

**RESOLUTION NO. 7-22-02**

**A RESOLUTION OF THE BOARD OF DIRECTORS OF THE  
LOS VAQUEROS RESERVOIR JOINT POWERS AUTHORITY  
ESTABLISHING A RECORDS RETENTION POLICY**

**WHEREAS**, the Los Vaqueros Reservoir Joint Powers Authority (the “Authority”) is committed to transparency in preserving and managing its records, and doing so in an efficient and cost-effective manner; and

**WHEREAS**, Contra Costa Water District (“CCWD”) currently serves as the Authority’s Interim Administrator and has been the lead agency for Phase 2 of the Los Vaqueros Reservoir Expansion Project (the “Project”) and stores and manages the Authority’s and Project’s records; and

**WHEREAS**, CCWD has an established a Records Retention Schedule that efficiently and cost effectively manages the storage, retention and destruction of CCWD’s and the Project’s records in accordance with industry best practices and in compliance with applicable law; and

**WHEREAS**, the Authority’s Directors find and determine that implementing certain portions of CCWD’s established Records Retention Schedule through a summary schedule will allow the Authority to most efficiently and cost effectively store, retain and destroy the Authority’s records in accordance with industry best practices and in compliance with applicable law,

**NOW, THEREFORE, THE BOARD OF DIRECTORS OF THE LOS VAQUEROS RESERVOIR JOINT POWERS AUTHORITY DOES HEREBY RESOLVE AS FOLLOWS:**

Section 1. Recitals. The Recitals set forth above are true and correct and are incorporated into this Resolution by this reference.

Section 2. Adoption of Policy. The Authority’s Board of Directors adopts the Records Retention Policy in the form attached hereto as Exhibit A and its related appendix setting the summary of CCWD’s Records Retention Schedule as applicable to the Authority.

Section 3. Direction to Administrator and Staff. This Resolution shall take effect immediately and the Authority’s Interim Administrator, Executive Director (once engaged) and other Authority staff are hereby directed to immediately take any and all actions necessary to implement this Resolution.

PASSED AND ADOPTED by the Board of Directors of the Los Vaqueros Reservoir Joint Powers Authority this 13<sup>th</sup> day of July, 2022, by the following vote:

AYES: Hansen, Wehr, Sethy, Avila, Kremen, Ritchie  
NOES: None  
ABSTAIN: None  
ABSENT: Ramirez Holmes, Coleman

Anthea G. Hansen  
Anthea G. Hansen (Jul 26, 2022 13:45 PDT)  
Anthea Hansen, Vice Chair

ATTEST:

Ellen Wehr  
Ellen Wehr (Jul 26, 2022 13:21 PDT)  
Ellen Wehr, Secretary

## EXHIBIT A

### LOS VAQUEROS RESERVOIR JOINT POWERS AUTHORITY RECORDS RETENTION POLICY

1. Adoption of Summary of Relevant Portions of Contra Costa Water District's Records Retention Schedule. The Authority hereby adopts the general practices set forth in Contra Costa Water District's Records Retention Schedule, as summarized in the schedule attached as Appendix 1 to this Resolution, which shall be housed on the Authority's website and revised from time to time upon approval of the Board of Directors to reflect the Authority's ongoing operations and administration.

2. Electronic Records and E-Mail Correspondence. Notwithstanding Section 1, above, the following provisions shall apply to the Authority's electronic records and e-mail correspondence:

**Electronic Records and Email Correspondence** – In accordance with the California Public Records Act and other applicable statutes, electronic records will be retained as if they were paper documents (such electronic records include e-mails and text messages received on any communication device the Authority may provide for Authority business). Therefore, any electronic files that can be categorized into one of the document types on the applicable Records Retention Schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep email correspondence, the message should be printed in hard copy and kept in an appropriate file or moved to an electronic archive file folder. In an effort to maintain and purge dated correspondence, the email server has an internal electronic retention timer for messages sent and received. All email correspondence will be deleted and purged from the server following at least two years of retention. However, any records attached to email correspondence must be retained in accordance with the applicable Records Retention Schedule category for that attached document. Notwithstanding the foregoing, e-mail correspondence the Authority or its staff receives that does not pertain to the Authority's business (for example, unsolicited advertisements) may be deleted immediately. Any e-mails, text messages or other electronic messages that any Authority Director, Alternative Director or staff member receives on his or her personal electronic devices or personal e-mail accounts, which are not provided by the Authority and do not relate to Authority's business, are not Authority records and therefore are not subject to retention under this Policy.

## APPENDIX 1

### LOS VAQUEROS RESERVOIR JOINT POWERS AUTHORITY

#### SUMMARY OF RECORDS RETENTION SCHEDULE

With Contra Costa Water District (“CCWD”) serving as the Authority’s Interim Administrator and housing the vast majority of the documents pertaining to the Project, the most efficient way to address the records retention periods for Authority records is to incorporate CCWD’s Record Retention Schedule into the Authority’s Record Retention Policy. A summary of CCWD’s Records Retention Schedule with those categories pertinent to the Authority is set forth below.

Records can be scanned in and retained in electronic or digital format prior to being completely destroyed, to minimize the need for hard copy/paper copies of documents. Authority staff will work with CCWD staff in connection with authorizing the eventual destruction of any Authority documents.

Description	Subject Area	CCWD Reference	Retention Period	Comments
1099’s and W-9’s	Finance	FIN-030	7 years	
Accident and incident reports	Operations	H&S-001	10 years	
Accounting – journal entries	Finance	FIN-019	7 years	
Accounts payable – invoices and other source documents	Finance	DW-003	7 years	
Affidavits regarding publication of legal notices	Administrative	DW-004	2 years	
Agenda packets (including staff reports and presentations) – Board and Committee meetings	Administrative	DW-005; DS-001	Permanent	
Agreements and contracts – non-infrastructure (e.g., consulting)	Administrative	DW-006	Completion + 10 years	
Agreements and contracts – infrastructure or real estate	Administrative	DW-008; DS-002; PWL-001 & -002	Permanent	

Description	Subject Area	CCWD Reference	Retention Period	Comments
Agreements and contracts – JPA formation	Administrative	DW-008	Permanent	
Agreements and contracts – grant funding	Administrative	DW-010; DS-003	Completion + 10 years	Longer retention period may apply depending upon the requirements of the grant with respect to record retention for audit purposes
Audit reports	Finance	DW-012; FIN-003	Permanent	
Audit work papers	Finance	FIN-002	7 years	
Audio/Computer recordings of Board and Committee meetings	Administrative	DW-013; DS-024	1 year	
Bank statements; checking account reconciliations; wire transfers; check listings	Finance	FIN-005	7 years	
Bids – unsuccessful	Operations	DW-011	2 years	Successful bids are retained in accordance with the applicable category of agreement or contract
Bonds, promissory notes, evidences of indebtedness	Finance	FIN-006	Fully matured or defeased +10 years	
Budget (adopted)	Finance	DW-015; FIN-008	Permanent	
Budget adjustments	Finance	FIN-007	7 years	
Cal-OSHA inspections and citations and related logs	Operations	H&S-005	5 years	

Description	Subject Area	CCWD Reference	Retention Period	Comments
CEQA/NEPA documentation and comments (EIRs, Negative Declarations, and including compliance/monitoring reports)	Operations	PWL-013	Permanent	
CEQA/NEPA correspondence and internal agency communications	Operations	PWL-012	Completion of CEQA process	
Check registers	Finance	FIN-029	7 years	
Claims	Administrative	DW-016; HR-025	Final resolution +5 years	
Closed Session materials	Administrative	GM-005	10 years minimum	
Committee meeting materials	Administrative	DW-017	2 years	
Correspondence (including e-mail correspondence)	Administrative	DW-19	2 years (minimum)	Correspondence to be categorized based on content; transitory or preliminary drafts may be discarded upon Counsel determination
Credit card statements	Finance	FIN-067	7 years	
Daily operations reports	Operations	O&M-015	Permanent	
Deeds; final orders of condemnation	Administrative	PWL-004	Permanent	
Depreciation schedule	Finance	FIN-016	5 years	
Director appointment materials	Administrative	DS-004	Permanent	Equivalent to CCWD "history of Board members"
Easements	Administrative	PWL-004	Permanent	
Emergency Directory	Operations	O&M-002	When superseded	

Description	Subject Area	CCWD Reference	Retention Period	Comments
Emergency Response Plan	Operations	H&S-007; O&M-004	When superseded	
Encroachment permits	Operations	PWL-005	Permanent	
Engineering project files – administration file	Operations	ENG-004	Completion + 10 years; or after funding agency audit whichever is longer	Files include project administration, advertising, certified payrolls, contractor insurance certificates, performance and payment bonds and project schedules
Engineering project files – drawings, including as-builts; and permanent file	Operations	ENG-005	Permanent	Files include specifications, photos, acceptance, testing reports, regulatory approvals, rights-of-way and submittals
Environmental Review Clearance/Survey form	Operations	PWL-033	Permanent	
Fact sheets	Administrative	PA-013	When no longer required	
Financial reports and periodic financial statements	Finance	FIN-013	When no longer required	
Financial reports – year-end statements	Finance	FIN-039	7 years	
Fixed asset records – including disposal, sale or surplus	Finance	FIN-015	Permanent	
Formation documents	Administrative	DS-005	Permanent	
FPPC Form 700	Administrative	DS-009	7 years	JPA to maintain originals
GIS	Operations	ENG-008	Indefinite	

Description	Subject Area	CCWD Reference	Retention Period	Comments
Grants – successful (including all underlying documents pertaining to work funded by the grant)	Administrative	DW-025	5 years	Retain for 5 years after end of audit period for the grant
Grants – unsuccessful	Administrative	DW-024	2 years	
Hazard maps – inundation maps	Operations	ENG-009	Permanent	
Hazardous Materials Business Plans	Operations	PWL-026	When superseded	
Hazardous waste manifests	Operations	PWL-027	Permanent	
Human resources complaints and investigations	Administrative	HR-007	Separation + 7 years	
Illness and Injury Prevention Program (if applicable)	Operations	H&S-014	Superseded + 2 years	
Insurance policies	Administrative	HR-027	30 years	
Investments	Finance	FIN-018	Maturity + 7 years	
Jurisdictional water permits	Operations	PWL-028	Expiration + 3 years	
Laboratory certification	Operations	O&M-061	10 years	
Lab reports	Operations	O&M-057; -059	10 years	
Laboratory testing procedures	Operations	O&M-065	Superseded + 10 years	
Land acquisition files	Administrative	PWL-006	Permanent	
Leases	Administrative	PWL-007	Completion + 5 years	
Legal counsel opinions	Administrative	DW-021	2 years	
License Agreement; USBR property license	Administrative	PWL-008	Completion + 5 years	
Litigation records; court case files	Administrative	GM-010	Final resolution of case + 5 yrs.	

Description	Subject Area	CCWD Reference	Retention Period	Comments
Marina vessel maintenance history	Operations	PWL-036	Sale or disposal + 1 year	
Minutes – Board and Committee meetings	Administrative	DW-029; DS-018	Permanent	
Modeling and calculations	Operations	WR-001	When no longer required – minimum 2 years	
News clippings	Administrative	PA-004	When no longer required	
Newsletters	Administrative	PA-005	Permanent	
Notices – Public Hearings	Administrative	DW-031	2 years	
NPDES permits	Operations	PWL-023	Expiration + 3 years	
NPDES monitoring and compliance reports	Operations	PWL-029	Minimum 3 years	
Oaths of Office	Administrative	DS-019	Separation + 6 years	
Operations and Maintenance Manuals	Operations	O&M-006	Upon disposal of equipment	
Operating Permits and amendments	Operations	O&M-017	Permanent	
Ordinances	Administrative	DW-032; DS-020	Permanent	
Photos, videos and slides	Administrative	PA-007	When no longer required	
Policies and procedures; administrative regulations	Administrative	DW-037	2 years after superseded	Superseded by replacement or updated policy or procedure

Description	Subject Area	CCWD Reference	Retention Period	Comments
Position descriptions	Administrative	HR-011	Superseded + 4 years	
Press Releases	Administrative	DW-035; PA-009	2 years	
Project forecasting and analysis	Operations	WR-001	When no longer required – minimum 2 years	
Public Records Act requests	Administrative	PA-008	2 years	
Purchase orders	Finance	FIN-068	5 years	
Records destruction authorization	Administrative	PA-010	Permanent	
Recruitment files – applications or proposals submitted for specific positions	Administrative	HR-019	3 years	
Registry of Public Agencies	Administrative	DS-022.2	2 years	
Regulatory/external agency meetings and records	Operations	WR-005	When no longer required – minimum 2 years	
Regulatory hearing records	Operations	WR-006	When no longer required – minimum 2 years	
Reports and studies – if historically significant	Operations	DW-040; PWL-018	Permanent	Executive Director to determine if historically significant
Reports and studies – if not historically significant	Operations	DW-041	10 years	Executive Director to determine if not historically significant

Description	Subject Area	CCWD Reference	Retention Period	Comments
Reports to regulatory agencies	Operations	WR-007	When no longer required – minimum 2 years	
Reservoir inspections (USBR; DSOD)	Operations	ENG-015	Permanent	
Resolutions	Administrative	DW-042; DS-021	Permanent	
Rights of entry (temporary)	Administrative	PWL-010	Expiration + 2 years	
Risk Management Program	Operations	PWL-030	When superseded	
SCADA database and related SCADA information	Operations	O&M-019	Indefinite	
Service contracts	Finance	FIN-044	Account closed + 5 years	
Small Claims Court	Administrative	HR-032	Final resolution + 5 years	
Software licenses	Administrative	IS-004	Superseded + 2 years	
Standard drawings and construction standards	Operations	ENG-017	Permanent	
Standard Operating Procedures	Operations	O&M-008	When superseded	
State Controller's Report – Special Districts Financial Transactions Report (if applicable)	Finance	FIN-027	7 years	
State reports regarding Project operations	Operations	O&M-009	Permanent	

Description	Subject Area	CCWD Reference	Retention Period	Comments
Subpoenas or Summons	Administrative	DS-023	2 years	
Underground Service Alerts	Operations	O&M-036	10 years	
USBR Contract Compliance Reports and other USBR reports and correspondence	Operations	O&M-020; O&M-021	Permanent	
Waivers and permissions	Administrative	PA-014	1 year	
Water Quality Program Manual	Operations	O&M-068	Permanent	
Water resources reports and technical memos	Operations	WR-008	When no longer required – minimum 2 years	
Watershed & Mitigation Lands Mitigation Reports	Operations	PWL-039	Permanent	
Work orders and service requests	Operations	O&M-041	Indefinite	