

USLRGMA

Upper San Luis Rey Groundwater Management Authority

Greg Kamin – Chairman
Roland Simpson – Treasurer
Steve Wehr - Director

Tim Lyall – Vice Chairman
Rich Stehly – Director
Bill Pankey – Director

Michael Perricone- Secretary
Chuck Bandy – Director

I. Call to order

II. Pledge of Allegiance

III. Roll Call

IV. Approval of the Agenda

V. Public Comment

VI. Consent Calendar

- a) Approval of Minutes from September 20, 2022
- b) Approval of Accounts Paid and Payables – *Nothing to Report*
- c) Acceptance of Monthly Financial Reports – *Nothing to Report*

VII. Action Discussion

- a) Approval of USLRGMA Policy 2022-01 – Ethics (AB1234) Training Policy.

Background: As a condition of being eligible for ACWA / JPIA Insurance the Authority is required to have a policy on Ethics Training. The attached policy for review address this requirement

Recommendation: That the Board approve or amend and approve the policy as presented.

- b) Approval of USLRGMA Policy 2022-02 – Discrimination and Harassment Prevention Policy (AB 1825).

Background: As a condition of being eligible for ACWA / JPIA Insurance the Authority is required to have a policy on Ethics Training. The attached policy for review address this requirement

Recommendation: That the Board approve or amend and approve the policy as presented.

c) Approval of USLRGMA Policy 2022-03 – Record Retention & Destruction Policy.

Background: It is a requirement of all public agencies to have a records retention policy. The policy presented to the Board for approval was developed to encompass records the Authority current has or may have in the future. As new record types are created, the policy will be revised and brought before the Board as necessary.

Recommendation: That the Board approve or amend and approve the policy as presented.

d) Discussion and Possible Action Regarding Engaging a Consultant to Perform a Rate Study in Order to Develop a Permanent Funding Mechanism for the Authority to Operate.

Background: Part of the GSP development process indicated that the Authority would develop a pumping rate or other type of funding mechanism in order to create a permanent funding source to operate the Authority. Staff would like to discuss possible consultants that we can engage in this process and seeks Board direction to begin the process.

Recommendation: That the Board direct Administration as to conducting a rate study.

e) Selection of Official Logo for the Upper San Luis Rey Groundwater Management Authority.

Background: The Board tabled this item so that more sample options could be presented. Samples will be presented at the Board meeting.

Recommendation: That the Board choose one of the presented logos.

f) Governor's Executive Order No. N-7-22 – Requirement for Groundwater Sustainability Agencies to Verify Consistency of any new well permits or modification permits.

Background: In March 2022 the Governor issued Executive order No. N-7-22 that directed the County to not issue any new well or well modification permits unless they receive approval from the managing GSA of the basin, with the exception of domestic wells that will only produce 2-acre feet or less of water per year. It is necessary for the Authority to develop a policy that aligns with our GSP in order to ensure that the basin remains in balance.



VIII. Closed Session

- a) Conference with Legal Counsel – Pending Litigation – 1 case, San Luis Rey Indian Water Authority v. Pauma Valley Groundwater Sustainability Agency – Pursuant to Government Code Section 54956.9

IX. Other Business

Status of ACWA Membership and ACWA/JPIA Insurance

Next Regular Meeting, Tuesday, November 15, 2022

X. Adjournment

UPPER SAN LUIS REY

Groundwater Management Authority

MINUTES OF THE REGULAR MEETING OF THE BOARD OF DIRECTORS OF UPPER SAN LUIS REY GROUNDWATER MANAGEMENT AUTHORITY

Date: September 20, 2022

Time: 3:00 p.m.

Call to Order

The Regular Meeting of the Board of Directors of the Upper San Luis Rey Groundwater Management Authority was held at the offices of the Yuima Municipal Water District at 34928 Valley Center Rd., Valley Center, California on Wednesday, the 20th day of September, 2022. The meeting was called to order at 3:03 p.m. and the Pledge of Allegiance was performed.

Roll Call – Determination of Quorum

Administrator Reeh conducted the roll-call and a quorum of the Board was established.

Directors In Attendance

Charles Bandy
Greg Kamin
Roland Simpson

Warren Lyall
Michael Perricone
Steve Wehr

Rich Stehly
Jack Hoagland
Bobby Graziano

Others In Attendance

Amy Reeh
Jeremy Jungreis

Andy Lyall
Steve Anderson

Approval of the Agenda

Upon motion being offered by Director Wehr, second by Director Simpson the Agenda of the meeting was approved and carried unanimously by the following roll-call vote, to wit:

AYES:	Kamin, Wehr, Lyall, Perricone, Simpson, Stehly, Bandy, Wehr, Hoagland, Graziano
NOES:	None
ABSTAIN:	None
ABSENT:	None

Public Comment

There were no requests to speak during the public comment period.

Consent Calendar

With motion being offered by Director Hoagland and seconded by Director Wehr, the Minutes of the August 3, 2022 meeting were approved by the following roll-call vote, to wit:

AYES: Kamin, Wehr, W. Lyall, Perricone, Simpson, Stehly, Bandy, Wehr, Hoagland, Graziano
NOES: None
ABSTAIN: None
ABSENT: None

Action Discussion

Review and Approval of the Conflict-of-Interest Code

Following a brief discussion, Chair Kamin asked for Public Comment, hearing no public comment, Director Bandy moved approval of the Conflict-of-Interest Code. The Motion was seconded by Director Perricone. After Chair Kamin called for Public Comment, to which none was received, *The Upper San Luis Rey Groundwater Management Authority Conflict-of-Interest Code* was approved and carried unanimously by the following roll-call vote, to wit:

AYES: Kamin, Wehr, W. Lyall, Perricone, Simpson, Stehly, Bandy, Wehr, Hoagland, Graziano
NOES: None
ABSTAIN: None
ABSENT: None

Geoscience Change Order

A brief discussion relative to the cost coverage of the change being covered by the already existing grants took place. Administrator Reeh explained which grants were going to cover each task Director Hoagland motioned for approval, seconded by Director Wehr. After Chair Kamin called for Public Comment, to which none was received, the change to the *Geoscience Contract to Perform an Aquifer Test and Analysis and Monitoring Well Construction Management* was approved and carried unanimously by the following roll-call vote, to wit:

AYES: Kamin, Wehr, W. Lyall, Perricone, Simpson, Stehly, Bandy, Wehr, Hoagland, Graziano
NOES: None
ABSTAIN: None
ABSENT: None

Proposed Resolution Consenting to Enter the Joint Protection Programs of the Association of California Water Agencies / Joint Powers Insurance Authority

Following a brief discussion in where Staff was directed to ask some clarifying questions regarding coverage, Director Perricone motioned to approve the Resolution. The motion was seconded by Director Bandy. Chair Kamin called for public comment and upon hearing none, *Resolution 02-2022 Adopting Administration Agreement for the Authority* was approved and carried unanimously by the following roll-call vote, to wit:

AYES:	Kamin, Wehr, W. Lyall, Perricone, Simpson, Stehly, Bandy, Wehr, Hoagland, Graziano
NOES:	None
ABSTAIN:	None
ABSENT:	None

Discussion and Possible Action Regarding Engaging in an RFP Process to Obtain General Counsel for the Authority or Possible Appointment of General Counsel

Discussion was held by the Board as to the purpose and role General Counsel would have at this time for the Authority. Current Litigation Counsel would only be able to engage in matters regarding specific litigation and not be able to advise the Board on everyday matters that may arise such as the Brown Act, Public Record Request, FPPC and Form 700 filings, or even the JPA agreement itself. Director Hoagland inquired as to any possible conflict of interest and Mr. Jungreis and Mr. Anderson indicated the existing waiver signed by the individual agencies in relation to litigation work could be expanded to include General Counsel work. The Board felt that Rutan & Tucker, LLP and Best, Best & Krieger are most familiar with the Authority, its history and inception and would be best to avoid additional costs if they also served as co-counsel. A call for public comment from Chair Kamin did not produce any comments and upon motion being offered by Director Warren Lyall, seconded by Director Wehr, the motion to engage the current litigation counsels as General co-counsel was approved and carried unanimously by the following roll-call vote, to wit:

AYES:	Kamin, Wehr, W. Lyall, Perricone, Simpson, Stehly, Bandy, Wehr, Hoagland, Graziano
NOES:	None
ABSTAIN:	None
ABSENT:	None

Selection of Official Logo

This item was tabled until next meeting so that additional ideas could be brought before the Board.

Closed Session

The Board entered Closed Session at 3:47 p.m. to discuss one case: San Luis Rey Indian Water Authority V. Pauma Valley Groundwater Sustainability Agency – Pursuant to Government Code §54956.9.

Director Simpson left the meeting at 4:04 p.m.

The Board exited closed session at 4:35 p.m.

Report from closed session: There was no report from closed session.

Adjournment

The meeting of the Board of Directors of the Upper San Luis Rey Groundwater Management Authority was adjourned at 4:40 p.m. until the next meeting on October 18, 2022 at 3:00 p.m.

Michael Perricone, Secretary

Greg Kamin, Chairman

Subject:	Ethics (AB1234) Training Policy
Authority:	California Government Code §53234 – 53235.2
Approval Date:	10/18/2022
Revision Date(s):	

A. Policy

The California Government Code requires specific County Officials to complete at least two (2) hours of Ethics (AB 1234) Training within one (1) year of appointment and every two years thereafter.

B. Purpose

This policy is intended to identify Ethics (AB 1234) Training responsibilities for members of the members of boards and other specified individuals. It also identifies how ethics training can be successfully completed.

C. Authority

Assembly Bill No. 1234 (AB 1234) (Chapter 700, Statutes of 2005) imposes requirements on specific public officials to complete ethics training every two (2) years. These requirements are codified in California Government Code §53234 through 53535.2.

D. Scope

This training policy applies to the for the following officials:

- All Members of the Board of Directors
- Authority Administrator

E. Procedure

1. Who takes the Ethics (AB 1234) Training?
 - a. All Members of the Board of Directors
 - b. Authority Administrator
2. When is Ethics (AB 1234) Training required?
 - a. Within one (1) year of appointment.
 - b. Every two (2) years after the initial training.
3. How to complete Ethics (AB 1234) Training:
 - a. The Fair Political Practices Commission (FPPC) has established a free online training program that allows public officials to satisfy the requirements of

Ethics (AB 1234) Training. The course can be accessed on the FPPC's website:

<http://locaethiccs.fppc.ca.gov/login.aspx>

- b. A certificate of completion for at least two (2) hours of local official Ethics (AB 1234) Training from a course that meets the Attorney General's AB 1234 training guidelines founds at [https://oag.ca.gov/sites/all/files/agweb/pdfs/ethics/eth\)loc_guide_final.pdf](https://oag.ca.gov/sites/all/files/agweb/pdfs/ethics/eth)loc_guide_final.pdf) will satisfy this policy.

4. Where to file the Ethics (AB 1234) Training certificate

To complete the training process and be deemed in compliance officials must provide a certificate of completion for Ethics (AB 1234) Training as follows:

- a. Public official who are designated files)Form 700) under the Authority's Conflict of Interest Code file their original or the copy of the original certificate wit the Administrator of the Authority. This may be done via email (amy@uslrgma.com).

5. Additional Requirements related to Authority Members who are appointed.

Due to the importance and mandatory nature of Ethics (AB 1234) Training, a member's failure to complete qualifying Ethics (AB 1234) Training when required could result in his / her inability to participate in Authority board meetings and possible removal or forfeiture of his / her position.

6. Notice

The Administrator of the Authority shall be responsible for providing the following written notices:

- a. An initial Ethics (AB 1234) Training requirement notification will be sent to each newly appointed member. This notice shall be sent within 30 days of appointment.
- b. A biennial Ethics (AB 1234) Training reminder notice will be sent to each individual whose current certificate of compliance will expire. This notice shall be sent 60 days prior to the expiration of the certificate of compliance
- c. A second reminder to complete Ethics (AB 1234) Training shall be sent to individuals who are not in compliance with this training policy. This notice shall be sent 30 days prior to the date the individual will become non-compliant.
- d. A final reminder to complete Ethics (AB 1234) Training shall be sent to individuals who are not in compliance with this policy. This notice shall be sent immediately upon the member becoming non-compliant with the policy and shall specify that the member has 30 days in which to become compliant and that they are prohibited from voting on any matters brought before the Board of Directors until a certificate of compliance is received.
- e. A non-compliance letter shall be sent to the Board of Directors notifying the Board of the non-compliance issue.

7. Documentation and Retention

- a. The Administrator of the Authority shall be responsible for maintaining the following documents in accordance with the Authority's Record Retention Policy.
 - i. The original or copies of the original certificates of completion for Ethics (AB1234) Training for appointed officials and officials who are designated filers (Form 700) under the Authority's Conflict of Interest Code.
 - ii. Written notices regarding Ethics (AB1234) training.

DRAFT

Subject:	Harassment, Discrimination, and Retaliation Prevention Policy
Authority:	AB 1825
Approval Date:	10/18/2022
Revision Date(s):	

A. Policy

The Upper San Luis Rey Groundwater Management Authority (USLRGMA) is committed to ensuring a work environment that is free from harassment and discrimination based on:

- Age (40 and over)
- Ancestry
- Color
- Gender
- Gender identity
- Gender expression
- Genetic information
- Marital Status
- Medical condition (cancer and genetic characteristics)
- Military and Veteran status
- National origin
- Disability
- Denial of Family and Medical Care Leave
- Requests for leave under the California Family Rights Acts
- Political affiliation
- Race
- Religion
- Religious creed
- Sex, which includes:
 - Pregnancy
 - Childbirth
 - Breastfeeding
 - Medical conditions related to pregnancy, childbirth, or breastfeeding
- Sexual orientation
- Any other classification protected by federal, state or local laws or ordinances.

USLRGMA prohibits any form of retaliation for reporting perceived violations of this policy, requesting a reasonable accommodation, pursuing a complaint or cooperating in any way in an

investigation of a complaint. If an individual believes they are being retaliated against for engaging in any activity described in this policy, the individual should contact the USLRGMA Administrator immediately.

B. Scope

This policy prohibits unlawful discrimination and harassment of or by any USLRGMA Board Member, independent contractors, vendors, third parties doing business with USLRGMA or Administrators. This

C. Key Terms / Definitions

For the purposes of this document, the following terms and definitions apply.

Key Term	Definition
Harassment	“Harassment” as used in this policy is unwelcome conduct in any form based on any of the protected characteristics listed in this policy. Such conduct violates this policy.
Sexual Harassment	“Sexual Harassment” as used in this policy is harassment based upon the person’s sex. This may include unwelcome sexual advances, conversations about sexual activities, requests for sexual favors and other verbal or physical harassment of a sexual nature. It can also include offensive remarks about a person’s sex, but need not be motivated by sexual desire. For example, it is illegal to harass a woman by making offensive comments about women in general.
Retaliation	“Retaliation” is when an individual suffers an adverse action, such as a demotion or discipline, because the individual exercised a legal Right. <i>Example: Transferring an employee to a less desirable position, disciplining the employee for complaining about harassment.</i>

D. Common Forms of Prohibited Conduct

- Offering employment benefits in exchange for sexual favors;
- Threats and demands to submit to sexual favors in order to retain employment or avoid adverse actions;
- Leering, making sexual gestures or displaying sexually suggestive objects, pictures, cartoons, emails or posters;
- Making or using derogatory comments, epithets, slurs or jokes based on any protected characteristic;
- Sexual comments including graphic comments about an individual’s body;
- Sexually degrading words used to describe an individual or suggestive or obscene letters, emails, notes or invitations;

- Physical touching or assault as well as impeding or blocking movements; or
- Flirtations and other unwanted verbal, physical or visual conduct of a sexual nature.

All such conduct violates this policy and is unacceptable in the workplace and in any work related settings, such as business trips and business-related social functions.

E. Rights and Responsibilities

Rights

Individuals have the right to:

- A work environment free of harassment and discrimination based on membership in any protected class;
- File a good faith complaint of any perceived violation of this policy or law with the Administrator of the Authority;
- A full, impartial and prompt inquiry or investigation, commensurate with the circumstances;
- Be treated with dignity and discretion by USLRGMA during the internal reporting, testifying, assisting or participating in any manner in any investigation, proceeding or hearing regarding a complaint under this policy; and
- File a complaint with the appropriate state or federal agency at any time.

Responsibilities

All individuals are responsible for ensuring that violations of this policy do not occur by:

- Attending harassment and discrimination prevention training when requested or required by USLRGMA;
- Conducting business and professional communications in compliance with and as outlined in this policy;
- Reporting conduct that they reasonably believe violates this policy in accordance with the reporting process described below; and
- Cooperating fully with every USLRGMA initiated inquiry or investigation of any perceived violation of this policy.

Important! If the alleged offender is the Administrator of the Authority, the individual may report the conduct to a member of the Board of Directors.

Administrator's Responsibilities

The Administrator must take affirmative steps in regard to conduct that violates this policy. When the Administrator obtains information indicating that a violation of this policy may have occurred, they have an affirmative obligation to immediately inform the Board and begin to resolve the claim internally.

USLRGMA Responsibilities

USLRGA will promptly investigate the facts and circumstances of any perceived violation of this policy and will take immediate and appropriate action. In meeting its obligation USLRGMA will:

- Inform the complainant of their rights and any obligations to secure those rights;
- Conduct an immediate, thorough, impartial, timely, and complete investigation by qualified personnel or consultant, which may include interviewing the alleged harasser and other persons with information regarding the matter. The investigation will provide all parties appropriate due process and reach reasonable conclusions based on the evidence collected;
- Ensure documentation and tracking for reasonable progress;
- Make a determination as to whether the alleged conduct violated this policy and timely communicate the determination to the appropriate parties;
- Take prompt and effective remedial and preventative action, when warranted. This may include, for example, ensuring that the conduct stops, taking appropriate disciplinary action, informing the complainant that remedial action has been taken and providing a remedy for the complainant; and
- Ensuring timely closure of the complaint.

F. Complaint Process

Reporting Complaints for Violations of this Policy

An individual who believes someone has violated this policy must report the relevant conduct to the Administrator or Member of the Board with whom the individual feels comfortable, orally or in writing.

USLRGMA encourages individuals who feel comfortable to tell the harasser the behavior is unwanted. However, failure to do so does not prevent the individual from reporting the conduct to the Administrator. Individuals are not required by this policy to confront a harasser.

G. Confidentiality

USLRGMA will maintain confidentiality concerning complaints, inquiries and investigations to the extent possible. Information will be handled as sensitively as possible and will not be disclosed to others except on a need-to-know basis.

H. Complaints to the California Department of Fair Employment and Housing (DFEH)

Individual have the right to file a complaint of any harassment, discrimination, or retaliation with the DFEH, which may investigate and prosecute such complaints. There is no requirement, although it is encouraged, to first file a complaint with the USLRGMA Administrator.

Persons wishing to file such complaints should contact the DFEH Communication Center at 1-800-884-1684, or visit the DFEH's website at <https://calcivilrights.ca.gov/>.

I. Complaints to the Equal Employment Opportunity Commission

Individual have the right to file a complaint of any harassment, discrimination, or retaliation with the EEOC, which may investigate and prosecute such complaints. There is no requirement, although it is encouraged, to first file a complaint with the USLRGMA Administrator.

Persons wishing to file such complaints should contact the DFEH Communication Center at 1-800-669-4000, or visit the DFEH's website at <https://www.eeoc.gov/how-file-charge-employment-discrimination>.

J. Revision History

The following revisions have been made to this policy:

Version	Modification Date	Summary of Changes

DRAFT

**UPPER SAN LUIS REY GROUNDWATER MANAGEMENT AUTHORITY
RECORDS RETENTION AND DISPOSAL POLICY**

The purpose of this policy is to provide uniform guidelines for the retention and disposition of Upper San Luis Rey Groundwater Management Authority records; provide for the identification, maintenance, safeguarding and disposal of records in the normal course of business; ensure prompt and accurate retrieval of records; and ensure compliance with legal and regulatory requirements.

The Board of Directors authorizes the Administrator to interpret and implement this policy and to cause to be destroyed any and all records, papers and documents that meet the qualifications governing the retention and disposal of records as specified below.

General Guidelines

Sections 60200-60203 of the California Government Code (Chapter 7) and the guidelines prepared by the State Controllers office, provide for the destruction of records of special districts. They are incorporated by reference into this policy and are automatically updated when the Government Code is revised. To the extent of any conflict between the provisions of this policy and the provisions of the Government Code (as amended from time to time), the provisions of the Government Code shall have precedence.

- A. Duplicate records, papers, or documents (Government Code section 60200).

Except as otherwise directed by the Board, the Authority is authorized at any time to destroy or dispose of any duplicate records if they are no longer needed, as long as an original or a photographic record, which does not permit additions, deletions or changes to the original document, is on file.

- B. Records, papers or documents more than two years old and prepared or received other than pursuant to Statute (Government Code section 60201).

Except where a longer retention period is required hereunder, after two years, the Authority, with the Administrator's approval, may destroy or dispose of any original document which was prepared or received in any manner other than pursuant to state statute without retaining a record or copy of such document.

- C. Unaccepted bids for construction of public works more than two years old

(Government Code section 60202).

The Authority, at the discretion of the Administrator, may destroy unaccepted bids or proposals for public works after two years.

- D. Records, papers or documents not required by law to be filed (Government Code section 60203).

At the discretion of the Administrator, the Authority may destroy or dispose of any record that is not expressly required by law to be filed and preserved if all of the following conditions are complied with:

1. The record is photographed, microphotographed, or electronically preserved on any medium which does not permit additions, deletions, or changes to the original document in compliance with the minimum standards or guidelines, or both, as set forth in Government Code section 12168.7 or as recommended by the American National Standards Institute or the Association for Information and Image Management for recording of records or non-records, whichever applies.
 2. The device used to reproduce the record or film, optical disk or any other medium is one which accurately reproduces the original and does not permit additions, deletions, or changes to the original documents images.
 3. The photographs, microphotographs, or other reproductions on film or any other medium are preserved and conveniently accessible for examination and use.
- E. The Authority shall retain original administrative, legal, fiscal and/or historical records with continued value, such as records for long-term transactions, pending litigation and/or special projects (Government Code section 14755(a)).

For purposes of this section, every reproduction as described above shall be deemed to be an original record. In the event of any conflict between the Government Code provisions and this policy, the Government Code provisions shall take precedence.

Specific Guidelines

The Authority's Record Retention Schedule (Attachment A), in accordance with Government Code Section 60200 et seq. and all other applicable statutes, shall govern the retention, transfer and destruction of all records. Said schedule shall be amended from time to time, as needed, in order to provide for the inclusion of records that will require the assignment of specific retention periods, per departmental and legal review and approval.

Procedures

The Administrator or their designees are responsible for ensuring that accurate and complete records for their departments are identified, retained and disposed of in accordance with the Authority's Records Retention Schedule. At least once a year, the Records Retention Schedule is to be reviewed by the Administrator. Any new records series that needs to be placed on the schedule should be noted and a request to revise the schedule should be coordinated with the Administrator. Prior to submitting the Records Retention Schedule to the Board for amendment, the following factors shall be considered:

- A. Need for retention of the specific record
- B. Frequency of reference
- C. Legal retention requirement
- D. User need for information
- E. Historical/archival considerations
- F. Volume of files
- G. Ultimate disposition

All records identified in the Records Retention Schedule shall be retained in original form and/or in another unalterable medium in the Authority office for the number of years indicated on the schedule. Upon official retention, any identical copies or duplicates shall be destroyed and only the original record and/or one or more copies in one or more unalterable media shall be stored.

Permanent records shall be kept in their original form and/or in another unalterable medium in a vault or other designated secure storage area. If retention in original form is not mandated or upon expiration of the period for which retention is required, the record may be retained by producing a photographed, scanned, or unalterable electronically preserved record and the original shall be destroyed; or the record shall be destroyed without retaining a copy. Any special instructions with respect to the maintenance or destruction of a category of documents shall be set forth in the "disposition/remarks" column of the Records Retention Schedule.

Each document scheduled for destruction shall, prior to destruction, be reviewed by the appropriate Administrator or his/her designee, to verify that the destruction can take place in accordance with the Records Retention Schedule. Prior to destruction, the Administrator shall fill out, listing the records scheduled for destruction after ascertaining whether the document has continuing value or use by reason of litigation, relation to a continuing project or other reason. Such determination must be noted on the destruction list. The Administrator shall sign the Destruction Form and present it to the Board for approval.

The destruction of any paper record shall be by shredding, recycling or other effective method of destruction. Electronic media records shall be destroyed by deletion of the record from all media on which it is stored, such as computer hard drives and/or network drives.

LEGEND

Records Retention

AU=Audit Year

CL=Close or completion of project

CM=Current Month

CY=Current Year

L=Life

P=Permanent

S=Superseded

T=Termination

CITATIONS

CCP= Code of Civil Procedure

CEQA = California Environmental Quality Act

CFR= Code of Federal Regulations

GC = Government Code

ABBREVIATIONS

RFB=Request for Bid

RFP=Request for Proposal

RFQ=Request for Qualifications

Revision History

Date	Revision Description	Name

Attachment "A"
Records Retention Schedule

Record Series/ Type	Record Series/ Type Description	Primary Office of Record	Total Retention	Retention Justification/ Comments	Gov Code
Accidents/ Damage to Authority Property	Risk management administration	Admin/ Risk Mg.	CY+10	If employee injured retain for length of employment + 30 yrs.	GC34090 CCP337.15
Accounts Payable	AP invoices with copies of checks and backup documentation. (Vendor invoices, expense reports, petty cash- paid invoice history)	Finance	AU+4	Scan to Binders. Destroy/shred after retention. Scanned file is permanent.	GC34090 GC60201(d)12 26CFRR31.600 1
Accounts Receivable	Miscellaneous cash receipts, daily cash receipts filed by month, substantiates, incoming cash from customer and vendors, deposits, misc. billings, control posting.	Finance	AU+4	Scan to Binders. Destroy/Shred original, delete scanned file after retention period.	GC34090
Addenda	Used to correct inaccuracies in RFBs, RFPs, or RFQs. Becomes part of the bid, proposal, or qualifications.	Admin/ Finance	CL+10	Close is the project completion date.	GC34090; CCP 337
Adjustments- Customers	Adjustment accounts consist of adding fees, adjusting balance down for leaks form. Form requesting adjustments are attached.	Utility Billing	AU+4	2 yrs prior to the commencement of the current fiscal year	GC34090
Affidavits of Publication/ Posting	Legal notices for public hearings, publication of ordinances, etc.	Admin/ Board of Directors	CY + 5	Scan and destroy originals after 5 years	GC34090 EC17001
Agreements- Access Indemnity and Release	Site access agreements with contractors potentially performing work on projects	Admin	P	Originals filed in Office Vault, indexed on database. Expired contract/agreements scanned on hard drive.	
Agreements- Grants	Capital project replated grant agreements.	Admin/ Finance	P	Originals filed in Office Vault, indexed on database. Expired contract/agreements scanned on hard drive.	
Agreements/ Contracts	Contracts between outside agencies, contractors, vendors, or consultants and EID. Some agreements / contracts may be confidential depending on the nature of the agreement.	Admin/ Finance	P T + 5	Originals filed in Office Vault, indexed on database. Expired contract/agreements scanned on hard drive.	CCP337;337.2; 334; 337.15
Agreements – Leases and License	All Leases and License Agreements permitting the use of Authority real property.	Admin/ Finance	T+5	Originals filed in office files and scanned to hard drive.	CCP 337.2
Agreements- MOU	Capital project related memorandum of understanding agreements	Admin	P	Keep original and scan to hard drive.	GC34090; 60201
Agreements - Owner/Tenant	Owner applies for agreement to allow the tenant to be on the account. Includes mobile homes, apartments, property management, etc.	Utility Billing	CY+2	Scan to app file and original in app file until tenant moves out. Shred original when tenant leaves keep scan permanent.	GC34090
Audit - Annual Financial Reports	Independent Auditor Analysis- including financial statements, management letters	Finance	P	Originals are kept in office vault. Scan to hard drive. Retain scan permanently. May destroy originals after 10 yrs.	CCP337, 343, GC 34090
Banking Records	Including reconciliations, statements, certificate files and deposit books	Finance	AU+7	Scan to Binders. Destroy/ Shed original, delete scan file after retention period.	GC 34090; CCP 337

Record Series/ Type	Record Series/ Type Description	Primary Office of Record	Total Retention	Retention Justification/ Comments	Gov Code
Bids Successful/ Unsuccessful	Includes plan and specifications; notices/ affidavits	Admin/ Eng.	CY + 10	See regulatory for compliance projects required by State or Federal. Close is the project completion date	GC 34909 CCP337, 337.1
Billing – Customer Payments	Payments received from Authority customers, in all formats. Includes customer account records and postings of credit card, electronic or other on-line payments by customers. Utility bill stubs-submitted with payment. EFT – Documentation of electronic funds transfer from customer account to EID account for bill payments. Includes forms and voided checks	UB	AU+2	Keep in office files and Shred after retention period.	GC34090
Billing- Customer Payments, Returned / Bounced Checks	Letter from the bank regarding bounced checks from customers.	UB	AU+2	Scan to customer file. Keep in billing binder and destroy after retention.	GC34090
Billing – Customers Returned Mail	Mail returned for non-existing address, etc.	UB	CM+5	Retain for current month + 5 months	GC34090
Board Agendas/ Agenda Items	Material presented during meeting- documents, letters, printed emails, etc. They are filed with the minutes	Admin	P	Closed Session Items = Confidential. Scan.	GC34090
Board Files	Bio, news clippings, etc.	Admin	P	Scan & destroy originals.	
Board Minutes	Official Board meeting minutes	Admin	P	Closed Session Items = Confidential Official Minute Books are kept in the Office Vault. Scan on hard drive for preservation.	GC34090; 60201
Board Meeting Packets	Board Packets	Admin	P	Closed Session Items = Confidential Official Ordinance Books are kept in the Office Vault. Scan on hard drive for preservation. Retain original packet in file for 3 years.	GC34090; 60201
Board Policies and Administrative Regulations	Board approved policies and administrative regulations.	Admin/ Finance	S+5	One complete copy is maintained by the Finance Department. Scan for preservation.	GC34090; 60201
Board Resolutions	Board Actions	Admin	P	Closed Session Items = Confidential Official Resolution Books are kept in the Office Vault. Scan on hard drive for preservation.	GC34090; 60201
Bonds/ Certificate of Participation Insurance Files	Debt service, annual continuing disclosure reports, fixed charge special assessment (FCSA) communications, and internal information. Official Statements, resolutions, indentures, installment purchase agreements.	Finance	L + 10	Scan and destroy after expiration of bond + 10 years	CCP337.5; GC34090

Record Series/ Type	Record Series/ Type Description	Primary Office of Record	Total Retention	Retention Justification/ Comments	Gov Code
Budget-Annual	Board approved operating budget. Used to track budget expenditures and budget allocations.	Finance	AU + 2 State=P	Complete sets are kept by Finance Department. Scan and put in storage. Retain in files for permanent retention.	GC34090
Fee Studies	These summarizes the analyses for development of fees and may be used to make recommendations to the Board of Directors for establishing fees.	Admin/ Finance	P	Scan after 5 years and retain scan on hard drive and backup.	GC34090
Capital Assets Records	Plant Records	Admin/ Fac.	P	Originals are kept in Office Files. Scan and originals are Permanently retained.	GC 34090; 60217; 60203
Capital Improvements	Meeting Agendas; Notice of Award; Payments and Invoices Project Manual- Specifications, Notice of Completion	Admin/ Eng.	CL + 10 P	Close is the project completion date	GCC337.15 GC34090a
Chart of Accounts	List of financial accounts for recording transactions in the Authority's general ledger.	Admin/Finance	CY+2	Current complete acts are maintained by Finance	
Claims, Damage	Claim documentation (Form 112)	O&M	CL+5	Close when claim is closed. Retain originals at Authority for 2 yrs. Scan to hard drive.	GC34090
Contracts	Contracts with any person or entity who develops real property or furnishes the design, specs, surveying, planning, supervision, testing, or observation of Construction of Improvement to real property for 10 yrs. after Construction or Improvement completion.	Admin/ Eng.	CL + 10	Originals filed in office and scanned.	CCP337; 337.2; 337.15
Conflict of Interest Statements	Form 700	Admin/ Board of Directors	7 years	After 2 years, scan & destroy originals.	GC34090; 60201
Committee Meetings	Authority committee meeting minutes and agendas	Admin	CY + 10		
Complaints-Misc.	Miscellaneous complaints not related to specific lawsuits involving the Authority and not otherwise specifically covered by the retention schedule.	Admin	2 years		GC 34090

Record Series/ Type	Record Series/ Type Description	Primary Office of Record	Total Retention	Retention Justification/ Comments	Gov Code
Correspondence	City, County, State, Federal, Water Agencies, general, non-specific, transmittals. etc. Includes letters, memos, or transmittals regarding a contract. Cross connection, control, and compliance enforcement. Documents requiring water customers to comply with program requirements. Incoming and outgoing letters regarding customer inquiries, disputes, and customer service-related information. Environmental Review, correspondence, Consultants, issues, conversations.	Admin/ Finance Admin/ Eng. UB Customer Service Admin/ Eng.	CY + 2	Originals filed in Office Vault.	GC34090d;6 0201
County Tentative Parcel Maps		O&M/ Eng.	CY + 6	Originals are kept in Office Files.	GC34090
Debt	-Long Term- records- Outstanding Debt (generally) records of proceedings	Admin/ Finance	L + 10	Terms and conditions of bonds, warrants, and any other long-term agreements shall be retained until final payment, plus an additional 10 years. Scan, retain on hard drive and	
Deposits, Receipts/ Cash Receipts/ Cash Journals	Receipts for deposited checks, coins, currency. Reconciliation of all daily work for cashing. Includes daily journal tape from register and all payment receipts from cashing, and checkbook detail for all payment types.	Finance	AU + 4		GC60201, CCP337
Encroachment Permits	For continuing Encroachments over Authority easements, etc.	Admin/Eng.	P		GC 60201 (d)(8)
Environmental Documents	EIR's, Permits, Final Reports, Mitigation monitoring, negative declaration, abatement projects, Caltrans, Health department, County, etc.	Eng.	P	Originals scanned to hard drive. Hard copy in vault.	GC60201d8 GC34090 CEQA Guidelines
Financial Statements	Year-end audited (including general ledger, trial balance, working papers, cash receipt journal, payroll ledger)	Finance	P	Scan destroy originals after 7 years. Retain scan on hard drive and backup.	GC34090
Fixed Assets	Fixed Asset Inventory: Annual updates needed for FCC study. Annual update of fixed assets. Fixed Asset Depreciation: Part of financial statements, includes checks, invoices, and backup. Reflects purchase dates, and cost account numbers	Finance	AU + 4		GC34090 CCP337
Fund Transfers	Internal; bank transfers & wires	Finance	AU + 2	Scan and file. Destroy originals after retention period.	GC 34090
GIS Documents	Maps containing geographic information. Also includes water and sewer line drawings.	Admin/ Eng.	S		GC34090

Record Series/ Type	Record Series/ Type Description	Primary Office of Record	Total Retention	Retention Justification/ Comments	Gov Code
Grant Deeds	All documentation granting real property to the Authority.	Admin/ Eng.	P	Originals filed in vault in files. Keep originals and scan to hard drive	GC 34090a
Grants of Easement	All recorded easement rights granted to the Authority.	Admin/ Eng.	P	Originals filed in vault in files. Keep originals and scan to hard drive.	GC 34090a
Grants- Successful/ Unsuccessful	Documentation of federal or state grant funding for various projects, programs, or emergencies / natural disasters.	Admin/ Finance	CL+5	Retain for 5 years after the final Financial Status Report is complete	GC 34090
Historical	Historical documents including various reports, pictures, videos, etc. with significant historical value.	Admin/ O&M	P	Scan to hard drive and retain originals.	GC34090
Hydraulic Reports	Various Engineering Studies & Reports, including Feasibility Studies.	Admin/ Eng.	Scan= P CY + 5	Paper copies should be maintained for 5 years. Originals should be scanned for permanent retention. Scans will serve as permanent record.	GC 34090; 60201
Insurance Certificates – Lease Holders	Insurance certificates from parties leasing Authority facilities Vendors/ Consultants/ Contractors	Insurance/ Risk Mgmt.	T+2	Termination is expiration or revocation of permit	GC34090
Investment Policy & Reports	Summary of transactions, inventory & earnings report.	Admin/ Finance	P	Scan and destroy originals after 7 years. Retain scan permanently	GC34090; CCP337; GC53607
Journal Entries	Transactions which would otherwise not be recorded in any other fashion in the general ledger; Accounts receivable/time and materials billing including monthly activity. Initiates time and material billings. Includes customer name, service address, meter readings, usage payments, applications / cancellations; Customer payments-daily activity; Customer payments/monthly journal-monthly activities, billing errors, fund changes, CIP funds.	Finance/UB	AU+7	Electronic copies will be retained permanently. Paper copies will be retained for 7 years for audit purposes.	GC 60201 (d)(12)
Lab Data Reports	QA/QC Contract lab documentation, Sampling, Chain of Custody, Drinking Water-Chemical, Bacteriological & Organics, Wastewater- Wastewater & All Discharge from Treatments Plants, Wells-Well water Quality	Admin/ O&M	CY+12		40CFR 141.33
LAFCO Correspondence	Municipal service review and other documentation/ correspondence	Admin/ Eng.	CY + 2		GC 34090; 60201
Litigation / Case Files	Includes various litigation case files pertaining to any project or claim – several files with numerous volumes per case.	Admin/ Finance	P	Until Settled or adjudicated + 2. Originals filed in Office Files and Vault. Scan.	GC34090

Record Series/ Type	Record Series/ Type Description	Primary Office of Record	Total Retention	Retention Justification/ Comments	Gov Code
Maintenance/ Repair Records	Equipment	Operations	2 years	Scan to equipment file. Update record sheet. Retain originals for 2 years and destroy after. Keep scan for life of equipment.	GC34090
Meter Operations	Reader reports; orders; tests; maintenance reports; applications	O&M/ Eng.	CY + 2	Original application retained in Office Application Files. Meter & backflow date scan to hard drive.	GC34090
Officeholder and candidate Campaign Statement	FPPC 470	Admin/Board of Directors	CY + 6	Originals filed with County Registrar. Scan on hard drive for preservation.	
Oaths of Office	Elected and public officials-Board Members	Admin	E + 6		GC 34090
Permits- CIP	CIP – Engineering and Inspections related permits: Encroachment permits, building, signs, grading, and encroachment. Includes all permits for development, design, and construction.	Facilities/ Eng.	P	Originals scanned to hard drive. Hard copy in office files.	GC34090; H&S19850; 4003; 4004
Photographs	Aerial photos.	Admin/ Eng.	P	Keep originals in office vault.	GC34090
Purchase Orders, Requisitions	Agreements-that function as a contract with the contractor. Also, supporting materials that substantiate the final purchase order or decision trail.	Purchasing	AU+6	Scan and retain for period. Destroy originals. Delete scan.	GC34090; CCP337
Preliminary Liens	Issued to the Authority by subcontractors for public work projects.	Eng.	CL+10	Close is project completion date.	
Procedures Manuals	Departmental and divisional procedures. Created by departments and divisions for project and task reference	Admin/O&M	S + 5	Scan to hard drive and keep originals in binder. Update when needed. Destroy and delete after retention.	GC34090 (d)
Protest Letters	Protests, Proposition 218, etc. Cal Constitution Art XIII	Admin/Board of Directors	CL+3		GC53753(c)
Public Records Requests	Requests from public, vendors, contractors, consultants, developers.	Admin	CL+2		GC34090
Quality	Compliance documentation including sampling data, analysis, surveys, documents, evaluation, schedules, valves, etc.	Admin/ O&M	CY+12	Retain for 12 yrs. after use of laboratory.	40CFR 122.41(j)(2) CCR64470

Record Series/ Type	Record Series/ Type Description	Primary Office of Record	Total Retention	Retention Justification/ Comments	Gov Code
Rates	Board of Directors rate decisions.	Finance/ Accounting	P		
Records Retention Schedule	Documentation of approved record purges. Includes record description, dates, retention policy and approvals from Department Head and Board of Directors.	Admin	S+4	Permanent retention of document destruction forms.	GC34090 CCP343
Risk Management Agreements	Construction/ Non-construction	Admin/ Eng. Contract Mgmt.	CY+2	Scan to vendor file and keep in office files for a period of 3 yrs. then destroy originals.	GC 34090 CCP 337
State Disability Insurance	Insurance certifications and policy	HR	P		
Studies & Reports	Various Engineering Studies & Reports, including Feasibility Studies.	Admin/Eng.	P	Paper copies should be maintained for 5 years. Originals should be imaged immediately for permanent retention. The scanned record may serve as a permanent record.	GC 34090 60201
Treasurer's Reports	Including securities detail, cash flow, forecast, quarterly working papers monthly	Finance	P	Scan after 5 years. Destroy original. Retain on hard drive and backup.	Gc34090
Vendor Register - 1099	Alpha vendor listing or purchase orders, invoices, account numbers, and check dates \$ amount reportable to company to Federal and State, includes copies of documentation sent to IRS – compliance.	Finance/ AP	P		GC34090
W-9, New Vendor	Vendor information, vendor forms, tax compliance - scanned since 2004	Finance/ AP	AU+7	Scanned in Incode and filed in 3-ring binder. Keep for at least 7 years if no longer need it can be destroyed.	GC60201 (d)(12)
Water Rights	Documentation of water rights		P	Originals kept in Office vault. Keep original and scan on hard drive.	