

Board Policy Committee Meeting and Special SMUD Board of Directors Meeting

Date: Wednesday, May 10, 2023

Time: Scheduled to begin at 6:00 p.m.

Location: SMUD Headquarters Building, Auditorium
6201 S Street, Sacramento, CA

Powering forward. Together.



AGENDA BOARD POLICY COMMITTEE MEETING AND SPECIAL SMUD BOARD OF DIRECTORS MEETING

**Wednesday, May 10, 2023
SMUD Headquarters Building, Auditorium
6201 S Street, Sacramento, California
Scheduled to begin at 6:00 p.m.**

This Committee meeting is noticed as a joint meeting with the Board of Directors for the purpose of compliance with the Brown Act. In order to preserve the function of the Committee as advisory to the Board, members of the Board may attend and participate in the discussions, but no Board action will be taken. The Policy Committee will review, discuss and provide the Committee's recommendation on the following:

Virtual Viewing or Attendance:

Live video streams (view-only) and indexed archives of meetings are available at:
http://smud.granicus.com/ViewPublisher.php?view_id=16

Zoom Webinar Link: [Board Policy Committee Meeting Here](#)

Webinar/Meeting ID: 160 109 4539

Passcode: 876540

Phone Dial-in Number: 1-669-254-5252 or 1-833-568-8864 (Toll Free)

Verbal Public Comment:

Members of the public may provide verbal public comment by:

- Registering in advance of a meeting by sending an email to PublicComment@smud.org, making sure to include the commenter's name, date of the meeting, and topic or agenda item for comment. Microphones will be enabled for virtual or telephonic attendees at the time public comment is called and when the commenter's name is announced.
- Completing a sign-up form at the table outside of the meeting room and giving it to SMUD Security.
- Using the "Raise Hand" feature in Zoom (or pressing *9 while dialed into the telephone/toll-free number) during the meeting at the time public comment is called. Microphones will be enabled for virtual or telephonic attendees when the commenter's name is announced.

Written Public Comment:

Members of the public may provide written public comment on a specific agenda item or on items not on the agenda (general public comment) by submitting comments via email to PublicComment@smud.org or by mailing or bringing physical copies to the meeting. Comments will not be read into the record but will be provided to the Board and placed into the record of the meeting if received within two hours after the meeting ends.

DISCUSSION ITEMS

1. Nancy Bui-Thompson Discuss proposed revisions to **Governance Process GP-12, Board Compensation and Benefits.**
Discussion: 20 minutes
2. Laurie Rodriguez Accept the monitoring report for **Strategic Direction SD-8, Employee Relations.**
Dr. Markisha Webster Presentation: 20 minutes
Discussion: 15 minutes
3. Laurie Rodriguez Accept the monitoring report for **Strategic Direction SD-12, Ethics.**
Presentation: 12 minutes
Discussion: 5 minutes
4. Dave Tamayo Board Monitoring: **Governance Process GP-11, Board Review of Internal Records; Governance Process GP-14, External Auditor Relationship; and Board-Staff Linkage BL-5, Unity of Control.**
Discussion: 5 minutes

INFORMATIONAL ITEMS

5. Heidi Sanborn Board Work Plan.
Discussion: 5 minutes
6. Public Comment
7. Dave Tamayo Summary of Committee Direction.
Discussion: 1 minute

Members of the public shall have up to three (3) minutes to provide public comment on items on the agenda or items not on the agenda, but within the jurisdiction of SMUD. The total time allotted to any individual speaker shall not exceed nine (9) minutes.

Members of the public wishing to inspect public documents related to agenda items may click on the Information Packet link for this meeting on the smud.org website or may call 1-916-732-7143 to arrange for inspection of the documents at the SMUD Headquarters Building, 6201 S Street, Sacramento, California.

ADA Accessibility Procedures: Upon request, SMUD will generally provide appropriate aids and services leading to effective communication for qualified persons with disabilities so that they can participate equally in this meeting. If you need a reasonable auxiliary aid or service for effective communication to participate, please email Toni.Stelling@smud.org, or contact by phone at 1-916-732-7143, no later than 48 hours before this meeting.

SSS No. LEG 2023-0056

BOARD AGENDA ITEM

STAFFING SUMMARY SHEET

Committee Meeting & Date
Policy Committee – 05/10/23
Board Meeting Date
N/A

TO					TO				
1.	Laurie Rodriguez				6.	Suresh Kotha			
2.	Jose Bodipo-Memba				7.				
3.	Jennifer Davidson				8.				
4.	Brandy Bolden				9.	Legal			
5.	Farres Everly				10.	CEO & General Manager			

Consent Calendar	Yes	<input checked="" type="checkbox"/>	No <i>If no, schedule a dry run presentation.</i>	Budgeted	Yes	No <i>(If no, explain in Cost/Budgeted section.)</i>
FROM (IPR) Laura Lewis	DEPARTMENT Executive Office			MAIL STOP B308	EXT. 6123	DATE SENT 04/25/23

NARRATIVE:

Requested Action: Discuss proposed revisions to **Governance Process GP-12, Board Compensation and Benefits.**

Summary: At the Policy Committee meeting of December 2, 2020, President Kerth appointed an Ad Hoc Committee to review the policy and bring a recommendation back to the full Board with regard to a cost of living increase or other amendments. The Ad Hoc Committee consists of Director Bui-Thompson (Chair) and Director Fishman. The Ad Hoc Committee will report back to the Board with potential revisions to the policy.

Board Policy: Governance Process GP-12, Board Compensation and Benefits
(Number & Title)

Benefits: Enables Board members to review the policy in light of present-day factors.

Cost/Budgeted: N/A

Alternatives: Maintain the existing policy.

Affected Parties: Board Members

Coordination: Executive Office, Board Office, People Services & Strategies, and Legal

Presenter: Director Bui-Thompson

Additional Links:

SUBJECT

Governance Process GP-12, Board Compensation and Benefits

ITEM NO. (FOR LEGAL USE ONLY)

ITEMS SUBMITTED AFTER DEADLINE WILL BE POSTPONED UNTIL NEXT MEETING.

SMUD BOARD POLICY

Category: Governance Process	Title: Board Compensation and Benefits
	Policy Number: GP-12
Date of Adoption: December 19, 2002	Resolution No. 02-12-14
Revision Date: October 16, 2003	Resolution No. 03-10-14
Revision Date: December 2, 2004	Resolution No. 04-12-03
Revision Date: December 1, 2005	Resolution No. 05-12-10
Revision Date: May 17, 2007	Resolution No. 07-05-08
Revision Date: July 16, 2009	Resolution No. 09-07-02
Revision Date: September 18, 2014	Resolution No. 14-09-07
Revision Date: December 20, 2018	Resolution No. 18-12-15
Revision Date: December 12, 2019	Resolution No. 19-12-05

In keeping with the MUD Act, members of the Board of Directors are entitled to compensation for their service. Specifically:

- a) Each Board member shall receive for each attendance at the meetings of the full Board, Board committee meetings, ad hoc committee meetings, publicly noticed SMUD workshops or meetings, other publicly noticed meetings where the Board member is representing the Board, state or federal legislative briefings or meetings where the Board member is representing the Board, meetings with SMUD customers or staff relating to SMUD business, community meetings or events where the Board member is representing SMUD, events where SMUD is being recognized, conferences and organized educational activities, the sum of \$275.00 per day of service. No director shall receive compensation for more than ten (10) days in any one calendar month. Campaign and political meetings, events, and fundraisers are not compensable under this policy.
- b) Each Board member shall also be reimbursed for expenses related to travel, meals, lodging and other actual and necessary expenses incurred in the performance of his or her official duties as described in subsection (a). Reimbursement shall be in accordance with Internal Revenue Service regulations as established in Publication 463, or any successor publication.

SSS No. PSS 23-003

BOARD AGENDA ITEM

STAFFING SUMMARY SHEET

Policy Committee Meeting Date

May 10, 2023

Board Meeting Date

May 18, 2023

TO				TO			
1.	Claire Rogers			6.	Farres Everly		
2.	Jose Bodipo-Memba			7.			
3.	Suresh Kotha			8.			
4.	Jennifer Davidson			9.	Legal		
5.	Brandy Bolden			10.	CEO & General Manager		
Consent Calendar		Yes	No <i>If no, schedule a dry run presentation.</i>	Budgeted		Yes	No <i>(If no, explain in Cost/Budgeted section.)</i>
FROM (IPR)			DEPARTMENT			MAIL STOP	EXT.
Laurie Rodriguez			People Services & Strategies			B251	5628
DATE SENT			4/13/23				
NARRATIVE:							
Requested Action: Accept the monitoring report for Strategic Direction SD-8, Employee Relations.							
Summary: This presentation provides the Board with the annual monitoring of SD-8, Employee Relations and confirms that SMUD is developing and maintaining a high quality, inclusive workplace that engages and inspires employees to commit to SMUD's purpose, vision, and values.							
Board Policy: SD-8, Employee Relations <i>(Number & Title)</i>							
Benefits: Provide the Directors and Executive Staff with an overview of the Board Policy and give them an opportunity to ask questions, make corrections, additions or changes, if necessary.							
Cost/Budgeted: N/A							
Alternatives: N/A							
Affected Parties: All SMUD employees							
Coordination: People Services & Strategies; Diversity, Equity & Inclusion							
Presenter: Laurie Rodriguez, Director, People Services & Strategies Dr. Markisha Webster, Director, Diversity, Equity & Inclusion							

Additional Links:

SUBJECT

SD-8, Employee Relations Board Monitoring Report

ITEM NO. (FOR LEGAL USE ONLY)

ITEMS SUBMITTED AFTER DEADLINE WILL BE POSTPONED UNTIL NEXT MEETING.

SACRAMENTO MUNICIPAL UTILITY DISTRICT

OFFICE MEMORANDUM

TO: Board of Directors

DATE: April 26, 2023

FROM: Claire Rogers *CR 4/26/23*

**SUBJECT: Audit Report No. 28007602
Board Monitoring Report; SD-8: Employee Relations**

Audit and Quality Services (AQS) received the SD-8 *Employee Relations* 2022 Annual Board Monitoring Report and performed the following:

- Selected a sample of statements and assertions in the report for review.
- Interviewed report contributors and verified the methodology used to prepare the statements in our sample.
- Validated the reasonableness of the statements in our sample based on the data or other support provided to us.

During the review, nothing came to AQS' attention that would suggest the items sampled within the SD Board Monitoring report did not fairly represent the source data available at the time of the review.

CC:

Paul Lau

Board Monitoring Report 2022

SD-8, Employee Relations



1. Background

Strategic Direction 8 (SD-8) states that:

Developing and maintaining a high quality, diverse and inclusive workplace that engages and inspires employees to commit to SMUD's purpose, vision and values is a core value of SMUD.

SMUD is committed to diversity and inclusion and will foster and support a workplace that values employees representing a variety of backgrounds, including but not limited to, race, ethnicity, gender, gender identification and/or expression, sexual orientation and identification, national origin, age, physical abilities, veteran status, socio-economic status, life experiences, talents, and thinking styles.

Therefore:

- a) SMUD shall attract and retain a highly qualified and diverse workforce.
- b) SMUD shall promote inclusion and diversity and engage its workforce in activities that demonstrate and support inclusion and diversity across the organization.
- c) SMUD shall engage its workforce in personal and professional development.
- d) SMUD's percentage of engaged employees as measured through the Engagement Index shall exceed 80%.
- e) SMUD shall use a broad mix of communication and outreach channels to ensure its recruitment activities reflect the diversity of the communities it serves.
- f) SMUD shall maintain and communicate written policies that define procedures and expectations for staff and provide for effective handling of grievances.
- g) Annually, and consistent with State and Federal law, the Board shall receive a report detailing the demographics and trends of the SMUD workforce, the available workforce, and the Sacramento region. The report shall also provide information on veterans as a part of SMUD's workforce.

2. Executive Summary

SMUD is in full compliance with SD-8, Employee Relations.

A number of enhancements to SMUD's culture and people programs were made possible in 2022 thanks to a strong partnership among the Workforce, Diversity & Inclusion business units. We opened the Bright Path to Learning Child Development Center in partnership with Sac State and UC Davis Health; launched SMUD's Diversity, Equity, Inclusion & Belonging (DEIB) Council; piloted the Powering Careers program for skilled trades; negotiated a successor Memorandum of Understanding with the SMUD Public Safety Officer's Association (PSOA); implemented the new technology we use to manage people systems and processes; and much more, as outlined in the following report.

SD Requirement	SD Support (Program, Policy, Procedure or Initiative)	Purpose	Outcome	Notes
a)	Career Ambassador Program Powering Careers Education Outreach	Increase future workforce talent while simultaneously engaging employees through early outreach & connection with future pipeline (K-12, college, and community)	Reached 17,495 students and community members 16 graduates; 6 hires 13,870 students engaged in learning about SMUD's Zero Carbon effort and related energy industry careers.	78 total Career Ambassador outreach events completed (53 in-person, 25 virtual).
b)	Employee Resource Groups	Contribute to an inclusive work culture by creating a sense of community and promoting education and awareness in alignment with SMUD's mission and values and our Inclusion Policy	45 ERG events supported business initiatives; including Safe Zone Advocacy Training, Golf Lessons, Community Blood Drive, and ERG Learning Week Sessions	An increase in collaborations between ERGs and local organizations helped foster meaningful community connections. DEIB Council convened in June 2022 with representatives from each business area and SMUD's ERGs.
	Corporate Learning & Development Curriculum	Develop skills and leadership competencies that will support SMUD's current and future business strategy	Employees averaged 29 hours of training throughout 2022	Average training hours increased 16% (up from 25 hours in 2021)
c)	Internal & External Leadership Programs	Provide experiential learning opportunities to develop leadership, and support collaboration and philanthropy in the community	21 employees completed or graduated from nine different local and regional leadership development programs. Added Leadership Folsom to program offerings in 2022.	23 employees participated in 2022 leadership programs.

c)	Education Assistance	Support employee continued education to attract & retain a highly qualified workforce.	102 employees used the Education Assistance Tuition Reimbursement program.	Saw 22% decrease in participation from 2021, possibly due to the utilization of LinkedIn Learning nearly doubling in 2022.
d)	Employee Engagement Survey Response	Take action on what leaders learned from the engagement survey to improve engagement and the employee experience	Over 96% of people leaders across SMUD developed engagement action plans with their teams in response to 2021 Engagement Survey data. Actions taken will support engagement and desired culture.	Taking meaningful action based on the 2021 Employee Engagement Survey was an Enterprise Performance Goal in 2022.
e)	<p>Workforce Outreach & Partnerships</p> <p>Education Outreach</p> <p>Community Resource Liaison (CRL) Program</p>	Promote job opportunities, grow diversity of talent pipeline and talent pool, raise awareness of SMUD's employer brand	<p>Attending career outreach events focused on:</p> <ul style="list-style-type: none"> • Women (7) • Hispanic population (5) • LGBTQ (2) • Military (2) <p>Partnered with 54 community organizations to reach 3,346 youth and adults with career education and train 506 adults in new careers.</p> <p>100% of the participants selected for CRL roles were women. 100% were promoted following the program completion.</p>	A combination of continued community partnerships and improved analysis of applicant and hiring data have helped to increase career outreach with all underrepresented groups, including the most underrepresented populations of Women and Hispanic populations. Additionally, one of several purposes of SMUD's Community Impact Plan is to increase outreach in the Latino community.

	Internships	Strengthen talent pipeline by immersing students of varied backgrounds in SMUD's culture and careers	1,659 college intern applicants, 55 college interns hired; 80 high school intern applicants; 17 high school interns hired	Internship program was scaled in response to COVID-19 and SMUD's hiring strategy. We will reevaluate organizational readiness in 2023.
	Powering Futures Scholarships	Support diverse talent pipeline in community and STEM disciplines	21 scholarships were awarded.	The scholarships ranged from \$1,750 for Community College students to \$4,000 for 4-year University students.
e)	Hornet Leadership Program - SMUD cohort	Support talent pipeline and STEM disciplines in community	The sponsorship was allocated as a HLP Conference Sponsor, funded 3 scholars (engineering and computer science students), and 1 Facilitator.	SMUD donated to this program at the \$25,000 sponsorship level, used to fund scholarships and assist with program administration.
f)	Code of Business Ethics and Employee Conduct	Provide an easy-to-read explanation of SMUD's values and expectations for employee behavior	100% compliance	Code supplements SMUD's state law-mandated Conflict of Interest Code.
g)	Workforce Demographics Reporting	Provide informational update on workforce demographics	Identify and report on trends and ongoing efforts for a high quality, diverse and inclusive workforce	See SD-8 appendix for detailed reporting.

3. Additional Supporting Information

Please see attached Appendix for additional information related to the SD-8 metrics.

4. Challenges

While we noted changes in some areas of SMUD's workforce demographics, low employee turnover inhibits the speed of substantial change. We continue to enrich our workforce by investing in its future via the regional talent pipeline, developing programs and outreach to grow the competencies needed to accomplish SMUD's 2030 goals. The challenge lies in ensuring the region's workforce development and education continue to align with SMUD's competencies so that we may collaboratively support job readiness and equitable access to

future employment.

5. Recommendation

As reflected in this report, SMUD has achieved the goals set forth in SD-8 for ensuring SMUD develops and maintains a high quality, inclusive workplace that engages and inspires employees to commit to SMUD's purpose, vision, and values.

It is recommended the Board accept the monitoring report for Strategic Direction 8.

Appendix

a) SMUD shall attract and retain a highly qualified workforce.

Attracting and Retaining our Workforce

Talent Acquisition (TA) continues to partner with stakeholders – both internal and external to SMUD – to increase pipelines, such as via apprenticeships and internships. TA has fine-tuned its outreach strategy to increase diversity of applicant pools by refreshing community contact lists and strategically communicating job opportunities to underrepresented populations. The TA team partnered with internal hiring management and panel members in a continued commitment to DEIB, including the incorporation of workforce demographic data, and a deeper education of the impacts of unconscious bias by implementing a mandatory training for all hiring panel members. TA partners with our Total Rewards team, including Classification & Compensation, to ensure equity in the starting and continuing pay of our employees and a competitive Total Rewards package. SMUD signed the Equal Pay CA Pledge in 2022, committing to: conducting an annual gender pay analysis; reviewing hiring and promotion processes to reduce unconscious bias; and promoting equal pay best practices.

Career Ambassadors – Talent Pipeline

SMUD Career Ambassadors shifted their approach from representing SMUD at in-person events such as career fairs, career exploration, and mock interviews, to a hybrid approach attending and hosting virtual career events. Career Ambassadors attended 78 events in total -- 25 virtual and 53 in-person. They invested 200 hours in 2022 and reached 17,495 members of the community. Additionally, an enhanced partnership with our Education Outreach program engaged 13,870 students in learning about SMUD's Zero Carbon effort and related energy industry careers.

Wellness

For 2022, we continued with our reimagined Wellness/Health Assessment Program (HAP) focused on the 4 pillars of Wellness: Social, Mental, Physical, and Financial. A broader range of activities was provided virtually in support of this holistic approach. Emphasis was placed on mental wellness including two workshops provided by Kaiser and work/life balance. We offered greater flexibility and options to participants to achieve their Wellness/HAP goals by collaborating with our Wellness partners (SMUD ERGs, Kaiser, Sutter Health, United HealthCare, SAFE Credit Union, Wells Fargo Bank, Fidelity Investments, and OptumHealth).

Benefits

Open enrollment in 2022 consisted of 6 virtual meetings for employees and retirees and 2 onsite meetings for our Field forces. We continue to utilize a well-received Virtual Benefit Fair platform to provide benefit information to our employees and retirees, as well as new and prospective employees through an easy to use and fun web portal, accessible from any device. This platform provided for all their benefit needs including benefit guidebooks, plan summary documents, and the ability to send questions to our benefit providers. Additionally, Benefits staff in Total Rewards worked to address the rising cost of health care and were able to negotiate an overall medical renewal increase of 0.31%, a significant decrease from last year's 5.3% increase.

Retention

SMUD's turnover decreased in 2022, from 7.7% in 2021 to 7.0%. This decrease can be attributed to fewer Retirements in 2022. Retirements decreased from 92 in 2021, to 78 retirements in 2022. SMUD's turnover continues to rank below the industry benchmark of 10.1%. In addition to SMUD's Baby Boomer workforce entering retirement eligibility, this data also aligns with the cyclical pattern we've seen in retirements over time. Historically, we see these numbers rise in small waves that crest every three to four years.

b) SMUD shall promote inclusion and diversity and engage its workforce in activities that demonstrate and support inclusion and diversity across the organization.

Employee Resource Groups

The 8 ERGs at SMUD include:

- Black Employee Resource Group (BERG)
- Asian Pacific Islander (GRAIN ERG)
- Latinos Unity Network for Action (LUNA)
- Military Employee Resource Group (MERG)
- People Reaffirming Inclusion Diversity and Equality (PRIDE)
- Women's Employee Resource Group (WERG)
- Young Professionals Employee Resource Group (YP)
- Parents ERG

Employee Resource Groups (ERGs) helped foster inclusion among our workforce by hosting events that support business initiatives including Safe Zone Advocacy Training, a community blood drive, and three ERG Learning@SMUD sessions. The events help to keep employees connected, and offer professional and personal development opportunities including several collaborative events co-hosted with community organizations in SMUD's service territory.

DEI Initiatives

The Diversity, Equity and Inclusion (DEI) team completed several foundational streams of work to enhance SMUD's culture in 2022.

- In addition to refining the DEI mission and vision, the team also identified three areas upon which to focus its work: (1) Advancing Data; (2) Implementing and Applying DEIB; and (3) Aligning and Connecting DEIB across SMUD.
- They partnered with People Services & Strategies (PS&S) to enhance and roll out SMUD's Diversity, Equity, Inclusion & Belonging (DEIB) Strategy from May through October 2022. This effort included hiring an external consultant to facilitate a working group that provided recommendations to the strategy's inclusive culture pillar. The DEI Team also incorporated the concept of "Belonging" in the strategy, reflecting the importance of creating a workplace and culture that allows all people to: be their authentic selves; feel they truly belong; and experience psychological safety at SMUD.
- The team also engaged public agencies across Sacramento to establish a working group, including Caltrans, City of Sacramento, Sacramento State University, and SETA, to collectively advance the region's DEI efforts.

- Additionally, the DEI team provided internal consultation on DEIB matters to business units across SMUD, including the curation of a learning path of DEIB resources for employees.

Diversity, Equity, Inclusion and Belonging (DEIB) Council

The primary role of SMUD's DEIB council is to connect DEIB activities and goals to all our operations. The Council, which convened in June 2022, is comprised of a group of twenty employees who represent each business area and SMUD's ERGs. This body of representatives advises, advocates for, informs, assesses and/or monitors the DEI strategic process, as well as provides recommendations to the DEI Department on behalf of SMUD. Over the course of 2022 and early 2023, they have accomplished the following:

Timeline of Accomplishments - 2022

MAY	JUN	JUL	AUG	SEP	OCT	
<ul style="list-style-type: none"> • Training • DEIB Council Onboarding. • Learned about DEIB, and our DEIB Strategy. 		<ul style="list-style-type: none"> • Community Agreements. 			<ul style="list-style-type: none"> • Reflection Activity – base for how Council Members will function. 	FOUNDATIONAL
			<ul style="list-style-type: none"> • Identified our DEIB Council Chair & Vice Chair. 	<ul style="list-style-type: none"> • Identified our parliamentarian & co-parliamentarian 	<ul style="list-style-type: none"> • Identified & established Lead, Co-Leads, Subcommittee Members 	ROLES
	<ul style="list-style-type: none"> • Adopted Roberts Rules of Order. 	<ul style="list-style-type: none"> • DEIB Council SharePoint site • Established and defined a DEIB Win Spotlight 	<ul style="list-style-type: none"> • Communication process for Meeting Minutes & Liaison Share 	<ul style="list-style-type: none"> • Information Intake Process. • Attendance & Participation Policy & Procedure. 	<ul style="list-style-type: none"> • Collaboration between subcommittees and SMEs of respective projects. • Identified metrics. • Enhanced our subcommittee report out template 	ADMINISTRATIVE



Timeline of Accomplishments – 2022 to 2023

NOV	DEC	JAN	FEB	MAR	APR, MAY, ...	
<ul style="list-style-type: none"> • Holiday survey input. 	<ul style="list-style-type: none"> • First hybrid DEIB Council Meeting. • Intake process utilized for first time; 2 guest attendees. • Budget discussion. 		<ul style="list-style-type: none"> • Examine, review all DEIB processes for improvements.. 			ADMINISTRATIVE
<ul style="list-style-type: none"> • Equity – provide draft recommendation on defining equity. • Inclusive Culture – provided a survey summary regarding inclusive culture 	<ul style="list-style-type: none"> • Diverse Workforce – Outreach Project: provided recommendations. 	<ul style="list-style-type: none"> • Diverse Workforce – Diverse Panel Project: provided recommendations. 	<ul style="list-style-type: none"> • Community Impact – identified gaps in Shine Program outreach internally (educational component).. 			PROJECT/INITIATIVE

Conduct Monthly
 DEIB Council Meetings –since Jun 2022
 DEIB Win Spotlight – since Aug 2022
 Subcommittee Meetings - since Oct 2022



c) SMUD shall engage its workforce in personal and professional development.

The learning and development teams at SMUD are responsible for creating and implementing training courses and programs that cater to the professional growth and on-the-job development needs of employees. These learning objectives are closely linked with SMUD's Strategic Directives, and course offerings are reviewed at least quarterly to ensure alignment with the business strategy. The training courses are offered in a blended format, incorporating classroom, online, and self-directed learning to meet the diverse learning styles and preferences of employees. In 2022, we shifted into our Speed of Trust reinforcement and strengthening phase. A Trust sustainment collaborative (cross functional advisory team of leaders) was formed to determine a wholistic approach to cultivating organization trust. Three trust sustainment themes were identified: culture, communications, and learning. Corresponding actions included 8 Trust Foundations training sessions for leaders and staff across SMUD (61 employees), a new comprehensive set of Trust sustainment tools for all leaders, as well as post-class follow up consultations for staff across the business.

With the additional availability of online training courses via the LinkedIn Learning platform, 2022 showed nearly double the employee utilization. This significant growth in utilization is attributed to increased user comfort and adoption spurred by (but not limited to) new LinkedIn Learning development paths mapped to SMUD's competencies as well as DEIB's strategic goals; all while meeting custom learning path needs related to business goals and objectives (i.e., technical skills, project management, health and wellness, coaching and feedback, DE&I, and leading in a remote environment).

There were 2,507 employees who received virtual-classroom and computer-based training in 2022, with an average of 29 training hours per individual. We saw 799 employees leverage the LinkedIn Learning platform and complete courses totaling more than 2059 hours. We had a slight decrease in the average time spent on LinkedIn Learning from 2.77 in 2021 to an average of 2.57 in 2022. However, the total number of employees who took LinkedIn Learning nearly doubled from 472 in 2021 to 799 total employees in 2022. Mandatory training ranges from 6.25 to 36.25 hours depending on the employee's position and included enterprise-wide, cross-functional, and department-specific requirements. Course materials covered a wide range of topics including project management, Microsoft applications, leadership development, diversity and inclusion, and information technology (IT) skills.

Leadership Development

To complement the ongoing internal development opportunities afforded SMUD leaders, an external leadership development selection process is conducted annually to match applicants with a program that effectively meets their development needs and SMUD's business objectives. In 2022, we sent 23 employees to several local and regional leadership development programs including Nehemiah Emerging Leaders, WEI Business Acumen for Emerging Leaders, Asian Pacific Chamber Catalyst program, Leadership Rancho Cordova program, Leadership Elk Grove, Leadership Sacramento, Nueva Epoca, Leadership Folsom, and SMUD's (internal) Building Leadership Talent program.

Education Assistance

The education assistance benefit supports employees who are pursuing college degrees and developing their SMUD careers by completing certificates or taking individual classes that support our business. We offer up to \$5,000 per calendar year for qualified, regular full-time employees to partake in eligible programs, and up to \$2,500 for part-time employees. Many employees use the program to pursue an Associate's, Bachelor's or Master's degree in areas as wide-ranging as accounting, law, finance, human resource management, information technology, project management and organizational leadership.

d) SMUD's percentage of engaged employees as measured through the Engagement Index shall exceed 80%.

In 2022, we focused on responding to the results of our fall 2021 Employee Engagement Survey, which were previously shared with the Board. Those results included more data from an expanded number of DEIB questions (increased from five to ten) which allowed us to understand more fully employees' experiences of diversity, equity, inclusion and belonging. We also included in 2021 two new survey items about innovation and well-being.

Our 2022 response strategy had two components. First, we responded at an organizational level through development of our DEIB strategy, which includes a focus on powering a more inclusive culture. Specifically, the strategy sets meaningful goals and metrics for increasing psychological safety, belonging, transparency, and organizational commitment to DEIB. In addition, this fall we convened a cross-department stakeholder group of employees to develop a multi-year implementation plan to achieve the goals and metrics we've set for a more inclusive culture.

The second way we responded to our survey data was at the team level. Every leader who had an engagement report discussed the results with their team to understand what positive steps could be taken to improve. We also held two trainings, reaching 160 leaders, to support leader capability in interpreting their report, leading their team conversation and identifying meaningful actions that would result in higher engagement.

The action plans that resulted from these team-level conversations focused on themes such as improving communication, increasing opportunities for growth and development, giving employees more voice in shaping the work of the team, or improving work/life balance, to name some of the most frequent themes. Senior leaders also addressed themes around accountability, trust, and care for the employee experience that require senior leader attention. Taking meaningful action on engagement results was our Enterprise Performance Goal for Culture in 2022, and we achieved this goal with 96% of leaders developing and acting on that plan. We will conduct a pulse survey in 2023 to assess our progress.

- e) **SMUD shall use a broad mix of communication and outreach channels to ensure its recruitment activities reflect the diversity of the communities it serves.**

Talent Acquisition (TA)

In 2022, Talent Acquisition Partners (TAPs) pivoted to incorporate more online examination options to reach a broader audience of applicants and allow for flexibility in establishing eligibility lists. We continue to conduct employment outreach with educational institutions, including an enhanced partnership with Sacramento State University – leveraging their students as SMUD ambassadors within the community. TAPs maintain categorized contacts within the community to ensure outreach to underrepresented populations for recruitments. Marketing includes a combination of email distributions, job board postings, LinkedIn advertisements, and social media platforms, as well as Daily Updates to our most valuable network - our employees.

Employment Outreach and Partnerships

Improved collaboration among Talent Acquisition, Sustainable Communities, and Community Engagement resulted in the receipt of 15,413 external candidate applications in 2022.

SMUD's Regional Workforce Development program partnered with 54 community organizations to reach 3,346 youth and adults with career education and train 506 adults in new skills. This partnership placed 241 of these trainees into careers spanning several industries with emphasis given to 2030 Zero Carbon aligned skills and careers. The highlight of this partnership was the training and hiring of six SMUD's Powering Careers graduates. In 2023, SMUD is redoubling its zero carbon jobs training with new programs focusing on electric vehicle maintenance, electrician trainees, and construction electrification.

SMUD leveraged its Regional Workforce Development efforts to help diversify the pool of qualified and motivated candidates applying for SMUD positions. For example, SMUD recruited participants for its highly innovative Powering Careers program through our Solar Training program in partnership with Grid Alternatives. Grid Alternatives identified some of the top graduates from its highly diverse program targeting under-resourced communities. Two candidates from Grid's program ultimately applied for, participated in, and successfully graduated from SMUD's Powering Careers program.

Internships

With COVID restrictions easing up, SMUD was able to increase our internship offerings in 2022 from the previous year. We continued utilizing students in a mostly remote capacity with a few opportunities for on-site interaction with their business units and cohort. Whereas we've traditionally hosted in-person showcases for employees and community partners to learn about intern work, we continued to illustrate the student accomplishments and projects in a virtual setting.

Interns tackled a variety of important initiatives for the organization, including but not limited to the following:

- Name Pronunciation Project, designed to assist with the correct pronunciation of employees' names by providing an audio file link to the pronunciation in email signatures
- SEA Website Management
- Help Desk support for the Compaction Checking Algorithm project
- User acceptance testing supporting SMUD's SharePoint upgrade
- IT training documents to enhance the New Employee Orientation experience
- Datch pilot, allowing trades workers to fill out documents faster
- Lone-worker Safety Project, enabling field workers who work alone to alert others and dispatch help if they become incapacitated
- Long Duration Energy Storage Request for Information
- Biomass Gasification Research
- Outstanding data sharing requests for the Data Governance team

Powering Futures scholarships

Twenty-one recipients were awarded up to \$4,000 each and included local students registered in a degree program. Those with a demonstrated financial need pursuing majors related to careers in SMUD received preference. Along with the scholarships, students were also presented with an opportunity to receive a paid internship.

Powering Aggies and Powering Hornets Scholarship Programs

The Powering Aggies and Powering Hornets Scholarship programs were set up in 2018 to provide a scholarship for 1 student each from UC Davis and Sac State. Eligible students who majored in a SMUD-related career field (UC Davis) or Electrical Engineering (Sac State) were selected by their respective universities. In 2022, SMUD awarded the Powering Aggies winner \$1,800 and the Powering Hornets winner \$2,500.

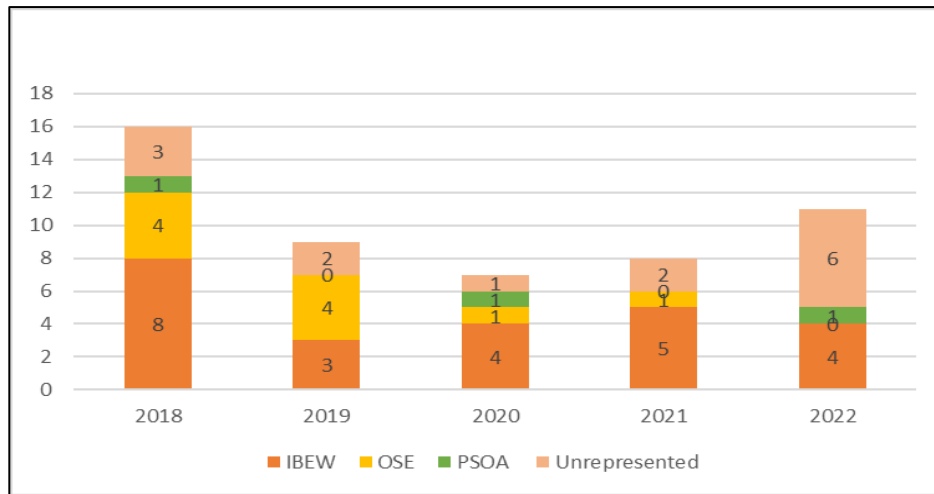
Internship Outreach

The internship program's current outreach strategy involves continuing to develop new relationships with universities after the COVID-19 Pandemic and redesigning our existing workshops and events to better meet the needs of our university partners. We designed a new outreach workshop labeled Through the Eyes of a Recruiter and presented it at UC Davis, Sac State, Chico, Los Rios College District, UOP, and Sierra College. The internship program team attended 24 events in 2022 and presented to more than 1,200 students. The outreach for SMUD's summer internship program saw a 90% increase going into 2023.

f) SMUD shall maintain and communicate written policies that define procedures and expectations for staff and provide for effective handling of grievances.

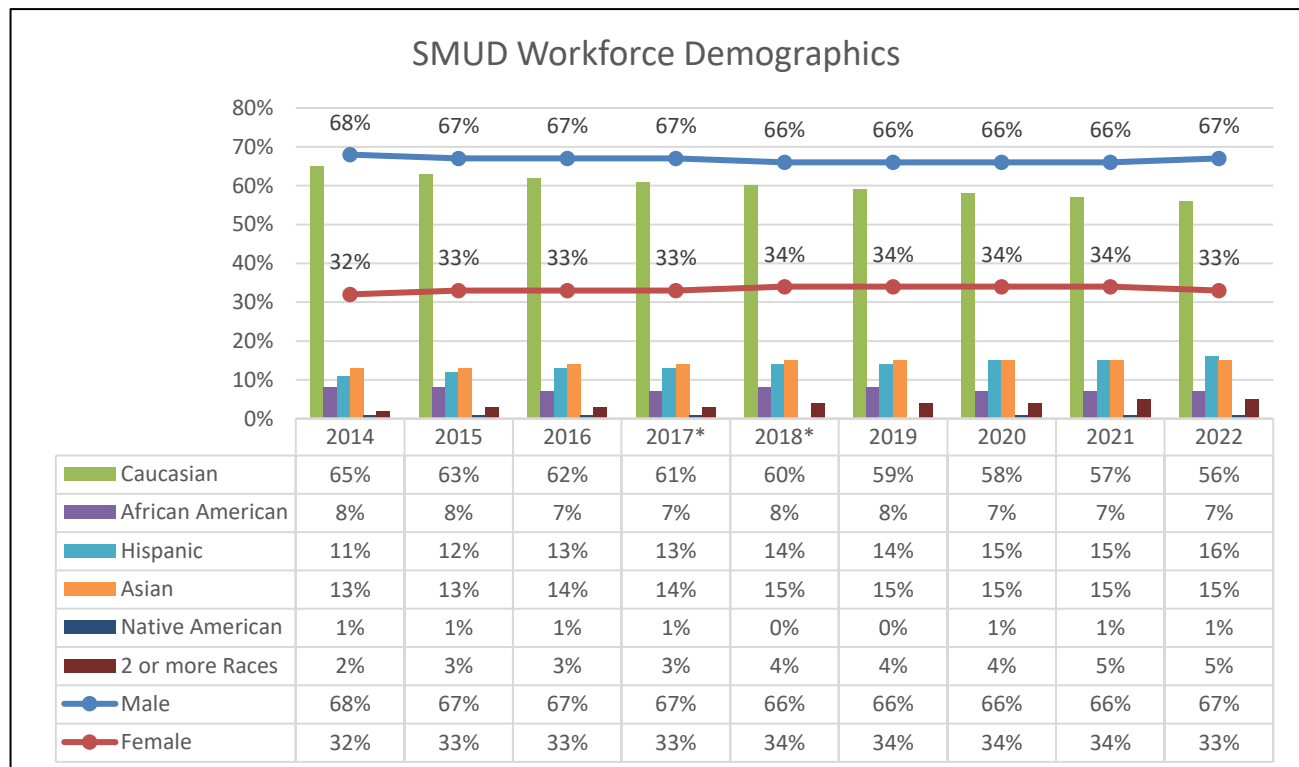
In addition to SMUD's Code of Business Ethics and Employee Conduct, its Employee and Labor Relations teams provided daily advice, guidance and counsel to employees on employee relations issues. Staff worked to ensure all employees (represented and unrepresented) understand SMUD policies and procedures, and that employees know and understand what their responsibilities are with respect to the Code of Ethics.

A total of 11 grievances were resolved in 2022.



- g) Annually, and consistent with State and Federal law, the Board shall receive a report detailing the demographics of the SMUD workforce, the available workforce, and the Sacramento region. The report shall also provide information on veterans as a part of SMUD's workforce.

The following chart provides demographic information about SMUD's workforce (excluding "casual" positions and members of the Board of Directors).



Percentages may not add up to 100% due to rounding.

Regional Demographics

	Sacramento, El Dorado & Placer Co. (Civilian) *	Sacramento Co. (Civilian) *	Sacramento Co. (Total Population)**
Caucasian	55%	48%	41%
African American	7%	9%	9%
Hispanic	20%	22%	24%
Asian	14%	17%	19%
Native American	0%	0%	0%
2 or more Races	4%	4%	7%
Male	52%	52%	51%
Female	48%	48%	49%

The "Civilian" labor force referenced in this chart represents residents aged 16 and older. These numbers exclude houseworkers, unpaid volunteers, institutionalized individuals, and U.S. Armed Forces Active Duty.

*2018 American Community Survey, 5-Year Estimates EEO

**2020 United States Census (April 1, 2020)

We saw a shift in SMUD's 2022 workforce demographics with Caucasian employees representing 56% of the workforce, down from 57% in 2021. This shift occurred as the representation of Hispanic employees increased by 0.8% in 2022. Employee turnover, which creates opportunities to hire, and our expanded outreach strategies are the likely drivers for this change as SMUD continues to develop its talent pipeline and build a workforce that reflects the diversity of the communities we serve.

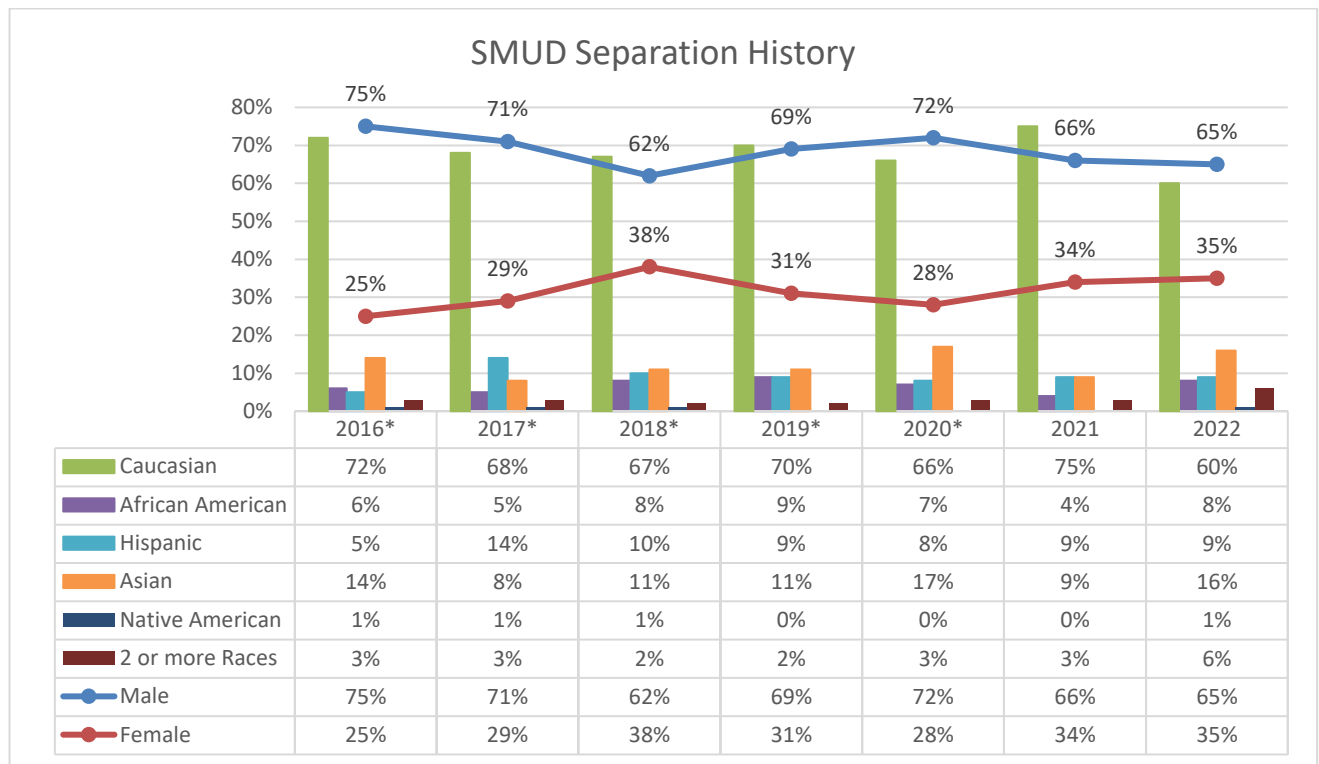
2022 SMUD Workforce Demographics by Employee Level

	Male	Female	Caucasian	African American	Hispanic	Asian	Native American	2 or more Races
Executives	60%	40%	50%	10%	0%	30%	0%	10%
Directors*	59%	41%	69%	9%	6%	9%	0%	6%
Managers*	62%	38%	69%	3%	7%	13%	1%	6%
Supervisors	66%	34%	62%	7%	10%	16%	0%	5%
Staff*	67%	33%	54%	7%	17%	15%	1%	5%

* Percentages may not add up to 100% due to rounding.

SMUD Separation History (Full-Time Employees Only)

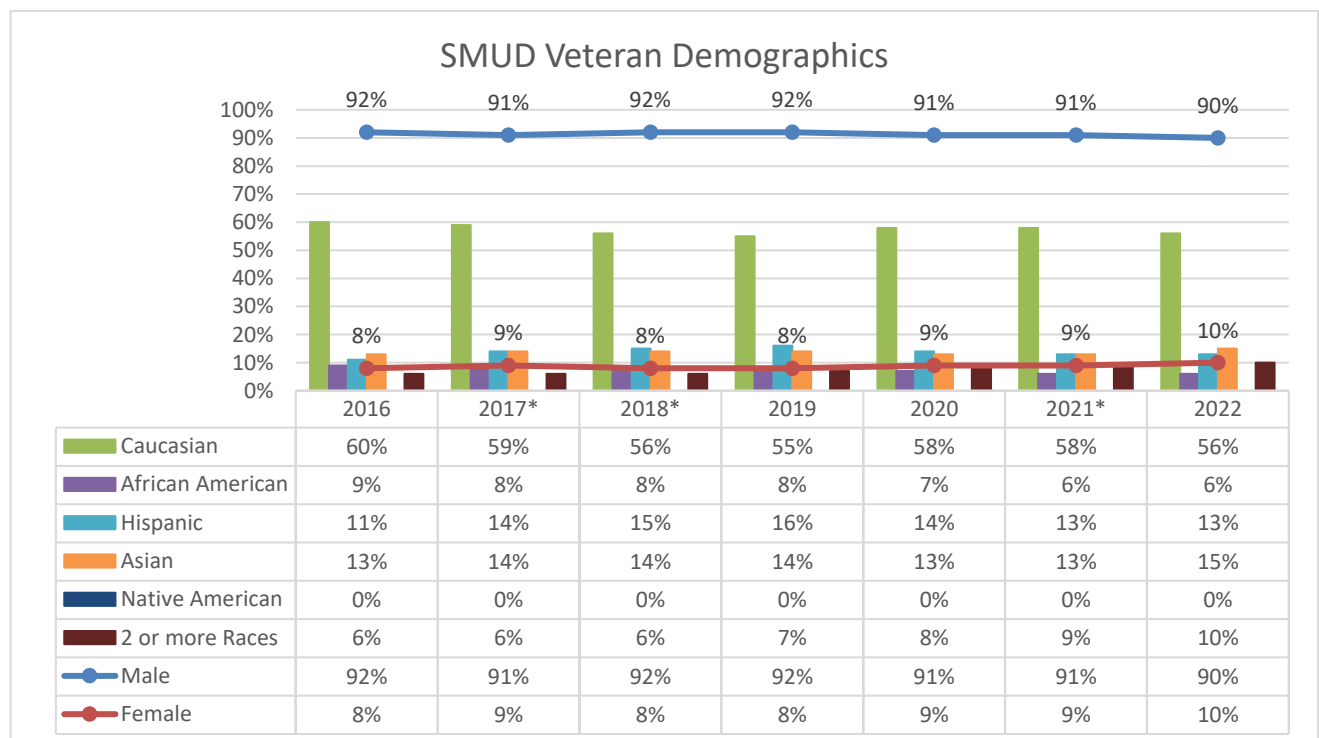
We saw a shift in the demographics of separating employees last year, with Caucasian employees representing 60% of the separations in the workforce in 2022, down from 75% in 2021. This shift was offset by an increase of 4% for African Americans employees, a 7% increase for Asian employees, and a 3% increase for employees with two or more races. People Services & Strategies is scoping enhancements to SMUD's on- and off-boarding processes, including opportunities for trend reporting and further exploration of themes in separation data.



* Percentages may not add up to 100% due to rounding.

Military Veterans in SMUD's Workforce

Veterans are a small but important part of SMUD's workforce. According to our records, Veterans comprised 4.5% of SMUD's workforce in 2022, down from 5.1% in 2021. This decrease is the result of 7 veteran retirements in 2022.



*Percentages may not add up to 100% due to rounding

SSS No. PSS 23-004

BOARD AGENDA ITEM

STAFFING SUMMARY SHEET

Policy Committee Meeting Date

May 10, 2023

Board Meeting Date

May 18, 2023

TO				TO			
1.	Claire Rogers			6.	Farres Everly		
2.	Jose Bodipo-Memba			7.			
3.	Suresh Kotha			8.			
4.	Jennifer Davidson			9.	Legal		
5.	Brandy Bolden			10.	CEO & General Manager		
Consent Calendar		Yes	No <i>If no, schedule a dry run presentation.</i>	Budgeted		Yes	No <i>(If no, explain in Cost/Budgeted section.)</i>
FROM (IPR)			DEPARTMENT			MAIL STOP	EXT.
Laurie Rodriguez			People Services & Strategies			B251	5628
DATE SENT							
4/13/23							
NARRATIVE:							
Requested Action: Accept the monitoring report for Strategic Direction SD-12, Ethics.							
Summary: This presentation provides the Board with the annual monitoring of SD-12, Ethics and confirms that SMUD is maintaining the public trust and confidence in the integrity and ethical conduct of the Board and SMUD employees.							
Board Policy: SD-12, Ethics <i>(Number & Title)</i>							
Benefits: Provide the Directors and Executive Staff with an overview of the Board Policy and give them an opportunity to ask questions, make corrections, additions or changes, if necessary.							
Cost/Budgeted: N/A							
Alternatives: N/A							
Affected Parties: All SMUD employees and Contractors							
Coordination: People Services & Strategies							
Presenter: Laurie Rodriguez, Director, People Services & Strategies							

Additional Links:

SUBJECT

SD-12, Ethics Board Monitoring Report

ITEM NO. (FOR LEGAL USE ONLY)

ITEMS SUBMITTED AFTER DEADLINE WILL BE POSTPONED UNTIL NEXT MEETING.

SACRAMENTO MUNICIPAL UTILITY DISTRICT

OFFICE MEMORANDUM

TO: Board of Directors

DATE: April 26, 2023

FROM: Claire Rogers *CR 4/26/23*

**SUBJECT: Audit Report No. 28007603
Board Monitoring Report; SD-12: Ethics**

Audit and Quality Services (AQS) received the SD-12 *Ethics* 2022 Annual Board Monitoring Report and performed the following:

- Selected a sample of statements and assertions in the report for review.
- Interviewed report contributors and verified the methodology used to prepare the statements in our sample.
- Validated the reasonableness of the statements in our sample based on the data or other support provided to us.

During the review, nothing came to AQS' attention that would suggest the items sampled within the SD Board Monitoring report did not fairly represent the source data available at the time of the review.

CC:

Paul Lau

Board Monitoring Report 2022

SD-12, Ethics



1. Background

Strategic Direction 12 states that:

Maintaining the public trust and confidence in the integrity and ethical conduct of the Board and SMUD employees is a core value. Therefore, to ensure the public interest is paramount in all official conduct, the Board shall adopt and update, as necessary: a Conflict of Interest Code as required by State law. SMUD shall also maintain and enforce a code of conduct applicable to all employees.

Among other things the code of conduct shall:

- a) Require high ethical standards in all aspects of official conduct;
- b) Establish clear guidelines for ethical standards and conduct by setting forth those acts that may be incompatible with the best interests of SMUD and the public;
- c) Require disclosure and reporting of potential conflicts of interest; and
- d) Provide a process for (i) reporting suspected violations of the code of conduct and policies through multiple channels, including an anonymous hotline, and (ii) investigating suspected violations.

2. Executive Summary

SMUD is in compliance with the requirements of SD-12.

Strategic Direction 12 requires SMUD to have a process to report potential conflicts of interest and a process for reporting and investigating suspected violations of the Code of Conduct.

Compliance is foundational for acting in the best interests of our customers and community. Several SMUD policies and procedures support the requirement of high ethical standards in all aspects of official conduct.

SD Requirement	Supporting Process/Procedure
a) Require high ethical standards	SMUD's Ethics policy (AP 05.02.03) sets the requirements and expectations for ethical behavior, including communication, training and other resources.

b) Establish clear guidelines for ethical standards and conduct	SMUD's Code of Business Ethics and Employee Conduct were updated and approved by the CEO & General Manager in 2020. SMUD's Ethics procedure (MP 05.02.03.100) was adopted in 2008 and updated in January 2021. SMUD's Conflict of Interest policy (AP 05.02.02) was adopted in 1998 and approved by the FPPC (Fair Political Practices Commission) in 2023.
c) Require disclosure and reporting potential conflicts of interest statements	Notice of filing requirements were sent to employees in March. 99% of the annual conflict of interest statements were received by the time this report was finalized.
d) Provide a process for reporting and investigating suspected violations of the code of ethics	SMUD's Whistleblower Anti-Retaliation policy (AP 05.01.03) was approved in 2014. SMUD's Complaint Process Policy (AP 05.01.04) was adopted in 2006 and updated in August 2022. SMUD's Ethics and Compliance Hotline has been in place since 2008.

3. Additional Supporting

Information Ethics Policy

In accordance with Board Policy SD-12 Ethics, SMUD developed the Code of Business Ethics and Employee Conduct, approved by the CEO & General Manager in 2020. This document supplements SMUD's State-law mandated Conflict of Interest Code and provides an easy-to-read explanation of SMUD's values and expectations for employee behavior. It also identifies various staff resources to obtain further guidance, as well as alternative methods to report suspected violations of SMUD's Code of Business Ethics. The Code provides a framework for how employees should act toward customers, vendors and each other. It also emphasizes that as a publicly-owned utility, SMUD and its employees must adhere to the highest ethical standards.

All new employees receive a copy of SMUD's Code of Business Ethics prior to or during new employee orientation and are required to review and submit a signed acknowledgement to People, Services & Strategies within 30 days of orientation. In addition, all contractors with unescorted access receive a copy of the Code when their background check is conducted. PS&S verifies Code acknowledgements on a quarterly basis to ensure signed acknowledgments are received from all new employees and contractors.

Ethics Training

Ethics training is a mandatory requirement for all SMUD employees. They are required to complete the training every 2 years on a fixed rotating schedule. New and returning employees have one year for completion while newly promoted leaders are required to take Ethics training within 90 days of promotion into their role. Course completion is tracked using SMUD's Learning Management System (LMS) and reported as part of SMUD's mandatory training statistics. The 2022 completion rate for employees with 2022 due dates is 99.59%.

For the 2022 course cycle, as of March 13th, 2023, a total of 243 employees have been assigned the training since January 1, 2022. In 2022, 242 employees completed the training, 1 employee is in-progress with 2022 due dates. The employees who were assigned the Ethics training are either 2021 new hires or are recently promoted leaders.

Disclosure and Reporting of Potential Conflicts of Interest

The Political Reform Act (Cal. Gov. Code §§ 81000, et seq.) requires certain government officials and employees to publicly disclose certain financial information relevant to the scope of decision-making for their positions with SMUD.

To maintain compliance, all employees in positions designated by the SMUD Board must complete and submit an annual Statement of Economic Interests, FPPC Form 700 (Conflict of Interest Statement). Incumbents of designated positions shall file an Assuming Office Statement within 30 days of starting their employment or beginning the new position. Employees in designated positions who leave SMUD shall file Leaving Office Statements within 30 days of their final dates of employment.

The annual Conflict of Interest Statements are public documents filed with Corporate Records or in the designated record repository. PS&S sent financial disclosure materials electronically to designated employees in March and successfully met the FPPC filing deadline of April 3. At the time of this report, 99% percent of the annual Conflict of Interest Statements from SMUD officials and designated employees were received. PS&S staff follows up to ensure total compliance. In the rare event that full compliance is not achieved, SMUD is obligated to report violations to the FPPC for enforcement. This has occurred only two times in the last decade.

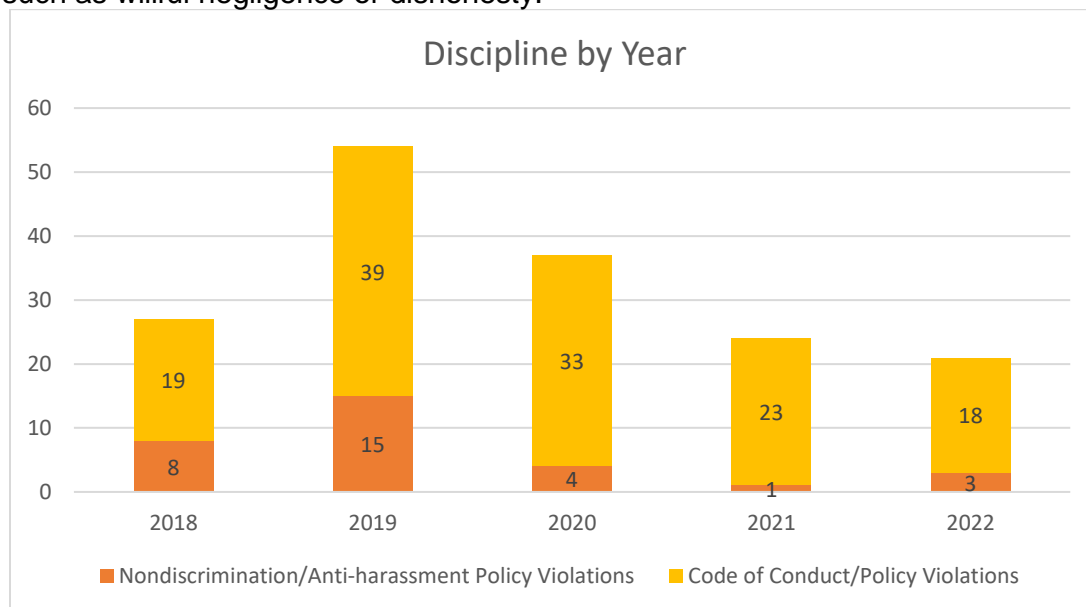
Process for Reporting and Investigating Suspected Violations

SMUD holds its employees to a higher standard than that required by law and is committed to providing a work environment in which all individuals are treated with dignity and respect. SMUD encourages employees to bring concerns about potential legal violations or violations of SMUD policies to the attention of a SMUD leader. All SMUD leaders are required to immediately report all complaints they receive regarding suspected policy violations to the Fair Employment Office. An employee who believes that they are unable to make a complaint through their management reporting line may report complaints directly to the Fair Employment Office, Labor Relations, Internal Auditor's or General Counsel's Office. Additionally, SMUD has contracted with Navex Global Compliance since November 2008 to operate an anonymous Ethics and Compliance Hotline. This hotline can be used by employees to file complaints anonymously should they so

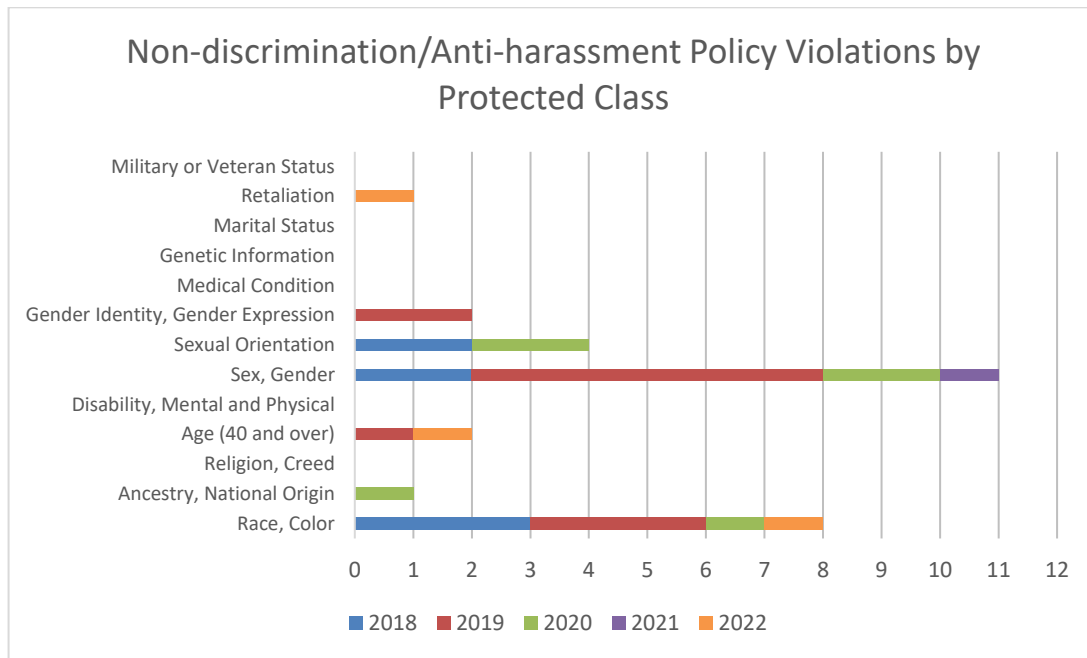
choose, either online or by calling Navex Global Compliance directly. As part of SMUD's Complaint Process and Whistleblower Anti-Retaliation policies, a Whistleblower Committee was established to review and act, when appropriate, on hotline/whistleblower complaints. The committee is comprised of representatives from the General Counsel's office, Audit & Quality Services and PS&S, including members of our Fair Employment Office and Labor Relations team.

In addition to investigating potential violations of SMUD's Nondiscrimination, Anti-Harassment and Non-Retaliation Policy (AP 05.01.01) and Code of Ethics, Labor Relations and Fair Employment analysts also advise, consult with and support leaders on recommended action and coaching to address problematic behaviors and attitudes among the workforce that are not necessarily prohibited by law. This includes working with a leaders' leader or senior leadership when improved leadership skills would benefit relationships. These proactive measures play a critical role in a culture where all employees are respected and valued.

The following chart illustrates discipline issued to employees between 2018-2022. Summarized below are the disciplines issued for violations of SMUD's Nondiscrimination, Anti-Harassment and Non-Retaliation Policy (AP 05.01.01) as well as discipline for misconduct/policy violations under SMUD's Positive Discipline Policy (AP 05.02.09) including dishonesty, bullying, discourteous behavior, unprofessional conduct, driving policy violations, insubordination, conflicts of interest and unethical behavior. The below reporting does *not* include discipline related to safety incidents (e.g. preventable vehicle accidents), attendance (tardiness and/or absences) or work performance unless there was a conduct component covered by SMUD's Code of Business Ethics & Employee Conduct, such as willful negligence or dishonesty.



The chart shown next indicates violations of SMUD's Non-discrimination, Anti-Harassment and Non-Retaliation Policy (AP 05.01.01) as they relate to protected categories for FEO investigations that occurred in the past five years.



4. Challenges

Completing training and obtaining necessary documents can be a challenge for employees on any type of extended leave. Broad or anonymous complaints are sometimes filed without supporting and/or contact information to allow for follow-up and further investigation.

5. Recommendations

As reflected in this report, SMUD has achieved the goals set forth in SD-12 for maintaining the public trust and confidence in the integrity and ethical conduct of the Board and SMUD employees. The policies, guidelines, staff training and monitoring and reporting components have played a part in ensuring high ethical standards in all areas of conduct and in operations.

It is recommended the Board accept the monitoring report for Strategic Direction 12.

6. Appendices

N/A

SSS No.

BOD 2023-004

BOARD AGENDA ITEM

STAFFING SUMMARY SHEET

Committee Meeting & Date

Policy – May 10, 2023

Board Meeting Date

N/A

TO				TO						
1.	Jennifer Davidson			6.						
2.	Suresh Kotha			7.						
3.	Brandy Bolden			8.						
4.	Farres Everly			9.	Legal					
5.				10.	CEO & General Manager					
Consent Calendar		Yes	<input checked="" type="checkbox"/>	No <i>If no, schedule a dry run presentation.</i>		Budgeted	<input checked="" type="checkbox"/>	Yes	No <i>(If no, explain in Cost/Budgeted section.)</i>	
FROM (IPR) Dave Tamayo / Karen Wilfley				DEPARTMENT Board Office				MAIL STOP B304	EXT. 6154	DATE SENT 3/24/23
NARRATIVE:										
Requested Action:		Allow the Board of Directors an opportunity to monitor existing policies: Governance Process GP-11 Board Review of Internal Records; Governance Process GP-14 External Auditor Relationship; and Board-Staff Linkage BL-5, Unity of Control as part of the Board policy monitoring process.								
Summary:		A schedule to monitor Board policies was agreed upon by the Policy Monitoring Ad Hoc Committee. Monitoring established policies creates a better understanding of the policies and gives the Board an opportunity to make corrections, additions, or changes, if necessary.								
Board Policy: <i>(Number & Title)</i>		This monitoring supports GP-2 Governance Focus which states that the Board will direct, evaluate, and inspire the organization through the establishment of written policies which reflect the Board's values.								
Benefits:		Monitoring policies helps ensure the policies are current and in keeping with the current will of the Board.								
Cost/Budgeted:		Included in budget								
Alternatives:		Not review these policies at this time.								
Affected Parties:		Board of Directors								
Coordination:		Karen Wilfley, Interim Special Assistant to the Board								
Presenter:		Dave Tamayo, Policy Chair								

Additional Links:

SUBJECT

Board Monitoring of GP-11, GP-14, BL-5

ITEM NO. (FOR LEGAL USE ONLY)

ITEMS SUBMITTED AFTER DEADLINE WILL BE POSTPONED UNTIL NEXT MEETING.

SMUD BOARD POLICY	
Category: Governance Process	Title: Board Review of Internal Records
	Policy Number: GP-11
Date of Adoption: December 19, 2002	Resolution No. 02-12-14
Revision Date: October 16, 2003	Resolution No. 03-10-14

Board members may review any record of SMUD at any time, so long as confidentiality requirements are followed.

Specifically:

- a) Board member requests to inspect SMUD records shall be forwarded to the General Manager, who will provide the requested files for review on SMUD premises.
- b) No confidential or original documents shall be taken from SMUD premises except with the authorization of the General Manager.
- c) Board members shall follow the same confidentiality requirements applicable to SMUD employees dealing with such files. SMUD employee personnel files will not be subject to Board review except as permitted by law.
- d) The Board Office shall maintain a log of all copies of documents requested by Board members. The log will be available for inspection by members of the public during working hours.

Monitoring Method: Board Report
Frequency: Annual

SMUD BOARD POLICY	
Category: Governance Process	Title: External Auditor Relationship
	Policy Number: GP-14
Date of Adoption: August 21, 2008	Resolution No.: 08-08-14
Revision Date: March 17, 2020	Resolution No.: 20-03-04

The Board is responsible for hiring SMUD's external auditor to perform the annual independent audit.

Specifically:

- a) The Board will make the choice of external auditor, based on input from staff and others it deems necessary to exercise prudent, independent judgment.
- b) After consulting with Board members, the Chair of the Finance and Audit Committee shall meet with the external auditor after the audit is complete. The meeting will be independent of staff. The Board member(s) will report their findings to the Board on a timely basis.

Monitoring Method: Board Report
Frequency: Annual

SMUD BOARD POLICY	
Category: Board-Staff Linkage	Title: Unity of Control
	Policy Number: BL-5
Date of Adoption: December 19, 2002	Resolution No. 02-12-14
Revision Date: October 16, 2003	Resolution No. 03-10-14
Revision Date: June 15, 2006	Resolution No. 06-06-05

Only decisions of the Board acting as a body are binding on the General Manager, the General Counsel, and the Internal Auditor.

Specifically, in or out of the Board meeting:

- a) Decisions or instructions of individual Board members, officers, or committees are not binding on the General Manager, General Counsel or Internal Auditor except in 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 General Manager, General Counsel or Internal Auditor must refuse such requests that require, in their opinion, a material amount of staff time, or funds, or are disruptive.
- c) Board members may communicate directly with SMUD employees or contractors. However, the Board as a body and the Board members will never give direction to persons who report directly or indirectly to the General Manager, with the exception of the General Counsel, Internal Auditor and Special Assistant. If individual Board members are dissatisfied with the response they receive, they may seek a resolution by the Board.
- d) Board Members will refrain from evaluating, either formally or informally, any staff. The Board as a body will refrain from evaluating, either formally or informally, any staff other than the General Manager, the General Counsel, the Internal Auditor, and the Special Assistant.

Monitoring Method: Board Report

Frequency: Annual

SSS No.

BOD 2022-014

BOARD AGENDA ITEM

STAFFING SUMMARY SHEET

Committee Meeting & Date

Policy Committee 5/10/23

Board Meeting Date

N/A

TO					TO				
1.	Jennifer Davidson				6.				
2.	Suresh Kotha				7.				
3.	Brandy Bolden				8.				
4.	Farres Everly				9.	Legal			
5.					10.	CEO & General Manager			

Consent Calendar		Yes	<input checked="" type="checkbox"/>	No <i>If no, schedule a dry run presentation.</i>	Budgeted	Yes	No <i>(If no, explain in Cost/Budgeted section.)</i>		
FROM (IPR)				DEPARTMENT			MAIL STOP	EXT.	DATE SENT
Heidi Sanborn / Karen Wilfley				Board Office			B307	5079	12/22/2022

NARRATIVE:

Requested Action: Enable the Board of Directors and Executive Staff an opportunity to review the Board Work Plan.

Summary: The Board President reviews the Board Work Plan at the Policy Committee meeting to ensure agenda items support the work of the Board.

Board Policy: This review of the work plan supports GP-6 Role of the Board President which states that the Board President shall give progress reports on the Board's work plan.
(Number & Title)

Benefits: Reviewing the Work Plan allows the Board members and Executive staff to make changes to the Work Plan and Parking Lot items as necessary.

Cost/Budgeted: Costs included in budget.

Alternatives: Not review the Work Plan at this time

Affected Parties: Board and Executive staff

Coordination: Special Assistant to the Board

Presenter: Heidi Sanborn, Board President

Additional Links:

SUBJECT	Board Work Plan	ITEM NO. (FOR LEGAL USE ONLY)
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ITEMS SUBMITTED AFTER DEADLINE WILL BE POSTPONED UNTIL NEXT MEETING.

SSS No.

BOD 2022-018

BOARD AGENDA ITEM

STAFFING SUMMARY SHEET

Committee Meeting & Date

Policy Committee 5/10/23

Board Meeting Date

N/A

TO				TO				
1.	Jennifer Davidson			6.				
2.	Suresh Kotha			7.				
3.	Brandy Bolden			8.				
4.	Farres Everly			9.	Legal			
5.				10.	CEO & General Manager			
Consent Calendar		Yes	<input checked="" type="checkbox"/>	No <i>If no, schedule a dry run presentation.</i>		Budgeted	Yes	No <i>(If no, explain in Cost/Budgeted section.)</i>
FROM (IPR) Dave Tamayo / Karen Wilfley				DEPARTMENT Board Office			MAIL STOP B307	EXT. 5079
DATE SENT 12/27/22								
NARRATIVE:								
Requested Action: A summary of directives provided to staff during the committee meeting.								
<p>Summary: The Board requested an on-going opportunity to do a wrap up period at the end of each committee meeting to summarize various Board member suggestions and requests that were made at the meeting in an effort to make clear the will of the Board. The Policy Committee Chair will summarize Board member requests that come out of the committee presentations for this meeting.</p> <p>Board Policy: GP-4 Agenda Planning states the Board will focus on the results the Board wants the organization to achieve. <i>(Number & Title)</i></p> <p>Benefits: Having an agenda opportunity to summarize the Board's requests and suggestions that arise during the committee meeting will help clarify what the will of the Board.</p> <p>Cost/Budgeted: Included in budget</p> <p>Alternatives: Not summarize the Board's requests at this meeting.</p> <p>Affected Parties: Board of Directors and Executive Staff</p> <p>Coordination: Special Assistant to the Board</p> <p>Presenter: Dave Tamayo, Policy Chair</p>								

Additional Links:

SUBJECT

Summary Of Committee Direction - Policy

ITEM NO. (FOR LEGAL USE ONLY)

ITEMS SUBMITTED AFTER DEADLINE WILL BE POSTPONED UNTIL NEXT MEETING.