APWA

Accreditation

2019 EVALUATOR REFERENCE GUIDE

ACCREDITED AGENCY
APWA

CONTENTS

SYNOPSIS

Goal

To provide a resource for APWA trained evaluators for accreditation site visits.

Individuals are selected to serve on APWA evaluation teams based on their academic, administrative and/or practical experience and expertise. All APWA evaluators must have undergone formal training by APWA prior to participating on an evaluation team. The APWA seeks evaluators who are competent by virtue of experience and training; sensitive to the uniqueness of the institutional mission; and impartial, objective, and without conflict of interest.

The primary goals of the APWA Evaluator Training Program are to

- Familiarize evaluators with current APWA policies, procedures and standards;

- Provide evaluators with practical examples;

- Promote collegial relationships among individuals;

- Encourage dialogue about the interpretation of APWA accreditation standards;

- Ensure consistency in the application of accreditation standards; and

- Communicate to prospective on-site evaluators how to participate appropriately and effectively as representatives of APWA.

I. Introduction

1.1 Purpose of the Evaluator Reference Guide

This guide orients evaluators to the use of the APWA *Public Works Management Practices Manual*; the APWA Accreditation Council Procedures; and the APWA Management Practices Self-Assessment Software during self-assessment, peer review, and the voluntary accreditation site visits.

The site visit is essential to engage agency staff and to inspect facilities and equipment. Using interviews and field tours, evaluators form judgments about the compliance with Public Works Management Practices. The agency receives objective feedback and consultation from the site visit team.

Since site visit teams are assembled from evaluators with different backgrounds and experience, the standards of observation, reporting, and verification must demonstrate fairness, thoroughness, and consistency both during the site visit, and during visits to other communities. The Evaluator Reference Guide provides a common framework in which to apply APWA procedures and references on self-assessment, peer review, and voluntary accreditation.

II. Self-Assessment and Accreditation Structure

2.1 Accreditation Council

The Accreditation Council (The Council) is appointed by the APWA President to determine the policies and criteria for accreditation, grants agency accreditation and re-accreditation, and approves revisions to the Public Works Management Practices Manual. The Council is comprised of public works professionals and members of allied professions such as city/county management, government finance, law, public administration, human resource management, planning, and others involved in administration of local, regional, state, provincial, and federal government agencies.

2.2 APWA Program Manager

The APWA Program Manager manages inquiries and application processing; selection and training of evaluators; site visits including travel and expense administration; and direction of the self-assessment, peer review, and voluntary accreditation processes. The APWA Program Manager is responsible for the updating of the Public Works Management Practices Manual, Self-Assessment Software and related accreditation publications including process handbooks, forms, and applications.

2.3 Accreditation Site Visit Team

The accreditation site visit team is comprised of volunteer evaluators who assess the practices of agencies that apply for Voluntary Accreditation. The site visit team gathers evidence on the candidate agency's compliance with applicable Public Works Management Practices and makes a recommendation to The Council regarding accreditation.

Evaluators for a site visit are selected by the APWA Program Manager, who is responsible for the logistics of the site visit. The conduct of the site visit team is the responsibility of the team leader. The APWA Program Manager accompanies the site visit team on accreditation site visits to monitor the process and to assist the team leader.

Re-Accreditation site visits occur every four years. There are two forms of re-accreditation visits: staff-led and evaluator-led. Staff-Led visits provide an APWA Program Manager to accompany the site visit team. This type of site visit will typically occur for an agency having their first re-accreditation review.

The evaluator-led site visit consists of a team leader and one evaluator. The APWA Program Manager is still involved in the site visit through monitoring of the progress back at APWA headquarters. The APWA Program Manager is available throughout the site visit to answer any questions or address any concerns from either the team or the agency.

Re-Accreditation site visits are evaluated to determine if they meet the criteria to be evaluator-led (EL) or require an APWA Program Manager. If selected as an evaluator-led site visit, the APWA Program Manager will be assisting the team remotely.

III. Evaluator Selection

3.1 Evaluator Motivation
Evaluators are encouraged to volunteer for reasons of advancement in their profession, knowledge, travel, observation, and contribution to the public image of the profession. Evaluators must have approval from their employers to participate.

3.2 Number of Assignments
Since the work of evaluators extends before and after the site visit, there is a practical limit to the number of site visits that can be accommodated by an evaluator and his/her supporting agency and his/her personal time. As a guideline, evaluators are requested to participate in **one** site visit per year.

3.3 Evaluator Employment
Potential evaluators must be from an accredited agency and should have at least five or more years of experience in responsible positions with a public works agency. Ideally, evaluators should have significant experience as a mid-level manager; and site visit team leaders should have five or more years of experience as a public works agency or utilities director or deputy, or experience as an accreditation manager for an accredited agency.

3.4 Personal Suitability
Potential evaluators should be diplomatic, subjective, and empathetic to cope successfully with agency and personal stress during site visits. The ability to communicate verbally in writing and via internet is a key factor.

3.5 Evaluator Availability
Potential evaluators need support from their agencies to be available at relatively short notice for assignment to site visits. Ideally, employers will consider APWA site visits as important job training for professional employees. With potential caseloads of one or more visits per year, agency support is an important consideration.

An Agency prepares for its site visit, to gauge the degree of readiness, an Agency is encouraged by the APWA Program Manager to have peer review. The APWA Program Manager will recommend an evaluator or staff from an Accredited agency to perform a peer review. The peer review will provide the agency an opportunity to have their management practices examined with more objectivity than can be achieved in an internal review.

3.6 Conflict of Interest
Potential evaluators will be expected to voluntarily sign a "Conflict of Interest" statement which affirms the evaluator has not been, nor is now, paid as a consultant for self-assessment or accreditation by any agency applying for self-assessment or accreditation.

A non-governmental self-regulation organization that fails to provide "fair procedure" may be held liable for damages under the common law. "Fair Procedure" requires notice and an opportunity to be heard. It also requires a process free from unlawful conflicts of interest.

The basic conflicts rules are simple enough. No actual conflict can be tolerated. Thus, potential official participants who are in fact biased must be excluded. Therefore, no appearance of conflict, as defined, may be allowed. Specifically, refusal is mandated for

- persons with a tangible pecuniary interest in the outcome of the matter.

- persons who have been the target of personal abuse by any party directly concerned.

- persons "enmeshed" in other matters with any party.

- persons who have previously been involved in the process in another capacity.

- Persons with actual bias must be disqualified from any official involvement in the matter being resolved.

- No person may serve in more than one capacity (i.e., staff member, Council member, or appeals panelist) in connection with any matter being reviewed.

- Any person not otherwise required by these rules to excuse him/herself, but who feels for other reasons incapable of adequately performing his/her responsibilities, should disqualify him/herself.

- The fact that the application of these rules would prevent investigation or adjudication of a particular matter shall not result in the waiver or disregard of these requirements.

- Refusal should be formally noted in the record as to where not to do so would raise an inference that the individual in issue did participate.

> *"If you aren't sure if a conflict exists, ask the APWA Program Manager."*

IV. Evaluator Training

4.1 Objectives
A trained Evaluator will demonstrate

- a knowledge of *Public Works Management Practice Manual* chapters and practices;

- the capability to enter, retrieve and manipulate data using the APWA Self-Assessment Software;

- familiarity with the candidate agency jurisdictional responsibilities as gained from explanatory material;

- the ability to conduct focused interviews regarding compliance with practice statements;

- the aptitude to develop rapport with agency personnel;

- consistency in evaluations.

4.2 Resources
Evaluators will be furnished with

- the *Public Works Management Practices Manual*;
- Samples of agency reports and findings;
- Access to the APWA Self-Assessment Software;
- APWA Accreditation Evaluator Reference Guide.

4.3 Sessions
Evaluators are required to attend a one-day introductory training seminar. Evaluators must participate in a refresher training course at least every three years.

4.4 Evaluator Profile in Self-Assessment Software
Intentionally left blank. Instructions to be included after software testing is completed.

V. Site Visit Team Selection, Accountability & Logistics

5.1 Contact with Agency Director
Contact with the candidate agency will be made by the APWA Program Manager.

5.2 Site Visit Planning
The APWA Program Manager coordinates the site visit planning with the host agency. However, since the outcome of the voluntary accreditation process is public, there is a need for documentation of initial findings as well as an overview of the objectives and methodology of the accreditation process.

5.3 Site Visit Team Selection
The APWA Program Manager will review the agency's application to determine if specific areas of expertise in an evaluator would benefit the site visit.

Evaluators are selected based on the region where they are from. Evaluators will not participate in a site visit within their state.

The selection of the team leader and evaluators is based on availability and areas of expertise. The APWA Program Manager will send an email to selected evaluators extending the opportunity to participate in the site visit. This process will continue until all slots for the team are confirmed. It is the preference to confirm the team at least 30-45 days prior to the site visit.

5.4 Team Leader Required Qualifications
Team leaders are normally drawn from the pool of experienced evaluators or have comparable experience related to public works. A team leader must have significant successful experience in dealing with elected officials, senior appointed officials, regulatory agencies, and the media in the context of public works.

Team leaders will normally have served as agency Director or Deputy Director for a public works agency; served as a division manager for a public works department, or as an accreditation manager of a public works department. Team leaders will normally have at least four site visits as an Evaluator.

Team leaders will exhibit the necessary interpersonal skills, including effective communication, delegation, task orientation and personal commitment that are associated with effective leadership under difficult or complex circumstances.

5.5 Managing the Site Visit
The site visit team leader reviews interview process, production and quality continuously throughout the site visit. The team leader may adjust interview assignments to meet target timelines.

5.6 Opening & Closing Remarks
The site visit team leader conducts the entry and exit interviews of the agency.

5.7 Contact with the Media
The role of the media in the site visit will be determined by the candidate agency. Where necessary, the site visit team leader acts as spokesperson for the site visit team, the accreditation process and the APWA.

5.8 Evaluator Evaluation
The site visit team leader should complete an exit interview with each evaluator; and complete an evaluator assessment report for review by the APWA Program Manager. This report is focused on the observed skills of evaluators in reviewing their assigned chapters.

5.9 Recommendation
The APWA Program Manager will draft a letter of recommendation and send it to the site visit team leader for review and signature. It is then returned to the APWA Program Manager for submission to the Accreditation Council within forty-five days of completion of the site visit.

5.10 APWA Travel Policy
Evaluators are subject to APWA travel guidelines and a current copy of APWA travel instructions will be provided with each evaluator package. In general, APWA will pay for the airfare expenses and the host agency will pay for the hotel for the site visit. There may be out of pocket expenses during the site visit. APWA will pay for authorized expenses upon receipt of a completed expense reimbursement request using Expensify (www.expensify.com) and itemized receipts. All reimbursement requests **MUST** be submitted within 30 days of the site visit. Requests submitted later may not be approved for reimbursement.

APWA does not reimburse for alcohol or entertainment of any type. Those items are the sole responsibility of the evaluator.

5.11 Travel Arrangements

Evaluators will receive a travel authorization number from travel@apwa.net and instructions on how to make their travel reservations using Egencia (www.egencia.com). All travel arrangements must be made through Egencia. Prior to making travel arrangements, evaluators will be directed to create a profile on Egencia. Egencia also has an app which can be downloaded from the iTunes or Google Play store for your convenience. The APWA Program Manager will provide travel arrival times parameters in order to minimize the wait time for any of the evaluation team; however, there is no guarantee you may have to wait at the airport for the rest of the team to arrive. No deviations from these arrangements are authorized without prior staff approval.

When making your travel arrangements, the Egencia system knows the details of the accreditation travel policy so items outside of the policy will be flagged and require approval from the APWA Program Manager.

The APWA Program Manager will reserve the rental car. If the site visit is for a re-accreditation and is identified as an evaluator-led, the team leader will be responsible for reserving the car, paying for it and the fuel. Those expenses should be submitted for reimbursement with the applicable receipts.

When the car is rented by the team leader, APWA strongly encourages you to purchase the rental car insurance and to conduct a pre and post-inspection of the rental car. A quick walk-around video or pictures on your phone is suggested. APWA will reimburse for the rental car cost and insurance. APWA **WILL NOT** be responsible for or reimburse you for any damages to the rental car or any related charges from the rental car company.

5.12 Site Visit Materials

The following information is provided to the evaluators via email prior to the site visit:

Site Visit Schedule: The schedule includes a detailed layout of the day-to-day activities including chapter review responsibilities.

Overview Report: A detailed report reflecting the agency's responses to the practices within the Self-Assessment Software.

Mid-Term Report: For re-accreditation site visits only, the report provides an organizational and department update to staffing or structure change and progress on any identified substantial compliance practices from the previous site visit.

Access to the Self-Assessment Software for Evaluator Scoring: Available through a web-based link, allows for automatic tabulation of all results and comments entered by the evaluators.

Expense Reimbursement Link, Guidelines & Instructions: Used for the intent to request reimbursement for allowed expenses incurred as a result of the site visit.

Team Leader Opening Script: Comments intended to provide guidance during the opening comments of the site visit.

Team Leader Closing Remarks: Wrap up comments including review of the site visit results.

5.13 Accident Reporting

When traveling or working for APWA as an evaluator, it is important to timely report any accident or injury.

- First, go to the nearest medical facility if emergency treatment is needed.

- Second, notify the team leader and the APWA Program Manager within 24 hours of the accident or injury.

- Third, the APWA Program Manager will report the situation to the APWA HR/Office Services department. If a follow-up statement is needed, APWA HR/Office Services will contact the injured individual directly to file a report with the appropriate insurance parties.

"Safety First — Be aware of your surroundings."

VI. Public Works Management Practices

6.1 Purpose of the Management Practices Manual

The *Public Works Management Practices Manual* is reviewed every three (3) years by a subcommittee of public works professionals from accredited agencies.

The management practices contained in the *Public Works Management Practices Manual* are statements which provide general guidelines on what a public works agency should be doing—not how it should be done.

6.2 Elements of a Management Practice

Each management practice consists of two elements: a formal practice statement (in bold, **blue** font), followed by a commentary (suggested methods of compliance). For example;

2.12 Training Goals

The training goals of the agency are established and periodically reviewed.

Training goals should be consistent with the agency's mission, vision, and value statements. These goals provide the basis for developing all training programs, choosing teaching methods and evaluating performance.

The *practice statement* is a declarative sentence or paragraph that places one or more clear-cut requirements on an agency. For instance, the development and implementation of written directives, orders, policies, plans, or procedures. Other statements require an activity, a report, or other action or observable condition. The *commentary* supports the practice statement but is not binding. It is a prompt for guidance to clarify the intent of the practice. It can be an example of one possible way to comply with the practice. An agency has the latitude to determine "how" it will comply with applicable practices.

6.3 Applicability of Management Practices

Agencies may have different mandates, responsibilities, or functions.

For a given agency, management practices are either applicable, not applicable, or granted a waiver by APWA.

Applicable practices are those in which the agency assumes the lead role or has jurisdictional responsibility. Applicable practices may include services which are a contracted duty.

If the practice is not applicable, the agency must provide justification.

The first nine chapters of the manual are applicable to **ALL** agencies because they cover the administrative functions critical to the successful and safe operation of every agency regardless of size or functional responsibilities.

Waivers for specific practices may be requested for agencies that cannot comply due to legislation, labor agreement, court orders, case law, or other legitimate reasons. The agency must submit the request for the waivers in writing, citing the extenuating circumstances that preclude the agency from complying with the recommended practice to the APWA Program Manager prior to the site visit. Simply not having funding or staff resources will not be considered a valid reason for non-compliance.

6.4 Documentation of Management Practices

Most public works management practices are supported by a written directive to comply with a rule, regulation, general or special order, policy, or procedure. Often, an ordinance, bylaw regulation, or statute can serve as a written directive.

A *policy* is a broad statement of agency principle (the why).

A *procedure* is a step-by-step guideline for activities (the how).

A *plan* is a detailed proposal for doing or achieving something.

6.5 Management Practices with Multiple Requirements

Multiple requirements may exist for a single practice. Each requirement must individually demonstrate proof of compliance for the entire practice to be considered compliant.

1.5 Code of Ethics

The agency has developed, adopted, and distributed a copy of ethics or standards of professional conduct and ethics training is conducted periodically.

Requirements: The agency must show the ethics statement **and** provide proof of employee training for ethics.

6.6 Additional Acceptable Documentation

Management practices compliance may be met through agency-developed policies or acknowledgement of following guidelines established by outside resources, i.e. federal, state or professional standards. E.g. Adoption of the MUTCD or APWA Color Code and Utility Marking Guidelines.

VII. Self-Assessment, Peer Review and (Re)-Accreditation Process

7.1 Strategic Goals
The Self-Assessment and Accreditation Processes support the strategic goals of APWA:

- Define the value of public works and enhance its visibility/awareness
- Be the voice of public works to government leaders and media
- Ensure excellence in education and credentialing
- Create a dynamic membership and chapter model

7.2 Purpose of Self-Assessment
Self-Assessment is a powerful technique to improve program delivery, to encourage effective management, and to develop analytical skills among public works professionals. The self-assessment process is conducted by and within the agency and may not result in public accountability reporting. However, the process of self-assessment is expected to reflect excellence in education and credentialing, in accordance with the APWA Strategic Goals. As a result, the self-assessment is supported by advice from The APWA Program Manager and by "agency to agency" cooperation and information exchange. The self-assessment process is also a first step towards APWA Voluntary Accreditation.

7.3 Determining Compliance
The agency determines if its practices meet the recommended compliance requirements. Levels of compliance are

- **Full Compliance (FC)** – Fully complies with the practice, without exception.
- **Substantial Compliance (SC)** – Indicates the agency consistently meets all major provisions of the practice. However, it may be lacking in one area or the practice may not have been implemented so that success is unable to be demonstrated at the review.
- **Partial Compliance (PC)** – Indicates the agency meets some of the provisions of the practice; additional work needs to be completed to achieve accreditation.
- **Non-Compliance (NC)** – Indicates the agency fails to meet the provision of the practice.
- **Non-Applicable (NA)** – The practice does not apply to the agency.
- **Waiver (W)** – The practice has been waived by the APWA Program Manager. A request for the waiver must be submitted by the agency prior to the site visit with approval granted.

7.4 Site Visit Outline
Prior to a site visit, evaluators are provided with the detailed site visit schedule which includes the assignment of practices, access to the Self-Assessment Software, the Agency Overview Report, and any agency provided information. Each Evaluator is expected to familiarize themselves with their assigned practices and the self-assessment of the agency for each practice prior to the site visit.

On the first day of the site visit review, the agency should introduce key staff to the evaluators. The team leader will present opening remarks and remind agency staff and the site visit team of the importance to staying on schedule. After a brief introductory presentation and tour of the facilities and/or community, the site visit team begins interviews with agency staff.

Evaluators, as representatives of APWA, have a two-fold mission:

- To ensure the agency has management practices, policies, directives and/or procedures in place (and adopted if necessary) that fully or substantially comply with the applicable practice statements in the Public Works Management Practices Manual, and

- To ensure the agency implements the management practices, policies, directives, and/or procedures as written.

7.5 Evaluator Access to Self-Assessment Software
Intentionally left blank. Instructions and details will be provided after testing is completed.

7.6 Re-Accreditation Site Visits
An on-site evaluation team will visit the agency and conduct a re-accreditation review in much the same manner as the initial accreditation review.

Agencies will be required to demonstrate that full or substantial compliance has been achieved for all practices included in the edition of the *Public Works Management Practices Manual* applicable to them.

All applicable practices must be in either full or substantial compliance, with no more than 5 percent of the practices being in substantial compliance.

7.7 Overview of Review Process
Evaluators will be required to review all practices new to the agency in the updated issue of the *Public Works Management Practices Manual*, all practices in substantial compliance during the last visit, and a random one-third of the practices in each applicable chapter. The evaluator needs to review the prepared information to feel certain the practices are being met.

Evaluators are expected to provide an objective review of agency compliance during the on-site assessment. Evaluators should refrain from making quality judgments and making comparisons with the evaluator's own agency.

Prior to the site visit, the evaluator should be prepared to review all applicable public works management practices. Questions may be developed in advance to elicit information on how the practice is being accomplished.

Evaluators should not rely on interviews as the sole proof of compliance. Most practices lend themselves to documentation, and the evaluator should insist on placing relevant documentation in the file.

Evaluators will normally have a master list of key interview persons for the agency. However, additional personnel may be called upon to provide further clarification.

Every practice requires written documentation. Proof(s) of compliance may include documentation, such as meeting agendas, attendance sheets, reports, forms, log entries, photographs, etc.

Evaluators may find the initial review of files to reveal one of several conditions. First, it may completely substantiate agency compliance with the practice. However, sometimes proofs of compliance will completely miss the point or intent in the practice. In some case, the evidence indicates compliance but needs to be enhanced with additional documentation.

Finally, the file may contain wet-ink documentation. These are documents that have been recently developed and remain untested.

The burden of proving compliance remains with the agency, but the evaluator should always be helpful to the agency in arriving at a solution to any deficient files.

Evaluator Consensus on Practice Compliance — For resolving questions related to compliance, an evaluator(s) should utilize a team approach by consulting with the team leader or APWA Program Manager.

Between Evaluators and Agency — The site visit leader and/or the APWA Program Manager, with the agency's accreditation manager, will act as the arbitrators of disputes or problems. The site visit team will make every effort to address concerns of the agency at that level.

7.8 Evaluator-Led Re-Accreditation Site Visits
Evaluator-Led (EL) visits are re-accreditation site visits where no APWA staff person is physically present. Frequently asked questions about EL visits are:

EL visits are a relatively standard industry practice. They help keep down administrative costs and provide a direct cost savings to the agency by not having to pay for staff travel. In the 20+ years since the program began, improvements in communications, computer systems and software have made physical travel unnecessary in certain circumstances.

Agencies that have demonstrated top performance, have an experienced staff and are amenable to an EL visit, will be provided with an experienced team leader and evaluator for the site visit.

First time accreditations will always be led by an APWA staff person.

Only evaluators with at least three site visits worth of experience and with a desire to go on an EL visit will be selected. Team leaders on EL visits will have at least two staff-led visits as a team leader before being selected to lead an EL visit. No one will be selected without the requisite experience or against their wishes.

7.9 Council Decision
Within 30 days after the site visit, the APWA Program Manager forwards a prepared report to the Council recommending a finding for the Agency.

The Council reviews the recommendation which includes a summary of the site visit, results and outcome. The Council considers the findings of the site visit in determining an award, renewal, or denial of accreditation.

"Evaluator-Led site visits provide a cost savings to those agencies who meet the criteria."

VIII. Site Visit Reporting

8.1 Site Visit Results

Following the completion of the agency site visit, the results are tallied. All applicable practices must be in either full or substantial compliance, with no more than 5 percent of the applicable practices being in substantial compliance. If an agency has met these minimum requirements for accreditation, the APWA Program Manager will submit a prepared recommendation to the Accreditation Council regarding the findings of the site visit.

8.2 Site Visit Report Outline

If an agency has not met the minimum requirements, they shall have up to 45 days following the site visit to address those deficiencies by providing additional documentation. The assigned evaluator will be responsible for determining the achievement and notifying the APWA Program Manager. When satisfactorily meeting the requirements for Accreditation, a letter will be sent to the Accreditation Council recommending accreditation be awarded to the agency.

The site visit report will be organized under the following:

- **Overview:** This section provides the context for the site visit, with a description of the community, a more detailed description of the agency, and cites significant dates and milestones in the process.

- **Findings:** This summarizes the findings of the site visit in terms of practices and the category of compliance. The team leader may also wish to identify additional elements including

  - **Model Practices:** Identified practices which serve as models for other agencies.

  - **Recommendations:** The Site Visit Report will recommend approval or denial of Accreditation to the Accreditation Council.

IX. Evaluator Quick Look

9.1 Compliance Levels
The evaluator will review the practice and determine if the agency has complied with the requirements. Proof of compliance must be demonstrated by review of written records, interviews and field observations during the on-site evaluation.

The level of compliance must be classified as one of the following:

- **Full Compliance (FC)** – The agency fully complies with the requirements of the practice without exception.
    - o Examples: All documents are properly identified and dated. Forms are filled out and procedures include proof of implementation.
- **Substantial Compliance (SC)** – The agency meets major provisions of the practice, but some minor areas of non-compliance exist.
    - o Examples: Forms are not filled out, master plans have not been approved, documents have not been reviewed in the required timeframe or inventory is incomplete.
- **Partial Compliance (PC)** – The agency meets some of the provisions of the practice.
    - o Examples: There is proof of implementation, but no procedure, training is held but not documented (no sign-in sheets or meeting announcement), or no dates on supporting documents.
- **Non-Compliance (NC)** – The agency fails to meet the provisions of the practice.
    - o Examples: The required documentation (policy, procedure, plan or inventory) is not provided.
- **Non-Applicable (NA)** – The practice does not apply to the agency.
- **Waived (WV)** – The practice has been approved by the APWA Program Manager

9.2 Policy vs. Procedure
Correctly recognizing the difference between a policy and a procedure can be easily ensured when you know what to look for in the supporting documentation.

A **POLICY** covers what to do and why. It may be a rule, standard, guideline or objective. Policies serve many purposes including

- Identifying organization rules,
- Explaining why the rules exist,
- Advising when the rule applies,
- Describing who it applies to, and
- Identifying the consequences.

It is recommended policy documents be signed by the department director or authorized staff, although some organizations do not have this requirement. An agency cannot be required to produce signed policies - only encouraged to do so.

A **PROCEDURE** directs when and how. It provides the steps, workflow, or instruction. A procedure can be written without the existence of a policy. Procedures are intended to

- Identify specific actions or steps,
- Explain when to take action,
- Include warnings and cautions, and
- Show how to complete forms.

Any practice requiring a procedure must show for supporting documentation the procedure and how it is implemented. This may be through

"All documents should be dated."

- Sign-in sheets and
- Work orders.
- Completed forms

9.3 Suggestions vs. Requirements
A suggestion is intended to provide guidance to the agency in how they can improve their process. It is not mandatory for the agency to implement the suggestion. The suggestion should have no impact on the compliance level of the practice.

A requirement should identify improvement or inclusion of documents to a practice which can affect the compliance level for the practice.

Be specific and detailed in any suggestions or requirements you make on any practice. These comments may not be reviewed until a later date and vagueness will not benefit the agency.

9.4 Dates are important
All policies and procedures must be dated. Dates should include when it was created and implemented and when it was reviewed. Unless the practice indicates otherwise, all supporting documentation should be reviewed every three (3) years.

9.5 Model Practices
A **MODEL PRACTICE** is identified during the site visit by the evaluator reviewing applicable practices. A model practice will be decided based on the documentation, process, or effort by the agency. It may be identified as unique, thinking outside the box or innovative. The evaluator may wish to discuss with the site visit team to obtain their opinion and consensus on the selection, but it is not required.

When identifying a model practice, provide a detailed explanation as to why it was selected. Explanations like, "Outstanding," "Never seen this before," or "Great idea" do not provide specifics which may help in deciding if the model practice could benefit another agency.

9.6 Rental Car
Purchasing the rental car insurance is a reimbursable expense. If you are renting the car for a site visit, APWA **strongly** suggests purchasing the insurance. If you do not purchase the insurance and the rental car sustains damage, those costs are **not** reimbursable.

9.7 Reimbursable Expenses
Detailed receipts are required when submitting for reimbursement. If a detailed receipt is not available, write on the receipt what the expense was for, i.e. "dinner – hamburger, fries, soda." Miscellaneous snacks, hotel movies and alcohol are not reimbursable.

Example 10-A – Evaluator Application

American Public Works Association
Accreditation Evaluator Application

Thank you for your interest in becoming a volunteer evaluator for the APWA Accreditation Program. APWA evaluators are a special group of individuals who give their time and expertise for the betterment of public works agencies across the United States and Canada.

By completing this application, you acknowledge:

- your understanding of the Public Works Management Practices Manual, Self-Assessment software and Accreditation process;
- you are employed by an APWA Accredited agency;
- you have practical experience with public works operations as an employee;
- you can effectively communicate and remain objective;
- you can demonstrate tact and empathy; and
- you can participate in at least one site visit per year which may involve air travel.

Evaluators are recognized as ambassadors of APWA as well as of their own agency - your commitment to professional excellence will be paramount.

Please complete all fields below.

Name:	
	Show name as it appears on your driver's license
Title:	
Agency:	
Address:	
Phone:	( ) Cell: ( )
E-Mail:	

Time Commitment:
I acknowledge it is required to be available for at least one site visit per year. Additionally, I wish to be considered for up to ____ additional site visits per year. I understand there is no guarantee of being selected for a site visit(s) in any given year.

Are you required to use personal time to participate in site visits? ____ Yes ____ No

Were you involved in your agency's self-assessment process and / or site visit? ____ Yes ____ No

Areas of Expertise:

Which of the following public works functions do you feel qualified to evaluate? Check next to the chapters you feel *qualified to evaluate*.

1 ___	Organization and Strategic. Planning	21 ___	Solid Waste Collection
2 ___	Human Resource Management	22 ___	Solid Waste Recycling & Reuse
3 ___	Occupied Facilities	23 ___	Solid Waste Disposal
4 ___	Finance	24 ___	Street Maintenance
5 ___	Risk Management & Legal Review	25 ___	Street Cleaning
6 ___	Communication	26 ___	Snow Removal & Ice Control
7 ___	Information Technology and Tele.	27 ___	Stormwater & Flood Management
8 ___	Emergency Management	28 ___	Vector Control
9 ___	Safety	29 ___	Potable Water Distribution System
10 ___	Planning and Development	30 ___	Water Treatment
11 ___	Code Enforcement	31 ___	Wastewater Collection & Conveyance
12 ___	Engineering Management	32 ___	Wastewater Treatment & Disposal
13 ___	Bid Process	33 ___	Traffic Operations
14 ___	Project Management	34 ___	Parking
15 ___	Right-of-Way Management	35 ___	Cemeteries
16 ___	Utility Management	36 ___	Airports
17 ___	Facilities Management	37 ___	Transit Operations
18 ___	Equipment and Fleet Management	38 ___	Bridges
19 ___	Parks, Grounds and Forestry	39 ___	Beach Management
20 ___	Solid Waste Management	40 ___	Environmental Management System (8ᵗʰ Ed.) Asset Management (9ᵗʰ Ed.)

Other: _____

Signature:	
Date:	

Include with your application: a current photograph (will be used as identification when traveling), and a letter of recommendation from your agency director.

Return to: Accreditation Program
American Public Works Association
1200 Main Street, Suite 1400
Kansas City, MO 64105
(816) 595-5294   Fax: 816-472-1610

**You may also email your submittal information to accreditation@apwa.net.

NOTE: Submittal of application does not guarantee you will be selected as an evaluator.

Example 10-B – Site Visit Schedule

CITY OF XXXXXXX, XX
PUBLIC WORKS and UTILITIES DEPARTMENT
Street address, city, state, zip
name, Director
director's email address

Accreditation Manager: Email:
Phone:

ACCREDITATION SITE VISIT AGENDA

SITE VISIT TEAM

Team Leader –
Team Members -

APWA Staff -

- Public Works Management Practices Manual, 9th Edition

- Chapters not applicable:

- NOTE: While not all practices apply, all practices, or portions of practices, must be reviewed by an Evaluator.

DATE

LOCATION	TIME	ACTIVITY
		Travel to city, state

Upon arrival, register at:
CF#

                                Phone:

	TIME	ACTIVITY
	6:00 p.m.	Team will have dinner on their own

DATE

LOCATION	TIME	ACTIVITY
Hotel	7:00 a.m.	Team will meet for breakfast
Public Works	8:00 a.m.	Introductions, Opening Remarks, Agenda Review Agency's presentation to Team
	8:45 a.m.	Review of Chapter 1 (7 practices)
	9:15 – 11:00 a.m.	Tour APWA Team and Agency Team

DATE continued

	11:00 a.m.	Morning Chapter Reviews
	Team Leader –	Chapter 5: Mike
		Chapter 34: Dave
	Evaluator 2 –	Chapter 27: Ben, Nelson
	Evaluator 3 –	Chapter 6: Holley
	12 Noon	Lunch provided for Team

DATE

	1:00 – 5:00 p.m.	Afternoon Chapter Reviews
	Team Leader -	Chapter 38: Ericka, Zach
		Chapter 11: Bob, Brian, Michael
		Chapter 4: Cyndy, Ken, Tyler
		Chapter 2: Donna
	Evaluator 2 -	Chapter 18: Bill, Tim
		Chapter 24: Tim, Kyle, Travis, Erika
		Chapter 25: Tim, Kyle, Travis, Josh
		Chapter 26: Tim, Kyle, Travis
	Evaluator 3 -	Chapter 3: Dave
		Chapter 8: Dave
		Chapter 17: Dave
	6:00 p.m.	Dinner with host agency team

DATE

Hotel	7:00 a.m.	Team meets for breakfast at hotel
Public Works	8:00 – 12 Noon	Morning Review Sessions
	Team Leader -	Chapter 29: Dave, Steve, Eric
		Chapter 30: Steve, Eric
		Chapter 10: Randy
	Evaluator 2 -	Chapter 26: Tim, Kyle, Travis
		Chapter 33: Lonnie, Mark
		Chapter 15: Scott
		Chapter 16: Scott
	Evaluator 3 -	Chapter 20: Karla
		Chapter 21: Karla
		Chapter 22: Karla
		Chapter 23: Karla, Tina
	12 Noon	Lunch provided for Evaluators

<u>DATE continued</u>

	1:00 – 4:00 p.m.	Afternoon Chapter Reviews

Team Leader - Chapter 31: Brian, Mike, Patrick
Chapter 32: Steve, Brad, Phil

Evaluator 2 - Chapter 12: Thomas, Kris
Chapter 13: Thomas, Kris
Chapter 14: Kris

Evaluator 3 - Chapter 37: Mike, Brian
Chapter 7: Tim
Chapter 9: Gerardo

6:00 p.m.   Evaluation team will have dinner on their own

<u>DATE</u>

Hotel   7:00 a.m.   Team meets for breakfast at hotel

Public Works   8:00 – 9:00 a.m.   Evaluators catch up on any remaining practices, if needed, and accept any additional documentation, as required.

9:00 a.m.   Final report prepared

9:30 a.m.   Report session with Site Visit Team and Agency Team

10:30 a.m.   Team departs for Airport

NOTE: You can tighten up the schedule IF you finish your assignments ahead of time and IF key agency staff is available for review.

Dress code is business casual for all sessions. Coats and ties are not necessary. No jeans, please, for Evaluators.

CITY OF XXXXXXX, XX
EVALUATOR ASSIGNMENTS
9th EDITION MANAGEMENT PRACTICES MANUAL

EVALUATOR	CHAPTER	TITLE	PRACTICES	TOTAL
All	1	Organization and Strategic Planning	7	
		TOTAL PRACTICES		7
TEAM LEADER	2	Human Resources Management	39	
	4	Finance	19	
	5	Risk Management & Legal Review	9	
	10	Planning & Development	14	
	11	Code Enforcement	10	
	29	Potable Water Distribution	23	
	30	Water Treatment	16	
	31	Wastewater Collection	16	
	32	Waste Water Treatment	16	
	34	Parking	10	
	38	Bridges	8	
		TOTAL PRACTICES		180
EVALUATOR 2	12	Engineering Management	19	
	13	Bid Process	6	
	14	Project Management	14	
	15	Right-of-Way Management	8	
	16	Utility Coordination	9	
	18	Equipment & Fleet Maintenance	28	
	24	Street Maintenance	16	
	25	Street Cleaning	8	
	26	Snow Removal & Ice Control	13	
	27	Stormwater & Flood Management	19	
	33	Traffic Operations	32	
		TOTAL PRACTICES		172
EVALUATOR 3	3	Occupied Facilities	15	
	6	Communication	14	
	7	Information Technology	13	
	8	Emergency Management	18	
	9	Safety	10	
	17	Facilities Maintenance	18	
	20	Solid Waste Management	5	
	21	Solid Waste Collection	7	
	22	Solid Waste Recycling	16	
	23	Solid Waste Disposal	24	
	37	Transit Operations	25	
		TOTAL PRACTICES		165
APWA STAFF	19	Parks, Grounds & Forestry	21	
	28	Vector Control	7	
	35	Cemeteries	14	
	36	Airports	11	
	39	Beaches	17	
	40	Asset Management	5	
		TOTAL PRACTICES		80

PRACTICES TO BE REVIEWED FOR ACCREDITATION
SITE VISIT DATE
9TH EDITION

CHAPTER	NEW	SC	RANDOM	TOTAL
1	7			7
2	39			39
3	15			15
4	19			19
5	9			9
6	14			14
7	13			13
8	18			18
9	10			10
10	14			14
11	10			10
12	19			19
13	6			6
14	14			14
15	8			8
16	9			9
17	18			18
18	28			28
19	NA			-
20	5			5
21	7			7
22	16			16
23	24			24
24	16			16
25	8			8
26	13			13
27	19			19
28	NA			-
29	23			23
30	16			16
31	16			16
32	16			16
33	32			32
34	10			10
35	NA			-
36	NA			-
37	25			25
38	8			8
39	NA			-
40	NA			-
TOTAL	524	0	0	524

Example 10-C – Overview Report

Organization and Strategic Planning

1.1 Mission, Vision, and Values Statements

Statements are developed that define the agency's mission, vision, and values. These statements are submitted to the legislative or administrative body overseeing the agency and reviewed periodically to ensure consistency with over-all strategic or general plans. The agency's mission statement is a concise description of the fundamental purpose for which the agency exists. This statement answers the questions of why the agency exists, what services are provided, how services are provided, and whom the agency is serving. Mission statements for fundamental areas (streets, water supply, solid waste management, etc.) may also be developed. Mission, vision, and values may be addressed in a single document if the elements are clearly identifiable.

The agency's vision statement describes the vision of the agency's leadership. The role of a leader is to create a vision and set a course for moving toward that dream. Leaders convert dreams into reality. This statement answers the questions of what the leadership of the agency wants to create and where the agency is going.

The agency's values statement establishes the core values that will assist in fulfilling the mission of the agency. This statement answers the questions of what culture the leadership of the agency wants to create and how all agency employees are to act. The values are tangible behaviors, which define how each employee is expected to act.

Assigned To:	Miki Esposito	**Review Date:**	08-31-2017
Compliance:	Full Compliance	**Compliance Date:**	

Documentation /Directives

The mission and purpose of the agency is identified in city code in these chapters:
Lincoln Municipal Code Chapter 2.02 Governmental Organizations
http://online.encodeplus.com/regs/lincoln-ne/doc-viewer.aspx#secid-6343
Lincoln Municipal Code Chapter 2.35 Public Works and Utilities Department
http://online.encodeplus.com/regs/lincoln-ne/doc-viewer.aspx#secid-6503
2018-19 Approved Budget

Agency Compliance:

The agency organized a 15-member Strategic Planning Team to create the 2020 Vision document and plan. The Mission, Vision, and Value statements are identified in the plan which was enacted in December 2015. The Strategic Planning Team continues to meet throughout the year as the agency works on identified goals within the plan and related mayoral directives.
The Strategic Planning Team produces an update the strategic plan that is incorporated into the bi-annual budget presentation to the City Council and the Mayor's Office. The presentation to the council contains the agency's Mission, Vision, and Values Statements. Due to APWA software file size limitations, a complete copy of the budget presentation is available in the hard copy file for this practice. A link to the 2018/19 Budget adopted by the council resolution on August 20, 2018 is provided.
The 2018 update to the Strategic Plan along with a summary of the APWA Accreditation Self-Assessment was presented to the agency's governing body at the Director's meeting / Pre-Council meeting on October 22, 2018.

Documents:

1.1 2020 Vision.pdf, 1.1 AccreditationMemotoCouncil.pdf, 1.1,1.3,1.6,1.7 2020 Vision 2017 Update.pdf, 1.1,1.3,1.6,1.7 2020Vision_2018 Update.pdf, 1.1,1.6 APWA Strategic Plan.docx, 1.1,1.7 Intro to 2018-20 Budget Presentation.pdf

Approved By

Public Works Director

Print:	Sign:	Date:

Accreditation Manager

Print:	Sign:	Date:

Example 10-D – Mid-Term Report

ACCREDITATION COUNCIL
OF THE
AMERICAN PUBLIC WORKS ASSOCIATION

ACCREDITATION MID-TERM REPORT
To be submitted two years following accreditation or re-accreditation

As part of the accreditation process, each agency previously accredited by the American Public Works Association, is required to submit a mid-term report identifying any changes or improvements made over the past two years. To assist these agencies, a standardize format has been developed designed to promote three purposes. The first is to verify the status of each organization as to any changes that may have occurred in the last two years and to ascertain the agencies interest in participating in this program. The second is to promote organizational development by promoting the concept of continuous improvement regarding its management practices. Finally, the report is designed to assist organizations in its efforts for re-accreditation, utilizing the latest edition of the *Public Works Management Practices Manual*.

Reporting Period: __July 2012__ to __July 2016__

Date of Original Accreditation: __January 2006__

Which edition of the *Management Practices Manual* was utilized?

_____	Fourth Edition	__✓__	Fifth Edition
_____	Sixth Edition	_____	Seventh Edition
_____	Eighth Edition		

Agency Name: __City of Alexandria, VA – Department of Transportation and Environmental Services__

Street Address: __301 King Street, Room 4100__

City: __Alexandria__   State: __VA__   Zip: __22314__ - ____

Mailing Address: _____
(If different from Street Address)

City:_____ State:_____ Zip:_____-___

Parent Agency's Chief Executive Officer: __Mark Jinks__

Title: __City Manager__

Was he/she in this position at the time of the original accreditation?

_____ Yes   __✓__ No   If No, list date of appointment: __April 14, 2015__

Mid-Term Report   Page 1

- **Jesse Maines was hired as Storm Water Management Division Chief.**

B. Changes in agency duties and responsibilities.

- **The Storm Water Management Division was added to the Department.**

- **The Litter/Street Sweeping and Leaf Collection Programs were moved to the Public Works Services Division from the Resource Recovery Division.**

C. Technology advancements implemented by your agency.

- **Completed traffic signal LED retrofit program for all signals Citywide, including vehicular and pedestrian signal heads.**

- **Began remote monitoring of the parking meter back office software by meter technicians in the field. This allows for real time alerts for parking meter alarms and reduces response times to malfunctioning meters.**

- **New technology was introduced in the web-based security cameras system to provide better security at three of the Division's facilities.**

- **Completed the City's triennial Pavement Condition Index (PCI) survey for all public streets and alleys.**

- **Implemented the use of Industry Safe safety management software in FY 2016. A web based platform, comprised of modules for managing and tracking incidents, inspections and corrective action, and a host of other features used to promote a safer workplace.**

- **In 2016 T&ES established a presence on Twitter and is coordinating other social media updates with the City's communication department.**

2. Have any of these changes impacted your present management practices? If so, how have they impacted your past practices and what were those changes? Do you believe that you are in at least substantial compliance with the applicable practices in the edition of the *Public Works Management Practices Manual* that was the basis for your current accreditation?

- **Yes, it has improved the workflow, organization and service delivery to the internal and external customers. The impacts have affected the daily operations in a positive way, allowing employees and upper management to track progress daily.**

manual will be incorporated into our process along with other less significant changes.

Certification

This mid-term report is hereby submitted, on behalf of **The Department of Transportation and Environmental Services** for review and approval of the Accreditation Council of the American Public Works Association, with the sole intent of verifying that the agency continues to meet or exceed the requirements for status as an Accredited Agency.

Submitted this **31st** day of **August**, **2016**.

By: _____ Title: **Director T&ES**_____
(must be signed by the Chief Executive of the Agency or Parent Organization)

Example 10-E – Opening Remarks

APWA Opening Remarks

- Congratulations on being here! The hard work is over!
- The purpose of the visit is to recognize all the things you're doing well and to review your success in meeting all the Management Practices.
- Our goal is to ensure you achieve accreditation. We will be thorough in our review, fair in our evaluations, and helpful to meeting any needed final improvement.
- Our team members are excited to meet with you. Each is a public works professional and have been through accreditation.
- ***Team introduces themselves***
- With 524 practices to review, our time is limited—about four minutes per practice.
- While we'd love to visit, we'll need to keep moving.
- Please be certain the people with answers are available for the review of each chapter.
- Having immediate access to all your supporting documentation will quicken the review.
- Remember: if the practice requires a policy or procedure, we'll need to see a policy or procedure.
- As we review each practice, we will give you a <u>tentative</u> rating.
- We will meet as a team during lunch to review the morning's practices and give you time to seek out additional documentation.
- All practices (applicable) must be either full or no more than 5 percent in substantial compliance to be accredited.
- We will accept additional documentation up until 8 a.m. Wednesday morning.
- Any practices will be finished by contacting the evaluator who reviewed the practice.
- When we leave, you will have 45 days to make final improvements. If all can't be completed by then, provisional accreditation will be recommended, and you will have an additional 90 days to finish up.
- Don't be distressed if you have improvements to complete—everyone does, some more than others, but all have been accredited.
- Feel free to state your case fully, but to make the best use of everyone's time, we won't argue responses.
- Most importantly, please enjoy this process because we are looking forward to doing just that.
- Monday's schedule review *(brief)*
- Questions
- Review of Chapter 1

Example 10-F – Closing Remarks & Report

Closing Remarks & Report

"On Tuesday, we started down the path of your Accreditation. We didn't know you, your organization or your operations. A two and a half days later, and we've all spent time getting to know you. We have a better understanding of your organization and your operations.

We have reviewed 301 management practices, toured your community, and—I'm sure at times—asked too many questions. We have observed how you interact with one another; we have observed your pride in your specific operation and witnessed the spirit of teamwork.

We would like to thank Sherri McIntyre for her ongoing support. It's not easy to dedicate staff to what some would call "unproductive time." Her willingness to commit to the self-assessment process speaks highly about her dedication to provide the citizens of Kansas City with the best services in an efficient manner. To your Accreditation Manager, Marilyn Reiley, you did an amazing job coordinating and keeping the entire staff on track throughout the process.

On behalf of Tracy Quintana and my Team Member, Matt Groff, thank you for giving of your time away from your family and your real jobs. I hope you learned from us also.

Now on with the results:

```
    301  Fully Compliant 100%
      0  Substantial Compliant ___%
    308  Not Applicable
    609  Total Reviewed
      0  Not Reviewed
      0  P/C
      0  N/C
    609  Total
```

Explain the process from here on:

- Within 7 days, a letter to the Accreditation Council recommending your agency for Accreditation
- Accreditation Council will act within 30 days

Congratulations on your Accreditation!

There are 7 agencies from the State of Missouri which are currently accredited. Today, there are now 137 agencies Accredited nationwide.

I would like to thank my team and allow them to impart their closing comments with you:
Matt
Tracy

Questions?

Example 10-G – APWA Reimbursement / Travel Policy

REIMBURSEMENT POLICY FOR APWA TRAVEL AND BUSINESS EXPENSES

GENERAL POLICY GUIDELINES:

APWA will reimburse volunteers, APWA Board of Directors, committee members, consultants and vendors (travelers) for reasonable and necessary expenses incurred while conducting business or performing services on behalf of the association, as authorized by the approved current fiscal year budget process and/or approved by the Executive Director in advance of incurring expenses.

The accounting and reporting of all APWA travel and business expenses follow established IRS guidelines for an "Accountable Plan" which can be found in Treasury Regulation 1.62-2. Under the IRS guidelines, the Traveler is required to (1) establish an APWA business purpose and connection of each expense; (2) substantiate the expenses submitted to APWA within thirty 30 days but not more than sixty (60) days; and (3) return any amounts to APWA which are over and above the substantiated business expenses within 120 days.

In addition to compliance with these guidelines, good judgment, prudent spending and a thrifty attitude are expected of all Travelers who submit for reimbursement or account for any APWA business related expense under this policy.

TRAVEL AUTHORIZATION:

APWA will issue an APWA Travel Authorization Number for any APWA business travel/event. The Travel Authorization Number needs to be issued in advance prior to any travel purchases. This Authorization will be sent out via email by the APWA staff liaison. The Authorization email will also include instructions on how to coordinate any travel logistics and expense reimbursement associated with the APWA business trip.

REQUEST FOR REIMBURSEMENT AND DEADLINES:

Requests for reimbursement of APWA travel and business expenses are to be made via the APWA Expense Reimbursement Request Form.

Requests for reimbursement should be submitted to the approving APWA staff member (Budget Manager), as designated by the Executive Director, within thirty (30) calendar days of when the expense was incurred, but not more than sixty (60) days after completion of travel. If received after 60 days, APWA must issue a 1099 tax statement at the end of the calendar year and this expense will be deemed taxable income by the IRS.

1 | Page

Effective: November 20, 2017

Requests submitted more than sixty (60) calendar days after the expense was incurred do not meet the IRS Accountable Plan guidelines with respect to *substantiation of expenses within a reasonable period of time* and will need to be reported as income. In some cases, if the period of time that has passed falls within a new budget year expenses may not be reimbursed.

Reimbursable expenses will be paid in US dollars back to the traveler for all travel related to APW Business.

ADEQUATE EVIDENCE:
APWA policy requires a receipt for all expenses. A receipt will be considered adequate if it shows the amount, date, place, and essential character of the expense. Receipts may be scanned and submitted electronically.

For example, a hotel receipt is enough to support expenses for business travel if it has all the following information:
1. The name and location of the hotel
2. The dates of lodging
3. Separate amounts for charges such as lodging, meals, parking and telephone calls

A restaurant receipt is enough to prove an expense is reimbursable as an APWA business meal if it has all the following information:
1. The name and location of the restaurant
2. The number of people served, if possible
3. The date and amount of the expense

TRANSPORTATION:
Air Travel (Domestic and International)
Because of the variety in air travel classes of service, add-ons and upgrade fees, the following general rules apply as to what can be reimbursed:
- Airfare for lowest-price economy or coach class or comparable class of service;
- Baggage Fees [maximum of two checked bags], if not included free in the cost of the ticket; and
- Upgrades to meet ADA compliance.

APWA does <u>not</u> reimburse the following expenses:
- First-class travel;
- In-flight movies or entertainment;
- Wi-Fi;
- Air travel upgrades;
- Fees associated with "early-bird" or similar priority check-in options (unless prior approval by budget manager);
- Window, aisle, comfort, or similar seat selection charges (unless prior approval by budget manager);

- Change fees (unless prior approval by budget manager); and
- Excess baggage fees.

Other modes of transportation

Personal Auto or Agency-owned vehicle: In lieu of airfare such as train, use of the traveler's personal auto or agency-owned vehicle, expenses, including tolls and parking at destination, will be reimbursed when such option is equal to or less than traveling by air. Backup information will need to be submitted to substantiate the cost of traveling by air (21-day advance purchase). Use of personal or agency-owned vehicle will be reimbursed at the IRS standard mileage rate on January 1 of the year the expense is incurred. Backup information to substantiate miles traveled will need to be submitted.

Mileage cost and parking fees associated with use of the traveler's personally-owned auto for travel to and from the airport and his/her home are reimbursable at the daily economy or long-term rates.

The traveler accepts responsibility for providing personal automobile insurance coverage when operating a vehicle for APWA business. The vehicle insurance coverage must equal or be greater than $100,000 per person, $300,000 per accident, $100,000 property damage. If the traveler is traveling more than 50 miles in a calendar year using a personal vehicle, APWA may request a copy of the traveler's driver's license and/or proof of current personal auto insurance coverage.

Car rental: Car rental as the primary mode of transportation is reimbursable when the distance from the traveler's home or airport to the meeting location makes car rental more economical than other modes of transportation; including use of traveler's personal auto.

Car rental at the destination location is reimbursable only when the distance from the airport to the meeting location makes car rental more economical than taxi, bus or shuttle service.

Rental car insurance should be taken on any car that is being used for APWA business. The coverage level should include collision/loss-damage and liability coverage. Additional add-on insurance coverages in addition to these levels are not reimbursable.

Reimbursable costs include incidental costs related to the rental, such as taxes, assessments, insurance, tolls, parking costs and reasonable fuel costs.

Rental cars will be reimbursed up to the standard rate typically charged for a mid-size car class unless otherwise approved by the budget manager in advance of booking.

Rental cars should be refueled prior to return. A "prepaid fuel" or similar option should not be elected for the return of the rental car unless this option results in a lower cost to the association.

Rental of GPS, additional drivers, or other elective add-ons to the cost of a rental car are not reimbursable.

Ground Transportation : Public transportation, ride-sourcing options such as Lyft, Uber or similar private or corporate hired auto services and the use of airport shuttles should be used when practical and considered a cost-effective means of travel when ground transfers are made. The traveler needs to take in consideration need versus convenience of ground transportation use, time of day and personal safety when considering options.

Travelers are encouraged to coordinate ground transfer schedules to/from the airport and hotel or in cases where ground transfers are deemed necessary for participation in an approved group meal function or activity.

LODGING:
Reimbursement may be requested for the costs of lodging at the single-occupancy room rate (including taxes, tariffs or other mandatory hotel fees), hotel parking, gratuities for baggage handling or other assistance up to $3 per occurrence, and direct out-of-pocket expenses incurred solely to conduct APWA business, such as internet access, telephone, fax charges, express mail and supplies. The hotel receipt or summary must reflect an itemization of each item and cost.

Those traveling from coast-to-coast may request an additional night where the availability of airline travel does not allow the Traveler to arrive/leave the day the meeting ends.

MEALS:
APWA will reimburse the actual cost of breakfast, lunch and dinner meals (incl. taxes and gratuity) up to $100 USD/per day. Maximum allowed for a single meal is $50 USD. While the maximum expenditure is $100/day this in no way should encourage travelers to spend the entire amount—likewise with individual meals. Every effort should be made to be a good steward of APWA's budget.

Meals expenses must be accompanied by an original (paper or electronic) receipt and meet the requirements outlined under *Adequate Evidence* on page 2 of this policy guidance document.

APWA does not reimburse for alcoholic beverages except when consumed as part of a personal dinner meal, an approved group dinner meal or event.

All travelers are expected to take advantage of group meal functions and will not be reimbursed for personal meal costs when a group meal function is provided.

Spouse or Guest Meal Expenses: Expenses for spouses or guests (other than approved group meal costs) do not qualify for reimbursement by APWA.

NON-REIMBURSABLE ITEMS AND BILL BACKS:
Non-reimbursable travel expenses include personal expenses and unrelated business expenses, such as (but not limited to) the following expenses: Laundry or dry-cleaning services (with rare

exceptions); spa or health and fitness club fees, clothing, flowers, movies/videos, newspapers, "mini-bar" purchases, parking fines, loss/theft of personal property, damage to personal vehicles, childcare, pet care, travel insurance, gifts, admission fees to tourist attractions or other entertainment venues, credit, debit and charge card fees including annual fees and interest charges.

Any expenses paid deemed non-reimbursable or allowable and charged to APWA's master hotel account or Corporate Amex/Visa cards will be deducted from reimbursements due to the Traveler. If no reimbursements are due to the Traveler, then the Traveler will be invoiced for the charges.

INJURY/ACCIDENT:
If you are injured while traveling or attending an APWA business related trip/event, first go to the nearest medical facility if it is an emergency. The accident needs to be reported to the APWA Human Resources department at 800-848-2792 within 24 days of the injury or accident.

American Public Works Association
1200 Main Street
Suite 1400
Kansas City, MO 64145
(816) 472-6100
www.apwa.net