, where it comes from, how it's treated and how to help protect it. EPA distributes public information materials and holds public meetings, working with states, tribes, water systems, and other groups to encourage public involvement.
7. Small Water Systems: Small water systems are given special consideration and resources under SDWA, to make sure they have the managerial, financial, and technical ability to comply with drinking water standards.

Public Health Security and Bioterrorism Preparedness and Response Act of 2002:

On June 12, 2002, President George W. Bush signed the Public Health Security and Bioterrorism Preparedness and Response Act of 2002 to address a wide range of security issues including threats to water security.

Key provisions of the amendments:

1. Vulnerability Assessments: SDWA requires community water systems serving more than 3,300 people to conduct an assessment of the system's vulnerability to terrorist attacks or other intentional acts intended to disrupt the provision of a safe and reliable drinking supply. This amendment further required each community water system that falls within the requirements to prepare an emergency response plan incorporating the results of the vulnerability assessment.
2. Emergency Powers: Specified that the EPA has emergency powers to issue orders and commence civil action if a contaminant likely to enter a public drinking supply poses significant threat to public health, and if state or local officials have not taken adequate action.
3. Tampering with Public Water Systems: Provides for civil and criminal penalties against any person who tampers, attempts to tamper, or makes a threat to tamper with a public water system. This amendment also increased civil and criminal penalties for tampering, attempting to tamper, or making threats to tamper including a maximum prison sentence of 20 years and \$1 million maximum fines.
4. Emergency Assistance: Authorizes the EPA to provide technical assistance and to make grants to states and public water systems to assist in responding to and alleviating emergency situations.

Other sources of information:

1. United States Environmental Protection Agency (EPA). Washington, DC. "Safe Drinking Water Act Amendments of 1996". <http://water.epa.gov/lawsregs/guidance/sdwa/summ.cfm>
2. United States Environmental Protection Agency (EPA). Washington, DC. "The Safe Drinking Water Act Amendments of 1996. Strengthening Protection for America's Drinking Water". <http://water.epa.gov/lawsregs/guidance/sdwa/theme.cfm>
3. American Water Works Association (2006). *Field Guide to SDWA Regulations*. Technical Editors, William C. Lauer, Mark Scharfenaker, John Stubbart.
4. Congressional Research Service. "Safe Drinking Water Act: A Summary of the Act and Its Major Requirements". http://assets.opencrs.com/rpts/RL31243_20080521.pdf

log
POLICY TYPE: AIMS/ENDS

ATTACHMENT TO

POLICY TITLE: MISSION STATEMENT



North Dakota State Water Commission

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MEMORANDUM

TO: Governor Edward T. Schafer
Members of the State Water Commission

FROM: *D* David A. Sprynczynatyk, State Engineer

SUBJECT: SWPP Feasibility Criteria

DATE: March 21, 2000



At its meeting on February 9, 2000, the Commission approved the revisiting of the Southwest Pipeline feasibility criteria by the Commission's MR&I subcommittee. These criteria were approved by the Commission at its July 2, 1993, meeting. As the Southwest Pipeline Project moves forward into the more remote, more sparsely populated areas it is becoming more difficult and expensive to provide rural water service to the users. The feasibility criteria were first approved in 1993 and it is appropriate to revisit them periodically to ensure that they are still suitable for use.

The Commission's MR&I subcommittee met jointly on February 22 with the Southwest Water Authority's Construction Committee. Also present were Loren Myran, Chairman of the Authority; Pinkie Evans-Curry, the Authority's CEO/Manager; Joe Bichler of Bartlett & West Engineer/Boyle Engineering Corporation; and staff members of the State Water Commission and the Authority.

After discussion at the meeting, the two committee's determined that the existing criteria are still appropriate for use and do not require modification by the Commission. The committee's agreed that pasture taps would be counted as one-half of a hookup and counted separately in determining the sign-up percentage. It was generally felt that the number of pasture taps would not amount to more than a few percent of the total signups and would not make a large difference in meeting the criteria, but could be considered by the Commission if the sign-up percentage is just under the required fifty percent. Attached is a set of guidelines for use in implementing the criteria.

DAS:JL:cg/1736
Attachment

SOUTHWEST PIPELINE PROJECT
GUIDELINES FOR DETERMINING FEASIBILITY
FOR A GIVEN SERVICE AREA

February 22, 2000

I. FEASIBILITY CRITERIA:

- A. Established in 1992 and adopted in 1993 by the SWA and SWC.
- B. Primarily based on need, in the same manner as the feasibility for the pipeline delivery system to cities is determined.
- C. Sign-up Percentage Requirements:
 - 1. Based on Need.
 - 2. Fifty percent or more of potential hookups in a rural service area must have executed a water purchase agreement and paid the necessary sign-up fees.
 - 3. Potential Hookups are defined as an occupied dwelling.
 - 4. Rural Service Area is defined as the hydraulic service area served by a given water storage tank.
 - 5. Pasture taps will be counted separately and included in the determination of signup percentage.
 - 6. The determination of signup percentage is to be made after the final sign-up campaign and before final design is completed. The determination should be made before the effort to acquire rural easements.
- D. Maximum Cost Per User (ESU) Guidelines:
 - 1. Equivalent service units (ESU) determined by dividing capital repayment portion of minimum billing by that of a standard rural hookup.
 - 2. There is no maximum average cost per user/ESU for each service area, but the maximum cost for a single ESU will be applied to groups of users.
 - 3. Because federal and state funds are to be used wisely, a maximum limit of \$25,000 distribution system costs will be applied to a single ESU.
 - 4. The maximum cost for a single ESU will be indexed according to the CPI. The September 1992 CPI index shall be used as the Base CPI to adjust the maximum cost to current cost levels.
 - 5. The current maximum cost for a single ESU, based on the January 2000 CPI, is \$29,850.
 - 6. Transmission and storage facilities will not be included in the determination of cost for a single ESU.

II. SIGNUP PERCENTAGE GUIDELINES:

A. Service Area Boundary:

1. The boundary determined for a particular service area is based on the potential ability of a water storage tank to serve that service area by gravity pressure.
2. The boundary is primarily determined by the proposed location of the water storage tank, its height, geographical constraints, and the terrain within the service area.
3. Most service areas are bounded by rivers, streams, or creeks and high elevation locations.
4. It is desirable to limit the number of stream crossings in a given service area due to higher construction costs, higher pressures, difficulty in construction, and potential leak areas which are hard to find and repair. Thus, major rivers or streams may become a boundary between adjacent service areas.
5. Service areas previously identified in the SA 38 Preliminary Engineering Report may be incorporated into other adjacent service areas depending on the number of sign-ups. Examples of integration with other service areas include the Stony Butte service area, the East Rainy Butte service area, and the East Taylor service area.
6. All portions of the SWPP will be included into a particular Service area. However, there may be areas located within a particular service area for which no capacity was allocated either due to system hydraulics or a lack of water needs in that area.

B. Distribution Pipeline System Hydraulic Boundary:

1. The "distribution pipeline system hydraulic boundary", referred to as the pipeline hydraulic boundary, may not necessarily coincide with the Service Area boundary.
2. The pipeline hydraulic boundary is primarily determined by the location and inclusion of potential hookups adjacent to a particular pipeline segment.
3. The pipeline hydraulic boundary generally will not exceed 2½ to 3 miles beyond a given distribution pipeline segment. Costs to serve an individual user located farther than this distance from the nearest pipeline typically exceed the maximum cost per user criteria.
4. The pipeline hydraulic boundary is also constrained by high elevation locations where a pneumatic booster may be needed or a substantial quantity of pipe would need to be up-sized to include adjacent high elevation areas with potential hookups.
5. Pockets of users may be excluded from the pipeline hydraulic boundary if the costs to serve users in that pocket exceed the maximum cost per user. Users in these areas are generally located at least 3 miles apart and/or are scattered throughout the targeted pocket area.
6. Areas which are identified as "No Capacity Areas" which are outside of the pipeline hydraulic boundary will be depicted as such on a map. "No capacity areas" include areas which demonstrate a lack of interest or need or service is limited due the system hydraulics (low pressures or capacity). No potential hookups will be counted in these areas.

C. Determination of Sign-up Percentage:

1. Both the service area and pipeline hydraulic boundaries are determined prior to identifying occupied dwellings, this will require a preliminary pipeline alignment.
2. Occupied dwellings are then identified by one or a combination of the following means:
 - a. County Highway Maps which show occupied dwellings. Current County Highway maps are of 1988-1990 vintage.
 - b. 911 Maps and associated residence lists which identify current occupants with a reported 1% accuracy.
 - c. Local residents which identify vacant farmsteads in a given area during public meetings or as requested by the SWA.
 - d. Occupied dwellings may also be identified by SWC, SWA, and BW/BEC personnel familiar with the service area.
 - e. A Field count of apparent occupied dwellings by the SWC and other designated representatives.
 - f. Up to date (less than 1 year old) county atlases.
3. A map is prepared to compare sign-ups and non-signed up occupied dwellings. The map also identifies the service area boundary and the pipeline hydraulic boundary. Hookups which obviously exceed the maximum cost per ESU will be deleted from the pipeline alignment.
4. All standard or high consumption sign-ups are counted as occupied dwellings.
5. The occupied dwellings located within the pipeline hydraulic boundary are counted and categorized as signed up or non-signed up dwellings.
6. The percentage of occupied dwellings signed up for service is calculated and shown on the map.
7. Pockets of users are not broken out separately from the pipeline hydraulic boundary area when determining the sign-up percentage except as provided for under II.B.5 above.
8. In the event that the inclusion of pasture taps is needed to raise the sign-up percentage above fifty percent the State Water Commission will consider a deviation from the feasibility criteria before final design and construction proceeds.

III. MAXIMUM COST PER USER:

- A. The base maximum cost per user is \$25,000 based on the September 1992 (October 1, 1992) CPI of 141.3.
- B. The maximum cost per ESU shall apply to individual hook-ups and multiples of individual hook-ups.
- C. Pocket areas which have an average cost per ESU which exceeds the maximum cost per ESU criteria will be identified. The SWA and SWC will review the identified pocket areas.
- D. For low density segments of rural service areas other factors can be considered, including high sign-up percentage, need, type of usage, potential cost sharing by the user and other relevant factors.

II. POLICY TYPE: EXECUTIVE LIMITATIONS

POLICY TITLE: *GENERAL EXECUTIVE CONSTRAINT*

Adopted 12/6/99 - Amended 3/5/12; 8/6/12; 4/7/14

The manager/Chief Executive Officer shall not cause or allow in the organization any practice, activity, decision or circumstance which is either imprudent or in violation of commonly accepted business and professional ethics.

MONITORING:

<i>Method:</i>	<i>Manager/CEO Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>August</i>

II. POLICY TYPE: EXECUTIVE LIMITATIONS

A. POLICY TITLE: *STAFF TREATMENT*

Adopted 12/6/99 - Amended 8/6/07; 3/5/12; 3/1/21; 3/6/23

Dealings with staff and volunteers will not be inhumane, unfair or undignified.

Accordingly, the manager/Chief Executive Officer may not:

1. Operate without personnel procedures which clarify personnel rules for staff, provide for effective handling of grievances, and protect against wrongful conditions.
2. Discriminate against any staff member for expressing an ethical dissent.
3. Prevent staff from grieving to the Board when
 - A. internal grievance procedures have been exhausted and
 - B. the employee alleges either
 - (1) that Board policy has been violated to his or her detriment or
 - (2) that Board policy does not adequately protect his or her human rights.
4. Fail to acquaint staff with their rights under this policy.

MONITORING:

<i>Method:</i>	<i>Manager/CEO Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>March</i>

II. POLICY TYPE: EXECUTIVE LIMITATIONS

B. POLICY TITLE: *BUDGETING/FORECASTING*

Adopted 10/4/99 - Amended 3/5/01; 10/3/11; 3/5/12; 4/7/14; 11/5/18; 7/3/23

Budgeting any fiscal year or the remaining part of any fiscal year shall not deviate materially from Board *Aims/Ends* priorities, risk fiscal jeopardy, nor fail to show a generally acceptable level of foresight.

Accordingly, the manager/Chief Executive Officer may not cause or allow budgeting which:

1. Contains too little information to enable:
 - A. Reasonable projection of revenues and expenses; separation of capital and operational items; and cash flow.
 - B. Disclosure of planning assumptions including environmental scan.
2. Plans the expenditure in any fiscal year of more funds than are conservatively projected to be received.
3. Allows cash to drop below a safety reserve of less than two and one-half (2 1/2) months operating expenses.
4. Allows the Replacement and Extraordinary Maintenance Fund to drop below a safety reserve of less than one percent (1%) of the construction costs of the Southwest Pipeline Project at any time.
5. Provides less than \$60,000 per annum for Board prerogatives, such as costs of Board development, Board and committee meetings, legislative and Congressional meetings, and Board legal fees.
6. Fails to meet generally accepted accounting standards for government entities.
7. Sets rate structure.

MONITORING: *Administrative & Operating Budget*

Method: *Manager/CEO Internal Report*

Frequency: *Annually*

Month: *November*

II. POLICY TYPE: EXECUTIVE LIMITATIONS

C. POLICY TITLE: *FINANCIAL CONDITION*

Adopted 10/4/99 - Amended 5/3/10; 1/5/17; 1/7/2019

With respect to the actual, ongoing condition of the organization's financial health, the manager/Chief Executive Officer may not cause or allow the development of fiscal jeopardy nor a material deviation of actual expenditures from Board priorities established in *Aims/Ends* policies.

Accordingly the manager/Chief Executive Officer may not:

1. Expend more funds than have been received unless two and one half months of total operating reserves are in place.
2. Use any Long Term Reserves.
3. Use any Replacement and Extraordinary Maintenance Fund Reserves.
4. Conduct inter-fund shifting in amounts greater than can be restored by otherwise unencumbered revenues within the fiscal year.
5. Allow cash to drop below the amount needed to settle payroll and debts in a timely manner.
6. Allow tax payments or other government-ordered payments or filings to be overdue or inaccurately filed.
7. Submit a deficit budget without also submitting a balanced budget.

MONITORING:

<i>Method:</i>	<i>Manager/CEO Internal Report</i>	<i>External Report (Audit Report)</i>
<i>Frequency:</i>	<i>Quarterly</i>	<i>Annually</i>
<i>Month:</i>	<i>January, April, July, October</i>	<i>April</i>

II. POLICY TYPE: EXECUTIVE LIMITATIONS

D. POLICY TITLE: *EMERGENCY EXECUTIVE SUCCESSION*

Adopted 12/6/99 - Amended 8/6/07; 3/5/12; 4/7/14

In order to protect the Board from sudden loss of manager/Chief Executive Officer services, the manager/Chief Executive Officer may not have fewer than two other designees familiar with Board and manager/Chief Executive Officer issues and processes.

Designated by manager/Chief Executive Officer:

Water Distribution Manager
Chief Financial Officer/Office Administrator
Marketing Manager

MONITORING:

<i>Method:</i>	<i>Manager/CEO Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>December</i>

II. POLICY TYPE: EXECUTIVE LIMITATIONS

E. POLICY TITLE: *ASSET PROTECTION*

Adopted 10/4/99 - Amended 1/7/08; 8/2/10

The manager/Chief Executive Officer may not allow assets to be unprotected, inadequately maintained nor unnecessarily risked.

Accordingly, the manager/Chief Executive Officer may not:

1. Fail to insure against theft and casualty losses to at least 80 percent replacement value and against liability losses in the amount of \$2 million to Board members, staff or the organization itself.
2. Allow non-bonded personnel access to material amounts of funds.
3. Subject plant and equipment to improper wear and tear nor insufficient maintenance.
4. Unnecessarily expose the organization, its Board or staff to claims of liability or loss.
5. Make any unbudgeted purchase or commit the organization to any unbudgeted expenditure of greater than \$5,000.00.
6. Make any purchase:
 - A. wherein normally prudent protection has not been given against conflict of interest
 - B. of over \$2,500.00 without having obtained comparative prices and quality
 - C. of over \$10,000.00 without a stringent method of assuring the balance of long term cost and quality
 - D. without following North Dakota Century Code Chapter 44-08
7. Receive, process or disburse funds under controls which are insufficient to meet the Board-appointed auditor's standards.
8. Invest or hold operating capital except as directed by N.D.C.C. Chapter 21-04, 21-06-07.
9. Acquire, encumber or dispose of real property.
10. Fail to work with suppliers in developing long-term relationships and involvement in new service development.

MONITORING:

<i>Method:</i>	<i>Manager/CEO Internal Report</i>
<i>Frequency:</i>	<i>Quarterly</i>
<i>Month:</i>	<i>January, April, July, October</i>

II. POLICY TYPE: EXECUTIVE LIMITATIONS

F. POLICY TITLE: *COMPENSATION AND BENEFITS*

Adopted 12/6/99 - Amended 3/5/12; 5/7/12; 4/7/14

With respect to employment, compensation and benefits to employees, consultants, contract workers and volunteers, the manager/Chief Executive Officer may not cause or allow jeopardy to fiscal integrity or public image.

Accordingly, the manager/Chief Executive Officer may not:

1. Change the manager/Chief Executive Officer's own compensation and benefits.
2. Promise or imply guaranteed employment.
3. Establish current compensation and benefits which:
 - A. Deviate materially from the geographic or professional market for the skills employed.
 - B. Create obligations over a longer term than revenues can be safely projected, in no event longer than one year and in all events subject to losses of revenue.
 - C. Not include an annual cost of living adjustment (COLA) appropriate for the region.
4. Establish or change pension benefits which:
 - A. Cause unfunded liabilities to occur or in any way commit the organization to benefits, which incur unpredictable future costs.
 - B. Provide less than some basic level of benefits to all full time employees, though differential benefits to encourage longevity in key employees are not prohibited.
 - C. Allow any employee to lose benefits already accrued from any foregoing plan.
 - D. Treat the manager/Chief Executive Officer differently from other comparable key employees.
 - E. Are instituted without prior monitoring of these provisions.

MONITORING:

<i>Method:</i>	<i>Manager/CEO Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>August</i>

II. POLICY TYPE: EXECUTIVE LIMITATIONS

G. POLICY TITLE: *COMMUNICATION AND COUNSEL TO THE BOARD*

Adopted 10/4/99 - Amended 4/7/14

With respect to providing information and counsel to the Board, the manager/Chief Executive Officer may not permit the Board to be uninformed. Accordingly, the manager/Chief Executive Officer may not:

1. Neglect to submit monitoring data required by the Board (see policy on Monitoring Executive Performance) in a timely, accurate and understandable fashion directly addressing provisions of the Board policies being monitored.
 - A. Fail to provide a copy of the Employee Policy Manual to the Board.
2. Let the Board be unaware of relevant trends, anticipated adverse media coverage, significant external and internal changes, particularly changes in the assumptions upon which any Board policy has previously been established.
3. Fail to provide a mechanism for official Board, officer or committee communications.
4. Fail to deal with the Board as a whole except when
 - A. Fulfilling individual requests for information.
 - B. Responding to officers or committees duly charged by the Board.
5. Fail to report in a timely manner an actual or anticipated noncompliance with any policy of the Board.
6. Give information to the Board, which is not clearly identified as *either Information for Decision Making, Incidental Information Only, or Monitoring Information*.
7. Fail to present Board with impact analysis and provide options on appropriate issues.

MONITORING:

<i>Method:</i>	<i>Manager/CEO Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>September</i>

II. POLICY TYPE: EXECUTIVE LIMITATION

H. POLICY TITLE: *COMPENSATION FOR ANNEXATION*

Adopted 12/10/13

Regarding Compensation for Annexation for any particular request by a city, or other water service provider such as a rural water system, to serve an area or customers within SWA's service territory. The Manager/CEO cannot fail to:

1. Develop an equitable formula which does not consider:
 - A. All costs incurred by SWA including engineering and legal fees, that are necessary and result from the transfer of service from SWA to the encroaching city or other water provider.
 - B. Lost income from existing and future customers:
 - (1) For existing customers within the service area, SWA shall project the difference in revenue it will receive over at least ten years if SWA provides water directly to the customers versus selling bulk water to the city.
 - (2) SWA shall compute a flat fee to be paid to SWA as future customers hook up to the city's water services within the service area, which flat fee shall be based on the difference in projected revenue SWA would receive over the next five years if the customer had remained a direct customer of SWA versus the projected revenue SWA will receive by selling bulk water to the city, assuming that each future customer would use an average rate of water as other customers of SWA.
2. Consider, on a case by case basis, adjusting the foregoing formula based on the following factors:
 - A. SWA's ability to repay its debt or capital repayment without raising its rates.
 - B. SWA's contractual obligations to the service area or the city in question or elsewhere.
 - C. SWA's ability to serve the service area in question.
 - D. Whether SWA serves water to the encroaching city or system.
3. Receive ratification from the Board of Directors and SWC before entering into any agreements.

MONITORING:

<i>Method:</i>	<i>Manager/CEO Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>May</i>

III. POLICY TYPE: BOARD GOVERNANCE PROCESS

POLICY TITLE: *GENERAL GOVERNANCE COMMITMENT*

Adopted 10/4/99 - Amended 4/4/11

On behalf of the people of North Dakota and the Southwest Water Authority service area, the Board will govern Southwest Water Authority with a strategic perspective continually improving its process and capability to express values and vision.

MONITORING:

<i>Method:</i>	<i>Board of Directors Internal Report</i>
<i>Frequency:</i>	<i>Bi-Annually - every six (6) months</i>
<i>Month:</i>	<i>March and September</i>

III. POLICY TYPE: BOARD GOVERNANCE PROCESS

A. POLICY TITLE: *GOVERNING STYLE*

Adopted 10/4/99 - Amended 8/6/07; 4/7/14; 10/3/22

The Board will govern with a style that emphasizes outward vision rather than an internal preoccupation, encouragement of diversity in viewpoints, strategic leadership more than administrative detail, clear distinction of Board and manager/Chief Executive Officer roles, collective rather than individual decisions, future rather than past or present, and being proactive rather than reactive.

More specifically, the Board will:

1. Operate in all ways mindful of its trustee obligation to the people of North Dakota and the Southwest Water Authority service area. It will allow no officer, individual, or committee of the Board to hinder or be an excuse for not fulfilling this commitment.
2. Enforce upon itself whatever commitment is needed to govern with excellence. This commitment will apply to matters such as attendance, policy making principles, respect of roles, speaking with one voice, and ensuring the continual improvement of Board processes and capabilities. Continual redevelopment will include orientation of new members in the Board's governance process and periodic Board discussion of process improvement.

This commitment includes:

- A. Good ideas that come up during the meetings, not on the agenda, will be placed on a list for future agendas.
 - B. Directors will stick to the agenda and have pertinent discussion.
 - C. Directors will come prepared, having read materials before the meeting.
 - D. Directors will not have side conversations during the meeting. The Chair and all directors will control this.
 - E. Directors will accept options, not recommendations for consideration.
 - F. The meeting will start and end on time.
 - G. The Chair may place time limits on discussions. The Board as a whole may over rule.
 - H. Directors will speak loud enough so that all can hear.
 - I. The agenda will have time allotments and clarification.
 - J. Directors will ask extraneous questions outside of the meeting.
 - K. The Directors carry individual responsibility to keep current. This is especially true if the director misses a meeting.
 - L. The Directors will have sufficient information and discussion for policy making before a decision is made.
 - M. The Chair may call more breaks as needed.
3. Direct, control, and inspire the organization with thoughtful establishment of the broadest organizational policies reflecting the Board's values and perspectives. The Board's major focus will be on the intended long-term impacts outside the operating organization (*Aims/Ends*), not on the administrative means of attaining those effects.

4. Cultivate a sense of group responsibility. The Board, not the staff, will be responsible for excellence in governing. The Board will be an initiator of policy, not merely a reactor to staff initiatives. The Board will use the expertise of individual members to enhance the knowledge and ability of the Board as a body, rather than to substitute their individual judgments for the Board's values.
5. Monitor the Board's process and performance at each meeting. Self-monitoring will include comparison of Board activity and discipline to policies in the Governance Process and Board-manager/Chief Executive Officer Relationship categories.

MONITORING:

Method: *Board of Directors Internal Report*
Frequency: *Annually*
Month: *October*

III. POLICY TYPE: BOARD GOVERNANCE PROCESS

B. POLICY TITLE: *BOARD JOB DESCRIPTION*

Adopted 10/4/99 - Amended 8/6/07; 4/7/14; 6/6/22

The work of the Board is to serve as trustees for the people of North Dakota and the Southwest Water Authority service area in determining and demanding appropriate organizational performance. To distinguish the Board's own unique work from the work of its staff, the Board will concentrate its efforts on the following work outputs:

1. Strong link between the organization and the people of North Dakota and the Southwest Water Authority service area.
2. Clarity of values and vision in written governing policies which, at the broadest levels, address:
 - A. *Aims/Ends*: Organizational impacts, benefits, outcomes, recipients, and their relative worth (what good for which people and needs at what cost).
 - B. *Executive Limitations*: Constraints on executive authority, which establish the prudent and ethical boundaries within which all executive activity and decisions must take place.
 - C. *Governance Process*: Description of how the Board conceives, carries out and monitors its own task.
 - D. *Board-Manager/Chief Executive Officer Relationship*: Delegation of power and its proper use monitored; the manager/Chief Executive Officer role authority and accountability.
3. The assurance of organizational performance.
(as described in policies in 2A and 2B for the manager/Chief Executive Officer, in 2C and 2D for the Board).
4. Fund-raising and legislative work as requested by the manager/Chief Executive Officer.
5. Hire the manager/Chief Executive Officer in accordance with State Water Commission Transfer Agreement.

MONITORING:

<i>Method:</i>	<i>Board of Directors Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>June</i>

III. POLICY TYPE: BOARD GOVERNANCE PROCESS

C. POLICY TITLE: *CHAIRPERSON'S ROLE*

Adopted 10/4/99 - Amended 8/6/07; 4/7/14

The work of the Chairperson is, primarily, the integrity of the Board's process and, secondarily, occasional representation of the Board to outside parties. The Chairperson is the only Board member authorized to speak for the Board (beyond simply reporting Board decisions), other than in rare and specifically authorized instances.

1. The work of the Chairperson is that the Board behavior is consistent with its own rules and those legitimately imposed upon it from outside the organization.
 - A. Meeting discussion content will only be those issues which, according to Board policy, clearly belong to the Board to decide, not the manager/Chief Executive Officer.
 - B. Deliberation will be fair, open, and thorough, but also efficient, timely, orderly, and kept to the point.
 - C. Consistent with the Board stated commitment ground rules.
2. The authority of the Chairperson consists in making decisions that fall within the topics covered by Board policies on Governance Process and Board-manager/Chief Executive Officer Relationship, except where the Board specifically delegates portions of this authority to others. The Chairperson is authorized to use any reasonable interpretation of the provisions in these policies.
 - A. The Chairperson is empowered to chair Board meetings with all the commonly accepted power of that position (e.g., ruling, recognizing).
 - B. The Chairperson has no authority to make decisions about policies created by the Board within *Aims/Ends* and *Executive Limitations* policy areas. Therefore, the Chairperson has no authority to supervise or direct the manager/Chief Executive Officer.
 - C. The Chairperson may represent the Board to outside parties in announcing Board-stated positions and in stating Chair decisions and interpretations within the area delegated to the Chair.
 - D. The Chairperson is accountable for all monitoring and reporting as assigned by the Board. The Chairperson may delegate and/or share the responsibility.

MONITORING:

<i>Method:</i>	<i>Board of Directors Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>April</i>

III. POLICY TYPE: BOARD GOVERNANCE PROCESS

D. POLICY TITLE: *BOARD COMMITTEE PRINCIPLES*

Adopted 10/4/99 - Amended 8/6/07; 4/7/14

Board committees, when used, will be assigned so as to minimally interfere with the wholeness of the Board's job and so as never to interfere with delegation from Board to manager/Chief Executive Officer. Committees will be used sparingly, only when other methods have been deemed inadequate.

1. Board committees are to help the Board do its job, not to help the staff do its job. Committees ordinarily will assist the Board by preparing policy alternatives and implications for Board deliberation. Board committees are not to be created by the Board to advise staff.
2. Board committees may not speak or act for the Board except when formally given such authority for specific and time-limited purposes. Expectations and authority will be carefully stated in order not to conflict with authority delegated to the manager/Chief Executive Officer.
3. Board committees cannot exercise authority over staff. Because the manager/Chief Executive Officer works for the full Board, the manager/Chief Executive Officer will not be required to obtain approval of a Board committee before an executive action. In keeping with the Board's broader focus, Board committees will normally not have direct dealings with current staff operations.
4. Board committees are to avoid over-identification with organizational parts rather than the whole. Therefore, a Board committee, which has helped the Board create policy on some topic, will not be used to monitor organizational performance on that same subject.
5. This policy applies only to committees which are formed by Board action, whether or not the committees include non-Board members. It does not apply to committees formed under the authority of the manager/Chief Executive Officer.

MONITORING:

<i>Method:</i>	<i>Board of Directors Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>January</i>

III. POLICY TYPE: BOARD GOVERNANCE PROCESS

E. POLICY TITLE: *COMMITTEE STRUCTURE*

Adopted 03/06/00 - Amended 8/6/07; 4/7/14

A committee is a Board committee only if its existence and charge come from the Board, regardless whether Board members sit on the committee. The only standing Board committees are those set forth in this policy and appropriately chartered with clear product, authorities, time lines, and staff considerations.

1. Executive Committee

- A. The Executive Committee shall consist of the officers.
- B. The Executive Committee shall only conduct such affairs of the Authority that are assigned by the Board of Directors.

2. Subcommittees. The Authority shall appoint standing or ad hoc subcommittees as needed.

- A. Standing subcommittees shall be established by vote of the Board of Directors. Members shall serve two (2) year terms beginning in July of even numbered years. Members shall be appointed by the Chairperson and approved by the Board of Directors.
- B. Ad hoc subcommittees may be established, as needed, by the Chairperson, Executive Committee, or a majority vote of the Board of Directors. Members shall be appointed by the Chairperson. Ad hoc subcommittees shall be given specific assignments and a time frame in which to complete its assignment.
- C. Chairperson of subcommittees. Each subcommittee shall appoint a subcommittee chairperson. The Chairperson must report on subcommittee activities, either in person or in writing, at the next regularly scheduled Board meeting.
- D. Nominations Subcommittee. A nominations subcommittee shall be appointed by the Chairperson in March of even numbered years. The Chairperson of the nominations subcommittee shall accept letters of interest from members of the Board. The nominations subcommittee shall confirm interest and willingness to accept positions from all nominees. Members of the nominations subcommittee are not precluded from being nominated for any position. Nominations for all available positions will be accepted from the floor at the time of elections. Any board members shall be eligible to serve on any standing or ad hoc subcommittee.

MONITORING:

<i>Method:</i>	<i>Board of Directors Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>February</i>

III. POLICY TYPE: BOARD GOVERNANCE PROCESS

F. POLICY TITLE: *ANNUAL BOARD PLANNING CYCLE*

Adopted 12/6/99 - Amended 8/6/07; 4/7/14

To accomplish its work with a governance style consistent with Board policies, the Board will develop and follow an annual plan which (a) includes an exploration of *Aims/Ends* policies and (b) continually improves Board performance using process improvement tools and with special attention to input and deliberation.

1. The cycle will conclude each year on the last day of September in order that administrative budgeting can be based on accomplishing a one to five year segment of the most recent Board long-range vision.
2. In the first one or two months of the new cycle, the Board will develop its agenda for the ensuing one-year period.
3. Education, input, and deliberation will receive paramount attention in structuring the series of meetings and other Board activities during the year.
4. To the extent feasible, the Board will identify those areas of education and input needed to increase the level of wisdom and forethought it can give to subsequent choices.

MONITORING:

<i>Method:</i>	<i>Board of Directors Internal Report</i>
<i>Frequency:</i>	<i>Bi-Annually - every six (6) months</i>
<i>Month:</i>	<i>March and September</i>

III. POLICY TYPE: BOARD GOVERNANCE PROCESS

G. POLICY TITLE: *BOARD MEMBERS' CODE OF CONDUCT*

Adopted 12/6/99 - Amended 8/6/07; 4/7/14; 7/3/23

The Board expects of itself and its members ethical and businesslike conduct. This commitment includes proper use of authority and appropriate decorum in group and individual behavior when acting as Board members.

1. Board members must represent unconflicted loyalty to the interests of SWA. This accountability supersedes any conflicting loyalty such as that to advocacy or interest groups and membership on other Boards or staffs. This accountability supersedes the personal interest of any Board member acting as an individual consumer of the organization's services.
2. Board members must avoid any conflict of interest with respect to their fiduciary responsibility.
 - A. There must be no self-dealing or any conduct of private business or personal services between any Board member and the organization except as procedurally controlled to assure openness, competitive opportunity and equal access to "inside" information.
 - B. Board members must not use their positions to obtain employment in the organization for themselves, family members or close associates.
 - C. Should a Board member be considered for employment, the Board member must temporarily withdraw from Board deliberation, voting, and access to applicable Board information.
3. Board members may not attempt to exercise individual authority over the organization except as explicitly set forth in Board policies.
 - A. Board members' interaction with the manager/Chief Executive Officer or with staff must recognize the lack of authority in any individual Board member or group of Board members except as noted above.
 - B. Board members' interaction with the public, press or other entities must recognize the same limitation and the similar inability of any Board member or Board members to speak for the Board.
 - C. Board members will make no judgments of the manager/Chief Executive Officer or staff performance except as that performance is assessed against explicit Board policies by the official process.
4. Board members will be requested to sign the attached "Board Members are the Soul and Spirit of Southwest Water Authority."

MONITORING:

Method: Board of Directors Internal Report

Frequency: Annually

Month: July

Board Members are the Soul and Spirit of the Southwest Water Authority

Thank you for being a Board member and making our mission your mission. You are to be congratulated for your desire to help others. Many people only wish they could make this a better world — but you have taken action to help turn dreams into reality. There is a great sense of power when people come together to achieve a common cause. Making things happen to help people is perhaps the most satisfying part about belonging to our Board. Do not let little frustrations get you down as you work for our organization. Our mission cannot be accomplished in a day or a year.

A committed Board is the nucleus of a successful organization.

Your responsibilities as a Board member are to:

1. Set policies that guide Southwest Water Authority.
2. Write a plan outlining the long-range goals you have for SWA's growth and development.
3. Meet the needs of the people you serve.
4. Ensure SWA has adequate finances and that the money is being spent responsibly.
5. Support your manager/Chief Executive Officer and staff.

It is the policy of Southwest Water Authority to prohibit discrimination on the basis of race, color, religion, sex, national origin, age, the presence of any mental or physical disability, status with regard to marriage or public assistance, or participation in lawful activity off the employer's premises during nonworking hours which is not in direct conflict with the essential business related interests of the employer, to prevent and eliminate discrimination in employment relations, public accommodations, housing, state and local government services, and credit transactions; and to deter those who aid, abet, or induce discrimination, or coerce others to discriminate.

As a director on this Board, I will:

- ☆ Represent the interest of all people served by the Authority.
- ☆ Not use the Authority or my service on this Board for my own personal advantage or for the individual advantage of my friends or supporters.
- ☆ Approach all Board issues with an open mind, prepared to make the best decision for the whole Authority.
- ☆ Do nothing to violate the trust of those who elected me to the Board or of those we serve.
- ☆ Use my efforts on the mission of the Authority and not on my personal goals.
- ☆ Never exercise authority as a Board member except when acting in a meeting with the full Board or as I am delegated by the Board.

Director's Signature

Date

IV. POLICY TYPE: BOARD-MANAGER/CHIEF EXECUTIVE OFFICER RELATIONSHIP
POLICY TITLE: *MANAGER/CHIEF EXECUTIVE OFFICER ROLE*
Adopted 10/4/99 - Amended 8/6/07

The manager as Chief Executive Officer, is accountable to the Board acting as a body. The Board will instruct the manager/Chief Executive Officer through written policies, delegating interpretation and implementation to the manager/Chief Executive Officer.

MONITORING:

Method: *Board of Directors Internal Report*
Frequency: *Annually*
Month: *July*

IV. POLICY TYPE: BOARD-MANAGER/CHIEF EXECUTIVE OFFICER RELATIONSHIP
A. POLICY TITLE: *DELEGATION TO THE MANAGER/CHIEF EXECUTIVE OFFICER*
Adopted 10/4/99 - Amended 5/3/04; 8/6/07

All Board authority delegated to staff is delegated through the manager/Chief Executive Officer, so that all authority and accountability of staff, including consultants—as far as the Board is concerned—is considered to be the authority and accountability of the manager/Chief Executive Officer.

1. The Board will direct the manager/Chief Executive Officer to achieve certain results, for certain recipients, at a certain cost through the establishment of *Aims/Ends* policies. The Board will limit the latitude the manager/Chief Executive Officer may exercise in practices, methods, conduct and other “means” to the ends through establishment of *Executive Limitations* policies.
2. As long as the manager/Chief Executive Officer uses any reasonable interpretation of the Board’s *Aims/Ends* and *Executive Limitations* policies, the manager/Chief Executive Officer is authorized to establish all further policies, make all decisions, take all actions, establish all practices, and develop all activities.
3. The Board may change its *Aims/Ends* and *Executive Limitations* policies, thereby shifting the boundary between Board and manager/Chief Executive Officer domains. By so doing, the Board changes the latitude of choice given to the manager/Chief Executive Officer. But so long as any particular delegation is in place, the Board and its members will respect and support the manager/Chief Executive Officer’s choices. This does not prevent the Board from obtaining information in the delegated areas.
4. Only decisions of the Board acting as a body are binding upon the manager/Chief Executive Officer.
 - A. Decisions or instructions of individual Board members, officers, or committees are not binding on the manager/Chief Executive Officer except in rare instances when the Board has specifically authorized such exercise of authority.
 - B. In the case of Board members or committees requesting information or assistance without Board authorization, the manager/Chief Executive Officer can refuse such requests that require—in the manager/Chief Executive Officer’s judgment—a material amount of staff time or funds or is disruptive.
 - C. In the case of a Board authorized committee, the Board will request an estimate of staff time and costs if staff members are requested to serve.

MONITORING:

Method: Board of Directors Internal Report
Frequency: Annually
Month: November

IV. POLICY TYPE: BOARD-MANAGER/CHIEF EXECUTIVE OFFICER RELATIONSHIP

B. POLICY TITLE: *MANAGER/CHIEF EXECUTIVE OFFICER JOB DESCRIPTION*

Adopted 12/6/99 - Amended 8/6/07

As the Board's single official link to the operating organization, the manager/Chief Executive Officer's performance will be considered to be synonymous with operational performance as a total.

Consequently, the manager/Chief Executive Officer's job contributions can be stated as performance in only two areas:

1. Organizational accomplishment of the provisions of Board policies on *Aims/Ends*.
2. Organizational operation within the boundaries of prudence and ethics established in Board policies on *Executive Limitations*.

MONITORING:

<i>Method:</i>	<i>Board of Directors Internal Report</i>
<i>Frequency:</i>	<i>Annually</i>
<i>Month:</i>	<i>December</i>

IV. POLICY TYPE: BOARD-MANAGER/CHIEF EXECUTIVE OFFICER RELATIONSHIP
C. POLICY TITLE: *MANAGER/CHIEF EXECUTIVE OFFICER COMPENSATION AND BENEFITS*

Adopted 12/6/99 - Amended 3/4/02; 3/3/03; 3/1/04; 2/7/05; 2/6/06; 2/5/07; 8/6/07; 5/5/08; 5/4/09; 5/3/10; 5/4/11; 5/7/12; 5/6/13; 4/7/14; 5/4/2015; 5/2/16; 5/1/17; 5/7/18; 5/6/19; 6/3/19; 5/4/20; 5/3/21; 5/2/22; 5/1/23

The SWA Board will pay its manager/Chief Executive Officer fair market value for services within the context of fiscal responsibility to the organization. Comparable compensation and benefit packages will be researched by the Executive Committee. The Board will review benefits and adjustments to the range annually.

1. Based on AWWA 2021 Compensation Survey for the average of all water systems serving a population of 10,000 to 50,000 and board operated water systems, which is adjusted yearly by the Consumer Price Index, the salary range is:

	<u>2021</u>	<u>2022-CPI-5.04%</u>	<u>2023-CPI-8.25%</u>
Beginning	\$ 117,577	\$123,502	\$133,690
Mid	\$ 140,725	\$147,817	\$160,011
End	\$ 165,768	\$174,122	\$188,487

2. The Executive Committee will research and determine need for third-party review of compensation.

MONITORING:

Method: Board of Directors Internal Report
Frequency: Annually
Month: May

IV. POLICY TYPE: BOARD-MANAGER/CHIEF EXECUTIVE OFFICER RELATIONSHIP

D. POLICY TITLE: *MONITORING ORGANIZATIONAL PERFORMANCE*

Adopted 10/4/99 - Amended 8/6/07; 10/4/10; 3/5/12; 4/7/14

Monitoring executive performance is synonymous with monitoring organizational performance against Board policies on *Aims/Ends* and on *Executive Limitations*. Any formal or informal evaluation of manager/Chief Executive Officer/organizational performance may be derived only from these monitoring data.

1. The purpose of monitoring is simply to determine the degree to which Board policies are being fulfilled. Information which does not do this will not be considered to be monitoring. Monitoring will be as automatic as possible, using a minimum of Board time so that meetings can be used to create the future rather than to review the past.
2. A given policy may be monitored in one or more of three ways:
 - A. Internal report: Documentation of compliance information to the Board from the manager/Chief Executive Officer.
 - B. External report: Documentation of compliance information by a disinterested, external auditor, inspector or judge who is selected by and reports directly to the Board.
Such reports must assess performance only against policies of the Board, not those of the external party unless the Board has previously indicated that party's opinion to be the standard.
 - C. Direct Board inspection: Documentation of compliance information by a Board member, a committee or the Board as a whole. This is a Board inspection of documents, activities or circumstances directed by the Board which allows a "prudent person" test of policy compliance.
3. Upon the choice of the Board, any policy can be monitored by any method at any time. For regular monitoring, however, each *Aims/Ends* and *Executive Limitations* policy will be classified by the Board according to frequency and method.

Board Policy Monitoring, Method and Schedule

Policy #	Policy Type / Title	Monitoring Frequency	Monitoring Method
1.A.	Aims/Ends - Mission Statement	Annually - May	Mgr/CEO Internal Report
II.	Executive Limitations - General Executive Constraint	Annually - August	Mgr/CEO Internal Report
II.A.	Executive Limitations - Staff Treatment	Annually - March	Mgr/CEO Internal Report
II.B.	Executive Limitations - Budgeting/Forecasting	Administrative & Operating Budget - Annually - November	Mgr/CEO Internal Report
II.C.	Executive Limitations - Financial Condition	Quarterly - January, April, July, October Annually - April	Mgr/CEO Internal Report External Audit Report
II.D.	Executive Limitations - Emergency Executive Succession	Annually - December	Mgr/CEO Internal Report
II.E.	Executive Limitations - Asset Protection	Quarterly - January, April, July, October	Mgr/CEO Internal Report
II.F.	Executive Limitations - Compensation and Benefits	Annually - August	Mgr/CEO Internal Report
II.G.	Executive Limitations - Communication and Counsel to the Board	Annually - September	Mgr/CEO Internal Report
II. H.	Executive Limitations- Compensation for Annexation	Annually-May	Mgr/CEO Internal Report

MONITORING OF BOARD'S PROCESS:

Method: Board of Directors Internal Report
Frequency: Annually
Month: November

SUMMARY OF BOARD POLICIES

		Adopted	Last Amended
Section I	Aims/Ends Policies Page 5.....Mission Statement	4/02/01	5/1/23
Section II	Executive Limitations Policies Page 12.....General Executive Constraint Page 13.....A. Staff Treatment Page 14.....B. Budgeting/Forecasting Page 15.....C. Financial Condition Page 16.....D. Emergency Executive Succession Page 17.....E. Asset Protection Page 18.....F. Compensation and Benefits Page 19.....G. Communication and Counsel to the Board Page 20....H. Compensation for Annexation	 12/06/99 12/06/99 10/04/99 10/04/99 12/06/99 10/04/99 12/06/99 10/04/99 12/10/13	 4/7/14 3/6/23 7/3/23 1/7/19 4/7/14 8/2/10 4/7/14 4/7/14
Section III	Board Governance Process Page 21.....General Governance Commitment Page 22.....A. Governing Style Page 24.....B. Board Job Description Page 25.....C. Chairperson’s Role Page 26.....D. Board Committee Principles Page 27.....E. Committee Structure Page 28.....F. Annual Board Planning Cycle Page 29.....G. Board Member’s Code of Conduct	 10/04/99 10/04/99 10/04/99 10/04/99 10/04/99 03/06/00 12/06/99 12/06/99	 4/4/11 10/3/22 6/6/22 4/7/14 4/7/14 4/7/14 4/7/14 7/3/23
Section IV.	Board-Manager/Chief Executive Officer Relationship Page 31.....Manager/Chief Executive Officer Role Page 32.....A. Delegation to the Manager/Chief Executive Officer Page 33.....B. Manager/Chief Executive Officer Job Description Page 34.....C. Manager/Chief Executive Officer Compensation &Benefits Page 35.....D. Monitoring Organizational Performance	 10/04/99 10/04/99 12/06/99 12/06/99 10/04/99	 8/6/07 8/6/07 8/6/07 5/1/23 4/7/14