



Brett Ewart, Chair

William Roberts, Vice Chair	Sean Bigley, Director
Audie Foster, Director	Ron Greenwood, Director
Bruce Kamilos, Director	Gwynne Pratt, Director
Michael Saunders, Director	Robert Wichert, Director

REGIONAL WATER AUTHORITY EXECUTIVE COMMITTEE MEETING

**Tuesday, August 27, 2024
at 1:30 p.m.**

**2295 Gateway Oaks, Suite 100
Sacramento, CA 95833
(916) 967-7692**

IMPORTANT NOTICE REGARDING VIRTUAL PUBLIC PARTICIPATION:

The Regional Water Authority currently provides in person as well as virtual public participation via the Zoom link below until further notice. The public shall have the opportunity to directly address the Committee on any item of interest before or during the Committee's consideration of that item. Public comment on items within the jurisdiction of the Committee is welcomed, subject to reasonable time limitations for each speaker.

Join Zoom Meeting

<https://us06web.zoom.us/j/88933048300>

Meeting ID: 889 3304 8300

Dial by your location

+1 669 444 9171 US or +1 669 900 6833 US (San Jose)

If we experience technical difficulties and the Zoom link drops and you are no longer able to connect to the Board meeting, please dial 1-877-654-0338 – Guest Code 198

Public documents relating to any open session item listed on this agenda that are distributed to all or a majority of the members of the Board of Directors less than 72 hours before the meeting are available for public inspection in the customer service area of the Authority's Administrative Office at the address listed above.

In compliance with the Americans with Disabilities Act, if you have a disability and need a disability related modification or accommodation to participate in this meeting, please contact the Executive Director of the Authority at (916) 967-7692. Requests must be made as early as possible, and at least one full business day before the start of the meeting. The Board of Directors may consider any agenda item at any time during the meeting.

AGENDA

1. CALL TO ORDER AND ROLL CALL

2. PUBLIC COMMENT:

Members of the public who wish to address the committee may do so at this time. Please keep your comments to less than three minutes.

3. CONSENT CALENDAR: All items listed under the Consent Calendar are considered and acted upon by one motion. Committee members may request an item be removed for separate consideration.

3.1 Approve draft meeting minutes of the June 25, 2024 Executive Committee.

Action: Approve Consent Calendar

4. NEW MEMBERS

Presenter: Jim Peifer, Executive Director

Action: Recommend approval by the Regional Water Authority Board of Directors of the admission of CDM Smith as an Affiliate member

5. REVISION TO RWA POLICY 300.4 RECORDS INSPECTION, RETENTION, DISPOSAL, AND STORAGE POLICY

Presenter: Ashley Flores, Clerk of the Board

Action: Recommend Revisions to the Board of Directors

6. ANNUAL REVIEW OF INVESTMENT POLICY 500.2 AND CALIFORNIA EMPLOYERS' RETIREE BENEFIT TRUST (CERBT) ASSET ALLOCATION STRATEGY

Presenter: Tom Hoffart, Finance and Administrative Services Manager

Discussion/Action: Recommend approval of no changes to the RWA Investment Policy 500.2 and CERBT Asset Allocation Strategy to the Board of Directors via consent calendar

7. INFORMATION: ACCOUNTING SOFTWARE

Presenter: Tom Hoffart, Finance and Administrative Services Manager

8. LEGISLATIVE AND REGULATORY UPDATE

Presenter: Ryan Ojakian, Manager of Government Relations

Action: Take positions on State Legislation

9. RWA BOARD MEETING AGENDA

Presenter: Jim Peifer, Executive Director

Action: Approve RWA Board Meeting Agenda for September 12, 2024

10. EXECUTIVE DIRECTOR'S REPORT

11. DIRECTORS' COMMENT

ADJOURNMENT

Upcoming meetings:

Next RWA Board of Director's Meeting:

Regular RWA Board Meeting, September 12, 2024, 9:00 a.m. at Fair Oaks Water District, 10326 Fair Oaks Blvd., Fair Oaks, CA 95628. The location is subject to change.

Next RWA Executive Committee Meeting:

The next RWA Executive Committee Meeting is scheduled for September 24, 2024, 1:30 p.m. at the RWA Office located at 2295 Gateway Oaks, Suite 100, Sacramento, CA 95833.

Notification will be emailed when the RWA electronic packet is complete and posted on the RWA website at: <https://www.rwah2o.org/meetings/board-meetings/>.

Posted on: August 22, 2024



Ashley Flores, CMC
Clerk of the Board



Topic: Public Comment
Type: New Business
Item For: Information/Discussion
Purpose: [Policy 200.1, Rule 11](#)

SUBMITTED BY:	Ashley Flores, CMC Secretary	PRESENTER:	Brett Ewart Chair
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EXECUTIVE SUMMARY

This is an information item to provide an opportunity for the Regional Water Authority Executive Committee to recognize or hear from visitors that may be attending the meeting or to allow members of the public to address the Executive Committee on matters that are not on the agenda.

As noted on the agenda, members of the public who wish to address the committee may do so at this time. Please keep your comments to less than three minutes.

STAFF RECOMMENDED ACTION

None. This item is for information only.

BACKGROUND

Public agencies are required by law to provide an opportunity for the public to address the RWA Executive Committee matters that are not on the agenda.

3.0 CONSENT CALENDAR



Topic: Meeting Minutes
Type: Consent Calendar
Item For: Action; Motion to Approve
Purpose: [Policy 200.1, Rule 14](#)

SUBMITTED BY:	Ashley Flores, CMC Secretary	PRESENTER:	Jim Peifer Executive Director
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EXECUTIVE SUMMARY

This is an action item for the Regional Water Authority Executive Committee to review and consider approving the draft minutes of the Regional Water Authority Executive Committee Meeting of June 25, 2024.

STAFF RECOMMENDED ACTION

A motion to approve the Minutes, as presented or amended.

BACKGROUND

The draft minutes of the above referenced meetings are included with this Agenda. The minutes reflect the RWA Policy 200.1 to document specific details on items discussed at the meetings.

The Executive Director may list on the agenda a "consent calendar", which will consist of routine matters on which there is generally no opposition or need for discussion. Examples of consent calendar items might include approval of minutes, financial reports and routine resolutions. Any matter may be removed from the consent calendar and placed on the regular calendar at the request of any member of the Board. The entire consent calendar may be approved by a single motion made, seconded and approved by the Board.

FINDING/CONCLUSION

Staff believes the draft of the presented minutes correctly reflect the information shared and actions taken by the Executive Committee.

ATTACHMENTS

Attachment 1- Draft meeting minutes of the Regional Water Authority Executive Committee Meeting of June 25, 2024

1. CALL TO ORDER

Chair Ewart called the meeting of the Executive Committee to order on June 25, 2024 at 1:30 p.m. at the RWA Board Room located at 2295 Gateway Oaks, Suite 100, Sacramento, CA 95833. Seven of the Executive Committee Members were present at roll call; a quorum was established. Individuals in attendance are listed below:

Executive Committee Members

Brett Ewart, City of Sacramento, Chair
Audie Foster, California American Water
Ron Greenwood, Carmichael Water District
Bruce Kamilos, Elk Grove Water District
Gwynne Pratt, Del Paso Manor Water District
Michael Saunders, Georgetown Divide Public Utility District
Robert Wichert, Sacramento Suburban Water District

Staff Members

Jim Peifer, Trevor Joseph, Tom Hoffart, Raiyna Villasenor, Ashley Flores, and Josh Horowitz, legal counsel.

Others in Attendance:

None

2. PUBLIC COMMENT

None

3. CONSENT CALENDAR

3.1 Approve draft meeting minutes of the May 28, 2024 Executive Committee Meeting.

A motion was made to approve the Consent Calendar as presented.

Motion/Second/Carried Director Wichert moved, with a second by Director Greenwood

Brett Ewart, City of Sacramento; Audie Foster, California American Water; Ron Greenwood, Carmichael Water District; Bruce Kamilos, Elk Grove Water District; Gwynne Pratt, Del Paso Manor Water District; Michael Saunders, Georgetown Divide Public Utility District; Robert Wichert, Sacramento Suburban Water District; voted yes. motion passed.

Ayes- 7
Noes- 0
Abstained- 0
Absent- 2

4. APPROVAL FOR REIMBURSEMENT TO MEMBER

Executive Director Peifer presented this action for the RWA Executive Committee to approve payment to Placer County Water Agency (PCWA) to reimburse PCWA for consulting services performed by Stantec for work completed on behalf of the Common Interest Management Services (CIMS) program. The work that was performed was to develop documents in support of the American River water provider's recommendations for the Reinitiation of Consultation on the Coordinated Long-Term Operation (LTO) of the Central Valley Project and State Water Project.

It was identified that this approval would not result in additional expenses from CIMS program members as it comes from a pool of funds that was pre-paid and is explicitly for consultant and legal expenses. This pool of funds has sufficient funds to cover this invoice.

A motion was made to approve payment to Placer County Water Agency for \$20,333.10.

Motion/Second/Carried Director Kamilos moved, with a second by Director Saunders

Brett Ewart, City of Sacramento; Audie Foster, California American Water; Ron Greenwood, Carmichael Water District; Bruce Kamilos, Elk Grove Water District; Gwynne Pratt, Del Paso Manor Water District; Michael Saunders, Georgetown Divide Public Utility District; Robert Wichert, Sacramento Suburban Water District; voted yes. motion passed.

Ayes- 7
Noes- 0
Abstained- 0
Absent- 2

5. DISCUSSION: STRATEGIC PLAN DIRECTION

Executive Director Peifer presented this discussion item for the Regional Water Authority Executive Committee to consider and provide feedback on updating the process of developing the Strategic Plan.

The Executive Committee provided feedback to the Executive Director; no action was taken.

6. LEGISLATIVE AND REGULATORY UPDATE

Ryan Ojakian, Manager of Government Relations presented this action item for the Executive Committee on State and Federal legislation. Mr. Ojakian provided an oral report on state legislation and budget actions.

A motion was made to take positions on State and Federal Legislation.

Motion/Second/Carried Director Wichert moved, with a second by Director Greenwood

Brett Ewart, City of Sacramento; Audie Foster, California American Water; Ron Greenwood, Carmichael Water District; Bruce Kamilos, Elk Grove Water District; Gwynne Pratt, Del Paso Manor Water District; Michael Saunders, Georgetown Divide Public Utility District; Robert Wichert, Sacramento Suburban Water District; voted yes. motion passed.

Ayes- 7
Noes- 0
Abstained- 0
Absent- 2

7. RWA BOARD MEETING AGENDA

Executive Director Peifer presented this action item for the Executive Committee to review and consider approving the draft agenda of the Regional Water Authority, Board of Directors Meeting of July 11, 2024.

A motion was made to approve RWA Board Meeting Agenda for July 11, 2024.

Motion/Second/Carried Director Greenwood moved, with a second by Director Pratt

Brett Ewart, City of Sacramento; Audie Foster, California American Water; Ron Greenwood, Carmichael Water District; Bruce Kamilos, Elk Grove Water District; Gwynne Pratt, Del Paso Manor Water District; Michael Saunders, Georgetown Divide Public Utility District; Robert Wichert, Sacramento Suburban Water District; voted yes. motion passed.

Ayes- 7
Noes- 0
Abstained- 0
Absent- 2

8. EXECUTIVE DIRECTOR'S REPORT

Executive Director Peifer reported that Coffee Chat with Jen Quan and Michelle Banonis is on Jul 17, 2024 registration is still open. He also reminded the Committee that the State Water Board released another version of the conservation regulation text and launched a 15-day comment period. There will be no public meeting for

discussion. All written comments are due by July 1, 2024. He also announced that the July 23, 2024 Executive Committee has been cancelled.

9. DIRECTORS' COMMENT

Director Saunders reported that he will be moderating an ACWA Region 3 was hosting a panel on July 31, 2024, at the City of Roseville.

ADJOURNMENT

Chair Ewart adjourned the meeting at 2:28 p.m.

Approved by:

Brett Ewart, RWA Chair

Attested by:

Ashley Flores, CMC, Clerk of the Board



Topic: New Members
Type: Consent Calendar
Item For: Action; Motion to Recommend Approval of RWA Board
Purpose: Routine; Fiscal/Budget; [RWA Policy 100.6](#)

SUBMITTED BY:	Ashley Flores, CMC Secretary	PRESENTER:	Jim Peifer Executive Director
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EXECUTIVE SUMMARY

This is an action item for the Regional Water Authority Executive Committee to recommend approval by the Regional Water Authority Board of Directors of the admission of new members to the Regional Water Authority resulting in new annualized contributions of \$800.00.

STAFF RECOMMENDED ACTION

Recommend approval by the Regional Water Authority Board of Directors of the admission of CDM Smith as an Affiliate member.

BACKGROUND

Entities eligible to become Regional Water Authority (RWA) Associate Members include public or private entities with an interest and management role in regional water matters that are not eligible for other classes of membership in RWA. The purpose of the Affiliate relationship is to promote communication between water managers and the community and to support RWA’s efforts to educate and inform the public.

Entities that may become Affiliates include, but are not limited to Cities and Counties that are not water providers; special districts that are not water providers, such as park, cemetery or fire districts; trade associations; chambers of commerce; businesses and institutions that are major water users; and entities that provide services to water providers.

Agencies or water utilities that deliver potable retail or wholesale water in this region are not eligible to become RWA Affiliates, as these agencies are eligible to become RWA Members or Contracting Entities. Agencies or entities with other water management authorities are not eligible to become RWA Affiliates, as these agencies are eligible to become RWA Associate Members.

Each entity that applies to become an RWA Affiliate must be approved by a two thirds majority vote of the RWA Board of Directors. Board approval will be dependent on a demonstration that the Affiliate member will provide support to the mission and goals of RWA. RWA Affiliates do not hold a seat on the RWA.



Agenda Item 4

Board, and therefore are not eligible to vote on RWA Board business or policy matters, including legislative/policy issues under Section 7(a) of the RWA joint powers agreement. RWA Affiliates pay an annual fee \$800 per year, which will be subject to adjustment from time to time by the RWA Board. RWA Affiliates are not eligible to participate directly in RWA subscription programs.

FINDING/CONCLUSION

CDM Smith has expressed interest in becoming an Affiliate member. As an Affiliate Member, they intend to support RWA through our specialized expertise, increased engagement with fellow members, and our advocacy in support of the RWA vision. Staff recommends the admittance of CDM Smith as an Affiliate member.

ATTACHMENTS

Attachment 1- Supporting Letter from CDM Smith dated July 11, 2024



July 11, 2024

Ms. Josette Reina-Luken
Regional Water Authority
5620 Birdcage Street, Suite 180
Citrus Heights, CA 95610

Subject: Affiliate Membership Application for CDM Smith

Dear Ms. Reina-Luken:

CDM Smith is interested in applying for an Affiliate membership to the Regional Water Authority. Below please find the required information needed for our application.

Name of organization: CDM Smith Inc.

The geographic scope of your organization: CDM Smith is a globally employee-owned firm with seven California offices including an office in Sacramento.

The nature of your organization: CDM Smith is a corporation, licensed to operate in California and headquartered in Boston, MA.

The mission of your organization and the constituency you represent: CDM Smith is a global privately owned engineering and construction firm providing legendary client service and smart solutions in water, environment, transportation, energy, and facilities projects for public and private clients.

Your interests in water management in the Sacramento Region: CDM Smith is a global environmental engineering company with extensive experience delivering solutions addressing clean and reliable water supplies. CDM Smith's interest in water management in the Sacramento region encompasses water quality and supply, flood control, hydroelectric power, sustainable management of water resources, and recreational opportunities. Our Sacramento office is located at 2295 Gateway Oaks Drive, Suite 250 and staffed with over 40 water professionals dedicated to addressing these critical needs.

Description of how Affiliate membership will be mutually beneficial to your organization and RWA:

An Affiliate membership would provide CDM Smith with the following:

- more opportunities for active participation in regional water issues,
- opportunities to explore our specific water interests and specialties at a regional level, and
- help build relationships and open networking opportunities with water suppliers and users.

Thank you for considering our request for Affiliate membership. Please contact me at sullivanlr@cdmsmith.com or (925) 296-8018 if you have any questions. I look forward to hearing from you about the status of our membership request.

Sincerely,

A handwritten signature in blue ink that reads "Lauren Sullivan".

Lauren Sullivan
Client Service Leader - Water Services
CDM Smith Inc.



Topic: Revision To RWA Policy 300.4 Records Inspection, Retention, Disposal, and Storage Policy
Type: Policy
Item For: Action; Recommend Approval of Revisions to Policy and Adoption of Resolution 2024-05 by the Board of Directors
Impact: Fiscal/Budget impact; cost savings

SUBMITTED BY:	Ashley Flores Clerk of the Board	PRESENTER:	Ashley Flores Clerk of the Board
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EXECUTIVE SUMMARY

This is an action item for the RWA Executive Committee to consider and recommend revisions to Policy 300.4 Records Inspection, Retention, Disposal, and Storage Policy. Staff has updated the records management program, including its records retention policy. The revisions to the policy will result in efficiency gains and cost savings.

STAFF RECOMMENDED ACTION

Recommend approval of revisions to Policy 300.4, Exhibit A to Policy 300.4 and adoption of Resolution 2024-05 to the Board of Directors.

BACKGROUND

The Regional Water Authority produces and manages many records, and staff has determined that reducing the volume of records retained by the Authority is a necessary administrative objective. To assist in this effort, RWA contracted with Gladwell Governmental Services, Inc., an expert in local government records, to upgrade its records management program. An upgrade in the existing program is necessary to reduce current and future records storage costs, eliminate duplication of effort, increase efficiency and take advantage of current technology and changes in law.

FINDING/CONCLUSION

The upgrade of the RWA records management system is driven by many factors, including:

- Very limited space in our office
- Many departments are filing and storing copies of the same records
- Escalating records storage expenses
- Technology advancements
- Changes in law and policy

The purpose of the program is to apply efficient and economical methods to the creation, utilization, maintenance, retention, preservation and disposal of all records managed by the RWA.

The new retention schedules were written interactively with representatives from all departments participating in the project. They provide clear, specific records descriptions and retention periods, and apply current law and technology to the management of Regional Water Authority's records. By identifying which department is responsible for maintaining the original record, and by establishing clear retention periods for different categories of records, RWA will realize significant savings in labor costs, storage costs, free filing cabinet and office space, and realize operational efficiencies.

It is standard business practice for California local governments to authorize the routine destruction of records that have exceeded their adopted retention period, upon the request of the Department Head and with the consent in writing of the Department Head, and Executive Director or Designee, which is provided in Section 2 of the resolution. This will reduce costs and improve efficiency for the Authority.

It is also standard business practice for California local governments to authorize updates to the schedule without further action of the Board of Directors, which is provided in Section 2 of the Resolution.

FISCAL IMPACT

RWA will realize significant savings both in labor and storage expenses, including the avoidance of future storage and/or lease costs.

ATTACHMENTS

Attachment 1 – Draft of Policy 300.4 (Redline)

Attachment 2 – Draft Resolution 2024-05

Attachment 3 – Record Retention Schedules (Exhibit A)

REGIONAL WATER AUTHORITY POLICIES AND PROCEDURES MANUAL

Policy Type : Operations
Policy Title : Records Inspection, Retention, Disposal, and Storage Policy
Policy Number : 300.4
Date Adopted : November 8, 2007
Date Amended : July 12, 2012
X.X.2024

Records Inspection, Retention, Disposal, and Storage Policy

100.00 Purpose of the Policy

This document describes the Regional Water Authority's ("RWA") policy concerning records inspection, retention, destruction, and storage.

200.00 Inspection

It is RWA's goal and intent to fully comply with the California Public Records Act (CPRA) California Government Code section 79200 et seq., RWA directs all employees, officers and agents of RWA to fully comply with the CPRA.

200.10 Purpose and Scope

This section provides criteria for the inspection of records.

200.20 General

Public records of RWA are open to inspection during normal office hours and every person has a right to inspect these records. Employees are directed to ensure the protection of the record and must supervise any inspection to ensure records are not damaged or lost.

200.30 Definitions

All Definitions are the same as the CPRA, which is incorporated into this policy. As used in this section:

a. "Public Records" includes any writing containing information relating to the conduct of public business prepared, owned, used, or retained by RWA.

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~~regardless of physical form or characteristics and which is not otherwise exempt from disclosure in accordance with applicable laws.~~

b. ~~“Writing” means handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored. A~~

~~Writing does not include a compilation of writings that was not created in the normal course of business.~~

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200.40 Exemptions

All Exemptions are the same as the CPRA, which is incorporated into this policy.

Nothing in this section requires disclosure of the following records:

- a. ~~Preliminary drafts, notes, or intra- or inter-agency memoranda not retained by RWA in the ordinary course of business, if the public interest in withholding such records clearly outweighs the public interest in disclosure;~~
- b. ~~Records pertaining to pending litigation in which RWA is a party or to claims made pursuant to Division 3.6 (Commencing with Section 810) of Title 1 of the Government Code, until such litigation or claim has been finally adjudicated or otherwise settled;~~
- c. ~~Personnel, medical or similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy;~~
- d. ~~Geological and geophysical data, plant production data, and similar information relating to utility systems development obtained in confidence from any person;~~
- e. ~~Test questions, scoring keys, and other examination data used to administer examinations for employment;~~
- f. ~~The contents of real estate appraisals, engineering or feasibility estimates and evaluations made for or by RWA relative to the acquisition of property, or to prospective supply and construction contracts, until such time as the property has been acquired or the contract agreement has been obtained. The law of eminent domain will not be affected by this provision;~~
- g. ~~Records exempted or prohibited from disclosure pursuant to provisions of Federal or State Law, including, but not limited to, provisions of the Evidence Code relating to privilege;~~
- h. ~~Data, plans, drawings, schematics, manuals and other documents related to the security and protection of members' water supplies;~~
- i. ~~Private information pertaining to any director, employee or customer of a member agency that is explicitly exempt under Government Code sections 6254 and 6254.16 or that may be exempt because of personal~~

~~safety or privacy concerns under Government Code section 6255,
including without limitation personal identifying information and private~~

~~data such as social security numbers, confidential personnel and financial records, and members' water use data;~~

~~j. Other records the disclosure of which is not required by law; and~~

~~k. Computer software developed by or for RWA for internal use and not otherwise made available to the public except by selling, leasing or licensing such software for commercial or non-commercial use. Such proprietary computer software developed by RWA may include computer mapping systems, computer programs, and computer graphics systems.~~

200.50 Additional Public Records

Notwithstanding the foregoing, the following are public records of RWA:

~~A. Every employment contract between RWA and a public official or public employee is a public record.~~

~~A.~~

~~A. Documents concerning an open session item of a noticed public meeting that are provided to all or a majority of the Board or a committee less than 72 hours before that meeting.~~

~~B.~~

200.60 Justification for Withholding of Records

RWA will justify withholding a record by demonstrating the record is exempt under the express provisions of Government Code section 79200 et seq. 6254 (including the records listed above in section 200.40) or by demonstrating that the public interest served by not making the record available clearly outweighs the public interest served by disclosing the record.

~~Written notice of intent to withhold records, stating the reasons for withholding the records and an estimated time for when RWA will furnish disclosable documents, will be provided to the person requesting the record in a manner that is compliant with the CPRA within ten days of the request for inspection (or such later date designated by RWA upon written notice) as required by Government Code sections 6253, subdivision (c) and 6255, subdivision (b).~~

200.70 Copies of Records

~~a. A person may obtain copies of identifiable records, preferably by written request on RWA's request form, although verbal requests are acceptable. The RWA Secretary is the custodian of RWA's records and will provide the requestor with copies of all requested records unless a record is in electronic form or in a specialized format, in which case RWA will provide the most accurate copy possible within the limits of available technology and the requestor's~~

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~~instructions and willingness to pay the appropriate costs to retrieve and reproduce copies of such non-standard records. Nothing in this Policy or in the Public Records Act requires the District to provide copies of electronic documents in their native format~~

~~when a paper copy would provide a sufficiently accurate reproduction of the contents of the document and ensure the security and integrity of the original record. Officers, agents and employees of RWA are not required to request records in compliance with this section when acting within the course and scope of employment or when holding office. If RWA is unable to provide requested copies within ten days of the request, it will advise the requestor in writing of the date when the record will be provided.~~

~~A. Copies will be provided in compliance with the CPRA and federal copyright laws.~~

~~B. The charge for plain paper standard black and white letter or legal size legal size photocopies will be \$0.10 per page, which reflects RWA's direct copying costs. Large format documents, maps, color copies and similar specialized documents will be charged at cost, which RWA will determine and advise the requestor of and receive approval from the requestor before copying begins. Payment for all services is required at the time copies are provided, although RWA may require a deposit as provided below in subdivision (c) before beginning copying and/or sending the job to an outside copy service. In cases when RWA sends a job to an outside service, the copy service's actual charges for the job will be passed through to the requestor. A certified copy of each requested record will require an additional payment of \$3.00. No charge will be imposed for research.~~

~~C. The RWA Secretary-Executive Director may require a person who desires to obtain copies of records to deposit an amount equal to the estimated fees for copying prior to receiving the records. The portion of the deposit not required will be refunded. If the deposit is insufficient, RWA may require the requestor to pay any balance of copying charges due before any records are released.~~

~~G.~~

200.80 Public Counter Records

- a. Except for related writings exempt from public disclosure, RWA Secretary will maintain a duplicate copy of the last approved Board meeting minutes and the agenda and written materials distributed to the Board for discussion or consideration at the next scheduled Board meeting. These records will be maintained at the public counter located in RWA's administrative office. Public records discussed during a public meeting but not previously available will be made available before the commencement of discussion at such meeting or as soon thereafter as practicable. Public counter records also include those documents, if any,

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described in subdivision (b) of Section 200.50 of this Policy.

- b. No charge will be imposed for the use or review of the records described in this section. RWA will, however, impose a copy charge if a copy of a public counter record is requested.
- c. RWA ~~may shall~~ post on its website copies of ~~certain public counter records, archived~~ Board and Executive Committee meeting agendas and minutes, financial data, and other key Authority documents. Requestors are encouraged to view and obtain copies of available documents by visiting RWA's website at: www.rwah2o.org.

200.90 Recording-Keeping

RWA's Finance and Administrative Services ~~Officer-Manager~~ will maintain a record of requests for inspection that are denied and the reasons for the denial.

300.00 Retention, Disposal and Storage

300.10 Purpose and Scope

This section provides criteria for the retention, destruction, and storage of records.

300.20 Records Retention Schedule

[RWA's Records Retention Schedules are separate documents, and the most recent approved versions are incorporated into this policy.](#)

[The Records Retention Schedules shall be reviewed and updated every two years to fully comply with changes in law or business practices.](#)

[The Records Retention Schedules include the following documents / files:](#)

- [How to Use Retention Schedules](#)
- [Retention Legend](#)
- [Agency-Wide \(used by all Departments\)](#)
- [Administrative \(Executive Director, Board Secretary\)](#)
- [Finance, Payroll](#)
- [Human Resources, Risk Management](#)
- [Information Technology](#)
- [Regional Water Efficiency Program](#)

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- Technical Services
- Government Relations
- Strategic Affairs

This is RWA's Records Retention Schedule, which was adopted by the Board of Directors by Resolution 07-04 in accordance with Government Code sections 12236 and 60201, subdivision (b)(2), and as may be amended from time to time. As provided by California law, RWA will retain, store and dispose of its records in accordance with this schedule and the requirements and procedures set forth in this policy.

R = Legally required retention period.

Until Converted = until converted to "Other Storage Medium Retention Period."

<u>Title</u>	<u>Original Form Minimum Retention Period</u>	<u>Other Storage Medium¹ Minimum Retention Period</u>
<u>Administration:</u>		
Correspondence	3 years	10 years
Policy and Procedures	7 years after cancellation	10 years
Formation/accreditation	Permanent Until Converted	Permanent R
<hr/>		
¹ Microfiche, microfilm, computer disk or other permanent record in compliance with Government Code section 60203 (a) and (b).		
Oaths of office/ballots/other official materials related to election or appointment of directors and officers	Term of Office + 7 years R	10 Years
Filings with Secretary of State	Permanent Until Converted	Permanent R
Work Orders/ Time Sheets	3 years	None
Form 700 Statements of Economic Interests	7 years after filing R	None
<u>Board of Directors:</u>		
Agendas	3 years	10 years
Meeting Notices	3 years	10 years
Staff Reports	3 years	10 years

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Board meeting minutes	Permanent Until Converted	Permanent R
Ordinances and Resolutions	Permanent	Permanent R
Conflict of Interest Code	Current + 3 years R	10 years
Board policies and procedures	Current + 3 years	10 years
<u>Committees:</u>		
Agendas	3 years	10 years
Meeting notices	3 years	10 years
Minutes	Permanent Until Converted	Permanent R
Reports	3 years	10 years
<u>Contracts:</u>		
Agreements and contracts	7 years following end of contract R	10 years
Requests for proposal and request for qualifications	Contract Termination + 5 years	None
Responses to requests for proposal and requests for qualifications	Contract Termination + 5 years R , but only for two years for all unaccepted proposals	None
<u>Financial:</u>		
<u>Accounts payable</u>	All categories below—Audit + 2 years	7 years
Correspondence		
A/P ledger/distribution journal		
Cash disbursements		
Payroll/stipend payments	R	
Petty cash reports		
Expense reports	R	
Invoices	R	
Purchase orders	R	
Warrants	R	
<u>Accounts Receivable</u>	All categories below—Audit + 2 years	7 years
A/R register		
Aged trial balance		
Invoices		
<u>Audit Reporting</u>	All categories below—Audit + 2 years	7 Years
Correspondence		
Reports		
State Controller's report		

Work papers		
<u>Banking</u>	All categories below—Audit + 2 years	7 years
Correspondence		
Bank confirmations		
Bank reconciliations		
Bank statements		
Canceled and voided checks		
Deposit slips		
Signature authorization		
<u>Financial Reporting</u>	All categories below—2 years	7 years
Correspondence		
Reports and studies		
Charts of accounts		
Treasurer's reports		
Accountant reports		
<u>Ledgers</u>	All categories below—Audit + 2 years	7 years
Account analysis		
Balance sheets		
General ledger		
Journal entries		
<u>Annual Budgets</u>	2 years	7 years
<u>Securities</u>		
Acquisition of securities	Until sold + 4 years	10 years
Annual statements	Until sold + 4 years	10 years
Broker/ bank receipts	4 years	10 years
Periodic statements	4 years	10 years
<u>Personal Property</u>		
Inventory		
Maintenance and inspection logs	Current + 4 years	None
Computer licenses and documentation	4 years	None
	Expiration/obsolescence	None
<u>Insurance:</u>		
Memoranda of coverage	Expiration + 5 years	10 years
Insurance policies	Expiration + 5 years	10 years
Endorsements	Expiration + 5 years	10 years
Certificates of insurance	Expiration + 5 years	10 years
Coverage opinions	Expiration + 5 years	10 years
Surety/Fidelity Bonds	Expiration + 5 years	10 years

Legal:

General correspondence	3 years	10 years
Attorney correspondence	3 years	10 years
Claims and claims records	2 years after close of claim R, but only for two years	10 Years (rejection letters, settlement agreements and releases only)
Minor's claims	2 years from age of 18 R	10 Years (rejection letters, settlement agreements and releases only)
Litigation	2 years after litigation concludes R	10 Years (judgments, settlement agreements and releases only)
Opinions	7 years	10 Years

Membership:

Membership records	7 years, Until Converted	10 Years
Program participation agreements	10 Years	10 Years
Appointment resolutions/letters	7 years Until Converted	10 Years

Personnel:

Personnel files	Termination + 5 years	10 years
Job descriptions	Current + 2 years	None
Time sheets	Current + 4 years	None
Call reports and logs	Current + 4 years	None
Employment Agreements	Expiration + 4 years R	7 Years
Job advertisements and applications	2 years	None
I-9s and employment eligibility	3 years after hire or 1 year after termination, whichever is later	None

Real Property:

Deeds and other documents related to real property interests Permanent, Until Converted Permanent **R**

Miscellaneous:

Other records Board or Executive Director determines to be of significant and lasting historical, administrative, financial, legal or research value Permanent, Until Converted Permanent

Records not prepared by or received from a state or federal agency nor required to be maintained for a specified period pursuant to state or federal law 2 years None

Other records prepared or received pursuant to state or federal law, but not expressly required to be maintained 3 years 10 years

Board meeting tape recordings After Approval of Minutes by Board or 30 days, whichever is later **R**, if Authority chooses to record None

300.30 — Retention of Other Records

a. ~~RWA must retain the following records, regardless of any different destruction policy or schedule as to any identified record or records specified in the records retention schedule set forth in section 2.2 above:~~

i. ~~Any record of RWA that is the subject of a pending request made under the California Public Records Act, Government Code sections 6250 through 6276.48, until RWA has either (A) complied with the request or (B) waited at least two years after the record was withheld and written notice denying the request was provided to the requestor; **R**~~

ii. ~~Documents related to public works not accepted by RWA or to which a stop notice claim may be legally presented; **R**~~

iii. ~~Documents related to any non-discharged Authority debt; **R**~~

iv. ~~Any document that has not yet fulfilled the administrative, fiscal, or legal purpose for which it was created or received by RWA; and **R**~~

- v. ~~Any records required to be retained due to pending litigation, until the judgment is final. R~~
- b. ~~RWA may dispose of the following records at any time, without maintenance of a copy:~~
 - i. ~~Duplicates, the original or a permanent photographic record of which is on file;~~
 - ii. ~~Rough drafts, notes and working papers prepared or kept by any employee or accumulated in the preparation of a communication, study or other document, unless of a formal nature contributing significantly to the preparation of the document;~~
 - iii. ~~Shorthand notebooks, telephone messages and inter-departmental notes;~~
 - iv. ~~E-mails deleted and not maintained as RWA records in accordance with the Board's adopted Electronic Mail Management and Retention Policy, or any amended or successor policy.~~

300.40 Records Storage

All of the records referenced in this section will be maintained at RWA's Administrative office located at ~~5620 Birdcage Street~~2295 Gateway Oaks Drive, Suite ~~180~~100, ~~Citrus Heights~~Sacramento, California ~~95640~~95833, or such other repository that RWA may designate from time to time. All records requests should be directed to RWA's ~~administrative office~~Executive Director at ~~5620 Birdcage Street~~2295 Gateway Oaks Drive, Suite ~~100~~, Suite ~~180~~, ~~Citrus Heights~~Sacramento, California ~~95640~~95833.

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300.50 Records Disposal

RWA's Executive Director, or his or her designee, may destroy and discard, by any permanent method that protects the confidentiality of any privileged or confidential information contained therein, any Authority record after the expiration of the applicable retention period described in the above Records Retention Schedule.

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Procedure:

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A. The department head completes and signs a "Request for Destruction of Obsolete Records," listing the date and description of each document to be destroyed. The department head submits the form to the Records Coordinator, who will be the Executive Director.

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B. The Records Coordinator checks the description of the documents listed on the submitted form to confirm that each document record listed is:

1) not required to be permanently retained, ~~and~~

_____ has been retained for the legally required period of time.

2) _____

C. The Records Coordinator reviews the form, and if appropriate the Records Coordinator oversees the destruction of the documents, indicates the method of destruction on the form, signs the form and then files the completed and approved form.

400.00 SGA Records

Generally, records of the Sacramento Groundwater Authority ("SGA") are not records of RWA. RWA and SGA are separate public agencies that have their own governing body and JPA agreements providing for their purposes, powers, activities and governance. Except for certain documents related to_

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shared administrative services, RWA and SGA records are used, owned and retained only by the agency for which they were originally prepared. The fact that RWA and SGA records are stored in the same space and administered by the same staff does not transform a record created for and used and maintained by one agency into a record of the other agency. As a result, neither agency has the legal right or the obligation to disclose the records of the other agency without the consent of that agency. In cases when a member of the public submits a request for public records to RWA that might include SGA records within the scope of the request, staff will consult with the Executive Director and legal counsel to determine the appropriate response and scope of production.

[SGA follows the same Records Retention Policies as RWA.](#)

500.00 Policy Review

This policy shall be reviewed at least once every ~~four~~ two years.

RESOLUTION NO. 2024-05

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE
REGIONAL WATER AUTHORITY
ADOPTING AN UPDATED RECORDS MANAGEMENT POLICY AND RECORDS
RETENTION SCHEDULE AND AUTHORIZING DESTRUCTION OF CERTAIN
AUTHORITY RECORDS**

WHEREAS, the maintenance of numerous records is expensive, slows document retrieval, and, except for those records for which a permanent copy must be kept in paper or electronic form, is not necessary after a certain period of time for the effective and efficient operation of the Regional Water Authority (RWA);

WHEREAS, RWA has not updated its records management policy, Policy No. 300.4, since 2012 and staff has determined that it is necessary to update the policy to address changes in the law and to make RWA's records management system more cost- and time-efficient;

WHEREAS, it is in the members' best interest to reduce RWA's costs for managing and storing documents while, at the same time ensuring that RWA preserves those records that are required to conduct Authority business; and

WHEREAS, the term "records" as used herein shall include all documents, instructions, books, microforms, electronic files, magnetic tape, optical media, and papers as defined by the California Public Records Act, Government Code sections 7920 and following.

THEREFORE, BE IT RESOLVED by the Board of Directors of the Regional Water Authority as follows:

1. RWA Policy Number 300.4, RWA's Records Inspection, Retention, Disposal, and Storage Policy, is hereby approved in its updated form as presented at this meeting and attached to this resolution as Exhibit A, and the Executive Director and their designees are directed to implement the updated policy.
2. The records of the Regional Water Authority, as set forth in the Records Retention Schedules attached to Exhibit A and incorporated herein by this reference, are hereby authorized to be provided for public inspection, retained, stored, and destroyed in accordance with the provisions of the schedules. Records permitted to be disposed of at the end of a term stated in the schedules may be destroyed upon the request of a Department Head and with the consent in writing of the Executive Director or Designee without further action by the Board of Directors of the Regional Water Authority.
3. With the consent of the Executive Director or Designee, staff is authorized to update the Records Retention Schedules as required by law or deemed advisable by counsel

or other qualified advisor, and to replace any amended schedules within the Policy without further action by the Board of Directors of the Regional Water Authority.

4. This resolution shall become effective immediately upon its passage and adoption and will remain effective unless repealed or superseded.

PASSED and APPROVED by the Regional Water Authority Board of Directors on September 12, 2024.

By:

Brett Ewart, Chair

Attest:

Ashley Flores, CMC, Clerk of the Board

CERTIFICATION

I, Ashley Flores, Regional Water Authority Board Secretary, do hereby certify that the foregoing Resolution 2024-05 was duly and regularly adopted by the Board of Directors of the Regional Water Authority at the regular meeting held on September 12, 2024 by the following vote of the Board:

AYES:

NOES:

ABSTENTIONS:

ABSENT:

Ashley Flores, CMC
Clerk of the Board

Exhibit A

**REGIONAL WATER AUTHORITY
RECORDS RETENTION SCHEDULE**

Exhibit A

**REGIONAL WATER AUTHORITY
RECORDS RETENTION SCHEDULE**

HOW TO USE RETENTION SCHEDULES

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A legend explaining the information presented in the retention schedule has been printed on the back of each page for your easy reference; an index to locate records is also provided.

The specified retention period applies regardless of the media of the record: If a record is stored on paper and a computer file on a hard drive, both records should be destroyed (or erased) after the specified period of time has elapsed.

Copies or duplicates of records should never be retained longer than the prescribed period for the original record.

STRUCTURE: AGENCYWIDE, DEPARTMENTS & DIVISIONS

The Agency-wide retention schedule includes those records all departments have in common (letters, memorandums, purchase orders, etc.). These records are NOT repeated in the Department retention schedule, unless that department is the Office of Record, and therefore responsible for maintaining the original record for the prescribed length of time.

Each department has a separate retention schedule that describes the records that are unique to their department, or for which they are the Office of Record. Where appropriate, the department retention schedules are organized by Division within that Department. If a record is not listed in your department retention schedule, refer to the Agency-wide retention schedule. An index will be provided for your reference.

BENEFITS

This retention schedule has been developed by Diane R. Gladwell, MMC, an expert in Municipal Government records, and will provide the Agency with the following benefits:

- Reduce administrative expenses, expedite procedures
- Free filing cabinet and office space
- Reduce the cost of records storage
- Eliminate duplication of effort within the Agency
- Find records faster
- Easier purging of file folders
- Determine what media should be used to store records

For questions, please contact the Agency Clerk.

• AUTHORIZATION TO DESTROY RECORDS:

Destruction of an original record that has exceeded its retention period must be authorized according to Agency Policies & Procedures prior to destroying it.

- If there is a **minimum** retention ("**Minimum 2 years**"), destruction of the document must be authorized before it is destroyed, as it is an original record.

Copies, drafts, notes and non-records do NOT require authorization, and can be destroyed "When No Longer Required."

- If there is **NOT** a minimum retention ("When No Longer Required"), it does NOT need to be authorized prior to destruction, as it is a preliminary draft / transitory record or a copy.

On every page of the schedules (near the top, just under the column headings) are important instructions, including instructions regarding holds on destroying records. "**Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).**"

RECORDS RETENTION SCHEDULE LEGEND

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OFR (Office of Record): The department that keeps the original or “record copy.” Usually it is the department that originates the record, unless the item is for the Board of Directors meeting (then it is the Agency Clerk.)

Records Description: The record series (a group of like records).

Transitory Records not retained in the ordinary course of business, that do NOT have substantive content: Preliminary drafts, notes, or interagency or intra-agency memoranda and records having only transitory value. Examples: Telephone messages, meeting room reservation schedules, logs, source records entered into a computer system that qualifies as a “trusted system”, etc.

Non-Record: Documents, studies, books and pamphlets produced by outside agencies, preliminary drafts not retained in the ordinary course of business.

Retention/Disposition:

For file folders containing documents with different retention timeframes, use the document with the longest retention time.

P = Permanent

Indefinite = No fixed or specified retention period; used for databases, because the data fields are interrelated.

Electronic Document Naming Convention: The Agency’s standard for naming electronic records

Legend for legal citations (§: Section)

CC: Civil Code (CA)

CFC: California Fire Code

EVC: Evidence Code (CA)

FTB: Franchise Tax Board (CA)

HUD: Housing & Urban Develop. (US)

PC: Penal Code (CA)

UFC: Uniform Fire Code

W&I: Welfare & Institutions Code (CA)

B&P: Business & Professions Code (CA)

CCP: Code of Civil Procedure (CA)

CFR: Code of Federal Regulations (US)

FA: Food & Agriculture Code

GC: Government Code (CA)

LC: Labor Code (CA)

PRC Public Resources Code

USC: United States Code (US)

CBC: California Building Code

CCR: California Code of Regulations (CA)

EC: Elections Code (CA)

FC: Family Code (CA)

H&S: Health & Safety Code (CA)

Ops. Cal. Atty. Gen.: Attorney General Opinions (CA)

R&T: Revenue & Taxation Code (CA)

VC: Vehicle Code (CA)

RECORDS RETENTION SCHEDULE: AGENCY-WIDE STANDARDS

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>Retentions apply to the "Lead Dept"; Use Agency-Wide together with Department schedules</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>					
AGENCY-WIDE (Used by All Departments)					
Lead Dept.	AW-001	Agreements & Contracts - ADMINISTRATIVE RECORDS (All Contracts) (Correspondence, insurance certificates. RFP, Successful Bid or Proposal, etc.)	Completion + 10 years	Covers E&O Statute of Limitations (insurance certificates are filed with agreement); Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, CCP §§336(a), 337 et. seq., No mandated retention	Vendor Name – Project Desc. – yyyy-mm-dd
Executive Director / Board Secretary	AW-002	Agreements & Contracts Amendments, Change Orders, Task Orders (originals) - INFRASTRUCTURE / JPAs, MOUs, WATER	Send all Originals to Executive Director / Board Secretary	Departments should retain copies only; No mandated retention	Vendor Name – Project Desc. – yyyy-mm-dd
Executive Director / Board Secretary	AW-003	Agreements & Contracts Amendments, Change Orders, Task Orders (originals) - PROFESSIONAL SERVICES, CONSULTING (where Errors & Omissions or Professional Liability Insurance required)	Send all Originals to Executive Director / Board Secretary	Departments should retain copies only; No mandated retention	Vendor Name – Project Desc. – yyyy-mm-dd
Executive Director / Board Secretary	AW-004	Agreements & Contracts, Amendments, Change Orders, Task Orders (originals) - CUSTODIAL, LEASES, MAINTENANCE (where Errors & Omissions or Professional Liability Insurance is NOT applicable)	Send all Originals to Executive Director / Board Secretary	Departments should retain copies only; No mandated retention	Vendor Name – Project Desc. – yyyy-mm-dd
Lead Dept.	AW-005	Association Records (external associations - e.g., ACWA, etc.)	When No Longer Required	Non-records; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Lead Dept.	AW-006	Bids, Unsuccessful / Proposals, Unsuccessful	2 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Lead Dept.	AW-007	Clippings / Newspaper Clippings	When No Longer Required	Non-records; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: AGENCY-WIDE STANDARDS

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>Retentions apply to the "Lead Dept"; Use Agency-Wide together with Department schedules</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
HOLDS: <i>Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>					
Lead Dept.	AW-008	Committees, Task Forces, Associations, Commissions, & Boards: External Organizations (e.g. Association of California Water Agencies, etc.)	When No Longer Required	Non-records	Main Project – Detailed Topic – yyyy-mm-dd
Lead Dept.	AW-009	Copies or duplicates of any record	Copies - When No Longer Required	No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Dept. that Authors Document or Receives the Agency's Original Document	AW-010	Correspondence - Routine (Content relates in a substantive way to the conduct of the public's business) (e .g. Administrative, Chronological, Communications, General Files, Letters, Memorandums, Miscellaneous Reports, Press Releases	Minimum 2 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: AGENCY-WIDE STANDARDS

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>Retentions apply to the "Lead Dept"; Use Agency-Wide together with Department schedules</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>					
Dept. that Authors Document or Receives the Agency's Original Document	AW-011	<p>Correspondence - TRANSITORY / PRELIMINARY DRAFTS, Interagency and Intraagency Memoranda not retained in the ordinary course of business</p> <p>Content NOT Substantive, or NOT made or retained for the purpose of preserving the informational content for future reference</p> <p>(e.g. calendars, checklists, e-mail, social media posting, invitations, instant messaging, logs, mailing lists, meeting room registrations, staff videoconference chats, notes and recordings, supply inventories, telephone messages, text messages, transmittal letters, thank yous, requests from other cities, undeliverable envelopes, visitors logs, voice mails, webpages, etc.)</p>	When No Longer Required	<p>Electronic and paper records are filed and retained based upon their CONTENT. E-mails, electronic records, or social media postings where either the Content relates in a substantive way to the conduct of the public's business, or ARE made or retained for the purpose of preserving the informational content for future reference are saved by printing them out and placing them in a file folder, or saving them electronically. If not mentioned here, consult the Attorney to determine if a record is considered transitory / preliminary draft. GC §§60201, 6252, 6254(a); 64 Ops. Cal. Atty. Gen. 317 (1981)); City of San Jose v. Superior Court (Smith). S218066. Supreme Court of California, 2017</p>	Main Project – Detailed Topic – yyyy-mm-dd
Lead Dept.	AW-012	Drafts & Notes: Drafts that are revised (retain final version)	When No Longer Required	No mandated retention,	Main Project – Detailed Topic – yyyy-mm-dd
Lead Dept.	AW-013	<p>Grants (SUCCESSFUL - all records, including FEMA or OES claims (Federal Emergency Management Agency or Office of Emergency Services Claims)</p> <p>Applications (successful), grant agreement, copies of invoices, program rules, regulations & procedures, reports to grant funding agencies, correspondence, audit records, completion records</p>	After Funding Agency Audit, if required - Minimum 5 years	<p>Agency Preference; Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; 2 CFR 200.333; 24 CFR 91.105(h), 92.505, 570.490, & 570.502; OMB Circular A-110 & A-133; GC §8546.7</p>	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: AGENCY-WIDE STANDARDS

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>Retentions apply to the "Lead Dept"; Use Agency-Wide together with Department schedules</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>					
Lead Dept.	AW-014	Grants: UNSUCCESSFUL (Applications, Correspondence, etc.)	2 years	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Lead Dept.	AW-015	Photographs, Videos (other than Board Meetings)	When No Longer Required	Preliminary drafts (the document that the photograph is used in is the final); No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Authoring Dept.	AW-016	Reference Materials: Brochures, Manuals, Newsletters, Manuals & Reports: Produced by YOUR Department	Minimum of Superseded + 2 years	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Lead Dept.	AW-017	Reports and Studies / Technical Reports & Studies	P	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Lead Dept.	AW-018	Training: ALL COURSE RECORDS / SYLLABUS, AND ROSTER OF ATTENDEES Human Resources retains all mandated training (Ethics, Harassment Prevention, Safety, etc.)	5 years	Department preference; Ethics Training is 5 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years for personnel actions; 8 CCR §3203 et seq., 29 CFR 1602.31; LC §6429(c); GC §§12946, 12960,, 53235.2(b), 53237.2(b)	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: EXECUTIVE DIRECTOR & BOARD SECRETARY

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>					
EXECUTIVE DIRECTOR					
Executive Director	ED-001	Projects & Issues - Records with Substantive Content (Issues and/or projects will vary over time)	Minimum 2 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
EXECUTIVE DIRECTOR / SECRETARY OF THE BOARD					
Executive Director / Board Secretary+8: 28	ED-002	Agendas, Agenda Packets, Agenda Staff Reports - Executive Committee	10 years	Agency preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-003	Agendas, Agenda Packets, Agenda Staff Reports - Subcommittees (Ad-Hoc Subcommittees and Standing Subcommittees)	2 years	Agency preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Lead Dept.	AW-001	Agreements & Contracts (originals) - INFRASTRUCTURE / JPAs, MOUs, Water Supply and Conveyance	P	Department Preference for emergency response; Covers E&O Statute of Limitations (insurance certificates are filed with agreement); Statute of Limitations: CCP §§336(a), 337 et. seq., No mandated retention	Vendor Name – Project Desc. – yyyy-mm-dd
Lead Dept.	AW-002	Agreements & Contracts (originals) - PROFESSIONAL SERVICES, CONSULTING (where Errors & Omissions or Professional Liability Insurance required)	Completion + 10 years	Department Preference; Covers E&O Statute of Limitations (insurance certificates are filed with agreement); Statute of Limitations: CCP §§336(a), 337 et. seq., No mandated retention	Vendor Name – Project Desc. – yyyy-mm-dd
Lead Dept.	AW-003	Agreements & Contracts (originals) - CUSTODIAL, LEASES, MAINTENANCE (where Errors & Omissions or Professional Liability Insurance is NOT applicable)	Completion + 5 years	Department Preference; Errors & Omissions is not applicable; CCP §§336(a), 337 et. seq., No mandated retention	Vendor Name – Project Desc. – yyyy-mm-dd
Executive Director / Board Secretary	ED-004	Board of Directors: Appointments (Letters or Resolutions from Member Agencies)	10 years	Agency preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: EXECUTIVE DIRECTOR & BOARD SECRETARY

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>					
Executive Director / Board Secretary	ED-006	Conflict of Interest Code (Adopted by Resolution)	P	No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-007	Elections: Correspondence, Notifications & Publications, Certificate of Election, etc.	4 years	Agency preference (historical purposes); No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-008	Elections: Oath of Office for Board of Directors	Expiration of Term + 4 years	Agency preference; Department Preference; Statute of Limitations: Public official misconduct is discovery of offense + 4 years, GC §§36507,; PC §§801.5, 803(c); 29 USC 1113	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-009	Ethics Training Certificates for Board of Directors	5 years	GC §53235.2(b)	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-010	FPPC 700 Series Forms (Statement of Economic Interests): DESIGNATED EMPLOYEES & CONSULTANTS (specified in the Agency's Conflict of Interest code)	7 years	Agency maintains original statements; GC §81009(e)&(g)	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-011	FPPC 700 Series Forms (Statement of Economic Interests): PUBLIC OFFICIALS (elected & not elected. Includes Agency Board Members, Executive Director)	7 years	Agency preference (only required for 4 years); GC §81009(f)&(g)	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-012	FPPC Form 801 through FPPC Form 806	7 years	Must post on website; GC §81009(e)	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-013	Historical Records / Articles of Incorporation, etc.	P	Agency Secretary Determines Historical Significance; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: EXECUTIVE DIRECTOR & BOARD SECRETARY

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or comple</i>					
Executive Director / Board Secretary	ED-014	Minutes: Committees	2 years	No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-015	Minutes: Agency Board of Directors	P	No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-016	Notices: Affidavits of Postings and Publications	2 years	Brown Act challenges must be filed within 30 or 90 days of action; GC §§60201, 54960.1(c)(1)	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-017	Ordinances / Regulations / Resolutions	P	No mandated retention et. seq.	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-018	Public Records Act Requests	2 years	Agency Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-015	Real Property: Deeds, Easements, Rights of Way, etc.	P	No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-019	Recordings: Audio or Video Recordings of Agency Board meetings	1 year	Agency Preference; Legally required for 90 days for Video, 30 days for audio; GC §§54953.5(b), 53161, et seq.	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-020	Records Destruction Authorization Forms and Lists	10 years	Agency Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

**RECORDS RETENTION SCHEDULE: EXECUTIVE DIRECTOR &
BOARD SECRETARY**

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
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Executive Director / Board Secretary	ED-021	Records Retention Schedules and Amendments	10 years	Agency Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Executive Director / Board Secretary	ED-022	Secretary of State Statement of Facts / Registry of Public Officials	1 year	Agency preference; No mandated retention et. seq.	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>					
FINANCE / GENERAL ACCOUNTING					
Finance / General Accounting	FN-001	_Financial System Database / ERP Database (Sage)	Indefinite- Minimum 7 years	To be consistent with Accounts Payable; no mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-002	1099's 1096's, DE542 (Calif. Report of Independent Contractors)	5 years	Meets municipal government auditing standards; IRS: 4 years after tax is due or paid Ca. FTB: 3 years; IRS Reg §31.6001-1(e)(2), R&T §19530, 29 USC 436	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-003	Accounts Payable Source Records / Invoices & Receivers / Check Requests / Employee Credit Card Statements / Travel Expense Reimbursement Reports / Vehicle Mileage Reimbursement / Purchase Orders	7 years	To ensure all Grant Audits are successful passed; Meets municipal government auditing standards; IRS: 4 years after tax is due or paid Ca. FTB: 3 years; IRS Reg §31.6001-1(e)(2), R&T §19530, 29 USC 436	yy-yy#### (auto assigned from Financial Database)
Finance / General Accounting	FN-004	Accounts Receivable / Member Fees, Grant Income, etc.	5 years	Meets municipal government auditing standards; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-005	Audit Annual Reports / Audited Financial Statements / Annual Comprehensive Financial Report (ACFR) with Audit Management Letters / Audit Reports	P	Meets municipal government auditing standards; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-006	Audit Work Papers (Finals) Includes Depreciation Schedules, Deferred Compensation Statements	When No Longer Required	Preliminary Drafts; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-007	Audits - Single Audits / Grant Audits / Internal Audits, etc.	5 years	Meets municipal government auditing standards; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-008	Bank Statements / Checking Account Reconciliation / Fiscal Agent Statements, Trustee Statements, Investment Account Statements, etc.	5 years	Meets municipal government auditing standards; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-009	Budgets: Adopted	5 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-010	Budgets: Proposed, Work Papers, Drafts, etc.	When No Longer Required	Department Preference; Preliminary drafts; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>					
Finance / General Accounting	FN-011	Check Copies / Cancelled Checks (retained at bank)	7 years	Statute of Limitations is 4 years; Meets municipal government auditing standards; No mandated retention, CCP § 337	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-012	Financial Reports: Ledgers, General Ledger, Reconciliations, Registers, Reports, Transaction Histories, Balance Sheets, Budget Adjustments, Edit Lists, (MONTHLY OR PERIODIC REPORTS)	When No Longer Required	Draft / Preliminary documents - Financial system can accurately re-create reports; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-013	Fixed Asset Inventory	5 years	Department Preference; Meets municipal government auditing standards; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-014	Fixed Assets Disposal, Sale, or Auction	5 years	Department Preference; Meets municipal government auditing standards; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-015	Fund Transfers / Wire Transfers / Adjustments	5 years	Department Preference; Meets municipal government auditing standards; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-016	Securities / Investment Reports or Statements / Transactions, LAIF (Local Agency Investment Fund)	5 years	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-017	Journal Entries / Journal Vouchers	7 years	Department Preference; Consistent with Accounts Payable; Statute of Limitations is 4 years; No mandated retention, CCP §337	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-018	State Reports: State Controllers Report	5 years	Agency Preference; Meets auditing standards; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / General Accounting	FN-019	W-9's	Vendor Inactive + 3 years	Meets IRS auditing standards; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
PAYROLL					
Finance / Payroll	FN-020	_Payroll Database / ERP Database (ADP)	Indefinite- Minimum 5 years	To be consistent with Accounts Payable; no mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / Payroll	FN-021	Check Copies / Cancelled Checks (retained at bank)	5 years	No mandated retention, CCP § 337	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>					
Finance / Payroll	FN-022	DE-6 & 941 Forms DE-6 & 941 Forms, DE-7, DE-9 DE-43, W-3, & DE-166, IRS 5500 Forms (Employee Benefit Plans) - Quarterly Payroll Tax Returns	5 years	Department Preference; IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; IRS Reg §31.6001-1(e)(2), 26 CFR §1.6001-1, R&T §19530, No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / Payroll	FN-023	Garnishments	Fully Satisfied or Separated + 2 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / Payroll	FN-024	Leave Slips	When No Longer Required	Preliminary Drafts; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / Payroll	FN-025	Payroll Registers / Bi-Weekly Payroll Reports .	5 years	Department preference to ensure all grant audits are successful (Meets Municipal Government auditing Standards); No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Finance / Payroll	FN-026	Retiree Medical Payments / OPEB (Other Post-Employment Benefits) Accounting Files	Employee No Longer Receiving Benefits + 2 years	Department preference (Human Resources retains Administration Files); GC §§12946, 12960	
Finance / Payroll	FN-027	Timesheets / Timecards / Timekeeping Database	5 years	Department preference to ensure all grant audits are successful 29 CFR 516.5 & 516.6(c); IRS Reg §31.6001-1(e)(2), R&T §19530; LC § 1174(d)	Main Project – Detailed Topic – yyyy-mm-dd
Finance / Payroll	FN-028	W-2's	5 years	Department preference; IRS: 4 yrs after tax is due or paid; Ca. FTB: 3 years; Articles show 7 years; IRS Reg §31.6001-1(e)(2), R&T §19530; 29CFR 516.5 - 516.6, 29USC 436, No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: GOVERNMENT RELATIONS

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
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GOVERNMENT RELATIONS					
Government Relations	GR-001	Correspondence Supporting or Opposing Proposed Legislation	Minimum 5 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Government Relations	GR-002	Meetings with Other Agencies, Tours	2 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Government Relations	GR-003	Monthly Meetings	Minimum 5 years	District Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Government Relations	GR-004	Op Eds (Opinion Pieces, Editorials)	Minimum 5 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Lead Dept.	GR-005	Press Releases	2 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>					
HUMAN RESOURCES					
Human Resources	HR-001	Benefit Contracts & Benefit Plans / Insurance Policies (Health, Dental, Deferred Compensation, Pension, etc.)	Plan Termination + 2 years	EEOC / ADEA (Age) requires 1 year after benefit plan termination; State Law requires 2 years after action; 9 CFR 1627.3(b)(2); 29 USC 1027; 11 CCR 560; 28 CCR 1300.85.1; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-002	COVID-19 Notifications to Employees	3 years	LC §6409.6(k); No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-003	Deferred Compensation Reports for the Agency	7 years	Department preference (Meets Municipal Government auditing Standards); No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-004	DMV Pull Notices	When Superseded, or Upon Separation of Employee	Agency preference (DMV record that the Agency considers a non-record used for reference) No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-005	Employment Verifications	When No Longer Required	Not Agency records; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-006	Grievances / Investigations / Affirmative Action Complaints - California Civil Rights Department (CRD) / Department of Fair Employment & Housing (DFEH) or Equal Opportunity Commission (EEOC)	Separation + 3 years	Department preference (same as the Personnel File); All State and Federal laws require retention until final disposition of formal complaint; State requires 2 years after action is taken; 2 CCR 11013(c); GC §§12946, 12960,	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-007	I-9s	Separation + 3 years	Required for 1 year from termination or 3 years from hiring, whichever is later; EEOC / FLSA / ADEA (Age) requires 3 years for "any other forms of employment inquiry"; State Law requires 2 -3 years; 8 CFR 274a.2; 29 CFR 1627.3(b)(1); GC §§12946, 12960,	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

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Human Resources	HR-008	Job Descriptions	Superseded + 3 years	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-009	Personnel Files - Medical File (Includes pre-employment physicals, medical leaves, etc.)	Separation + 30 years	Department preference; Files maintained separately; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 5144, 8 CCR 15400.2; 29 CFR 1910.1020(d)(1)(i), GC §§12946, 12960,; LC §1198.5	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-010	Personnel Files - Official Personnel file (Includes Application, Awards, Benefit Enrollments, Backgrounds, Disciplinary Actions, Certifications, Commendations, Oaths / Disaster Service Workers Oaths, Evaluations, Grievances, Personnel Action Forms, Policy acknowledgements, Training Certificates (Ethics / Harassment Prevention, JPIA / Safety Required) W-4s, etc. - Excludes Medical Records)	Separation + 6 years	Department Preference; statute of limitations for retirement benefits is 6 years from last action; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 4 years; IRS Regulation for W-4's 31-6001-1 four years after the due date of such tax for the return period to which the records relate, or the date such tax is paid, whichever is the later; 26 CFR 31.6001-1; 29 CFR 1602.14, 1602.31 & 1627.3(b)(ii); GC §§12946, 12960, 53235.2(b), 53237.2(b),; 29 USC 1113; GC §3105, LC §1198.5	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-011	Recruitment Files / Applications for Employment / : Solicited (Not Hired) (Includes Applications (Unsuccessful), Advertisements, Interview Notes, Job Brochures, Test Data, Rating Sheets, Questions, Eligibility Lists, Reference Checks, etc.)	4 years After Hiring Decision	State Law requires 4 years; EEOC / FLSA / ADEA (Age) requires 1-3 years; 29 CFR 1627.3(b)(1), 29 CFR 1602.14 et seq., 2 CCR 11013(c); GC §§12946, 12960,	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
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Human Resources	HR-012	Retiree Medical Administration / OPEB (Other Post-Employment Benefits) Accounting Files	Employee No Longer Receiving Benefits + 2 years	Department preference; GC §§12946, 12960	
Human Resources	HR-013	Salary Surveys / Classification or Compensation Studies	10 years	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-014	State Reports: Local Government Compensation Report, etc.	5 years	Agency Preference; Meets auditing standards; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-015	Training: ALL COURSE RECORDS / SYLLABUS, AND ROSTER OF ATTENDEES Human Resources retains all mandated training (Ethics, Harassment Prevention, Safety, etc.	5 years	Department preference; Ethics Training is 5 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years for personnel actions; 8 CCR §3203 et seq., 29 CFR 1602.31; LC §6429(c); GC §§12946, 12960,, 53235.2(b), 53237.2(b)	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-016	Training: ALL HUMAN RESOURCES RECORDS / SYLLABUS, AND ROSTER OF ATTENDEES, Harassment Prevention training, etc.	7 years	Department preference; Ethics Training is 5 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years for personnel actions; 8 CCR §3203 et seq., 29 CFR 1602.31; LC §6429(c); GC §§12946,, 53235.2(b), 53237.2(b)	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
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<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>					
Human Resources	HR-017	Training: Target Solutions / Vector Solutions Database	Indefinite - Minimum 5 years	Department preference; Ethics Training is 5 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years for personnel actions; 8 CCR §3203 et seq., 29 CFR 1602.31; LC §6429(c); GC §§12946, 12960,, 53235.2(b), 53237.2(b)	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources	HR-018	Worker's Compensation Claims Files, including Accident Reports, Applicable SDS / MSDS, etc.	Whichever is Longer: Separation + 30 years, or Termination of Benefits + 5 years, or Death of Employee + 5 years	Department preference; Claims can be made for 30 years for toxic substance exposure; 8 CCR 10102; 8 CCR 15400.2, 8 CCR 5144, 8 CCR §3204(d)(1) et seq., 29 CFR 1910.1020, GC §§12946, 12960., CCP §337 et seq.	Main Project – Detailed Topic – yyyy-mm-dd
RISK MANAGEMENT					
Human Resources / Risk Manag.	HR-019	Claims - Public Injury, Property Damage	Final Resolution + 5 years	Department Preference; Meets municipal government auditing standards; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, (d)(4)	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources / Risk Manag.	HR-020	Illness and Injury Prevention Program	Minimum of Superseded + 5 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources / Risk Manag.	HR-021	Insurance Policies - Predecessor Agencies (SNAGMA, SANWA)	Expiration + 2 years	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>					
Human Resources / Risk Manag.	HR-022	Loss Runs - JPIA, etc.	When No Longer Required	Department Preference (JPIA can provide history when required); No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Human Resources / Risk Manag.	HR-023	OSHA Log 200, 300, 300A, 301, etc.	5 years	Department Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; ; 8 CCR §3203(b)(1), 29 CFR 1904.33, OMB 1220-0029, 8 CCR 14300.33;No mandated retention; LC §6429c	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: INFORMATION TECHNOLOGY

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference
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<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (r</i>				
INFORMATION TECHNOLOGY				
Information Technology	IT-001	Backups (Computer Disaster Recovery Backups)	When No Longer Required	Used for Disaster Recovery Purposes Only; Considered a copy and can be destroyed when no longer required; No mandated retention
Information Technology	IT-002	Network Configuration Maps & Plans	When No Longer Required	Preliminary documents not retained in the ordinary course of business; No mandated retention
Information Technology	IT-003	Software Licenses, Warrantees, etc.	When No Longer Required	No mandated retention

RECORDS RETENTION SCHEDULE: STRATEGIC AFFAIRS

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>					
STRATEGIC AFFAIRS					
Technical Services OR Strategic Affairs	SA-001	Analysis / Modeling / Calculations / Forecasting	Minimum 2 years	Department Preference;; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services OR Strategic Affairs	SA-002	CEQA - Correspondence submitted to, or transferred from the Agency, and internal agency communications, including staff notes related to a non-exempt CEQA action Final CEQA documents (Environmental Impact Reports (EIRs), Categorical Exemptions, Negative Declarations are maintained Permanently	Completion of CEQA Process	Court ruled not all internal communications and notes are required to be saved; "E-mails that do not provide insight into the project or the agency's CEQA compliance with respect to the project — are not within the scope of section 21167.6, subdivision (e) and need not be retained." Golden Door Properties, LLC v. Superior Court of San Diego County (County of San Diego, et al., Real Parties in Interest) (D076605, D076924, D076993) (4th Dist. 2020); PRC 21167,6;	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services OR Strategic Affairs	SA-003	CEQA / NEPA Documents: Prepared for Agency Projects (Environmental Impact Reports (EIRs), Environmental Assessments, Negative Declarations, etc.) Includes Compliance / Monitoring Reports	P	Department Preference; Final environmental determinations are required to be kept a "reasonable period of time"; 14 CCR §15095(c)	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services OR Strategic Affairs	SA-004	CEQA / NEPA Documents: Prepared for LOCAL NON-Agency Projects (Agency comments on other's Environmental Impact Reports (EIRs), Environmental Assessments, Negative Declarations, etc.)	When No Longer Required	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Strategic Affairs	SA-005	State and Federal Water Projects (Delta Conveyance, Long Term Central Valley Project / CVP, etc.) - HISTORICALLY SIGNIFICANT DOCUMENTS	P	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Strategic Affairs	SA-006	State and Federal Water Projects (Delta Conveyance, Long Term Central Valley Project / CVP, etc.) - NOT HISTORICALLY SIGNIFICANT	Minimum 2 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: STRATEGIC AFFAIRS

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>					
Technical Services OR Strategic Affairs	SA-007	Well History	P	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: TECHNICAL SERVICES

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>					
TECHNICAL SERVICES					
Technical Services OR Strategic Affairs	TS-001	Analysis / Modeling / Calculations / Forecasting	Minimum 2 years	Department Preference;; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services OR Strategic Affairs	TS-002	CEQA - Correspondence submitted to, or transferred from the Agency, and internal agency communications, including staff notes related to a non-exempt CEQA action Final CEQA documents (Environmental Impact Reports (EIRs), Categorical Exemptions, Negative Declarations are maintained Permanently	Completion of CEQA Process	Court ruled not all internal communications and notes are required to be saved; "E-mails that do not provide insight into the project or the agency's CEQA compliance with respect to the project — are not within the scope of section 21167.6, subdivision (e) and need not be retained." Golden Door Properties, LLC v. Superior Court of San Diego County (County of San Diego, et al., Real Parties in Interest) (D076605, D076924, D076993) (4th Dist. 2020); PRC 21167,6;	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services OR Strategic Affairs	TS-003	CEQA / NEPA Documents: Prepared for Agency Projects (Environmental Impact Reports (EIRs), Environmental Assessments, Negative Declarations, etc) Includes Compliance / Monitoring Reports	P	Department Preference; Final environmental determinations are required to be kept a "reasonable period of time"; 14 CCR §15095(c)	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services OR Strategic Affairs	TS-004	CEQA / NEPA Documents: Prepared for LOCAL NON-Agency Projects (Agency comments on other's Environmental Impact Reports (EIRs), Environmental Assessments, Negative Declarations, etc)	When No Longer Required	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services	TS-005	Environmental Review Clearance / Survey Form	P	Department Preference; Final environmental determinations are required to be kept a "reasonable period of time"; 14 CCR §15095(c)	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services	TS-006	Field Books, Field Test Sheets	When No Longer Required	District Preference (Preliminary Drafts); No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services	TS-007	Lab Reports & Chains of Custody / Tabular Summaries: Groundwater & Wells	P	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: TECHNICAL SERVICES

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>					
Technical Services	TS-008	Master Plans / Integrated Water Management Plans (IWMP), etc	P	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services	TS-009	Planning / Plans / Advanced Planning / Long-term Planning - Groundwater & Wells	P	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services	TS-010	Sacramento Regional Water Bank (Final Records with routine administrative Value)	10 years	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services	TS-011	Sacramento Regional Water Bank (Final Records with Significant Historical Value)	P	Department Preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services	TS-012	Technical Studies & Reports, Investigations	P	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services	TS-013	Water Quality Control Plans (WQCP) Water Quality Management Plans (WQMP), etc.	P	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services	TS-014	Watershed & Mitigation Lands Reports	P	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Technical Services OR Strategic Affairs	TS-015	Well History	P	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd

RECORDS RETENTION SCHEDULE: WATER EFFICIENCY PROGRAM (Regional Water Efficiency Program - RWEPP)

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Comments / Reference	Electronic Document Naming Convention
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>					
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>					
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>					
WATER EFFICIENCY PROGRAM					
Water Efficiency Program	WE-001	Focus Group Surveys, Conclusions	5 years	Department preference (data outdated after 5 years; No mandated retention)	Main Project – Detailed Topic – yyyy-mm-dd
Water Efficiency Program	WE-002	Regional Water Efficiency Program (RWEPP) / REBATES OR GRANTS (for Toilets, Turf Replacement, Washers, etc.) Applications (successful), grant agreement, copies of invoices, program rules, regulations & procedures, reports to grant funding agencies, correspondence, audit records, completion records	After Funding Agency Audit, if required - Minimum 5 years	Agency Preference; Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; 2 CFR 200.333; 24 CFR 91.105(h), 92.505, 570.490, & 570.502; OMB Circular A-110 & A-133; GC §8546.7	Main Project – Detailed Topic – yyyy-mm-dd
Water Efficiency Program	WE-003	Technical Water Efficiency Studies (e.g. Landscape Area Measurements, Indoor Saturation of High-Efficiency Toilets, etc.)	5 years	Department preference; No mandated retention	Main Project – Detailed Topic – yyyy-mm-dd
Water Efficiency Program	WE-004	Water Supplier Data / Water Production	P	Department preference (data outdated after 5 years; No mandated retention)	Main Project – Detailed Topic – yyyy-mm-dd



Topic: Annual Review of Investment Policy 500.2 and California Employers’ Retiree Benefit Trust (CERBT) Asset Allocation Strategy
 Type: Policy
 Item For: Action; Recommend approval by the Board of Directors
 Purpose: Policy 500.2 and CERBT Asset Allocation Strategy

SUBMITTED BY: Tom Hoffart Finance and Administrative Services Manager	PRESENTER: Tom Hoffart Finance and Administrative Services Manager
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EXECUTIVE SUMMARY

This is a recurring annual action item for the Executive Committee to recommend approval of the RWA Policy 500.2 – Investment Policy and the California Employers’ Retiree Benefit Trust (CERBT) Asset Allocation Strategy. Pursuant to California Government Code 53646, the Investment Policy shall be considered at a public meeting on an annual basis.

STAFF RECOMMENDATION:

Recommend approval of no changes to RWA Policy 500.2 and CERBT Asset Allocation Strategy to the Board of Directors.

BACKGROUND

The RWA Policy 500.2 – Investment Policy is in accordance with the California Government Code, so there is currently not a need to modify the existing policy. Currently, the RWA invests in the Local Agency Investment Fund (LAIF). LAIF is a local government investment pool administered by the State of California and is invested in the State’s Pooled Money Investment Account. LAIF’s investments are in accordance with the California Government Code and are liquid with one day deposits and withdrawals. LAIF’s interest rate as of June 30, 2024 was 4.55%, up from June 30, 2023 of 3.15%. During fiscal year 2023/24, the RWA earned \$118,258 in interest from LAIF, up from fiscal year 2022/23 of \$75,817.

Additionally, the RWA has funds in the CERBT that is administered by CalPERS. Funds are held in this account to pre-fund Other Post-Employment Benefits (OPEB). The RWA’s CERBT balance as of June 30, 2024 was \$1,603,258, up from \$1,445,777 as of June 30, 2023. CERBT has three asset allocation strategies that the RWA can choose to invest OPEB funds. As of June 30, 2024, the CERBT’s projected long-term expected rate of return was 6.4%, 6.1% and 5.8% for Strategy 1, 2 and 3, respectively, while the CERBT’s long-term expected volatility standard deviation was 11.5%, 9.5% and 8.1% for Strategy 1, 2 and 3, respectively. Strategy 1 is the most aggressive and has the most risk, Strategy 2 is in the middle and Strategy 3 is the most conservative and has the least risk. The primary difference between the strategies is the asset allocation, with Strategy 1 having a higher

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allocation of equities and lower allocation of bonds and other assets. Annualized investment returns for the past 10 years as of June 30, 2024 are 5.65%, 4.48% and 3.57% for Strategy 1, 2 and 3, respectively. Currently, the RWA is invested in CERBT Asset Allocation Strategy 1.

FINDING/CONCLUSION

The RWA Policy 500.2 – Investment Policy is in accordance with the California Government Code, so there is currently not a need to modify the existing policy. Additionally, staff has no recommended changes to this policy.

The RWA is currently invested in CERBT Asset Allocation Strategy 1. Strategy 1 is the most aggressive and has the most risk of the three strategies. The CERBT projects that Strategy 1 will have the highest long-term expected rate of return and the highest volatility. Over the past 10 years, Strategy 1 has outperformed the other strategies, however, past performance is not an indicator of future results.

Staff recommends the approval of the RWA Policy 500.2 – Investment Policy and CERBT Asset Allocation Strategy 1 with no changes.

ATTACHMENTS

Attachment 1 – RWA Policy 500.2

Attachment 2 – RWA June 2024 LAIF Statement

Attachment 3 – RWA CERBT Account Update Summary as of June 30, 2024

REGIONAL WATER AUTHORITY POLICIES AND PROCEDURES MANUAL

Policy Type : Fiscal Management
Policy Title : Investment Policy
Policy Number : 500.2
Date Adopted : March 9, 2006
Date Amended : November 8, 2012
May 12, 2022 (reviewed by staff)

REGIONAL WATER AUTHORITY INVESTMENT POLICY

1.0 Purpose

The purpose of this Investment Policy (Policy) is to establish cash management and investment guidelines for the Treasurer, who is responsible for investing and safeguarding the Regional Water Authority's (RWA) surplus funds. Each transaction and the entire portfolio must comply with California Government Code (the "Code") Sections 53600 through 53610 (Investment of Surplus), Sections 53630 through 53686 (Deposit of Funds), and this Policy.

2.0 Scope

This Policy applies to all surplus financial funds of RWA that may be invested because they are not needed for immediate payment of expenses. These funds are accounted for in RWA's audited annual financial report and include:

1. Enterprise Funds
2. Trust and Agency Funds
3. Any new fund created by the legislative body, unless specifically exempted.

Except for cash in certain restricted and special funds, RWA will consolidate cash balances from all funds to maximize investment earnings. Investment income will be allocated to the various funds based on their respective participation and in accordance with generally accepted accounting principles. In addition, the costs of managing the investment portfolio, including but not limited to the costs of investment management, custody of assets, managing and accounting for banking, and oversight controls, will be charged to investment earnings based upon actual hours of labor devoted to managing each of the funds.

3.0 General Objectives

In accordance with the Code, the primary objectives, in priority order, of investment activities will be safety, liquidity, and yield:

1. Safety. Safety of principal is the foremost objective of the investment program. Investments will be undertaken in a manner that seeks to ensure the preservation of principal in the overall portfolio. Each investment transaction will be entered into with consideration for the quality of the issuer and of the underlying security and collateral.

2. Liquidity. The investment portfolio will remain sufficiently liquid to meet all operating requirements that may be reasonably anticipated. Liquidity will be accomplished by structuring the portfolio so that securities mature concurrent with cash needs to meet anticipated demands whenever feasible. A portion or the entire portfolio also may be placed in money market mutual funds or local government investment pools which offer same-day liquidity for short-term funds.

3. Yield. The investment portfolio will be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, taking into account the investment risk constraints and liquidity needs.

4.0 Standards of Care

1. Prudent Investor Standard. In accordance with Section 53600.3, the RWA Board and Treasurer are trustees and fiduciaries subject to the "Prudent Investor Standard." The Prudent Investor Standard requires the Board and Treasurer, when investing, reinvesting, purchasing, acquiring, exchanging, selling, or managing the RWA's funds, to act with care, skill, prudence, and diligence under the circumstances then prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the RWA, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the RWA. This standard will be applied in all investment decisions, including those related to hedging interest rate risks associated with debt financing. This standard will be applied in all investment decisions.

2. Ethics and Conflicts of Interest. The Treasurer and any other officers and employees involved in the investment process will refrain from personal business activity that could conflict with the proper execution and management of the investment program, or that could impair their ability to make impartial investment decisions. Such officers and employees will disclose to the Board of Directors any material interests in financial institutions with which they conduct business. They will further disclose any personal financial/investment positions that could be related to the performance of the investment portfolio. Affected officers and employees will

refrain from undertaking personal investment transactions with the same individual with whom business is conducted on behalf of RWA. All such officers and employees are prohibited from accepting honoraria, gifts and from financial dealers and financial institutions.

3. Delegation of Authority. Under Section 53607 of the Code, authority to manage RWA's investment portfolio is expressly delegated to the Board of Directors, which may delegate its authority to the Treasurer. In accordance with Section 53607, the Board hereby delegates its responsibility for the operation of the investment program to the Treasurer, who will act in accordance with established written procedures and internal controls for the operation of the investment program consistent with this Policy.

5.0 Safekeeping and Custody

1. Authorized Financial Dealers and Institutions. The Treasurer will maintain a list of financial institutions authorized to provide investment services and a list of approved security broker/dealers selected by creditworthiness (e.g., a minimum capital requirement of \$10,000,000 and at least five years of operation). These may include primary dealers or regional dealers that qualify under Securities and Exchange Commission (SEC) Rule 15C3-1 (uniform net capital rule).

RWA will only deposit funds in a depository that is established and operated in accordance with applicable federal and state laws and regulations.

All financial institutions and broker/dealers who desire to become qualified to conduct investment transactions for RWA must supply the following to the Treasurer as requested:

- Audited financial statements
- Proof of National Association of Securities Dealers (NASD) certification
- Trading resolution
- Proof of state registration
- Completed broker/dealer questionnaire
- Certification signed by an authorized officer that he or she has read and understood and that the institution agrees to comply with this Policy.

The Treasurer will conduct an annual review of the financial condition and registration of qualified financial institutions and broker/dealers. A current audited financial statement is required to be on file for each financial institution and broker/dealer in or through which RWA invests. No broker, dealer, or securities firm will be eligible to provide services to RWA within 24 months of making a campaign contribution to any RWA Board member, if the

contribution exceeds the limits contained in Rule G-37 of the Municipal Securities Rulemaking Board.

2. Delivery vs. Payment. Where applicable, all trades will be executed by delivery vs. payment (DVP) to ensure that securities are deposited in an eligible financial institution prior to the release of funds. Securities will be held by a third-party custodian as evidenced by safekeeping receipts.

6.0 Suitable and Authorized Investments

The Treasurer is authorized to make investments in accordance with the general categories and limitations established by Sections 53601, 53601.6, 53601.8, 53635, 53635.2, 53638 and 53684 of the Code. Authorized investments also will include investment into the Local Agency Investment Fund ("LAIF") in accordance with Section 16429.1 of the Code. See Appendix A, which summarizes the categories of permitted investments.

1. U.S. Government, Agencies, State and Local Government Sponsored Enterprises

- a. United States Treasury notes, bonds, bills, or certificates of indebtedness, or those for which the faith and credit of the United States are pledged for the payment of principal and interest.
- b. Registered state warrants or treasury notes or bonds of California, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the state or by a department, board, agency, or authority of the state.
- c. Registered treasury notes or bonds of any of the other 49 states in addition to California, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by a state or by a department, board, agency, or authority of any of the other 49 states, in addition to California.
- d. Bonds, notes, warrants, or other evidences of indebtedness of a local agency within California, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the local agency, or by a department, board, agency or authority of the local agency; provided, however, that any bond or certificate of participation investments in member agencies require prior Board approval.
- e. Federal agency or United States government-sponsored enterprise obligations, participations, or other instruments, including those issued by or fully guaranteed as to principal and interest by federal agencies or United States government-sponsored enterprises.
- f. These investments have a maximum maturity of five years.

2. Bankers Acceptance Notes

- a. Investments in prime bankers' acceptances may not exceed 40 percent of the portfolio in effect on the date of purchase of any such investment.
- b. No more than 30 percent of this category of investments may be invested in any one commercial bank's acceptances.
- c. The maximum maturity shall be limited to 180 days.

3. Commercial Paper

- a. Only commercial paper of prime quality of the highest ranking or of the highest letter and numerical rating, at the time of purchase, as provided by Moody's Investors Services or Standard & Poor's Corporation may be purchased.
- b. Investments in commercial paper shall not exceed 25 percent of the portfolio in effect on the date of purchase of any such investment.
- c. Each investment shall not exceed 270 days maturity.
- d. No more than 10 percent of the outstanding commercial paper of an issuing corporation may be purchased.
- e. The issuer is either: (1) organized and operating in the United States as a general corporation and has total assets in excess of \$500 million. If the entity has debt other than commercial paper, it is rated "A", "A-2" or higher by a nationally recognized rating agency; or (2) is organized within the United States as a special purpose corporation, trust or limited liability company. Has program-wide credit enhancements including, but not limited to, over-collateralization, letters of credit or surety bond. Has commercial paper that is rated "A-1", "A+" or higher by a nationally recognized rating agency.

4. Negotiable Certificates of Deposit

- a. A negotiable certificate of deposit must be issued by a nationally or state-chartered bank, a state or federal savings and loan association or savings bank, a state or federal credit union, or by a federally-licensed or state-licensed branch of a foreign bank and be rated "A" or better by at least one nationally recognized rating agency.
- b. Investments in negotiable certificates of deposit may not exceed 30 percent of the total portfolio in effect on the date of purchase of any such investment.

- c. The investment will not exceed the total of the net worth of any depository savings and loan association, except that investments up to a total of \$500,000 may be made to a savings and loan association without regard to the net worth of that depository, if such investments are insured or secured as required by law..
- d. The investment shall not exceed the shareholders' equity of any depository bank. For the purpose of this constraint, shareholders' equity shall be deemed to include capital notes and debentures.
- e. The RWA Board and the Treasurer or other official of the RWA having legal custody of the moneys are prohibited from investing RWA funds, or funds in the custody of the RWA, in negotiable certificates of deposit issued by a state or federal credit union if a member of the RWA's Board, or a person with investment decision making authority at the RWA also serves on the board of directors, or any committee appointed by the board of directors, or the credit committee or the supervisory committee of the state or federal credit union issuing the negotiable certificates of deposit.
- f. The maximum maturity is limited to five years.

5. Medium-term notes

- a. Investment in medium-term notes are limited to corporations organized and operating within the United States or by depository institutions licensed by the United States or any state and operating within the United States.
- b. Purchases of medium-term notes will be limited to a maximum maturity of five years.
- c. Purchases of medium-term notes may not exceed 30 percent of the portfolio.
- d. Notes eligible for investment shall be rated in a rating category of at least "A" or its equivalent or better by a nationally recognized rating service.

6. Shares of Beneficial Interest (Money Market Funds)

- a. Investment in shares of beneficial interest issued by eligible diversified management companies that invest in securities that comply with Section 53601 and 53635 of the Code or are money market funds registered with the Securities and Exchange Commission under the Investment Company Act of 1940.
- b. These eligible companies must meet the following criteria:
 - i. Attain the highest ranking of the highest letter and numerical rating provided by not less than two nationally recognized rating agencies
 - ii. Retain an investment adviser registered or exempt from registration with the Securities and Exchange Commission

with not less than five years' experience managing money market funds with assets under management in excess of \$500 million.

- c. The purchase price of the shares will not include any commission that the companies may charge and will not exceed 20 percent of the portfolio.
- d. No more than 10 percent of portfolio may be invested in one mutual fund.

7. Collateralized Bank Deposits

- a. Maximum maturity is limited to five years.
- b. Collateralization must be consistent with the requirements of Sections 53651 through 53652 of the Code.

8. Time Deposits

- a. For purposes of this Policy, collateralized time deposits will be considered investments.
- b. The financial institution used must have been in existence for at least five years.
- c. The financial institution must have received an overall rating of not less than "satisfactory" in its most recent evaluation by the appropriate federal financial supervisory agency of its record of meeting the credit needs of California's communities.
- d. Eligibility for deposits will be limited to those financial institutions that have a branch in the State of California and maintain a rating equivalent to Thompson BankWatch Service of "B" or better.
- e. Credit requirements may be waived for a \$100,000 time deposit that is federally insured.
- f. The deposit will not exceed the shareholders' equity of any depository bank. For the purpose of this constraint, shareholders' equity will be deemed to include capital notes and debentures.
- g. The deposit will not exceed the total of the net worth of any depository savings and loan association, except that deposits not exceeding a total of \$500,000 may be made to a savings and loan association without regard to the net worth of that depository, if such deposits are insured or secured as required by law.
- h. Deposits must be insured up to the FDIC's current limit. For uninsured deposits, the financial institution will maintain in the collateral pool securities having a market value of at least 10 percent in excess of the total amount deposited. RWA, at its discretion, may waive the collateralization requirements for any portion that is covered by federal deposit insurance. RWA shall have a signed agreement with any depository accepting RWA

funds. Promissory notes secured by real estate mortgages or deeds of trust are not acceptable as collateral.

- i. When other factors are equal, appropriate consideration will be given to a financial institution that either individually or as a member of a syndicate bids on or makes a substantial investment in the RWA's securities, contributes service to the RWA, and offers significant assistance to the RWA, so as to provide for distribution of total deposits among eligible financial institutions.
- j. Purchased time deposits will be limited to a maximum maturity of five years.

9. Local Agency Investment Fund

- a. Deposits for the purpose of investment in the Local Agency Investment Fund of the State of California may be made up to the maximum amount permitted by State Treasury policy.

7.0 Reporting

1. Required Periodic Reports. The Treasurer shall prepare an investment report at least quarterly, including a management summary that provides an analysis of the status of the current investment portfolio and transactions made over the last quarter. This management summary will be prepared in a manner which will allow the members of the RWA Board of Directors and Executive Director to ascertain whether investment activities during the reporting period have conformed to this Policy. The report shall be provided to the Board of Directors and the Executive Director. If applicable, the investment report will include the following:

- Listing of individual securities held at the end of the reporting period by investment category.
- Average life and final maturity of all investments listed
- Coupon, discount, or earnings rate
- Par value, amortized book value and market value
- Percentage of portfolio represented by the investment category

2. LAIF Reporting. If the surplus funds are solely invested in the Local Agency Investment Fund (LAIF), the monthly LAIF statement shall be sufficient for reporting purposes.

8.0 Policy Considerations

1. Amendments. This Policy will be reviewed by the Treasurer on an annual basis. Any changes to this Policy recommended by the Treasurer must be approved by the Executive Committee and Board of Directors, after review and comment by the individual(s) charged with maintaining internal controls.

2. Administration. The Treasurer may at any time further restrict the securities approved for investment as deemed prudent. From time to time, the established portfolio limitations may be exceeded due to irregular cash flows or in certain economic conditions. In such cases, the Treasurer will inform the Executive Committee and Executive Director and take action consistent with the prudent investor standard to ensure that no category of investments exceeds the statutory limitations provided in the Code.

3. Performance Review. The Treasurer will conduct an annual appraisal of RWA's investment portfolio to evaluate its effectiveness and conformance with this Policy. To the extent necessary or appropriate, the Treasurer will make recommendations to the Executive Committee concerning the improvement and/or restructuring of the portfolio.

4. Existing Investments. Any investment held by RWA at the time this Policy is first adopted or revised to conform to changes in law or this Policy will not be sold because of a failure to conform to this Policy, unless the Treasurer deems sale of the investment to be prudent or required by law.

5. Conflict With Statute. In the event that any provision of this Policy conflicts with the Code or any other applicable state or federal statute, the provisions of any such statute will govern.

APPENDIX A

PERMITTED INVESTMENT INSTRUMENTS PER GOVERNMENT CODE (AS OF JANUARY 1, 2012) ¹

Investment Type	Maximum Maturity	Maximum Specified % of Portfolio	Minimum Quality Requirement
Local Agency Bonds	5 years	100	None
U.S. Treasury Obligations	5 years	100	None
State Obligations—CA And Others	5 years	100	None
CA Local Agency Obligations	5 years	100	None
U.S Agency Obligations	5 years	100	None
Bankers' Acceptances	180 days	40%	None
Commercial Paper—Select Agencies	270 days	25% of the agency's money	"A-1" if the issuer has issued long-term debt it must be rated "A" without regard to modifiers
Commercial Paper—Other Agencies	270 days	40% of the agency's money	"A-1" if the issuer has issued long-term debt it must be rated "A" without regard to modifiers
Negotiable Certificates of Deposit and CD Placement Service	5 years	30%	None
Medium-Term Notes	5 years	30%	"A" Rating
Mutual Funds And Money Market Mutual Funds	N/A	20%	Multiple
Collateralized Bank Deposits	5 years	100	None
Bank/Time Deposits	5 years	100	None
County Pooled Investment Funds	N/A	100	None
Joint Powers Authority Pool	N/A	100	Multiple
Local Agency Investment Fund (LAIF)	N/A	100	None

¹ See Article 6 of the Policy for a more complete description of each permitted investment and related limitations.

California State Treasurer
Fiona Ma, CPA



Local Agency Investment Fund
 P.O. Box 942809
 Sacramento, CA 94209-0001
 (916) 653-3001

July 03, 2024

[LAIF Home](#)
[PMIA Average Monthly Yields](#)

REGIONAL WATER AUTHORITY

FINANCE MANAGER
 2295 GATEWAY OAKS DRIVE
 SACRAMENTO, CA 95833

[Tran Type Definitions](#)

Account Number: 90-34-019

June 2024 Statement

Effective Date	Transaction Date	Tran Type	Confirm Number	Web Confirm Number	Authorized Caller	Amount
6/20/2024	6/18/2024	RW	1754239	1714666	THOMAS HOFFART	-100,000.00
6/21/2024	6/20/2024	RW	1754316	1714745	THOMAS HOFFART	-150,000.00

Account Summary

Total Deposit:	0.00	Beginning Balance:	2,272,865.47
Total Withdrawal:	-250,000.00	Ending Balance:	2,022,865.47

CERBT Account Update Summary

Regional Water Authority

as of June 30, 2024

OPEB Valuation Report Summary

OPEB Actuarial Valuation Report by MacLeod Watts, Inc.	
Valuation Date	6/30/2023
Measurement Date	6/30/2023
Total OPEB Liability (TOL)	\$1,473,213
Valuation Assets	\$1,446,371
Net OPEB Liability (NOL)	\$26,842
Funded Status	98%
Actuarially Determined Contribution (ADC)	\$143,232
CERBT Asset Allocation Strategy	Strategy 1
Discount Rate	6.10%

CERBT Account Summary

As of June 30, 2024	Strategy 1
Initial contribution (06/08/2009)	\$425,984
Additional contributions	\$543,750
Disbursements	(\$425,362)
CERBT expenses	(\$14,285)
Investment earnings	\$1,073,171
Total assets	\$1,603,258
Annualized net rate of return (06/08/2009-06/30/2024 = 15.07 years)	8.18%

Cash Flow Summary by Fiscal Year

Fiscal Year	Contributions	Disbursements	Cumulative Investment Gains (Losses)	Cumulative Fees	Cumulative Ending Assets
2006-07	\$0	\$0	\$0	\$0	\$0
2007-08	\$0	\$0	\$0	\$0	\$0
2008-09	\$425,984	\$0	(\$339)	(\$21)	\$425,624
2009-10	\$32,600	(\$17,747)	\$65,991	(\$503)	\$506,326
2010-11	\$18,088	(\$21,960)	\$191,459	(\$1,251)	\$627,174
2011-12	\$19,136	(\$25,604)	\$191,880	(\$1,974)	\$620,402
2012-13	\$38,236	(\$26,437)	\$264,500	(\$3,000)	\$703,796
2013-14	\$40,299	(\$27,042)	\$395,983	(\$4,076)	\$847,461
2014-15	\$29,114	(\$27,664)	\$395,279	(\$4,939)	\$847,343
2015-16	\$31,505	(\$29,027)	\$404,774	(\$5,641)	\$858,615
2016-17	\$59,349	(\$27,576)	\$495,213	(\$6,403)	\$980,065
2017-18	\$56,415	(\$25,354)	\$573,419	(\$7,281)	\$1,088,453
2018-19	\$58,425	(\$29,264)	\$644,898	(\$8,235)	\$1,188,139
2019-20	\$56,504	(\$44,258)	\$690,625	(\$9,294)	\$1,245,053
2020-21	\$18,690	(\$39,137)	\$1,036,367	(\$10,517)	\$1,569,125
2021-22	\$33,515	(\$39,960)	\$825,486	(\$11,841)	\$1,350,474
2022-23	\$51,874	(\$44,331)	\$914,417	(\$13,013)	\$1,445,777
as of 6/30/2024	\$0	\$0	\$1,073,171	(\$14,285)	\$1,603,258

CERBT/CEPPT Investment Returns

Periods ended June 30, 2024

Fund	Assets	1 Month	3 Months	FYTD	1 Year	3 Years	5 Years	10 Years	ITD
CERBT Strategy 1 (Inception June 1, 2007)	\$18,167,747,372	1.33%	0.74%	11.02%	11.02%	0.80%	6.23%	5.65%	5.30%
Benchmark		1.31%	0.63%	10.80%	10.80%	0.59%	5.98%	5.32%	4.92%
CERBT Strategy 2 (Inception October 1, 2011)	\$2,013,137,916	1.22%	0.37%	8.25%	8.25%	-0.64%	4.36%	4.48%	6.23%
Benchmark		1.20%	0.26%	8.09%	8.09%	-0.78%	4.18%	4.20%	5.98%
CERBT Strategy 3 (Inception January 1, 2012)	\$782,925,383	1.14%	0.16%	6.32%	6.32%	-1.20%	3.11%	3.57%	4.67%
Benchmark		1.12%	0.06%	6.18%	6.18%	-1.29%	2.97%	3.32%	4.42%
CERBT Total	\$20,963,810,671								
CEPPT Strategy 1 (Inception October 1, 2019)	\$205,202,851	1.21%	0.65%	8.76%	8.76%	0.09%	-	-	4.36%
Benchmark		1.19%	0.61%	8.64%	8.64%	-0.09%	-	-	4.25%
CEPPT Strategy 2 (Inception January 1, 2020)	\$57,546,971	1.09%	0.42%	6.14%	6.14%	-1.07%	-	-	1.60%
Benchmark		1.07%	0.39%	6.05%	6.05%	-1.14%	-	-	1.50%
CEPPT Total	\$262,749,822								

CERBT Portfolios

Portfolios	CERBT Strategy 1	CERBT Strategy 2	CERBT Strategy 3
Expected Return	6.4%	6.1%	5.8%
Standard Deviation	11.5%	9.5%	8.1%

CERBT Portfolio Details

Asset Classification	Benchmark	CERBT Strategy 1	CERBT Strategy 2	CERBT Strategy 3
Global Equity	MSCI All Country World Index IMI (Net)	49% ±5%	34% ±5%	23% ±5%
Fixed Income	Bloomberg Long Liability Index	23% ±5%	41% ±5%	51% ±5%
Global Real Estate (REITs)	FTSE EPRA/NAREIT Developed Index (Net)	20% ±5%	17% ±5%	14% ±5%
Treasury Inflation Protected Securities (TIPS)	Bloomberg US TIPS Index, Series L	5% ±3%	5% ±3%	9% ±3%
Commodities	S&P GSCI Total Return Index	3% ±3%	3% ±3%	3% ±3%
Cash	91-Day Treasury Bill	- +2%	- +2%	- +2%

Total Participation Cost Fee Rate

- Total all-inclusive cost of participation
 - Combines administrative, custodial, and investment fees
 - Separate trust funds
 - Self-funded, not-for-profit
 - Fee is applied daily to assets under management
 - 10 basis points - CERBT
 - 25 basis points - CEPPT

Financial Reporting

- CERBT provides audited and compliant GASB 75 report in a Schedule of Changes in Fiduciary Net Position (FNP)
 - Published in January each year

CERBT FNP Fiscal Year	Availability
2020-21 2021-22 2022-23	Available at https://www.calpers.ca.gov/cerbt

Questions? Where to Get Trust Fund Information?

Name	Title	E-mail	Desk	Mobile
Darren Lathrop	Outreach & Support Manager	Darren.Lathrop@calpers.ca.gov	(916) 795-0751	(916) 291-0391
Lee Lo	Section 115 Trusts & 457 Outreach Manager	Lee.Lo@calpers.ca.gov	(916) 795-4034	(916) 612-4128
Therese Luo	Outreach & Support Analyst	Therese.Luo@calpers.ca.gov	(916) 795-2983	(916) 213-2879
Danny Kaufman	Outreach & Support Analyst	Daniel.Kaufman@calpers.ca.gov	(916) 795-8278	(916) 440-3821
Colleen Cain-Herrback	Program Manager	Colleen.Cain-Herrback@calpers.ca.gov	(916) 795-2474	(916) 505-2506
Robert Sharp	Assistant Division Chief	Robert.Sharp@calpers.ca.gov	(916) 795-3878	(916) 397-0756

Program E-mail Addresses	Prefunding Programs Webpages
CEPPT4U@calpers.ca.gov – Questions & Document Submittal	www.calpers.ca.gov/CEPPT
CERBT4U@calpers.ca.gov – Questions & Document Submittal	www.calpers.ca.gov/CERBT
CERBTACCOUNT@calpers.ca.gov – Online Record Keeping System	www.your-fundaccount.com/calpers



Topic: Accounting Software
Type: New Business
Item For: Information/Discussion
Purpose: General – Committee Feedback

SUBMITTED BY:	Tom Hoffart Finance and Administrative Services Manager	PRESENTER:	Tom Hoffart Finance and Administrative Services Manager
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EXECUTIVE SUMMARY

The purpose of this item is to discuss the necessity and costs of implementing new accounting software.

RECOMMENDED ACTION

None. This item is for information/discussion only.

BACKGROUND

The RWA’s current accounting software is outdated and there have been discussions that the system may be retired. The system is currently still supported but is classified as a “non-core program” and is only being maintained.

New software would provide many benefits to the RWA. Some of those benefits would include the ability to move to a paperless environment, web/cloud-based access and data storage, invoicing within the system, vastly improved project management, financial analysis and budgeting functions. Additionally, employees other than the Finance and Administrative Services Manager would be able to upload and approve invoices for payment, view reports and obtain information for project/grant management.

The costs of a new software subscription would be substantially more on an annual basis. Additionally, there would be significant one-time start-up costs for migration of data from the current software to the new software, software configuration and training.



Topic: Legislative and Regulatory Update
 Type: Legislative Matter
 Item For: Action; Take positions on State Legislation
 Purpose: Policy 100.5 and Strategic Plan Priority- Advocacy Objective A

SUBMITTED BY:	Ryan Ojakian Manager of Government Relations	PRESENTER:	Ryan Ojakian Manager of Government Relations
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EXECUTIVE SUMMARY

This is a legislative and regulatory update for the Executive Committee on State legislation. Ryan Ojakian, Manager of Government Relations, will provide an oral report on state legislation, Proposition 4, and regulatory actions.

STAFF RECOMMENDED ACTION

Take positions on State Legislation

BACKGROUND

The Legislative session ends at midnight August 31st. RWA has tracked over 80 bills in the second year of the session and as session comes to a close, the RWA has positions on five of the remaining bills that are still active.

Proposition 4 the Safe Drinking Water, Wildfire Prevention, Drought Preparedness, and Clean Air Bond Act of 2024, which if approved by the voters, would authorize the issuance of bonds in the amount of \$10 billion. Of that amount, \$386.25 million would be available for groundwater recharge activities and \$100 million would be available for watershed resilience.

The staff expects that the State Water Resources Control Board (SWRCB) will update its climate change policy next year. The State’s approach to consider the impacts of climate change has been to focus on a “hotter and drier” outlook, that does not reflect the total impacts of climate change. In our view, based on the analysis we have seen (including the American River Basin Study), the full picture is “hotter and drier and wetter.” Staff believes that the SWRCB will need to take the drier and wetter extremes into account which will help the State craft policies that allow for the efficient allocation of resources in adapting to climate change.



Agenda Item 8

FINDING/CONCLUSION

This information/discussion is consistent with Policy Principles adopted as part of RWA policy 100.5 and Strategic Plan Priority- Advocacy Objective A



Topic: RWA Board of Directors Agenda
Type: New Business
Item For: Action; Motion to Approve
Purpose: [Policy 200.2](#)

SUBMITTED BY: Jim Peifer
Executive Director

PRESENTER: Jim Peifer
Executive Director

EXECUTIVE SUMMARY

This is an action item for the Executive Committee to review and consider approving the draft agenda the regularly scheduled Regional Water Authority (RWA) Board of Directors Meeting on September 12, 2024 to be held at Fair Oaks Water District.

STAFF RECOMMENDED ACTION

A motion to approve RWA Board of Directors Agenda for September 12, 2024, Board Meeting.

BACKGROUND

Per RWA Policy 200.0, the Executive Committee will be authorized to prepare and approve agendas for meetings of the RWA Board of Directors.

FINDING/CONCLUSION

The Executive Director has prepared the draft agenda for the RWA Board of Directors Meeting on September 12, 2024 for the RWA's Executive Committee's consideration and approval.

ATTACHMENTS

Attachment 1- Draft RWA Board of Directors Agenda for September 12, 2024 Board Meeting



**REGIONAL WATER AUTHORITY
MEETING OF THE BOARD OF DIRECTORS**

Thursday, September 12, 2024 at 9:00 a.m.

**Fair Oaks Water District
10326 Fair Oaks Blvd
Fair Oaks, CA 95628
(916) 967-7692**

IMPORTANT NOTICE REGARDING VIRTUAL PUBLIC PARTICIPATION:

The Regional Water Authority currently provides in person as well as virtual public participation via the Zoom link below until further notice. The public shall have the opportunity to directly address the Board on any item of interest before or during the Board's consideration of that item. Public comment on items within the jurisdiction of the Board is welcomed, subject to reasonable time limitations for each speaker.

Join Zoom Meeting

<https://us06web.zoom.us/j/89073814270>

Meeting ID: 890 7381 4270

Dial by your location

+1 669 444 9171 US or +1 669 900 6833 US (San Jose)

If we experience technical difficulties and the Zoom link drops and you are no longer able to connect to the Board meeting, please dial 1-877-654-0338 – Guest Code 198

Public documents relating to any open session item listed on this agenda that are distributed to all or a majority of the members of the Board of Directors less than 72 hours before the meeting are available for public inspection in the customer service area of the Authority's Administrative Office at the address listed above.

In compliance with the Americans with Disabilities Act, if you have a disability and need a disability related modification or accommodation to participate in this meeting, please contact the Executive Director of the Authority at (916) 967-7692. Requests must be made as early as possible, and at least one full business day before the start of the meeting. The Board of Directors may consider any agenda item at any time during the meeting.

AGENDA

1. CALL TO ORDER AND ROLL CALL

2. PUBLIC COMMENT: Members of the public who wish to address the Board may do so at this time. Please keep your comments to less than three minutes.

3. CONSENT CALENDAR: All items listed under the Consent Calendar are considered and acted upon by one motion. Board Members may request an item be removed for separate consideration.

3.1 Approve the draft meeting minutes of July 11, 2024, RWA Board Meeting and draft meeting minutes of August 28, 2024 General Managers and Utilities Managers Quarterly Workshop

3.2 Approve Revision to RWA Policy 300.4 Records Inspection, Retention, Disposal, And Storage Policy

3.3 Approve Annual Review of Investment Policy 500.2 and California Employee Retirement Benefits Trust (CERBT)

Recommended Action: Approve Consent Calendar items as presented

4. NEW MEMBERS

Presenter: Jim Peifer, Executive Director

Action: Approve the admission of CDM Smith as an Affiliate member

5. PROPOSITION 4

Presenter: Jim Peifer, Executive Director

Action: Adopt Resolution 2024-06 RWA Supporting Proposition 4

6. INFORMATION: CYBER SECURITY

Presenter: Jim Peifer, Executive Director and FBI SSA Heriberto Cadena

7. INFORMATION: WATER REGULATIONS

Presenter: Amy Talbot, Water Efficiency Program Manager

8. INFORMATION: WATERSHED RESILIENCE PILOT PROJECT

Presenters: Trevor Joseph, Manager of Technical Services; Greg Jones, Assistant General Manager, Nevada Irrigation District; and Rebecca Guo, General Manager, El Dorado Water Agency

9. INFORMATION: LEGISLATIVE AND REGULATORY UPDATE

Presenter: Ryan Ojakian, Manager of Legislative and Regulatory Affairs

10. EXECUTIVE DIRECTOR'S REPORT

11. DIRECTORS' COMMENTS

ADJOURNMENT

Next RWA Board of Director's Meeting:

November 14, 2024, 9:00 a.m. location to The Sacramento Association of Realtors, 2003 Howe Avenue, Sacramento, CA 95825. The location is subject to change.

Next RWA Executive Committee Meeting:

September 24, 2024, 1:30 p.m. at the RWA Office, 2295 Gateway Oaks, Suite 100 Sacramento, CA 95833.

Notification will be emailed when the RWA electronic packet is complete and posted on the RWA website at: <https://www.rwah2o.org/meetings/board-meetings/>.

Posted on September 5, 2024

Ashley Flores, CMC
Clerk of the Board



Topic: Executive Directors’ Report
Type: New Business
Item For: Information
Purpose: General

SUBMITTED BY:	Jim Peifer Executive Director	PRESENTER:	Jim Peifer Executive Director
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EXECUTIVE SUMMARY

This is an information item for the Executive Director to provide a briefing on important activities, reports, communications, advocacy, and other updates.

STAFF RECOMMENDED ACTION

None. This item is for information/discussion only.

BACKGROUND

This agenda item is a standing item to provide an opportunity for the Executive Director to report to the Executive Committee on important activities, reports, communications, advocacy, and other updates.

SAVE THE DATE – NETWORKING EVENTS

RWA Member Reception at the ACWA Fall Conference (December 3-5) in Palm Desert. More details to come.

Annual Holiday Social is scheduled for December 12, 2024 at 6:00 pm. The location will be at the [Delta King](#), 1000 Front Street, Sacramento, CA 95814

Annual Awards at Holiday Social please consider candidates for the annual RWA awards. Please consider submitting on candidates for the Water Statesperson of the Year, Distinguished Service, and Regional Water Management awards.

General Manager and Utility Director Workshop

The quarterly GM and Utility Director workshop is scheduled for August 28th. Topics will include surveying the potential interest of local chlorine generation, compliance with the Clean Fleet Regulations, and county paving standards. The next workshop will be hosted by Sacramento Suburban Water District on Tuesday, November 5th.



OUTREACH

RWA staff recently met with Jason Phillips from the Friant Water Authority to discuss water policy in California.

UPCOMING RWA BOARD MEETINGS

September 12 – Fair Oaks Water District

November 14 – Sacramento Association of Realtors

Water Bank

The next Water Bank Monthly Program Committee Meeting will be held on September 18th.

Timesheet Management Software

Staff has recently modernized the timesheet and expense reporting system by acquiring [ClickTime](#).

ATTACHMENTS

Attachment 1- RWA Contact Sheet



RWA Member Contact Information

Name: _____ Date: _____
Last First M.I.

Title: _____ Work Phone: _____

District/Company: _____ Cell Phone: _____

Address: _____
Physical Street Address Suite #

City State ZIP Code

Address: _____
Mailing Address (if different)

City State ZIP Code

Email Address: _____

Alternate Email: _____

Can you receive text messages as a form of communication? _____

Support Contact Information

Name: _____ Date: _____
Last First

Title: _____ Work Phone: _____

Email Address: _____

Required Certification

It is a requirement for the Regional Water Authority Board of Directors to maintain a current Prevention of Sexual Harrassment certificate (AB1825) on file with the RWA. Please attach a copy of your most recent certification, it should be within two years in which you completed the training. If you have any questions please contact Tom Hoffart at (916) 967-7692.

Please return the completed form to Ashley Flores by email at aflores@rwah2o.org.

Thank you for your time and assistance.

Agenda Item 11

Topic: Directors' Comments
Type: New Business
Item For: Information
Purpose: Routine

SUBMITTED BY: Jim Peifer
Executive Director

PRESENTER: Brett Ewart
Chair

EXECUTIVE SUMMARY

This is an information item to provide an opportunity for the RWA Executive Committee to report on any updates from their agency, comments, request future agenda items, recommendations, and questions.

STAFF RECOMMENDED ACTION

None. This item is for information only.

BACKGROUND

This agenda item is a standing item to provide an opportunity to report on any updates from their agency, comments, request future agenda items, recommendations, and questions.