



Placer County Transportation
Planning Agency

Administrative Operating Procedures

Issue Date: December 1, 1993
Revision Date: June 23, 2010

TABLE OF CONTENTS

	<u>Page</u>
PROCUREMENT	1
CONTRACT ADMINISTRATION.....	2
PROFESSIONAL SERVICES POLICIES & PROCEDURES.....	3
GRANT APPLICATION POLICIES & PROCEDURES.....	5
AGENCY OPERATING & FISCAL REPORTING POLICIES	6
PERSONNEL RECRUITMENT & SELECTION PROCEDURES	7
DISPOSAL OF SURPLUS PROPERTY.....	13
MEDIA GUIDELINES	13
INVESTMENT POLICY AND GUIDELINES	13
RECORDS RETENTION SCHEDULE.....	14

These Administrative Operating Procedures are intended to guide the Executive Director of Placer County Transportation Planning Agency (PCTPA, or Agency) in administrative practices, including procurement, contract administration, securing professional services, grant administration, grant application, personnel recruitment and selection, and interview guidelines. These policies are established by the PCTPA Board of Directors and may be periodically modified by the Board as deemed necessary. These procedures may be temporarily modified by the Executive Director if warranted by extraordinary conditions, which modification shall be reported to the Board at its next Board meeting.

PROCUREMENT

The following policies and procedures shall be followed by PCTPA staff in securing equipment and supplies, and in the award and execution of contracts for professional services.

I. POLICIES

- A. The Executive Director's office shall be responsible for PCTPA procurement administration.
- B. All items or services over \$1,000 shall be purchased from the lowest qualified bidder or provider in a competitive process as set forth in Section II below, unless a sole source procurement is justified.
- C. A sole source justification must be approved in writing by the Executive Director. Sole source procurement is justified when (1) only one firm vendor can provide the product or service, (2) time would prevent a competitive bidding process such that postponement for bidding would result in health, safety, or other essential Agency needs not being met, or (3) a previously provided service is being continued.
- D. In accordance with Title 49 of the Code of Federal Regulations, Part 26, and the State of California, Department of Transportation Disadvantaged Business Enterprise (DBE) Program Plan, PCTPA shall comply with DBE requirements as appropriate for transportation projects receiving federal financial assistance.
- E. The item or service to be procured shall be included in the approved PCTPA budget.
- F. Cumulative purchases of similar or related items within a period of six months shall be considered as a single purchase with regard to these procurement policies. "Open" purchase orders, i.e., "master bids," may be issued provided that the procedures described below are followed.
- G. Separate policies govern the operations of the Nevada Station Building, as adopted by the PCTPA Board of Directors.

II. PROCEDURES

- A. Purchases of \$1,000 or less:
 - 1. The Agency credit card or petty cash should only be used to pay for items which cannot be invoiced to the Agency. When possible, credit accounts should be set up with vendors in order to allow invoicing.
 - 2. Approval of Executive Director or designated representative required.
 - 3. Item shall be purchased by staff member authorized by the Executive Director.

4. Submit documentation (i.e. receipts) to the Fiscal/Administrative Officer.

B. Contracts and Purchases of \$1,001 to \$10,000

1. Unless sole source procurement is justified, a minimum of two vendors or service providers should be contacted to obtain written bids or price quotations before the purchase.
2. Approval of Executive Director required together with the rationale for the purchase.
3. Item or service shall be purchased by staff member authorized by the Executive Director.
4. Documentation shall be submitted to the Fiscal/Administrative Officer.

C. Contracts and Purchases of \$10,001 to \$50,000:

1. Unless sole source procurement is justified, a Request for Quotation (RFQ), Request for Proposal (RFP), and/or a minimum of two vendor price quotations shall be obtained before the purchase.
2. Item or service shall be included in the current budget, or via third-party reimbursement.
3. Approval of the Executive Director required together with the rationale for the purchase.
4. Item or service shall be purchased by staff member authorized by the Executive Director.
5. Documentation shall be submitted to the Fiscal/Administrative Officer.

D. Contracts and Purchases over \$50,000

1. Must obtain prior Board approval of the contract or purchase. If special conditions exist relative to health, safety, or other essential Agency operating needs, it may be necessary for the Executive Director to enter contracts or purchases for amounts over \$50,000 without prior approval of the Board. The Board shall be informed and shall ratify any such action taken by the Executive Director under special conditions at the first available meeting of the Board.
2. Must use a written request for proposal (RFP) process or other appropriate competitive bidding process (RFP process), except when a sole source justification is approved by the Executive Director pursuant to Policies, Section I.D., above.
3. Additional procedures for the selection and contracting of professional services are detailed in Contract Administration and in Professional Services Selection Procedures, contained below.

CONTRACT ADMINISTRATION

I. CONTRACTING PROCEDURES

- A. **Overall Coordination.** The lead staff member for the particular project, under the direction of the Executive Director, coordinates and manages the RFP process or other appropriate competitive bidding process (RFP process), including development of a schedule for the RFP process, organization of a consultant selection committee, development of a bidders list, and preparation of an advertisement.
- B. **RFP Preparation.** The lead staff member, under the direction of the Executive Director, prepares the RFP or other appropriate competitive bidding document (RFP) according to the procedures described in the Professional Services Policies and Procedures section.
- C. **Board Approval.** The Executive Director submits a request to the Board to approve the issuance of

the RFP. This step may be eliminated in cases where the Board has previously authorized the RFP process as part of the Agency's current Overall Work Program.

- D. **Issuance of RFP.** After Board approval, the lead staff member issues the RFP in accordance with the Professional Services Policies and Procedures section.
- E. **Close of RFP Deadline.** Upon close of the RFP deadline, the lead staff member:
 - 1. Evaluation. Coordinates an evaluation of the proposal and checking of references as outlined in the Professional Services Policies and Procedures section.
 - 2. Notification. Notifies the successful bidder and the unsuccessful bidders of the results of the selection process. The Agency reserves the right to reject all bids and to waive any informalities or minor irregularities.
 - 3. Agreement. Upon completion of contract negotiation, prepares consultant master agreement and letter of task agreement for review by Executive Director. Upon such approval, the Agency transmits two signed copies to consultant for execution, with the consultant returning one copy. The signed agreement shall be entered in the PCTPA contract file.
 - 4. Administration. The RFP package including RFP, proposals received, interview schedule, ranking criteria and documentation, and rejection letters shall be submitted to the Fiscal/Administrative Officer for filing.

PROFESSIONAL SERVICES POLICIES & PROCEDURES

These policies and procedures pertain to any and all agreements for services including: services of attorneys, planners, engineers, consultants, or other individuals or organizations possessing a high degree of technical skill; and all other types of agreements under which the contract provides services which are required by the PCTPA but not furnished by PCTPA staff.

The purpose of these policies and procedures is to ensure an open, fair, and competitive process for selection of qualified professional consultants to perform work for the PCTPA.

I. POLICIES

- A. Normally, a Request for Proposal (RFP) will be issued whenever there is a need for work to be performed by other than PCTPA staff. In some instances, it may be appropriate for a Request for Qualifications to be issued.
- B. The RFP shall contain all information necessary for a prospective bidder to adequately submit a proposal for the completion of the project. An RFP should contain sufficient information as to the required form and particulars of the service sought so that the proposals received can be equitably compared on the basis of the same facts and information.
- C. Contracts for services anticipated to cost \$50,000 or less may be awarded through the procedures set forth in Procurement, Section II, above.
- D. PCTPA will take all reasonable steps to ensure that disadvantaged business enterprises (DBE) have the maximum opportunity to compete for and perform contracts receiving federal financial assistance.

II. RFP DISTRIBUTION

The RFP will be issued and posted on the PCTPA website and may be advertised in a newspaper or newspapers of general circulation. Normally, such posting and advertisements shall occur at least 14 calendar days prior to the due date for proposals. Firms identified as having potential for selling the item or providing the service, including those in established PCTPA consultant files, will be notified of the intentions of PCTPA to accept proposals. Any qualified firm or consultant requesting an RFP will be provided one and placed on a consultant list for future distribution.

PCTPA will take all reasonable steps to ensure that disadvantaged business enterprises (DBEs) are afforded a maximum opportunity to participate in the proposal process.

III. AWARDING OF CONTRACTS

- A. **Evaluation of Proposals.** A panel of technically competent persons, including appropriate PCTPA staff member, will be formed to evaluate the proposals. Each proposal will be evaluated for its responsiveness to the RFP and the established evaluation criteria. The panel will formulate a recommendation of selection to the Executive Director. The evaluation panel's analysis of proposals will be documented.
- B. **Interviews and Reference Checks.** Based upon the recommendation of the evaluation panel, consulting firms may be interviewed pending further consideration. Regardless of whether interviews are conducted, professional references provided by the consultant will be contacted.
- C. **Contract Negotiations and Execution.** Based on the recommendation of the evaluation panel and the reference checks, the Executive Director shall select and notify the responsible bidder scoring the highest in evaluation of proposals, and enter into contract negotiations. If said bidder fails to enter into a contract with PCTPA within the specified time, the Executive Director may (1) enter into negotiations with the next ranked responsible bidder or (2) reject all bids and reissue an RFP. The Executive Director may continue this process, in his or her discretion.

Contracts of \$50,000 or more must be approved by the Board prior to execution. Once approval is granted, the Executive Director has the authority to approve and sign any and all necessary documentation on behalf of PCTPA.

IV. CONTRACT AMENDMENTS

Occasionally, situations may arise in which the PCTPA or consultant may wish to modify and amend the cost, scope, products, and/or timing of a contract.

- A. **Modification Proposal.** Modifications may be proposed by the PCTPA or the consultant.
- B. **Analysis.** The lead staff member, in conjunction with the consultant and Executive Director, will perform an analysis of the proposed modification, including resulting changes to time lines, products, and costs.
- C. **Determination.** Based on the analysis, the Executive Director will make a determination whether to enter into a contract amendment based on the proposed modification.

1. Minor Amendments. Minor amendments may be executed on the decision of the Executive Director, which is considered final.
 2. Major Amendments. Major amendments must be approved by the Board. Major amendments consist of the following:
 - (a) When the amount of the original contract was \$50,000 or under, and the amount of the contract including the amendment is over \$50,000; or
 - (b) When the original contract was more than \$50,000 and approved by the Board, and the amendment is more than \$10,000 or if the amount of the amendment is not provided for in the budget.
- D. **Execution.** Based on the determination or Board action, the contract amendment will be executed after review and approval of legal counsel.

GRANT APPLICATION POLICIES & PROCEDURES

I. DEVELOPMENT

- A. **Initiation.** PCTPA staff initiates development of the concept for a new grant by the staff member transmitting the grant application proposal to the Executive Director. The proposal should include:
1. A brief description of the grant activity.
 2. Relationship of the grant activity to PCTPA planning program.
 3. PCTPA capacity to perform.
 4. Total budget estimate
- B. **Concept Approval.** The Executive Director evaluates the grant application concept, and makes a recommendation to the Board. Board approval is required for all grant applications, either within the Overall Work Program or as a separate agenda item.
- C. **Application Development.** Once the grant concept is approved, the application is developed. Under the direction of the Executive Director, the lead staff member prepares the grant proposal development schedule and budget, required administrative data, and transmittal letter. The staff member also prepares the detailed grant program description (i.e., work program, staff time, direct costs).
- D. **Application Approval.** The Executive Director reviews and finalizes the grant proposal and transmits the grant application to the funding agency.

II. GRANT AGREEMENTS

- A. **Receipt.** PCTPA receives grants and related grant agreements to perform work as specified in approved Overall Work Program (OWP).
- B. **Administration.** Each grant will have an administrator designated by the Executive Director.
- C. **Administrator Responsibilities.** The designated Grant Administrator
1. Records receipt of agreement.
 2. Reviews grant conditions.

3. Obtains review of legal counsel as necessary
4. Obtains authorized PCTPA signatures.
5. Transmits executed agreement to appropriate parties.
6. Notifies appropriate staff of agreement approval.
7. Files agreement in PCTPA Agreement file.

III. **THIRD PARTY AGREEMENTS WITH PARTICIPATING AGENCIES**

Third party agreements with participating agencies describe grants which are awarded to and administered by PCTPA, but whose tasks are performed by another government agency.

- A. **Agreement Preparation.** Grant Administrator prepares agreement as appropriate to the work to be performed. These may include documentation such as a Cooperative Agreement or Memorandum of Understanding.
- B. **Agreement Documentation.** Grant Administrator enters agreement into pending file and transmits agreement to third party for execution. In order for costs to be incurred on a project (work element), there must be a management authorization letter countersigned by the appropriate PCTPA project manager and the participating agency manager.

The Grant Administrator receives and files executed agreements and management letters from the participants.

IV. **THIRD PARTY AGREEMENTS WITH CONSULTANTS**

Third party agreements with consultants describe grants which are awarded to and administered by PCTPA, but whose tasks are performed by a consultant.

- A. **Determination to Contract.** Prior to soliciting bids for consultant to perform work specified in the OWP, the lead staff member assigned to the work and the Executive Director develop recommendation whether to use a consultant or PCTPA staff to perform the work.
- B. **Procurement.** When the use of a consultant contract is deemed necessary, procedures outlined in the Procurement, Contract Administration, Professional Services Policies & Procedures sections above shall be followed.

AGENCY OPERATING & FISCAL REPORTING POLICIES

- I. The Executive Director or designee (generally, the Fiscal/Administrative Officer) shall maintain a checking account to pay all Agency operating expenses.
- II. The Executive Director or designee shall retain the services of an accounting firm to assist in the regular analysis of all Agency accounts.
- III. The Executive Director will provide the Board with a regular analysis of the Agency's operating account.
 - A. The Executive Director shall provide the Board a list of warrants for each month on a regular basis.

- B. The Executive Director shall provide the Board quarterly financial statements of the Agency prepared by the Fiscal/Administrative Officer.
- C. As required under Section 99245 of the Public Utilities Code and as described in Section 7.3 of the PCTPA Bylaws, the Agency shall perform an annual fiscal audit of the Agency operating funds, the County Local Transportation Fund, and the budgets of the fund claimants. This fiscal audit shall be performed by an outside consultant contracted by the Agency. The Executive Director shall present this report to the Board annually.

IV. **Check Writing Policies**

- A. All payments must be made consistent with policies in these Administrative Operating Procedures including: procurement, contract administration, professional services policies and procedures, and grant administration.
- B. Before a check can be issued, documentation and all required approvals must be provided to the Fiscal/Administrative Officer.
- C. It is Agency policy to have two signatures on all checks over \$20,000. The two signatories consist of:
 - 1. The Executive Director or the Fiscal/Administrative Officer.
 - 2. A Boardmember designated by the Board as the primary signatory or an alternate designated by the Board.

V. **Administrative Subcommittee**

- A. An Administrative Subcommittee will review internal PCTPA administrative functions and will make recommendations to the Board for action, as needed. The items may include personnel matters, revisions to administrative or personnel policies, and management of the Nevada Station building.
- B. The Administrative Subcommittee will be comprised of the current PCTPA Chair, Vice Chair, immediate past Chair, and the longest serving Boardmember outside of the officers specified above.

PERSONNEL RECRUITMENT & SELECTION PROCEDURES

All employee selections and promotions shall be made according to merit, qualifications, and the job requirements as ascertained by a competitive interview process or, in some instances, through a direct appointment. The policies and procedures outlined below shall not supersede established Agency policies regarding Affirmative Action and Equal Opportunity Employment. In addition, the Agency complies with the Americans with Disabilities Act (ADA) and will consider whether eligible applicants can perform the essential functions of the position, either with or without reasonable accommodation.

I. **FILLING VACANT POSITIONS**

Whenever a position vacancy occurs, it may be filled in one of the following three ways:

Open Recruitment - All interested persons are eligible to compete for a vacant position.

Internal Recruitment - Provided certain criteria are met, only current Agency employees are eligible to compete for a vacant position.

Direct Appointment - A direct appointment of a current Agency employee to a vacant position, without open or internal recruitment.

The Executive Director may, in his/her discretion, determine not to fill a vacant position.

A. **OPEN RECRUITMENT**

Open recruitment is a defined process which requires 1) the position be advertised (noticed) to the general public for a minimum of 10 working days and 2) both Agency employees and any interested persons are eligible to apply and, if qualified, be considered for the position.

Procedure

The following procedures and requirements shall be followed for open recruitment:

1. The Executive Director shall ascertain the minimum qualifications and the requirements of the position.
2. A recruitment bulletin (job announcement) will be developed which will contain at a minimum the following information:
 - Position title
 - Salary range
 - Brief description of duties to be performed
 - Minimum qualifications (knowledge, skills, abilities, etc.)
 - Preferred qualifications
 - Physical qualifications, if any
 - Last date applications must be filed with the Agency to be considered for the position
 - Information on where and how to apply
 - General information about the Agency and the fringe benefits
 - Statement of PCTPA's Equal Opportunity Employer Policy:
PCTPA is an equal opportunity employer and is committed to an active, nondiscrimination program. All employees and applicants shall receive equal consideration and treatment. All recruitment, hiring, transfer and promotion will be based on the qualifications of the individual for the positions being filled regardless of gender, sexual orientation, race, color, ancestry, religious creed, national origin, physical disability, mental disability, medical condition, age, or marital status.

Recruitment bulletins must be posted at the PCTPA office and advertised through appropriate media, such as newspapers, Agency web site or trade papers.

Applications

Interested persons must submit an application to the Agency to be considered for employment. Resumes may be accepted as an application. Applications must be filed no later than the established

deadline date indicated on the job announcement.

The Agency reserves the right to extend the application filing deadline. Appropriate notices will be posted indicating the new application filing deadline. Supplemental applications may also be required. Applications will be retained by the Agency for a minimum of six months after the date of hire of the successful applicant.

Application Screening

After the close of the application filing period, the Executive Director or designee will review the applications submitted. Only the most qualified applicants will be invited for personal interviews. The number of candidates selected to be interviewed may vary depending upon 1) the numbers of qualified applicants, 2) the number of positions available, and 3) available time and resources.

Each application will be reviewed for completeness and the level of qualifications to fill the position. The Executive Director may reject an application for any of the following reasons:

1. Failure of the applicant to show reasonable conformity with one or more of the announced minimum requirements for the position, such as training and experience.
2. False statements by the applicant on the application with regard to any material fact.

Interviews

The Executive Director or representative will notify applicants to be interviewed and will arrange the date and time of the interview. Interviews shall be conducted in accordance with the Interview Guidelines in Section V below.

1. Initial interviews may be conducted by a panel. At the discretion of the Executive Director, panel members may be comprised of Agency employees or persons from outside agencies or organizations, as appropriate. Panel members will be selected based upon their knowledge of the job requirements, impartiality and/or relationship to the position, such as immediate supervisor or peer. At the discretion of the Executive Director, initial interviews may instead be conducted by the Executive Director and/or a designated Agency employee.
2. The panelist will use an interview rating sheet to rate interviewees. Questions asked by panelists during the interview must be consistent with the position requirements and the ability to perform the essential functions of the position.
3. Panelists may not rate candidates of whom they are 1) well acquainted socially, 2) a relative, or 3) member of his/her household, i.e., roommate.
4. Second Interview - Based upon the ranking, the top candidates may be asked to return for a second interview. At the discretion of the Executive Director, the second interview panel may consist of the Executive Director, the supervisor, a representative from other agencies, and other Agency staff members.

Final Selection

The panel will recommend a final selection to the Executive Director for a job offer. If the top ranked candidate does not accept the job offer, the Executive Director shall have the discretion to offer the position to the second highest ranked candidate, depending upon the Executive Director's assessment of the evaluation and rankings. Otherwise, the Executive Director may initiate a new

recruitment process. If a job offer is made and not accepted by the second highest ranked candidate, the Executive Director may, in his or her discretion, offer the position to the next highest ranked candidate or may initiate a new recruitment process.

Job Offer

All job offers must be made by the Executive Director and verified in writing.

Notification of Candidates

All candidates not selected shall be notified in writing. When feasible, the top candidate will be personally contacted by the Agency.

B. INTERNAL RECRUITMENT

Internal Recruitment is defined as filling a vacant position by promoting or laterally transferring current employees.

Procedure/Criteria

Recruitment for positions shall be limited to current Agency employees. A job announcement will be developed and posted at designated bulletin boards throughout the Agency only.

Applications

Interested employees must submit a resume application within the allotted five-day period to be considered for the vacant position.

Application Screening

Applications will be evaluated based on the employee's degree of qualifications to perform the job, as determined by: 1) relevant experience, 2) past job performance, 3) recommendation of current supervisor, 4) qualifications to fill the position, (i.e., training courses, education), and 5) ability to perform the essential functions of the position. Based on the evaluation, the Executive Director or designee will make a determination to proceed under 1 or 2 below:

1. Certify that there are current employees qualified to fill the position. In this instance, the Executive Director or designee may limit the final selection to current employees and either (a) commence interviews of the qualified employees; or (b) promote or laterally transfer the most qualified employee.
2. Commence an open recruitment procedure.

Interviews

In the event of interviews, they shall be conducted as outlined under the Interview Guidelines, Section V. below.

Status of Successful Candidate

If the new position is at a higher level, the successful internal candidate shall serve a minimum six-month introductory period in the new position; the six month introductory period may be extended as necessary by the supervisor. At the end of the introductory period, a written performance evaluation will be prepared by the supervisor recommending whether or not the employee should be retained in the new position under regular status, in accordance with Agency Personnel Policies and Procedures.

- a. If the employee is not recommended for regular status, the employee may be permitted to return to his/her previous position level, if applicable, depending upon: 1) whether a vacant position is available for which s/he is qualified and 2) approval by the supervisor and Executive Director.
- b. If there are no vacant positions which s/he can fill, the employee would be laid off from the Agency and would be given consideration when a vacancy occurs pursuant to the open recruitment process.

C. **DIRECT APPOINTMENT**

The Executive Director may determine that it is in the best interests of the Agency to directly promote, reassign or transfer employees to positions without use of the open recruitment or internal recruitment procedures.

Eligible Positions

A direct appointment may only apply to current Agency employees for position classifications below Executive Director.

Procedure

A supervisor can recommend a direct appointment. A memorandum must be prepared justifying the proposed direct appointment recommendation and the reasons for not soliciting/considering other candidates. A recommendation for a direct appointment should take into consideration such factors as:

1. Special needs of the position/department or project: Current incumbent of a position may have duties/responsibilities far exceeding those reasonably expected of the existing position; appointment to the position in question is justified by program needs, and the incumbent has demonstrated the ability to do the work; the program is expanding and higher level/more complex functions are required; incumbent has been doing closely similar work and has demonstrated capabilities to perform the duties of the new position.
2. Qualifications/record of performance and accomplishments of the candidate/other capabilities indicating that this person is best qualified for the job.
3. Special circumstances involving the candidate and office, such as tenure in a position for which the new job is a logical step; and/or the need to fill the position quickly with a person who can be operational with a minimal or no learning/start-up time.
4. Special skills or experience of the candidate with the agency and/or prior employment which make the candidate particularly well-qualified for the position.

Determination

The Executive Director may:

1. Approve the direct appointment and issue an inter-office memorandum to that effect;
2. Reject the direct appointment recommendation; and/or
3. Require internal or open recruitment to fill the position.

Status of Successful Candidate

If the direct appointment is approved, the successful candidate would be placed on a minimum six-month probationary period in accordance with Agency personnel procedures.

II. TEMPORARY ASSIGNMENT/ACTING POSITIONS

If in the interests of the Agency, the Executive Director may assign persons to a position temporarily in an acting capacity. Said person may be compensated at a higher rate during the assignment if approved by the Executive Director.

III. CRIMINAL CONVICTION RECORDS

A criminal conviction record is not an automatic bar to employment with the Agency. The nature of the offense, the surrounding circumstances, and the relevance of the offense to the position applied for may, however, be considered. In cases where a conviction is related to the position for which the individual is applying, careful consideration will be given to the effect the appointment would have on the operation of the business of the Agency. In such cases, the Executive Director must grant explicit approval prior to the appointment.

IV. NEPOTISM

Job vacancies are to be filled according to the qualifications of the individual applicants. A relative of an employee, irrespective of title or position of that employee, is to follow the same application procedure and be evaluated by the same criteria as an applicant who is not so related.

Final selection of a successful candidate is based on objective considerations. A relative of an employee will not be favored or penalized in the assessment of qualifications. In any event, the Agency's personnel policies regarding the hiring of relatives will apply, and an applicant will not be offered a position that works for or supervises their relative. Management reserves the right of final decision in this matter.

V. INTERVIEW GUIDELINES

The employment interview is an important factor in selecting the best qualified candidate and will appraise the training, education, experience, and personal traits of the candidates in relation to the requirements of the position for which they are competing.

Appropriate topics to be discussed and questions to ask derive from the nature of the work and the ability of the applicant to perform the essential functions of the position, either with or without reasonable accommodation. Since this is a competitive examination, some standardization of topics and questions is necessary, but uniformity of question and follow-up is not necessary. To arrive at a satisfactory basis for rating the same traits in all candidates, it is necessary to vary the details of an interview to meet variations in the candidate's answers and reactions. In general, it is better to direct questions toward determining what the candidates' previous training, experience, and behavior have in common with the requirements of the positions. ALL questions must be job related.

To adhere to legal limitations, questions may not be asked about the following topics, nor may any of these factors be considered in rating a competitor or disqualifying a competitor: race, color, ancestry, medical condition, gender (including pregnancy, childbirth and related medical conditions), physical or mental disability, veteran status, sexual orientation, family situation, age, national origin, religious

affiliation, political affiliation, union membership or affiliations, marital status, Workers' Compensation claims or gender identity.

DISPOSAL OF SURPLUS PROPERTY

“Surplus property” is defined as personal property, including supplies, materials, furniture or equipment, no longer used or needed by PCTPA, or which have become obsolete or worn out.

The Executive Director or designee will bring to the Board a list of identified items to be designated as surplus property. The Executive Director or designee will implement the most appropriate, cost-effective disposal procedures in accordance with any one or combination of the following methods:

1. Participation by PCTPA in another local agency's public agency auction sale, where PCTPA may realize reasonable profit;
2. Conveyance of surplus property to other government agencies, schools or non-profit organizations by direct negotiated sale;
3. Donation of surplus property to other government agencies, schools or non-profit organizations if it is for a public purpose;
4. Public auction sale by PCTPA with notice of the auction to be published at least five days in advance in a local newspaper of general circulation;
5. Sale to Agency staff where the value of the individual item of surplus property is less than \$500 and PCTPA may realize reasonable profit;
6. Disposal to local landfill or hazardous materials collection;
7. Transfer to an auction company for sale at public auction.

MEDIA GUIDELINES

The Executive Director serves as the official PCTPA spokesperson and conveys the official PCTPA position on transportation issues, policies and projects. Inquires from the media should be referred to the Executive Director or designee, such as a public outreach consultant.

Media releases must be reviewed by the Agency's Executive Director before release. Board member quotes must be cleared in advance with the Board member.

INVESTMENT POLICY AND GUIDELINES

Basic Policy

Funds of PCTPA shall be invested in accordance with Section 53600, et. seq. of the California Government Code, using sound treasury principles and with the following priorities: (1) safety of principal, (2) liquidity, and (3) return on investment. The Executive Director will act as trustee and put forth the best efforts to forecast accurately the revenues and cash needs of the Agency in order to provide for investment of monies to the fullest extent possible.

Acceptable Investment Instruments

Investments will be made only in securities and with financial institutions in which PCTPA is legally empowered to invest such funds, in accordance with the terms and conditions of Sections 53600, et seq. of the Government Code of California. PCTPA’s portfolio may include investments only in the following instruments:

1. Passbook savings accounts, money market accounts, and management checking accounts
2. State Local Agency Investment Fund (LAIF)
3. Certificates of Deposit

RECORDS RETENTION SCHEDULE

The Records Retention Schedule establishes the length of time that is required to maintain various records and is based on requirements set forth in applicable law and recommended state guidelines. Records that have historical significance or great administrative value are to be kept for a period longer than that which is otherwise required by applicable law. Once records have been retained for the requisite period of time, they may be destroyed. For records not specifically mentioned, the retention period shall be 4 years unless otherwise approved by the Executive Director. Periodically, the Executive Director will review and revise the schedule as necessary.

GENERAL ADMINISTRATIVE RECORDS

Records Description	Retention Period
Board Agendas	Permanent
Board Minutes	Permanent
Board Resolutions	Permanent
Bylaws	Permanent
State statutes authorizing creation of PCTPA	Permanent
Administrative Policies	Permanent
Committees-TAC, TOWG	4 years
Sub-Committees-Administrative	4 years
Tapes/Recordings of Board Meetings	Current year + 3 months
Agreements & Contracts – Consultants, Leases, Professional Services	Completion + 5 years
FPPC 700 Series Forms	7 years
Fund Transfer Agreements	Permanent
General Correspondence	2 years
Grant Agreements/Funding Contracts	Completion + 5 years
Joint Powers Agreements	Permanent

Lease Agreements	5 years after completion
Overall Work Program and Budget	Permanent
Legal Claims/Lawsuits/Litigation	Permanent
Proposals for RFP/RFQ/SOQ - Successful	5 years
Proposals for RFP/RFQ/SOQ - Unsuccessful	2 years
Insurance Policies – Liability/Master Policies	Permanent

FINANCIAL RECORDS

Records Description	Retention Period
Accounts Payable Documents	7 years
Accounts Receivable Invoices	7 years
Annual Financial Statements	Permanent
Audit Reports and Management Letters	Permanent
Bank Statements with Cleared Checks	7 years
Chart of Accounts	Permanent
Check Register	7 years
Deferred Compensation Plan Reports	7 years
Federal form 1099 issued	7 years
Federal forms W-2 issued	20 years
General Ledger (end of fiscal year)	Permanent
General Ledger Trial Balance	7 years
Payroll Register and Tax Returns	7 years
Payroll Register (end of calendar year)	Permanent
Timesheets	7 years
Benefit Plan Agreements	Permanent
Benefit Plan Reports	4 years
Property Inventories and Depreciation	Permanent
State Controller's Annual Report	Permanent

PERSONNEL RECORDS

Records Description	Retention Period
Accident/Injury Reports and Claims	5 years after settlement
Compensation/Classification Studies	2 years
Employee Personnel Files	Separation + 4 years
Job Recruitment Documents - Solicited	3 years
Job Recruitment Documents - Unsolicited	1 year
Legal Claims/Lawsuits and Litigation	5 years after settlement
Worker Compensation Files and Claims	7 years after settlement

PROJECT AND PLANNING RECORDS

Records Description	Retention Period
Annual Reports to State and Federal Agencies	4 years after closure
Plans Authored by PCTPA – Final: Bicycle Plan, Regional Transportation Plan, Congestion Management Plan, EIR/EIS	Permanent
Projects – Historical Files: Plans, specifications, notice of completion, maps	Permanent
Projects – Administrative Files	Completion + 10 years after audit