1. PURPOSE

1.1 To establish a uniform policy for job-related certification requirements and certification fee reimbursement.

1.2 To maintain compliance with the State of California and/or other related requirements pertaining to the following certifications:

a. Water Distribution Operator, Department of Public Health, grades D1 through D5
b. Water Treatment Operator, Department of Public Health, Grades T1 through T5
c. Wastewater Treatment Plant Operator, State Water Resources Control Board, Grades I through V
d. Backflow Assembly Tester, CA–NV American Waterworks Association or American Backflow Prevention Association
e. Cross Connection Control Specialist, CA–NV American Waterworks Association
f. Mechanical Maintenance Technician, California Water Environment Association, Grades 1 through 4
g. Certified Welder, American Welding Society
h. Other job-related certifications as deemed relevant and/or beneficial to the Public Utilities Group by the Appointing Authority or the Labor Relations Manager.

2. DEFINITIONS

2.1 DPH: State of California, Department of Public Health
2.2 SWRCB: Cal/EPA State Water Resources Control Board
2.3 WDO: Water Distribution Operator
2.4 WTO: Water Treatment Operator
2.5 WWTO: Wastewater Treatment Operator
2.6 CA–NV AWWA: California – Nevada Section American Water Works Association
2.7 CWEA: California Water Environment Association
2.8 D1 thru D5: Water Distribution Operator, Grade 1, 2, 3, 4, or 5
3. **AUTHORITY**

*All authorities and references shall be current versions and revisions*

3.1 Public Utilities Group Director, City of San Diego

3.2 Municipal Employees Association Memorandum of Understanding

3.3 AFSCME Local 127 Memorandum of Understanding

3.4 State of California Department of Public Health, Operator Certification Regulations, Title 22, California Code of Regulations

3.5 State of California Department of Public Health, Title 17, California Code of Regulations

3.6 State Water Resources Control Board, Operator Certification Requirements, Title 23, California Code of Regulations

3.7 Administrative Regulation 70.30, Tuition Refund Plan

3.8 Administrative Regulation 70.40, Special Outside Courses of Instruction

3.9 Department Instruction 10.10, Public Utilities Group Training Program

4. **POLICY**

4.1 State of California, Department of Public Health Water Distribution Operator and/or Water Treatment Operator Certification is mandatory for Public Utilities Group
Employees (TAB 1) who operate, repair or maintain the City’s water distribution and/or treatment system. The following certifications apply:

a. California DPH Water Distribution Operator - D1 through D5
b. California DPH Water Treatment Operator - T2 through T5

4.2 Public Utilities Group employees that are in designated positions (TAB 1) are required, in addition to Department of Public Health Water Distribution Operator and/or Water Treatment Operator Certification, to obtain, possess and maintain a combination of the following certifications that is necessary to perform their job:

a. CA–NV AWWA Cross Connection Control Specialist
b. CA–NV AWWA Backflow Assembly Tester or ABPA Backflow Assembly Tester

TAB 1 will be updated as necessary to reflect changes in the law and regulations relevant to certification.

4.3 Public Utilities Group employees that are in designated positions (TAB 1) are required to obtain, possess and maintain one of the following certifications, Cal/EPA SWRCB Wastewater Treatment Plant Operator – Grades I through V, that are necessary to perform their job.

4.4 Public Utilities Group personnel that are required, by law and/or the Public Utilities Group, to be in the Public Utilities Group Certification Program, shall participate in formalized training and continuing education activities which shall be coordinated by the Public Utilities Group Training Section. In addition to standardization of registration and fee payments, this centralization enables the maintenance of complete and accurate certification and related training records.

4.5 It is the intent of the Public Utilities Group to maintain a certification fee reimbursement program that is fair and equitable to all employees.

4.6 The Public Utilities Group Training Section, in accordance with IACET requirements, shall maintain accurate certification and training records.

4.7 Employees in designated job classes may be compensated for receiving and maintaining certifications according to the language of their bargaining unit’s Memorandum of Understanding.
5. SCOPE

5.1 This Public Utilities Group Instruction shall cover:

a. Water Distribution Operator, D1 through D5 - requirements as set forth by the State of California, Department of Public Health and/or the Public Utilities Group for Certified Water Distribution Operator for the purpose of operation of a water distribution system; State of California Department of Public Health, California Code of Regulations, Title 22, Operator Certification Regulations;

b. Water Treatment Operator Certification, T1 through T5 - requirements as set forth by the State of California, Department of Public Health for the operation of a water treatment plant; State of California Department of Public Health, California Code of Regulations, Title 22, Operator Certification Regulations;

c. Wastewater Treatment Operator, Grades I through V - requirements as set forth by the Cal/EPA State Water Resources Control Board, California Code of Regulations, Title 23, Operator Certification Regulations;

d. Backflow Assembly Tester certification - requirements as set forth by the CA-NV American Waterworks Association and/or the America Backflow Prevention Association;

e. Cross Connection Specialist Certification - requirements as set forth by the CA-NV American Waterworks Association;

6. RESPONSIBILITY

6.1 The Appointing Authority shall be responsible for ensuring that the Public Utilities Group’s certification requirements are followed within their Division by:

a. Reviewing the mandatory, required and recommended certification requirements for their Division employees to verify that they are current and reflective of the employee/employer’s changing needs;

b. Approving and forwarding employee certification fee reimbursement requests, whether required or voluntary, to the Training Section;

c. Designating supervisors to consult with the Training Section, to identify certification issues and/or deficiencies within their Division as part of an ongoing needs analysis;

d. Requesting training and support from the Training Section for personnel or organizational development issues related to certification including, but not limited
to, Continuing Education Contact Hour requirements associated with Department of Public Health Water Treatment and Water Distribution Operator certification;

e. Supporting their section supervisors in granting release time for personnel who serve as instructors or study-group leaders;

f. Authorizing release time for personnel in the Certification Program to attend Specialized Training and Continuing Education courses, including necessary travel time to and from courses;

g. Ensuring that supervisors develop Employee Performance Plans that include certification standards for all affected Public Utilities Group employees. Supervisor Employee Performance Plans must also include a standard for ensuring their subordinates maintain valid certification and complete all mandatory and required training, where applicable.

6.2 Each Public Utilities Group supervisor shall be responsible for:

a. Developing procedures to ensure that their employees obtain and/or maintain their required level of certification, attend Continuing Education training to maintain required certifications(s), whenever necessary, and renew required certification(s) in a timely fashion;

b. Assisting their employees in identifying their training needs for certification that will encourage employees to enhance their work performance and promote career development;

c. Contacting the Training Section to verify a new employee’s certification status and schedule necessary training, whenever needed;

d. Consulting with the Training Section on an ongoing basis to ensure that certification training courses are appropriate to the changing needs of employees in the workplace, wherever applicable;

e. Providing appropriate action for employees who do not meet their job classification Minimum Qualifications through failure to obtain and/or renew their required certifications within established time frames and;

f. Notifying the Training Section of employees who fail to obtain and/or renew their required certification.

6.3 Under the supervision of the Public Utilities Group Training Manager, the Training Section shall be responsible for:
a. In conjunction with supervisory personnel, identifying certification needs for employees in all affected job classifications;

b. Identifying training resources for certification related training needs;

c. Providing ongoing training support to operating Divisions as requested to ensure that training resources are appropriate for certification renewal requirements, wherever applicable;

d. Developing and maintaining Group Certification Program records which shall be reviewed and updated on a regular basis;

e. Distributing information to supervisors and designated employees regarding upcoming certification training opportunities including SWRCB and DPH Operator exam opportunities;

f. Preparing training activity reports which provide the Appointing Authority and supervisors information on employees who fail to maintain their certification;

g. Notifying supervisors when required employee certification(s) have expired;

h. Coordinating the Public Utilities Group Certification Reimbursement Program and Certification Pay Program;

i. Monitoring changes in regulations that may affect certification training requirements.

6.4 Each Public Utilities Group employee shall be responsible for:

a. Maintaining certification at the appropriate level as necessary to meet the Minimum Qualifications for their job classification and to perform their job duties;

b. Paying all fees associated with required and M.O.U. sanctioned certification exams, certifications and certification renewal;

c. Applying for reimbursement of required and M.O.U. sanctioned certifications;

d. Applying for reimbursement of DPH and SWRCB certification exam fees (employee must pass exam to be reimbursed);

e. Attending certification training courses, Specialized Training and Continuing Education as assigned and where applicable, or notifying his/her supervisor of schedule conflicts;

f. Notifying their supervisor of an expired certification;

g. Providing a copy of all new and renewed certifications to their supervisor and the Training Section;
7. **PROCEDURE**

7.1 **Required Certification:**

   a. All employees will be responsible for maintaining their certification, as required, to perform their job;

   b. In coordination with the Training Section, employees shall submit to the DPH and/or the SWRCB the necessary information and fees to apply for any Certification exam, Certification and/or Certification renewal in a timely manner;

   c. Employees shall provide their section supervisor and the Training Section with copies of all new and renewed certification documents;

   d. Employees shall provide to the Training Section a copy of the Notice of Passing Exam for DPH Distribution Operator or Treatment Operator Certification or SWRCB Wastewater Treatment Operator exam within 10 days upon receipt;

   e. The Training Section shall maintain records of all certifications that are designated by the Public Utilities Group as required and/or relevant to the employee classification, are M.O.U. sanctioned, and/or legally required.

7.2 **Internal Certification Training:**

   a. The Training Section may develop and maintain a series of courses designed to meet the requirements of Specialized Training and/or Continuing Education for the purpose of obtaining and/or renewing the following certifications:

   1. DPH Water Distribution Operator, Grades D1 thru D5
   2. DPH Water Treatment Operator, Grades T1 thru T5
   3. SWRCB Wastewater Treatment Plant Operator, Grades I through V
b. The Training Section shall develop and maintain a series of courses designed to meet the requirements of Continuing Education for the purpose of renewing the following certifications:

1. CA-NV AWWA or ABPA Backflow Assembly Tester
2. CA-NV AWWA Cross Connection Control Specialist

c. Employees who successfully complete the course(s) will receive credit in their official training record. Copies of course completion certificates will be maintained in the employee’s Certification File at the Training Section and will be available to employees upon submission of a completed Employee Records Request form (TAB 3) to the Training Section.

7.3 Reimbursement of Certification Fees:

a. Employees are solely responsible for initiating the request for reimbursement process;

b. Request for reimbursement of fees related to occupational category, professional and/or mandatory certification, such as certification exam fees, certification fees and certification renewal fees, shall be submitted using the Request for Certification Reimbursement form (TAB 4) and shall be signed by the Appointing Authority/Program Manager prior to submission to the Training Section;

c. The Training Section will process all certification fee reimbursement requests for legally required and/or M.O.U. sanctioned certification;

d. Requests for certification fee reimbursement shall be routed through and approved by the appropriate section supervisor and Appointing Authority prior to being submitted to the Training Office;

d. Requests for reimbursement forms shall be submitted to the Appointing Authority for signature within 10 days of employee receipt of new or renewed certificates;

e. Reimbursement will not be made for any penalty or late fees associated with certification and/or certification renewal;

f. Employees may seek reimbursement for a maximum of two required or MOU sanctioned certifications per Fiscal Year. Approval for non required or non MOU sanctioned certification(s) require that an authorization memo (TAB 5) from the
employee’s respective Appointing Authority accompany the reimbursement request;

g. Employees will not be reimbursed for any membership or other administrative fees associated with job-related certifications. Only the actual cost of the certification exam fee (DPH Distribution Operator/Treatment Operator or SWRCB Wastewater Treatment Operator only with passing score), new certification, and/or certification renewal will be reimbursed;

h. Employees will not be reimbursed for certification fees while away from the job due to Civil Service Approved Leave Without Pay or any form of suspension from employment;

i. Upon receiving a valid certification, renewing an existing certificate or receiving a notice of passing an exam, the employee shall provide as an attachment to their Request for Certification Reimbursement form, a copy of:

1. Letter of notification of a passing score on the exam
2. New or renewed certification (wallet card)
3. Proof of payment of the certification fee

7.4 Voluntary Certification Pay

a. Employees who qualify for Voluntary Certification Pay, as stated in their bargaining unit's Memorandum of Understanding, will be solely responsible for initiating any request for additional pay;

b. Requests for certification pay will be routed directly through the Training Section utilizing the Request for Voluntary Certification Pay Memorandum (TAB 2);

c. Submitted Request for Voluntary Certification Pay memoranda will have, as an attachment, a copy of the employee’s certification for which additional pay is being sought;

d. Employees will be solely responsible for submitting copies of certification renewals to the Training Section prior to the expiration date of the certification for which they are receiving Voluntary Certification Pay;

e. Employees will not be eligible to receive retro-active Voluntary Certification Pay for the period of time between the certification expiration date (CAPPS drop-off) and the date which the employee submits a copy of the renewed certification to Training.
8. **DUAL CERTIFICATION PAY**

8.1 Requests for Dual Certification Pay will be made in accordance with the employees' bargaining unit's Memorandum of Understanding.

8.2 Additional action shall be taken by the employee when submitting a Request for Dual Certification Pay:
   
a. Requests shall be made in writing by the employee and routed through the requesting employee's Appointing Authority prior to submitting to the Labor Relations Manager;

b. Copies of the request shall be routed to the Training Section prior to submission to the Labor Relations Manager.

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![Signature]

J. M. Barrett

**Public Utilities Group Director**

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Tabs:

1. Supplement - Level of Certification Required by Classification
2. Memorandum – Request for Voluntary Certification Pay
3. Employee Records Request Form
4. Request for Certification Reimbursement – City Form # 1621
5. Example of Appointing Authority Authorization Memo
<table>
<thead>
<tr>
<th>City of San Diego Public Utilities Group Certification Requirements by Classification</th>
<th>UPDATED: January 2009</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Classification</strong></td>
<td><strong>CDS</strong></td>
</tr>
<tr>
<td>Assistant Reservoir Keeper</td>
<td>D1</td>
</tr>
<tr>
<td>Assistant Water Distribution Operator</td>
<td>D2</td>
</tr>
<tr>
<td>Assistant Wastewater Plant Operator</td>
<td>NR</td>
</tr>
<tr>
<td>Equipment Technician 1</td>
<td>D2</td>
</tr>
<tr>
<td>Equipment Technician 2</td>
<td>D2</td>
</tr>
<tr>
<td>Laborer (WST 1 Underfill)</td>
<td>E1</td>
</tr>
<tr>
<td>Lakes Program Supervisor</td>
<td>D2</td>
</tr>
<tr>
<td>Principal Engineering Aide</td>
<td>NR</td>
</tr>
<tr>
<td>Reservoir Keeper</td>
<td>D1</td>
</tr>
<tr>
<td>Senior Engineering Aide</td>
<td>NR</td>
</tr>
<tr>
<td>Senior Water Treatment Plant Operator</td>
<td>NR</td>
</tr>
<tr>
<td>Senior Wastewater Plant Operator</td>
<td>NR</td>
</tr>
<tr>
<td>Senior Wastewater Operations Supervisor</td>
<td>NR</td>
</tr>
<tr>
<td>Senior Water Operations Supervisor</td>
<td>NR</td>
</tr>
<tr>
<td>Utility Worker 1</td>
<td>D2</td>
</tr>
<tr>
<td>Wastewater Plant Operator</td>
<td>NR</td>
</tr>
<tr>
<td>Wastewater Operations Supervisor</td>
<td>NR</td>
</tr>
<tr>
<td>Wastewater Treatment Superintendent</td>
<td>NR</td>
</tr>
<tr>
<td>Water Distribution Operator</td>
<td>D2</td>
</tr>
<tr>
<td>Water Distribution Operations Supervisor</td>
<td>D2</td>
</tr>
<tr>
<td>Water Operations Supervisor</td>
<td>NR</td>
</tr>
<tr>
<td>Water Plant Operator</td>
<td>NR</td>
</tr>
<tr>
<td>Water Production Superintendent: Optimization</td>
<td>D5</td>
</tr>
<tr>
<td>Water Systems District Manager</td>
<td>D5</td>
</tr>
<tr>
<td>Water Systems Technician 1</td>
<td>D2</td>
</tr>
<tr>
<td>Water Systems Technician 2</td>
<td>D2</td>
</tr>
<tr>
<td>Water Systems Technician 3</td>
<td>D2</td>
</tr>
<tr>
<td>Water Systems Technician 4</td>
<td>D2</td>
</tr>
<tr>
<td>Water Systems Technician Supervisor</td>
<td>D2</td>
</tr>
</tbody>
</table>

*Grade V Wastewater Treatment Plant Operator Certificate may be required for this position*

**NR = Not a requirement for classification**
THE CITY OF SAN DIEGO

MEMORANDUM

DATE: __________, 2009

TO: Public Utilities Group Certification Coordinator, MS 43A

FROM: ____________________________________________

SUBJECT: Request for Voluntary Certification Pay

I am hereby requesting pay for Voluntary Certification Pay. I am currently a _______ in _______ Division, _______ Section. I possess a current and valid _______ Certification. This certification is listed in the current Memorandum of Understanding with my Employee Organization/Union as eligible for Voluntary Certification Pay for my job classification. I have attached a copy of my current certification.

I understand that I must have “Satisfactory” or above on my most recent performance report and that the Training Section will verify my current performance rating.

I understand that if the certification I am submitting is approved for Voluntary Certification Pay, it is my responsibility to provide a copy of the renewed certification to the Training Section prior to its expiration date. I understand that if a renewed certification is not provided by me prior to its expiration date, I will lose the Voluntary Certification Pay during the expired period and will not be eligible for retro-active payment from the Public Utilities Group.

I certify that the above is true and correct to the best of my knowledge.

_____________________________  _______________________________
Employee Signature          Employee I.D. Number

_____________________________
Supervisor’s Name

Employee Work Phone Number

Attachments: Copy of Certification
City of San Diego
Public Utilities Group
Training Section
RECORDS REQUEST FORM

1. Date Of Request: ___________________

2. Employee Name: ____________________________________________

3. Employee ID Number: _______________________________________

4. [ ] TIMS print out of all training you have received
   or
   [ ] Copy of specific course completion certificate
      
      a. Course Title: ________________________________

      b. Approximate date of course, between:

      ____________________ & ____________________

The Training Section regards employee-training records as confidential. Your training records will only be released to you upon written request. Training records will be available within 7 working days of this request.

Signature: ___________________________ Phone: ___________________________

Training record provided to requestor on (Date): ___________________________

Requestor Initial: __________________

Record issued by Training Section staff: ___________________________
REQUEST FOR CERTIFICATION REIMBURSEMENT

Instructions:
1. This form is to be used for reimbursement of Voluntary Certification application, examination, and recertification fees only. Refer to Department Instruction 14.31 for policies and procedures regarding training associated with certification.
2. Before examination is taken, applicant completes reimbursement request and obtains supervisor and appointing authority approvals. Employee retains goldenrod copy as record of submittal and forwards remaining 2 copies to the Training Office.
3. Upon receipt of reimbursement request, the Training Office sends pink copy to employee, and retains 2 copies.
4. After the examination has been successfully passed or recertification has been issued, applicant submits proof of certification and original receipts to Training Office.
5. Training Office processes Request for Direct Payment attaching Original and 1 copy of Form UW-1621 and submits to Auditor's Office for payment. Canary copy is retained by the Training Office.
6. The Auditor's Office sends warrant directly to applicant.

COMPLETED BY APPLICANT

<table>
<thead>
<tr>
<th>Name</th>
<th>City ID #</th>
<th>Division/Section</th>
<th>MS</th>
<th>Work Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payroll Job Title</td>
<td></td>
<td>Date of Request</td>
<td>Date of Examination</td>
<td></td>
</tr>
<tr>
<td>Name of Certification Requested / Grade Level</td>
<td>Provider</td>
<td>Estimated Cost</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Please select one. This certification is:
- required for my current position
- specifically related to my current job duties
- cross disciplinary

Please select one. This request is for:
- certification exam
- recertification fee
- initial certification fee

Applicant's Signature ___________________________ Date ____________

COMPLETED BY SUPERVISOR

Was this employee's last Performance Appraisal satisfactory or above? ............... YES NO
Is this employee currently in an hourly or limited status? ......................
If this is for a cross-disciplinary certification, has this employee
previously obtained certification related to their current position? ..............

Supervisor Signature ___________________________ Date ____________

APPOINTING AUTHORITY APPROVAL

To the best of my knowledge the above information is correct as stated.

Appointing Authority Signature ___________________________ Date ____________

TRAINING OFFICE USE ONLY

Reimbursement Request Date ____________ DP Date ____________ DP # ____________ Amount ____________

Comments:

UW-1621 (Rev. 5/66)
SAMPLE REIMBURSEMENT AUTHORIZATION MEMO

CITY OF SAN DIEGO
MEMORANDUM

DATE: December 25, 2008

TO: John Smith, Training Manager, Training Section

FROM: Fred Smith, Deputy Director, Operations Division

SUBJECT: Reimbursement of Certification Renewal Fee

This memo is to authorize reimbursement in the amount of $100.00 to Mark Smith, WST 4, for his Distribution Operator D3 certification renewal fee. It is to the benefit of the Water Department that employees directly involved with the daily operations of its water system possess water industry related certification(s). It has been deemed by my office that Mr. Smith's request for remuneration is in compliance with Department Instruction 10.11 and that it is appropriate to reimburse the cost of this certificate.

Fred Smith
Deputy Director

Cc: Employee Certification File