



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, September 24, 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 August 27, 2024 Executive Committee.

Action: Approve Consent Calendar

4. 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

5. ADJUSTMENT OF COMPENSATION AND TITLES

Presenter: Jim Peifer, Executive Director

Action: Authorize the Executive Director to obtain consulting services to review the compensation of specific positions; and consider title changes to current management positions

6. EXECUTIVE DIRECTOR'S REPORT

7. DIRECTORS' COMMENT

ADJOURNMENT

Upcoming meetings:

Next RWA Board of Director's Meeting:

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

Next RWA Executive Committee Meeting:

The next RWA Executive Committee Meeting is scheduled for October 22, 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: September 20, 2024

Ashley Flores

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 August 27, 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 August 27, 2024

1. CALL TO ORDER

Chair Ewart called the meeting of the Executive Committee to order on August 27, 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

Audie Foster, California American Water
Brett Ewart, City of Sacramento, Chair
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, and Raiyna Villasenor

Others in Attendance:

None

2. PUBLIC COMMENT

None

3. CONSENT CALENDAR

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

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

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

Brett Ewart, City of Sacramento; 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- 6
Noes- 0
Abstained- 0
Absent- 3

4. NEW MEMBERS

Executive Director Peifer presented this action for the RWA 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.

A motion was made to recommend approval by the Regional Water Authority Board of Directors of the admission of CDM Smith as an Affiliate member.

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

Brett Ewart, City of Sacramento; 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- 6
Noes- 0
Abstained- 0
Absent- 3

Director Foster entered the meeting at 9:40 a.m.

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

Executive Director Peifer presented this 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.

Feedback and questions were asked, no action was taken. This item will come back to the Executive Committee.

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

Tom Hoffart, Finance and Administrative Services Manager presented this 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.

A motion was made to recommend approval of no changes to RWA Policy 500.2 and CERBT Asset Allocation Strategy to the Board of Directors.

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

7. INFORMATION: ACCOUNTING SOFTWARE

Tom Hoffart, Finance and Administrative Services Manager presented this information item is to discuss the necessity and costs of implementing new accounting software.

Feedback was provided to staff, no action was taken. This item will come back to the Executive Committee.

8. LEGISLATIVE AND REGULATORY UPDATE

Ryan Ojakian, Manager of Government Relations presented this information item. Mr. Ojakian updated the Executive on state legislation, Proposition 4, and regulatory actions.

A motion was made to oppose SB937.

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

9. 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 September 12, 2024.

A motion was made to approve RWA Board Meeting Agenda for September 12, 2024.

Motion/Second/Carried Director Wichert 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

10. EXECUTIVE DIRECTOR'S REPORT

Executive Director Peifer reported that staff is planning a RWA Member Reception at the ACWA Fall conference, details to come. RWA Holiday Social will be on the Delta King on December 12.

11. DIRECTORS' COMMENT

Director Greenwood reported that the Carmichael Water District has started their election season. There are three seats up for reelection, uncontested.

Director Kamilos reported that Elk Grove Water District is hosting the quarterly General Manager and Utilities Managers workshop on August 28.

Director Saunders thanked Trevor for participating in the ACWA Region 3/4 event on July 31, 2024, hosted by the City of Roseville.

Director Wichert requested that staff provide "listen only" Zoom access for Water Bank committee meetings. Director Greenwood and Director Pratt also agreed that it would be helpful for their agencies.

ADJOURNMENT

Chair Ewart adjourned the meeting.

Approved by:

Brett Ewart, RWA Chair

Attested by:

Ashley Flores, CMC, Clerk of the Board



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 2024-06 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 2024-06 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, in consultation with BKS Law Firm, 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 RWA staff and legal review by Josh Horowitz. 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 (Clean)

Attachment 2 – Draft of Policy 300.4 (Redline)

Attachment 3 – Draft Resolution 2024-06 and 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
November 14, 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.

200.40 Exemptions

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

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.
- B. 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.

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. (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.

200.70 Copies of Records

- 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 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 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.

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, 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 shall post on its website copies of 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 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
- Technical Services
- Government Relations
- Strategic Affairs

300.40 Records Storage

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

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

Procedure:

- 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.
- B. The Records Coordinator checks the description of the documents listed on the submitted form to confirm that each record listed is:
 - 1) not required to be permanently retained, and
 - 2) has been retained for the legally required period of time.
- 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 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 two years.

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

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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. 2024-06

**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 November 14, 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 2024-06 was duly and regularly adopted by the Board of Directors of the Regional Water Authority at the regular meeting held on November 14, 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**

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
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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
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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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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>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
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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

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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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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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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

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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

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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
<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>					
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
<i>If the record is not listed here, refer of 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</i>				
<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: Review of Compensation and Adjustment of Titles
 Type: New Business
 Item For: Action; Authorize the Executive Director to obtain consulting services and consider title changes to current management positions.
 Impact: [Policy 400.2](#)

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

This is an action item for the RWA Executive Committee to authorize the Executive Director to obtain consulting services to review the compensation of certain RWA job positions and to consider title changes for certain job classifications. The purpose of this item is to consider the fairness of the compensation and to ensure the RWA meets its policy directives in Policy 400.2.

STAFF RECOMMENDED ACTION

Authorize the Executive Director to obtain consulting services to review the compensation of specific positions; and consider title changes to current management positions.

BACKGROUND

The Executive Director is seeking the Executive Committee’s authorization to hire a consultant to conduct a review of the compensation and classification for the Finance and Administrative Services Manager and the Executive Assistant/Clerk of the Board. Additionally, the Executive Director is following up on a board member’s comment at a prior board meeting to reconsider the titles of certain staff positions.

Compensation Review

A review of compensation for the Finance and Administrative Services Manager and Executive Assistant/Clerk of the Board by the Executive Director suggests these positions are under compensated. The RWA underwent a compensation survey in 2022 and adjusted compensation for some of the staff positions. Since that time, the RWA has brought on two highly qualified employees with specific licenses, certifications and experience that was not considered when the RWA conducted its compensation survey. The experience from these staff members have saved the organization money, improved operations and efficiency while and reducing risk to the RWA and SGA.

Specifically, the Finance and Administrative Services Manager is licensed by the State of California as a Certified Public Accountant, and the Executive Assistant/Clerk of the Board has a Certified Municipal Clerk certification and hold a Notary Public commission of the State of California. All of their licenses and certifications require certain educational, testing, and experience



requirements.

RWA Policy 400.2 governs the compensation and the reviews of compensation for the RWA and SGA staff. The policy includes the following direction: *“It is the intent of the Authority to provide employee compensation (pay and benefits) that is fair and equitable and that is comparable, based upon an employee’s experience, skills and performance consistent with established job descriptions, and with that of similar water and public entities regionally. As a small, professional, management-focused organization, it is the intent of the Authority to provide employee compensation at or above the labor market for the industry and the geographic area. The compensation practices of the Authority will be competitive within the industry and geographical area to attract the most qualified candidates and to minimize turnover of its employees.”*

Policy 400.2 states that the Executive Committee has the authority to approve compensation surveys. The policy states: *“...a compensation survey may be commissioned at any time if directed by the Executive Committee or if recommended by the Executive Director and approved by the Executive Committee.”*

Position Title Revisions

As discussed previously in this staff report, a member of the board of directors recommended we consider renaming some of the staff positions. The member suggested that the RWA should consider using the word “director” instead of “manager”. For example, the “Manager of Technical Services” would become the “Director of Technical Services.” The Executive Director recommends that four titles be changed as indicated below:

Existing Titles	Potential New Titles
Manager of Technical Services	Director of Technical Services
Manager of Government Affairs	Director of Government Affairs
Manager of Strategic Affairs	Director of Strategic Affairs
Financial and Administrative Services Manager	Director of Finance

The Executive Director recommends a change in the Financial and Administrative Services manager title to better align the title with the importance of the work being accomplished by the incumbent. The title of Financial and Administrative Services Manager was developed several years ago, when the expectations of the financial skills for the incumbent were more modest. The RWA and SGA are more financially complicated today than when the organization first formed twenty-three years ago.

FISCAL IMPACT

The estimated cost for the consultant analysis is expected to be less than \$10,000. There is funding in the FY 2024/2025 budget for a consultant analysis.

FINDING/CONCLUSION

The Executive Director is requesting the Executive Committee take this action to ensure the RWA



Agenda Item 5

retains highly qualified employees and adjust titles to better reflect the work being performed within certain RWA classifications.

ATTACHMENTS

Attachment 1- RWA Policy 400.2

REGIONAL WATER AUTHORITY POLICIES AND PROCEDURES MANUAL

Policy Type	Human Resources
Policy Title	Employee Compensation Policy 400.2
Policy Number	400.2
Date Adopted	September 9, 2004
Date Amended	September 13, 2012 January 10, 2019 November 9, 2023 July 11, 2024

EMPLOYEE COMPENSATION POLICY

It is the intent of the Authority to provide employee compensation (pay and benefits) that is fair and equitable and that is comparable, based upon an employee's experience, skills and performance consistent with established job descriptions, and with that of similar water and public entities regionally. As a small, professional, management-focused organization, it is the intent of the Authority to provide employee compensation at or above the labor market for the industry and the geographic area. The compensation practices of the Authority will be competitive within the industry and geographical area to attract the most qualified candidates and to minimize turnover of its employees.

The Executive Director will have the authority to set and change employee base rate of pay in accordance with the intent of this Policy and within the budgetary guidelines approved by the Board of Directors. As part of the annual budget review process, the Executive Director will be responsible for preparing and presenting a labor budget to the Board of Directors in accordance with this Policy. The Board of Directors will consider, amend as required, and approve the annual labor budget for the Authority. Once the labor budget has been approved, the Executive Director may determine in his or her discretion how to apply any approved increase to each employee's existing base rate of pay. Changes to employee benefits will generally require Board action to approve changes to the Employee Handbook and other policies.

The specific terms of this Policy apply to staff only, except as specified in Section IV, below. All aspects of the Executive Director's compensation are subject to Board approval of an employment contract.

I. Pay Ranges

It is the Authority's Policy to provide a program for advancement of its employees within the pay range of their position using a merit-based system based on objective regular goal

setting and performance evaluations. Employees will typically advance within their pay range annually, subject to the discretion of the Executive Director, based on evaluation of the employee's performance and growth in responsibility and/or expertise in performing the work of the position. The Executive Director may move an employee to a higher-level classification or provide a merit-based salary increase, predicated upon performance, experience and documented needs of the organization.

All classification pay ranges shall typically be established with a 20% range between the minimum and maximum of the range. Except as provided below, steps will be established within each range to provide guidelines for use in annual budgeting. For executive-level positions (currently the Executive Director, Managers of Technical Services, Strategic Affairs, and Government Relations), there will be no steps established within the positions' ranges.

All rank-and-file and executive-level positions shall be eligible for a merit-based salary increase up to no more than 12% per year (equivalent of three steps), as movement through their salary range provided all merit-based salary increases can be covered by the approved budget for the current year. Any increase above 12% for rank-and-file positions must be recommended by the Executive Director and then be ratified by the Board of Directors for exemplary performance or in recognition of unusual circumstances. Any increase above 12% along the salary range for executive-level positions, including the Executive Director, shall be recommended by the Executive Committee and then ratified by the Board of Directors for exemplary performance or in recognition of unusual circumstances. In all cases, a staff report supporting the request for Board approval of an increase above 12% shall describe the nature of the exemplary performance or unusual circumstances.

The Executive Director shall recommend pay ranges for all employment classifications with the Authority, with the exception of the Executive Director position. All changes to the pay scales are subject to review and approval by the Board of Directors.

Any salary increases provided as movement through an employee's approved pay range shall be effective on the first day of the first pay period after the increase was approved

II. Cost of Living Adjustment (COLA)

The Executive Director will consider the United States Department of Labor's Consumer Price Index (CPI) for All Western Small Cities (population under 2.5 million) for the 12 months ending in November of each year in developing the proposed budget for the Authority¹. If the Board approves a budget that includes funding for a cost of living adjustment (COLA), the Executive Director will have the discretion to apply a COLA to all staff salaries, regardless of position within a salary range in the fiscal year for which the budget is adopted.

To avoid penalizing employees at or near the top of the salary range, and to ensure pay ranges remain comparable to the market between compensation surveys, the November CPI will be applied annually in January at an effective date as determined by the Board of Directors in conjunction with the beginning of a payroll period.

Effective July 1, 2024, the Authority will consider CPI data from the 12 months ending in March, with any approved COLA increase becoming effective the first day of the first pay period beginning in July.

III. Compensation Survey

The Executive Committee will generally direct staff to conduct a compensation survey at least every five years to ensure that the total compensation offered by the Authority (base rate of pay and benefits) is consistent with this Policy; provided, however that a compensation survey may be commissioned at any time if directed by the Executive Committee or if recommended by the Executive Director and approved by the Executive Committee. The Executive Committee may also use its discretion to waive or vary the five-year commitment.

Before initiating the survey, staff will brief the Executive Committee and solicit feedback on the scope of the compensation survey, including comparable agencies/organizations to be surveyed and data elements to be collected prior to commencing the survey. Survey organizations should be selected to provide a representative sampling of 1) local water agencies, 2) water-related associations located in the Sacramento region, 3) regional planning organizations within the Sacramento region, and 4) regional membership organizations in the region.

The Executive Director will use the results of the survey to propose modifications to base rate of pay and/or benefits necessary to achieve the intent of this policy. Proposed pay ranges should include consideration of such things as 1) the mean, median and 62.5th percentile of the

compensation data, 2) the comparability of surveyed classifications to RWA job classifications, and 3) RWA experience recruiting and retaining staff in each classification.

IV. Executive Director Compensation

The Board of Directors will establish an Executive Director pay range. The pay range shall be established with the same 20% range between the minimum and maximum of the range as is applied to other staff pay ranges under Section I. There will be no steps established within the range. The Board of Directors shall update the Executive Director pay range annually by the amount of any COLA applied to all staff salaries under Section II.

The Board of Directors shall determine Executive Director compensation within the established Executive Director pay range and such compensation will be subject to

approval of an employment contract by the Board of Directors, with a maximum change of up to 12% annually, consistent with the maximum salary movement of all executive-level positions as described in Section 1. Any annual increase above 12% for the Executive Director must be approved by the Board of Directors for exemplary performance or unusual circumstances. The Executive Committee may direct staff to conduct a survey of executive compensation to guide negotiation of the Executive Director employment contract. The conduct, timing, and scope of such a survey will be at the sole discretion of the Executive Committee.



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.

Annual Holiday Social – We hope you attend the Annual RWA/SGA Holiday Social, which is scheduled for December 12, 2024 at 6:00 pm. The location will be at the [Delta King](#), 1000 Front Street, Sacramento, CA 95814

Nominations for Annual Awards at Holiday Social please consider candidates for the annual RWA awards. Please consider submitting candidates for the Water Statesperson of the Year, Distinguished Service, and Regional Water Management awards. Submissions are due **October 4, 2024**, send to Kerry Schmitz at schmitzk@saccounty.gov.

Water Bank - The next Water Bank Monthly Program Committee Meeting will be held on October 16th.

UPCOMING RWA BOARD MEETINGS

November 14 – Sacramento Association of Realtors

ATTACHMENTS

Attachment 1- Awards Memo



MEMORANDUM

To: Regional Water Authority Board of Directors

From: Brett Ewart, RWA Board Chair

Date: September 9, 2024

Subject: **2024 AWARD AD HOC COMMITTEE**

The Regional Water Authority (RWA) presents three awards at its December Holiday Social event:

The *"Water Statesperson of the Year"* award recipient is selected for outstanding achievements in building alliances in the RWA service area. The awardee(s) can be from any profession or employment and need not be an RWA member/participant. This award is intended to recognize specific "timely achievements" during the award year. This award was established in 2001.

The *"Distinguished Service Award"* is awarded for services and/or leadership rendered to the region's water community over a period of years. The award recipient(s) can be from any profession or employment, and not necessarily but preferably, from an RWA member agency. The award was established in 2002. Recipients of both awards have their names engraved on perpetual trophies that are on display in the RWA office.

The *"Regional Water Management Award"* is awarded to one or more organizations or agencies that implement a program or project which creatively addresses a water management need. The organizations' or agencies' program or project must benefit the region and do one or more of the following:

- Improve water supply reliability or the management of water resources
- Improve water use efficiency or sustainability
- Reduce costs and/or improve operational efficiency
- Improve water utility services to ratepayers or customers
- Improve the environment
- Improve water quality

Eligible projects or programs must demonstrate a commitment to excellence and show creativity in addressing a water resource or management issue on a regional scale.

Regional Water Authority
Subject: 2024 Award Ad Hoc Committee
September 9, 2024
Page 2 of 2

I have appointed Kerry Schmitz (Chair), Todd Eising, Paul Selsky and Paul Schubert to the 2024 RWA Awards Committee. The Committee welcomes your recommendations, as it will be meeting soon to consider and select the 2024 recipients for these three prestigious awards. **If you would like to recommend an individual or project for a 2024 award, please contact Kerry Schmitz, or any member of the Committee, by October 4, 2024.**

Please send your nomination directly and confidentially to Ms. Schmitz. She may be reached by phone at (916) 874-4681 or email her at schmitzk@saccounty.gov.

Agenda Item 7



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

SUBMITTED BY: Jim Peifer Executive Director	PRESENTER: Brett Ewart Chair
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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.